

What: Board of Directors Meeting
 Date & Time: Thursday, June 25, 2020; 2:00-4:00 p.m. (PT)
 Call in Number: Please email info@wavaccine.org to register for the meeting and to be provided with the webinar/teleconference information.
 Location: Webinar/Teleconference

Notice: The meeting may be recorded for the benefit of the minute-taker. The WVA intends to delete the recording after the minutes are approved.

Agenda for Board of Directors Meeting

Approx. Time	Page		Topic/ Anticipated Action (Votes are in Red)	Presented by:
2:00-2:10 p.m.			1. Welcome & Introductions a. Notification of Recording	J. Zell
2:10-2:15 p.m.	2-5	*	2. Consent Calendar Items Proposed Form of Votes (Votes to Approve Minutes) a. Board Meeting Minutes (April 23, 2020).	C. Murphy
2:15-2:45 p.m.	6-22	*	3. Financial Update a. Investment Report b. Financials – as of May 31, 2020 i. New Format ii. Financial Update c. Recommended Changes to Financial Procedures i. Vote to Adopt Recommended Financial Procedures d. 2020-21 Operation Budget i. Vote to Approve Annual Budget	P. Miller/ J. Zell
2:45-3:00 p.m.			4. DOH Updates	M. Roberts
3:00-3:15 p.m.	23-28	*	5. ED Updates a. Operational Summary b. PAL Program c. Communication Plan d. Former Chair Resolution i. Vote to Adopt Resolution	J. Zell
3:15-3:20p.m.			6. Public Comment (if time permits)	C. Murphy
3:20-4:00 p.m.	29	*	7. Executive Session (public excluded) a. WVA Liabilities b. Compliance Actions c. Annual ED 2020 Goals i. Vote to Adopt ED 2020 Goals d. Outside Counsel Matter (ED/AD excluded)	J. Zell/ P. Miller A. Redman
*Indicates agenda item attached Red text indicates an action item				

**June 25, 2020 WVA Meeting of the Board of Directors
Proposed Form of Votes**

The following are suggested forms of votes only. They are intended to be an aid to facilitate work by individual directors. All Board policy and the final form of votes is exclusively the province of the Board acting collectively as the Board of Directors.

Items under Agenda Section 2:

VOTED: To approve the minutes of the April 23, 2020 Board Meeting.

[To approve the minutes of the April 23, 2020 Board Meeting with the changes suggested at the meeting.]

Items under Agenda Section 3:

VOTED: To approve the 2020-21 WVA Annual Operations Budget.

[To approve the 2020-21 WVA Annual Operations Budget in accordance with the changes suggested at the meeting.]

VOTED: To approve the 6-25-2020 Financial Controls Procedure Changes Resolution.

[To approve the 6-25-2020 Financial Controls Procedure Changes Resolution with the changes at the meeting.]

Items under Agenda Section 5:

VOTED: To adopt a Board Resolution honoring Dr. John Sobeck for his service to the WVA.

[To adopt a Board Resolution honoring Dr. John Sobeck for his service to the WVA with the changes suggested at the meeting.]

Items under Agenda Section 6:

VOTED: To adopt the 2020 Executive Director performance goals.

[To adopt the 2020 Executive Director performance goals with the changes suggested at the meeting.]

**Washington Vaccine Association
Board of Directors' Meeting
April 23, 2020; 2:00-3:00 p.m. PT**

- I. Attendance.** Due to Covid-19 and the Governor's Emergency Order, this meeting was conducted solely by webinar, and was shortened from its previously scheduled length. Participating in all or part of the meeting were the following individuals:

Directors

Chad Murphy, PharmD, Chair, Premera
Patricia Auerbach, MD, MBA, FACP, Treasurer,
UnitedHealthcare
John Dunn, MD, MPH, Kaiser Permanente
Cathy Falanga, Aetna Life Insurance Company
Jason Farber, Esq., Davis Wright Tremaine LLP
Beth Harvey, MD, South Sound Pediatric
Associates
Steve Lam, PharmD, Regence BlueShield Washington
Ed Marcuse, MD, Emeritus Professor of
Pediatrics, University of Washington
Randy Parker, Carpenters Trusts of Western
Washington
Michele Roberts, MPH, MCHES,
Washington Department of Health
John Sobeck, MD, MBA, Outgoing Chair, Everett Clinic

WVA

Julia G. Zell, MA., Esq., Executive Director

Helms & Company, Inc.

Patrick Miller, MPH, WVA Administrative Director
Lisa White, JD, WVA Customer and Financial Support
Specialist
Tony Mendez, MBA, Senior Consultant

Others

Anne Redman, Esq., Perkins Coie
Leslie Walker, CPA, Mason+Rich, PA
SheAnne Allen, Washington Department of Health
Hannah Febach, Washington Department of Health
Fred Potter, KidsVax
Breelyn Young, GlaxoSmithKline
O. DeWayne Ingram, GlaxoSmithKline

II. Summary of Actions Taken and/or Recommended

Actions Taken (votes adopted)

- To approve the minutes of the June 27, 2019 Board Meeting as presented.
- To approve the minutes of the November 7, 2019 Board Meeting as presented.
- To approve the Draft 2020/21 Vaccine Assessment Grid as presented with one correction to CPT code 90744 percent change from 46.5% to -8.6%.

Follow up Tasks/Action Items

None.

III. Minutes

Welcome and Introductions

At 2:00 p.m., a quorum having been established, Chairman Chad Murphy, called the meeting to order. Ms. Zell announced that the meeting was being recorded for the benefit of the minute-taker and would be deleted following final approval of the minutes. Ms. Zell asked Mr. Miller to introduce his team. Mr. Miller recognized Leslie Walker, CPA from Mason+Rich PA, Lisa White, JD, Customer and Financial Support Specialist, and Tony Mendez, MBA, Senior Consultant.

Consent Calendar

Chairman Murphy directed the Board's attention to the consent items submitted for approval, including the Board meeting minutes of June 27, 2019 and the Board meeting minutes of November 7, 2019. Attorney Redman asked about deleting a section in the June 27, 2019 minutes, and Ms. Zell replied that the deletion had already occurred and is reflected in the current meeting packet. There being no questions or comments, the following items were put to a vote:

Upon motion duly made and seconded, it was unanimously

VOTED: To approve the minutes of the June 27, 2019 Board Meeting as presented.
To approve the minutes of the November 7, 2019 Board Meeting as presented.

74 Financial Update

75 *Q3 FY2020 Financial Statements* – Ms. Walker reviewed the financial statements. She pointed out sections of the statements that
76 are consistent with how the Board has traditionally seen them presented and contrasted them with recent additions and changes that
77 have been made. Ms. Walker noted the buildup in cash that has occurred in the past year. This has left a robust cash balance that
78 will be addressed in the upcoming vaccine grid assessment changes effort. Mr. Miller stated that the graphical representation of
79 trends on page 18 are designed to provide the Board with a set of longitudinal, key indicators for information and decision making.
80 Additional key indicators will be added in future reports. Chairman Murphy stated that he liked the move towards key indicators
81 and asked if there were any questions from the Board regarding the financials. There were none. Chairman Murphy then asked if
82 there has been a downturn in vaccine utilization. Mr. Miller stated that it is expected given the reduced hours of many pediatrician
83 offices. Dr. Harvey agreed. Ms. Roberts stated that the Department of Health is seeing a reduction but expected a busy back-to-
84 school season in the summer as well as re-scheduled well-child visits leading to catch-up immunizations. She stated that the
85 vaccines' long shelf lives should eliminate vaccine wastage.

86
87 *FY2021 Budget, Price Grid and Cash Flow Model* – Mr. Miller proceeded to review the presentation encompassing the cash flow
88 model, the administrative budget, and the Vaccine Assessment Grid. Mr. Miller presented the model, which he stated is a new
89 approach that combines the cash-flow needs and the administrative budget that adjusts the vaccine assessment grid in real time.
90 The model is a three-year cash flow model intended to 1) reduce the current cash position over a three year-period, 2) to create
91 stability in the assessment grid, and 3) to ensure a level of reasonable reserves. The first part of the presentation focused on a set
92 of historical trended measures that explain the cash build up and laid out a proposed reduction in cash over the next three years.

93
94 The second part of the presentation described the three-year model and depicted three different collection scenarios with seven
95 "dials" or adjustment factors that the Board can use to drive the model assumptions (p. 32-33). The status quo model would continue
96 the cash accumulation that would result in \$97M of cash at the end of the three-year period. The below cost model would result in
97 a deficit, and the at cost model is what is recommended. This model reduces cash over the next three years by \$13.1M, \$10.1M,
98 and \$9.4M, respectively, which will reduce the ~\$60M end of FY2020 cash balance to ~\$28M at the end of FY2023. Several
99 reasons for contingency funds were reviewed including COVID-19 resources, Vaxelis' release in 2021, potential VFC split
100 changes, and the current capacity to fund unexpected vaccine needs.

101
102 The third part of the presentation focused on the administrative budget. This will be reviewed in detail by the Finance Committee
103 in May, and it will be fine-tuned further by that meeting. Additional funds are proposed to address provider and payer outreach
104 efforts, including a part-time resource starting in the fall of 2020 to be based in Seattle.

105
106 The final part of the presentation focused on the vaccine assessment grid and included a memo with the core financial assumptions
107 upon which it was developed. Mr. Miller reviewed the grid format and explained that the grid assessment amounts are all decreased
108 from the prior year. Chairman Murphy pointed out that CPT code 90744 showed a percentage increase. Mr. Miller stated that this
109 will be fixed prior to the grid's release. Ms. Zell stated that the draft (and final) grid will be posted to the WVA website, sent to the
110 Department of Health, to the Washington State Office of the Insurance Commissioner, sent to the third-party administrators in the
111 updated TPA database, and to other partners including the Washington Chapter of the American Academy of Pediatrics (WCAAP)
112 and the Association of Washington Healthcare Plans (AWHP).

113
114 Upon motion duly made and seconded, it was unanimously

115
116 **VOTED:** To approve the Draft 2020/21 Vaccine Assessment Grid as presented with one correction to
117 CPT code 90744 percent change from 46.5% to -8.6% pending final Operations Committee review.

118
119 Executive Director Updates

120 Ms. Zell focused the Board's attention on the Executive Director report and the WVA Quarterly Goal Summary. She first thanked
121 outgoing Chairman John Soback for his many years of contribution to the organization. Ms. Zell then pointed to the WVA Quarterly
122 Goals Summary document on the last page of the meeting packet. It shows primary activities by quarter by workstream. Ms. Zell
123 stated that the Q1 activities in blue have been completed, the Q2 activities in green are in progress and that Q3 and Q4 activities
124 are future in black. She described work that is underway to increase the provider/payer education efforts, including enhanced
125 website features and a new provider/payer brochure. Ms. Zell recommended that board meetings be held four times a year given
126 the amount of change that is underway. Ms. Zell stated that the Committee Charters were being re-examined by Attorney Redman,
127 and that a Board retreat might likely be pushed to Q1 2021 given the current COVID-19 state.

128
129 Public Comment

130 Dr. Marcuse asked if there is time for public comment. Chairman Murphy asked members of the public to identify themselves first,
131 prior to making any comments. Most of the members of the public introduced themselves and stated that they had no comments
132 yet appreciated the opportunity.

133
134 Adjournment to Executive Session

135 The public meeting concluded at 2:48pm PT and the Board moved to Executive Session.

DRAFT

WASHINGTON VACCINE ASSOCIATION
UNAUDITED FINANCIAL STATEMENTS
FOR THE MONTH AND ELEVEN (11) MONTHS ENDED
May 31, 2020
With Supplemental Informational Reporting

Prepared by Helms & Company, Inc.

Washington Vaccine Association

Notes to Financial Statements

For the Eleven (11) Months Ended May 31, 2020

Balance Sheet

Line 5. Based upon the date of service associated with payments received in May, we estimate that there are remaining Member Estimated Collectible Assessments related to January 2020 of approximately \$1.1 million, February 2020 of \$1.6 million, March of \$1.3 million, April of \$4.3 million and May of \$3.9 million. A reserve of approximately \$539,000 has been established to account for an expected wastage rate of 2%. This line item also includes approximately \$99,000 of funding paid to the State of Idaho for the 2020/2021 fiscal year.

Line 6. The Prepaid Vaccine amount includes the amount requested by the Washington Department of Health for the May replenishment of vaccines. The amount also includes the administrative fee of 1.4%. The DOH cost recovery charge included with this request was \$93,114 and is associated with April.

Profit and Loss

Line 1. Assessment Activity in May resulted in approximately \$5.4 million in revenues. This is a significant decrease as compared to the revenue received in May 2019 of approximately \$6 million. The reduction in revenue was not unexpected and is a result of the response to Covid-19 and the reduction in routine vaccinations. We anticipate this trend will continue and we are in communication with the Department of Health regarding their monthly vaccine purchase demand.

Line 2. The amount reported as Assessment Revenue includes all assessments received in the month of May. The assessments are tracked in the underlying accounting system using the date of service supplied by the provider. It is assumed that the provider utilized a vaccine which was purchased by the Department of Health in either the corresponding month or a prior month. A monthly analysis of vaccine funding levels and assessment revenue has revealed assessment revenues for the months of October, November, and December of 2019 are greater than vaccine purchase requirements. Further analysis of additional data is required and will be gathered in subsequent months.

Line 6. The amount reported as 2% Waste is an estimate which was recorded through a journal entry. This estimate will be refined as we continue to process and track the amount of Collectible Assessments remaining from each DOH Funding request. The amount remaining would likely represent vaccines which were not administered and would be considered waste. This will take several months of data before we are able to provide a more accurate estimate and therefore the 2% estimate will be used for the next several months.

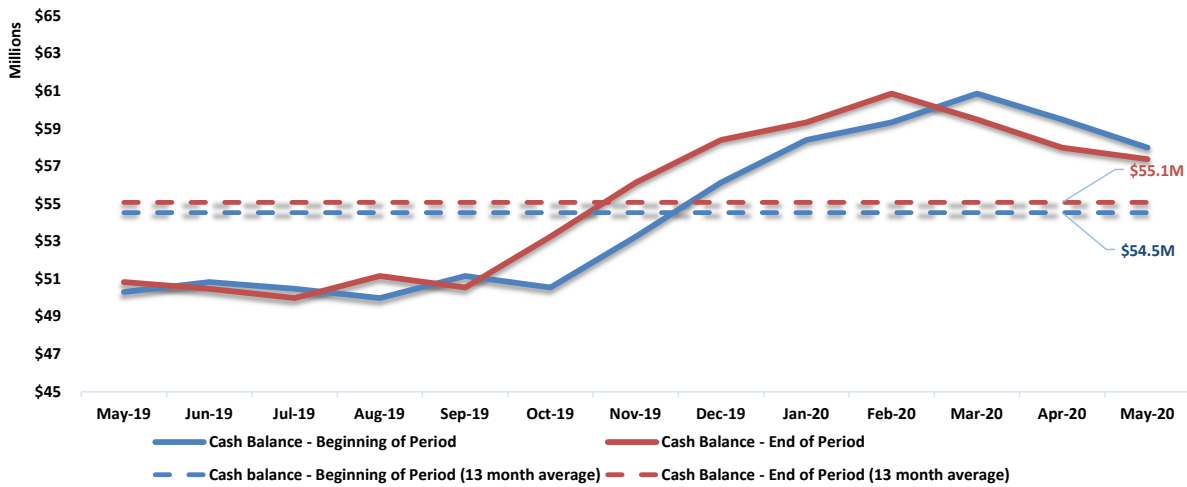
Line 7. The amount reported as Price Variance and 3% Denials in the month of April is the actual total of variances and denials identified through the lockbox transactions processed through OrboGraph. We plan to refine this data so that we can begin researching these revenue reductions in greater detail.

Line 8. The DOH replenishment is the actual “cost” of the vaccines which are associated with the Assessments received in May. This differs from prior reporting. In prior months, this number reflected the amount remitted to the DOH in the current month for the subsequent month’s vaccines. It had no relationship to the Assessments collected in a given month. As a result, there was no way to calculate the difference between the vaccine grid price assessment revenue and the DOH funding. By reporting the actual funding in relation to the assessment received, we will be able to measure and monitor the impact of changes to the assessment grid as we move into the next fiscal year.

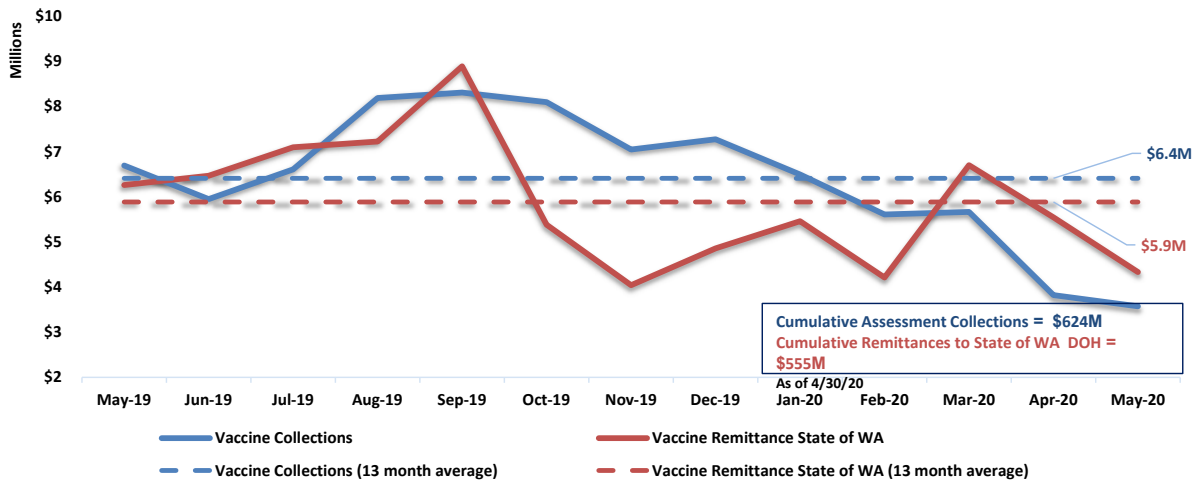
Other

Based upon a review of detailed assessment remittance data, it appears that the Association may have received some remittances in error. Research is ongoing to determine the reasons for these remittances, the timeline of receipt, and the total dollar amount. Additionally, a process to resolve these items, as well as prevent future remittance errors from occurring, will be developed. Resolution of this issue may require the accrual of a contingent liability for the amount of the payments received in error. This accrual will be an estimate based upon the best available information.

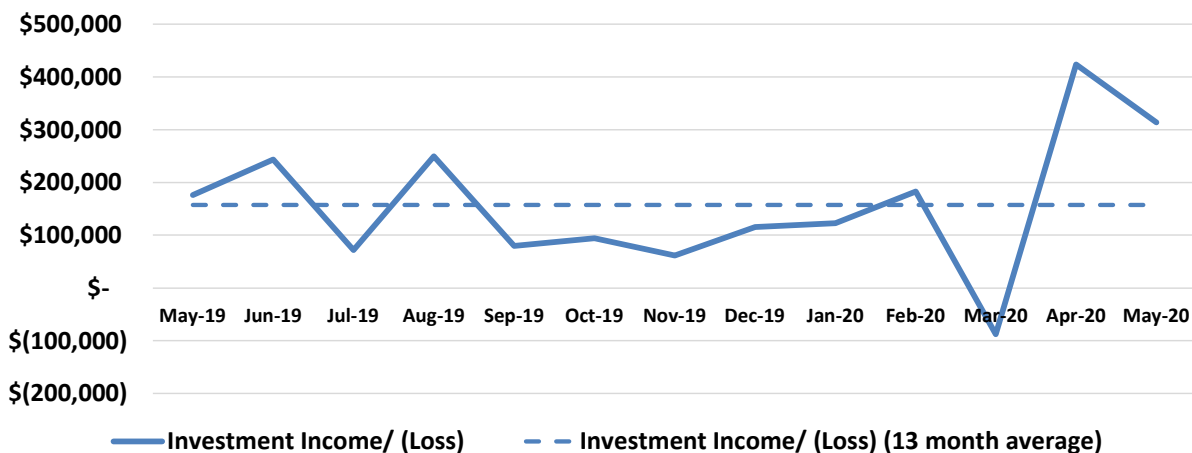
Cash Balances Beginning and End of Period May 2019 - May 2020



Total Vaccine Collections and Vaccine Remittances to State of WA May 2019 - May 2020



Investment Income / (Loss) May 2019 - May 2020



Washington Vaccine Association
Statement of Financial Position
As of May 31, 2020

ASSETS

1	Current Assets		
2	Cash and Cash Equivalents	\$	5,277,299
3	Investments		52,100,195
4	Members Estimated Collectible Assessments		11,893,811
5	Prepaid Vaccine		4,170,043
6	Prepaid Administrative Services		-
7	Total Current Assets		<u>73,441,348</u>
8	Total Assets	\$	<u><u>73,441,348</u></u>

LIABILITIES AND NET ASSETS

9	Current Liabilities		
10	Accounts Payable	\$	80,091
11	Other Accruals		-
12	Total Current Liabilities		<u>80,091</u>
13	Assessments Collected in Excess of Vaccine Funding and Administrative Activities		<u>73,361,257</u>
14	Total Liabilities		73,441,348
15	Net Assets - Unrestricted		<u>-</u>
16	Total Liabilities and Net Assets	\$	<u><u>73,441,348</u></u>

**Washington Vaccine Association
Statement of Activities and Changes in Net Assets**

	A	B	C	D	E	F
	Month Ended May 31, 2020			Month Ended May 31, 2019		
	Administrative	Vaccine	Total	Administrative	Vaccine	Total
	Revenues / Vaccine Expenses					
1 Assessment Activity:						
2 Assessments	\$ 660,403	\$ 4,719,070	\$ 5,379,473	\$ 564,323	\$ 4,194,649	\$ 4,758,972
3 Estimated Over (Under) Collections	-	-	-	122,746	521,865	644,611
4 Refunds	(22,362)	-	(22,362)	(24,885)	-	(24,885)
5 Estimated 2% Waste	(109,114)	-	(109,114)	-	-	-
6 Estimated Price Variance and 3% Denial	(720,994)	-	(720,994)	-	-	-
7 DOH Replenishment	-	(3,472,454)	(3,472,454)	-	(4,245,192)	(4,245,192)
8 DOH Cost Recovery Admin Charge	(93,114)	-	(93,114)	-	-	-
9 Interest Income on Assessments	-	-	-	-	-	-
10 Net Assessment Activity	(285,181)	1,246,616	961,435	662,184	471,322	1,133,506
11 Investment Activity:						
12 Interest and Dividend Income - Morgan Stanley	145,627	-	145,627	138,866	-	138,866
13 Realized Gain/(Loss) on Investments - Morgan Stanley	1,649	-	1,649	(862)	-	(862)
14 Unrealized Gain/(Loss) on Investments - Morgan Stanley	154,449	-	154,449	26,313	-	26,313
15 Investment Management Expenses	(11,880)	-	(11,880)	-	-	-
16 Interest Income - KeyBank	48	-	48	11,864	-	11,864
17 Net Investment Activity	289,893	-	289,893	176,181	-	176,181
18 Net Revenues	4,712	1,246,616	1,251,328	838,365	471,322	1,309,687

**Washington Vaccine Association
Statement of Activities and Changes in Net Assets**

	A	B	C	D	E	F
	Month Ended May 31, 2020			Month Ended May 31, 2019		
	Administrative	Vaccine Other Expenses	Total	Administrative	Vaccine	Total
19 Administrative Expenses:						
20 General Administrative Services:						
21 Personnel and Related Costs:						
22 ED - Base Salary	44,684	-	44,684	16,667	-	16,667
23 ED - Other Expenses	-	-	-	1,617	-	1,617
24 Administrative Services:						
25 KidsVax, LLC - Fixed Contract	-	-	-	36,750	-	36,750
26 Helms & Company - Fixed Contract	131,576	-	131,576	-	-	-
27 Helms & Company - Transition	5,630	-	5,630	-	-	-
28 Image Conversion and Clearinghouse Intake	327	-	327	-	-	-
29 Total General Administrative Services	182,217	-	182,217	55,034	-	55,034
30 Special Projects Services:						
31 TRICARE - Administrative Services	-	-	-	-	-	-
32 TRICARE - Legislative Services	-	-	-	-	-	-
33 TRICARE - Exp. Offset from Other SVPs	-	-	-	-	-	-
34 Medical Revenue Managers - Denied Claims Recove	3,000	-	3,000	2,800	-	2,800
35 Supplemental Reports	-	-	-	3,118	-	3,118
36 Total Special Projects Services	3,000	-	3,000	5,918	-	5,918
37 Legal and Accounting:						
38 Outside Legal Counsel	34,608	-	34,608	2,352	-	2,352
39 Audit	-	-	-	-	-	-
40 Total Legal and Accounting	34,608	-	34,608	2,352	-	2,352
41 Other:						
42 Bank Fees - Other	3,845	-	3,845	1,191	-	1,191
43 Bank Fees - Lockbox	-	-	-	3,643	-	3,643
44 Communications	5,250	-	5,250	-	-	-
45 Design and Advertising	-	-	-	-	-	-
46 Insurance	-	-	-	-	-	-
47 Website and Information Technology	829	-	829	-	-	-
48 Office Supplies and Services	189	-	189	-	-	-
49 Office Rentals (ELM, Storage)	-	-	-	-	-	-
50 Hospitality	-	-	-	-	-	-
51 Board Meetings	-	-	-	-	-	-
53 Total Other	10,113	-	10,113	4,834	-	4,834
54 Total Administrative Expenses	229,938	-	229,938	68,138	-	68,138
55 Total Change in Unrestricted Net Assets	\$ (225,226)	\$ 1,246,616	\$ 1,021,390	\$ 770,227	\$ 471,322	\$ 1,241,549

**Washington Vaccine Association
Statement of Activities and Changes in Net Assets**

	A	B	C	D	E	F
	Month Ended May 31, 2020			For 11 Months Ended May 31, 2020		
	Administrative	Vaccine	Total	Administrative	Vaccine	Total
	Revenues / Vaccine Expenses					
1 Assessment Activity:						
2 Assessments	\$ 660,403	\$ 4,719,070	\$ 5,379,473	\$ 7,038,313	\$ 66,053,046	\$ 73,091,359
3 Estimated Over (Under) Collections	-	-	-	364,472	2,230,634	2,595,106
4 Refunds	(22,362)	-	(22,362)	(452,416)	-	(452,416)
5 Estimated 2% Waste	(109,114)	-	(109,114)	(1,407,388)	-	(1,407,388)
6 Estimated Price Variance and 3% Denial	(720,994)	-	(720,994)	(4,287,781)	-	(4,287,781)
7 DOH Replenishment	-	(3,472,454)	(3,472,454)	-	(57,977,751)	(57,977,751)
8 DOH Cost Recovery Admin Charge	(93,114)	-	(93,114)	(370,232)	-	(370,232)
9 Interest Income on Assessments	-	-	-	-	-	-
10 Net Assessment Activity	<u>(285,181)</u>	<u>1,246,616</u>	<u>961,435</u>	<u>884,968</u>	<u>10,305,929</u>	<u>11,190,897</u>
11 Investment Activity:						
12 Interest and Dividend Income - Morgan Stanley	145,627	-	145,627	1,273,309	-	1,273,309
13 Realized Gain/(Loss) on Investments - Morgan Stanley	1,649	-	1,649	38,207	-	38,207
14 Unrealized Gain/(Loss) on Investments - Morgan Stanley	154,449	-	154,449	350,283	-	350,283
15 Investment Management Expenses	(11,880)	-	(11,880)	(118,814)	-	(118,814)
16 Interest Income - KeyBank	48	-	48	79,888	-	79,888
17 Net Investment Activity	<u>289,893</u>	<u>-</u>	<u>289,893</u>	<u>1,622,873</u>	<u>-</u>	<u>1,622,873</u>
18 Net Revenues	<u>4,712</u>	<u>1,246,616</u>	<u>1,251,328</u>	<u>2,507,841</u>	<u>10,305,929</u>	<u>12,813,770</u>

**Washington Vaccine Association
Statement of Activities and Changes in Net Assets**

	A	B	C	D	E	F
	Month Ended May 31, 2020			For 11 Months Ended May 31, 2020		
	Administrative	Vaccine	Total	Administrative	Vaccine	Total
	Other Expenses					
19 Administrative Expenses:						
20 General Administrative Services:						
21 Personnel and Related Costs:						
22 ED - Base Salary	44,684	-	44,684	155,437	-	155,437
23 ED - Other Expenses	-	-	-	127,394	-	127,394
24 Administrative Services:						
25 KidsVax, LLC - Fixed Contract	-	-	-	223,117	-	223,117
26 Helms & Company - Fixed Contract	131,576	-	131,576	328,802	-	328,802
27 Helms & Company - Transition	5,630	-	5,630	517,394	-	517,394
28 Image Conversion and Clearinghouse Intake	327	-	327	75,001	-	75,001
29 Total General Administrative Services	182,217	-	182,217	1,427,145	-	1,427,145
30 Special Projects Services:						
31 TRICARE - Administrative Services	-	-	-	2,722	-	2,722
32 TRICARE - Legislative Services	-	-	-	24,007	-	24,007
33 TRICARE - Exp. Offset from Other SVPs	-	-	-	(100,000)	-	(100,000)
34 Medical Revenue Managers - Denied Claims Recove	3,000	-	3,000	27,000	-	27,000
35 Total Special Projects Services	3,000	-	3,000	(46,271)	-	(46,271)
36 Legal and Accounting:						
37 Outside Legal Counsel	34,608	-	34,608	134,511	-	134,511
38 Audit	-	-	-	14,700	-	14,700
39 Total Legal and Accounting	34,608	-	34,608	149,211	-	149,211
40 Other:						
41 Bank Fees - Other	-	-	-	7,508	-	7,508
42 Bank Fees - Lockbox	3,845	-	3,845	53,156	-	53,156
43 Communications	-	-	-	-	-	-
44 Design and Advertising	5,250	-	5,250	21,974	-	21,974
45 Insurance	-	-	-	42,581	-	42,581
46 Website and Information Technology	829	-	829	37,760	-	37,760
47 Office Supplies and Services	189	-	189	22,482	-	22,482
48 Office Rentals (ELM, Storage)	-	-	-	453	-	453
49 Hospitality	-	-	-	-	-	-
50 Board Meetings	-	-	-	-	-	-
52 Total Other	10,113	-	10,113	185,914	-	185,914
53 Total Administrative Expenses	229,938	-	229,938	1,715,999	-	1,715,999
54 Total Change in Unrestricted Net Assets	\$ (225,226)	\$ 1,246,616	\$ 1,021,390	\$ 791,842	\$ 10,305,929	\$ 11,097,771

**Washington Vaccine Association
Administrative Budget Status
For 11 Months Ending May 31, 2020**

	A Approved Annual Budget	B Actual For 11 Months Ending May 31, 2020	C Remaining Budget
1 Investment Income	\$ 1,243,000	\$ 1,741,687	\$ (498,687)
2 Less: Investment fees	(112,000)	(118,814)	6,814
3 Net Investment Income	<u>1,131,000</u>	<u>1,622,873</u>	<u>(491,873)</u>
Expenses:			
4 KidsVax, LLC - Fixed Contract	437,808	223,117	214,691
5 Helms & Company - Fixed Contract	-	328,802	(328,802)
6 Helms & Company - Transition	-	517,394	(517,394)
7 Image Conversion and Clearinghouse Intake	-	75,001	(75,001)
8 Executive Director - compensation	207,000	155,437	51,563
9 Executive Director - Other Costs	101,492	125,112	(23,620)
10 Admin services / ED spot awards / Board discretionary	100,000	-	100,000
11 Administrative services - TRICARE	5,000	2,722	2,278
12 Admin services - TRICARE (Crowell & Moring)	24,000	24,007	(7)
13 TRICARE - Expense Offset Rcv From Other SVPs	(100,000)	(100,000)	-
14 Legal fees	48,000	134,511	(86,511)
15 Audit	12,000	14,700	(2,700)
16 Special projects:			-
17 Denied claims recovery (Medical Revenue Managers)	36,000	27,000	9,000
18 Settlement reports	95,000	-	95,000
19 Communications - outside graphics, etc.	15,000	21,974	(6,974)
20 ELM (meetings / mail forwarding / parking / services)	7,000	-	7,000
21 Insurance	45,000	42,581	2,419
22 Website development	38,235	37,760	475
23 Bank fees	18,000	7,508	10,492
24 Bank fees - lockbox	55,000	53,156	1,844
25 Travel	10,000	-	10,000
26 Hospitality	2,000	2,282	(282)
27 Board meetings	5,000	-	5,000
28 Other administration expenses	2,000	22,935	(20,935)
29 Total administrative expenses	<u>1,163,535</u>	<u>1,715,999</u>	<u>(552,464)</u>
30 Total expenses net of investment income	<u>\$ 32,535</u>	<u>\$ 93,126</u>	<u>\$ (60,591)</u>

Washington Vaccine Association
Statement of Cash Flows
For the Periods Ended

	C	D	E	F	G	H	I	J	K	L	M	M	O	P
	Month 5/31/2019	Month 6/30/2019	Month 7/31/2019	Month 8/31/2019	Month 9/30/2019	Month 10/31/2019	Month 11/30/2019	Month 12/31/2019	Month 1/31/2020	Month 2/29/2020	Month 3/31/2020	Month 4/30/2020	Month 5/31/2020	13 Month Average
1 Cash balance - beginning	\$ 50,316,645	\$ 50,836,486	\$ 50,477,971	\$ 49,980,637	\$ 51,155,207	\$ 50,542,717	\$ 53,255,279	\$ 56,133,803	\$ 58,400,151	\$ 59,339,593	\$ 60,865,089	\$ 59,489,030	\$ 57,990,369	\$ 54,521,767
Inflows:														
2 Vaccine collections	6,692,508	5,945,345	6,606,830	8,184,440	8,302,457	8,094,118	7,047,496	7,273,642	6,491,637	5,610,679	5,666,245	3,825,663	3,577,333	6,409,107
3 Interest income - payers	-	-	-	-	-	-	-	-	-	-	-	-	-	-
4 Investment income/ (loss)	176,102	243,748	71,604	249,557	79,333	94,279	61,431	115,537	122,871	183,013	(87,471)	423,706	313,654	157,489.60
5 Total inflows	6,868,610	6,189,093	6,678,434	8,433,997	8,381,790	8,188,397	7,108,928	7,389,179	6,614,508	5,793,692	5,578,774	4,249,370	3,890,987	6,566,597
Outflows:														
Program														
6 Vaccine remittance State of WA	(6,259,643)	(6,462,245)	(7,092,489)	(7,219,840)	(8,884,882)	(5,382,263)	(4,043,758)	(4,858,333)	(5,457,734)	(4,210,312)	(6,700,296)	(5,545,185)	(4,329,177)	(5,880,473.60)
Administration														
7 Administrative services	(79,008)	(78,091)	(71,104)	(98,368)	(63,305)	(56,186)	(165,102)	(207,483)	(198,462)	(48,808)	(214,932)	(186,406)	(115,164)	(121,724.60)
8 Denied claims recovery	(2,800)	(2,800)	(2,800)	(3,000)	(3,000)	(3,000)	(3,000)	(3,000)	(3,000)	(3,000)	(3,000)	-	(3,000)	(2,492.31)
9 Legal fees	(2,352)	-	(3,377)	100,000	(4,161)	(3,131)	(7,349)	(53,351)	-	-	(19,147)	-	(35,277)	(2,164.95)
10 Audit fees	-	-	-	(2,600)	(11,300)	(800)	-	-	-	-	-	-	(268)	(1,151.38)
11 Bank / Investment Fees	(4,755)	(4,473)	(4,217)	(4,699)	(4,852)	(5,480)	(6,444)	(663)	(7,128)	(6,077)	(17,458)	(16,439)	(15,725)	(7,570.09)
12 Insurance	-	-	-	(30,702)	(112)	(25)	-	-	(11,742)	-	-	-	-	(3,275.46)
13 Website development	-	-	-	-	(12,475)	(24,950)	-	-	-	-	-	-	(5,250)	(3,282.69)
14 Board expenses	-	-	-	-	-	-	-	-	-	-	-	-	-	-
15 Total Administration	(88,915)	(85,364)	(81,498)	(39,369)	(99,205)	(93,572)	(181,896)	(264,497)	(217,332)	(57,885)	(254,537)	(202,846)	(174,684)	(141,661)
16 Net all other outflows	(210)	-	(1,781)	(218)	(10,193)	-	(4,750)	-	-	-	-	-	-	(1,319.41)
17 Total outflows	(6,348,768)	(6,547,609)	(7,175,768)	(7,259,427)	(8,994,280)	(5,475,835)	(4,230,403)	(5,122,830)	(5,675,066)	(4,268,197)	(6,954,833)	(5,748,031)	(4,503,861)	(6,023,455)
18 Net Cash Incr (decr) for period	519,842	(358,516)	(497,334)	1,174,571	(612,490)	2,712,562	2,878,524	2,266,349	939,442	1,525,495	(1,376,059)	(1,498,661)	(612,874)	543,142
19 Cash balance - end of period	\$ 50,836,486	\$ 50,477,971	\$ 49,980,637	\$ 51,155,207	\$ 50,542,717	\$ 53,255,279	\$ 56,133,803	\$ 58,400,151	\$ 59,339,593	\$ 60,865,089	\$ 59,489,030	\$ 57,990,369	\$ 57,377,495	\$ 55,064,910

Note: Cash balance includes amounts in KeyBank and Morgan Stanley

Financial Control Procedure Electronic Transaction Approvals

As part of automation efforts and development of increased financial controls, this document describes proposed changes in procedures. They will be incorporated later this calendar year in an updated Plan of Operation.

Background:

1. Article IV.D of the Washington Vaccine Association's current Plan of Operation dated January 31, 2019 states: *"D. Bank Accounts. Money and marketable securities shall be kept in bank accounts and investment accounts as approved by the Board. The Association shall deposit receipts and make disbursements from these accounts. All bank accounts/checking accounts shall be established in the name of the Association and shall be approved by the Board members. Authorized check signers shall be approved by the Board. Two signatures shall be required on all checks in excess of \$2,500.00."*
 - a. There is lag time when a paper transaction/check needs to be sent to either a single or two Board member(s) for secondary signature.
 - b. A prior board vote authorized the following actions by the Executive Director:
 - i. *6. To authorize the Executive Director (ED) to renew, approve, and authorize all routine WVA financial transactions including but not limited to refund checks, imprest account transactions, board- authorized contractor invoices, and insurance premiums.*
2. WVA's banking institution KeyBank can facilitate electronic ACH transactions that support a digital audit log stating which person initiated the transaction and which person released (approved) the transaction.
 - a. Helms, under WVA Executive Director supervision, has worked to migrate all banking transactions when possible from paper to electronic transactions. This includes ACH payments to WVA vendors (e.g. Legal, insurance, auditor, Administrator, etc.).
 - b. Controls include all invoices being approved electronically by the Executive Director and a digital transaction record is retained in the KeyBank ACH transaction module.
 - c. Several vendors are on an auto-debit method of payment (e.g., Avitus for payroll, Availity for EDI transaction fees), and there is retained an electronic receipt for these debits.
3. As a financial control point and given the authorization by the Board in 1.b.i. above, the Executive Director has provided approval via email for Helms to sign checks. To date, it has not been possible for the carriers, outside of one, to receive refunds by ACH.
4. As a financial control point, the Finance Committee Chairperson and Committee members are now receiving monthly bank reconciliations along with the financial statements provided by the Administrator.
5. The WVA's Executive Director, who is an employee of the WVA, serves as an additional financial control by electronically approving ACH transactions or approving Administrator check signatures via email approval. Records of both methods are retained.

Board Vote Request:

Today's Board vote is seeking the following approvals and updates to both the Executive Director and Administrator policies that will be part of the updated Plan of Operation in the latter part of 2020 and part of Administrator policies and procedures to be reviewed by the WVA's Auditor as part of the FY2020 audit:

1. Refund check requests to be prepared and issued without limit with Executive Director or Administrative Director approval.
2. For payment from the Operating Account of administrative expenses in amounts consistent with the budget approved by the Board of Directors, the Administrator may initiate an ACH payment in lieu of

a paper check to the payee, and either the WVA Executive Director or a Board Member with signatory powers may release (approve) the ACH payment via the KeyBank web portal. To approve the following ACH transaction permissions for vendor and other payments:

Chad Murphy	Board Member, Chair	Approve only
Edgar Marcuse	Board Member, Finance Committee	Approve only
Patricia Auerbach	Board Member, Finance Committee	Approve only
FUTURE NAME	Board Member, Chair or Finance Committee	Approve only
Julia Zell	Executive Director	Approve only
Patrick Miller	Administrator	Initiate only
Keith Nix	Administrator	Initiate only
Leslie Walker	Administrator	Initiate only

3. For payment from the Operating Account of administrative expenses in amounts consistent with the budget approved by the Board of Directors that require a check in lieu of ACH, the Administrator may sign the check for amounts up to \$10,000. Checks over this amount require a secondary signature by the Executive Director or an authorized Board member.
4. For payment of the monthly DOH request, the Administrator will initiate the wire transfer which will be approved electronically by either the Executive Director or a Board member and documented with the bank's Wire Transfer module. To approve the following wire transaction permissions for the monthly DOH request transfer:

Edgar Marcuse	Board Member, Finance Committee	Approve only
FUTURE NAME	Board Member, Finance Committee	Approve only
Julia Zell	Executive Director	Approve only
Patrick Miller	Administrator	Initiate only
Leslie Walker	Administrator	Initiate only

5. For transfers from/to Morgan Stanley and/or KeyBank, requests to either institution will be made by the Executive Director. The Administrator will provide justification via email for such requests.
6. For payment of properly documented expense reimbursements from the Executive Director Account, the Administrator will initiate an ACH payment and a Board Member with signatory powers will release (approve) the ACH payment via the KeyBank web portal. Avitus (or future payroll vendor) has authority to debit the Executive Director Account directly to pay Executive Director's salary and benefits as approved by the Board.

#

Budget Summary	Historical		WVA ANNUAL OPERATIONS BUDGET FY2021												Forecast		
	Budgeted	Projected Actual	July	August	Sept	Oct	Nov	Dec	Jan	Feb	Mar	April	May	June	Budgeted Total	Budgeted Total	Budgeted Total
	FY 2020	FY 2020	2020	2020	2020	2020	2020	2020	2021	2021	2021	2021	2021	2021	FY 2021	FY 2022	FY 2023
Direct Processing Costs																	
Helms & Company (Previously KidsVax)	430,867	502,598	65,432	65,432	65,432	65,432	65,432	65,432	65,432	65,432	65,432	65,432	65,432	65,432	785,184	785,184	785,184
Lockbox Image Conversion and Clearinghouse Intake (OrboGraph)	-	111,915	16,255	16,255	16,255	16,255	16,255	16,255	16,255	16,255	16,255	16,255	16,255	16,255	195,054	195,054	195,054
Clearinghouse Intake Processing (Avality, Zelis)	-	4,050	1,350	1,350	1,350	1,350	1,350	1,350	1,350	1,350	1,350	1,350	1,350	1,350	16,200	17,820	19,602
Lockbox Fees	55,000	58,151	3,000	3,400	3,300	3,500	5,100	5,750	5,550	4,500	3,350	3,850	3,650	3,325	48,275	33,793	28,965
CollaborateMD	-	567	189	189	189	189	189	189	189	189	189	189	189	189	2,268	-	-
	485,867	677,281	86,226	86,626	86,526	86,726	88,326	88,976	88,776	87,726	86,576	87,076	86,876	86,551	1,046,981	1,031,851	1,028,805
Executive Director Costs and Related Support Fees																	
Executive Director Salary	207,000	203,000	16,917	16,917	16,917	16,917	16,917	16,917	17,424	17,424	17,424	17,424	17,424	17,424	206,045	212,226	218,593
Payroll Taxes	20,992	20,586	1,716	1,716	1,716	1,716	1,716	1,716	1,767	1,767	1,767	1,767	1,767	1,767	20,895	21,522	22,168
Leased Employee per Check Fee	-	2,730	195	195	195	195	195	195	195	195	195	585	195	195	2,730	3,000	3,000
Executive Director Travel and Lodging, Education, and Other	80,500	65,000	3,000	3,000	3,000	6,000	6,000	6,000	8,000	6,000	8,000	6,000	8,000	8,000	71,000	75,000	75,000
Technology Support (Desktop and Telephony)	-	10,670	335	335	335	335	335	335	335	335	335	335	335	335	4,020	4,020	4,020
	308,492	301,986	22,162	22,162	22,162	25,162	25,162	25,162	27,721	25,721	27,721	26,111	27,721	27,721	304,690	315,768	322,781
Provider and Payer Education and Outreach																	
Provider Education Materials, Development and Printing	16,724	15,000	6,250	6,250	6,250	6,250	6,250	6,250	6,250	6,250	6,250	6,250	6,250	6,250	75,000	45,000	45,000
Postage	-	2,500	1,000	5,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000	5,000	20,000	15,000	15,000
Website and Information Technology	38,235	37,425	1,250	1,250	1,250	1,250	1,250	1,250	1,250	1,250	1,250	1,250	1,250	1,250	15,000	15,000	15,000
Technical Consultant - Margaret Lane	-	-	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000	12,000	12,000	12,000
Conferences and Education Sessions, Including Travel and Meals	6,000	6,000	-	-	-	2,000	-	3,000	-	-	-	-	2,000	-	7,000	11,000	11,000
Provider Office Training Sessions, Including Travel and Meals	-	-	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000	1,000	12,000	12,000	12,000
Advertising and Sponsorships	2,000	-	-	-	-	-	-	1,000	-	-	-	-	1,000	-	2,000	2,000	2,000
Hospitality	2,000	200	333	333	333	333	333	333	333	333	333	333	333	333	4,000	4,000	4,000
Subcontractor Assistance	-	-	-	-	-	-	6,500	6,500	6,500	6,500	6,500	6,500	6,500	6,500	52,000	52,000	52,000
	64,959	61,125	10,833	14,833	10,833	12,833	17,333	21,333	17,333	17,333	17,333	17,333	20,333	21,333	199,000	168,000	168,000
Administrative Costs																	
Legal Counsel	48,000	116,250	5,000	5,000	5,000	5,000	5,000	5,000	5,000	5,000	5,000	5,000	5,000	5,000	60,000	40,000	40,000
Audit Fees	12,000	14,700	-	9,000	9,000	-	-	-	-	-	-	-	-	-	18,000	16,000	16,000
Government Relations, Including Travel, Meals, and Consultants	-	-	-	-	-	5,000	-	-	2,500	-	-	5,000	-	-	12,500	12,500	12,500
Registered Agent Fee	-	140	-	150	-	-	-	-	-	-	-	-	-	-	150	150	150
Bank Fees	18,000	11,262	1,500	1,500	1,500	1,500	1,500	1,500	1,500	1,500	1,500	1,500	1,500	1,500	18,000	18,000	18,000
Investment Management Fees	112,000	125,369	9,337	9,337	9,337	9,337	9,337	9,337	9,337	9,337	9,337	9,337	9,337	9,337	112,000	85,000	80,000
Office Supplies, Printing and Equipment	10,410	-	450	450	450	450	450	450	450	450	450	450	450	450	5,400	5,500	5,500
ELM Rent, Conference Rooms and Storage Facility	5,000	5,000	150	150	150	150	150	150	150	150	150	150	150	5,065	6,715	6,800	6,800
Other Admin Support Provided by Lessor	2,000	2,000	100	100	100	100	100	100	100	100	100	100	100	100	1,200	2,400	2,400
Board Retreat and Meetings	5,000	-	-	-	-	-	-	-	3,333	3,333	3,333	3,333	3,333	3,333	20,000	5,000	5,000
Insurance	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Cyber Liability	15,000	11,742	-	-	-	-	-	-	24,000	-	-	-	-	-	24,000	24,720	25,462
Directors and Officers	30,000	30,839	-	32,000	-	-	-	-	-	-	-	-	-	-	32,000	32,960	33,949
General Liability	-	-	-	650	-	-	-	-	-	-	-	-	-	-	650	650	650
	257,410	317,302	16,537	58,333	25,533	21,533	16,533	16,533	46,366	19,866	19,866	24,866	19,866	24,781	310,615	249,680	246,410
Other Discretionary Expenditures																	
Conversion/Implementation Cost	-	480,000	-	-	-	-	-	-	-	-	-	-	-	100,000	100,000	100,000	100,000
Executive Director and Other Contractor Bonus	100,000	20,000	-	-	-	-	-	-	-	-	-	-	-	-	42,000	42,000	42,000
Denied Claims Recovery and Grid Adherence Activities	36,000	27,000	3,500	3,500	3,500	3,500	3,500	3,500	3,500	3,500	3,500	3,500	3,500	3,500	24,000	24,000	24,000
DBA System Refinement Activities	-	-	2,000	2,000	2,000	2,000	2,000	2,000	2,000	2,000	2,000	2,000	2,000	2,000	24,000	24,000	24,000
	136,000	527,000	-	5,500	5,500	5,500	5,500	5,500	5,500	5,500	5,500	5,500	105,500	5,500	166,000	166,000	166,000
Total Budget	1,252,728	1,884,693	-	141,258	187,454	150,554	151,754	152,854	157,504	185,696	156,146	156,996	160,886	165,886	2,027,286	1,931,299	1,931,996
Other Uncategorized Expenses	46,807	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Total Prior Year Budget	1,299,535	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-

MEMORANDUM

DATE: Updated June 16, 2020
TO: WVA Finance Committee; Chad Murphy, PharmD, WVA Board Chairman
FROM: Julia Zell, MA, Esq., Executive Director and Patrick Miller, MPH (Helms)
SUBJECT: FY2021 Administrative Budget Notes
CC: WVA Board of Directors, Leslie Walker, CPA (Mason+Rich PA)

Administrative Budget Overview

Attached to this document is the proposed administrative budget for FY2021 with additional projections for FY2022 and FY2023. This budget has increased operational expenses that include the investment in new services provided by the Administrator as of January 1, 2020, and for the investment in specific provider and payer education and outreach services, with the proposed part-time, Seattle-based provider and payer education subcontractor. Legal counsel, investment management, and website fee costs are anticipated to be lower in FY2021. \$24,000 per year has been budgeted for WVA work on refinement of the dosage-based system partnering with the Department of Health. .

Administrative Budget Detail

The budget is presented with five categories of expenses as detailed below:

1. **Direct Processing Costs.** These relate to the Helms fees, lockbox image conversion (OrboGraph), claims clearinghouses (e.g., Availity, Zelis), lockbox fees (KeyBank), and CollaborateMD. The majority of these costs are new to WVA for January 1, 2020 as part of the transition to a new Administrator.
 - a. The Helms fees consists of all operational and financial aspects required for the WVA. This includes financial reporting, accounting, monthly DOH transfers, assessment grid maintenance and communication, payer and provider customer servicing, technology and technology vendor management, WVA board and committee meeting administrative support, program management, stakeholder communications, and backup for the Executive Director.
 - b. A key part of the WVA's operations is now done electronically. This includes ingestion of checks, correspondence and remittance advices from the KeyBank lockbox and ingestion of payer 835s (electronic remittance advices) from multiple clearinghouses (e.g. Availity) and ingestion of ACH records of deposit from KeyBank into a technology platform called HPAC from OrboGraph. This is used for both payer and provider customer service activities as well as finance, operations, and analytics.
 - c. The lockbox fees are similar to prior years, albeit as lockbox volume decreases with the shift to electronic remittance advices, those costs will decrease over time.
 - d. CollaborateMD is the practice management system used by KidsVax's subcontractor Medical Review Managers (MRM). MRM's contract was terminated and the data in the practice management system was transferred to WVA for analysis. It is expected that access to CollaborateMD will not be needed beyond FY2021.

2. **Executive Director Costs and Related Support Fees.** These relate directly to the Executive Director's salary, payroll taxes, payroll services, travel, lodging, education, and technology support.
 - a. The salary was adjusted for merit midway through FY2020 by three percent. Future years budget a similar amount.
 - b. The payroll services (leased employee per check fee from Avitus) will be examined in FY2021 for a more economical option.
 - c. The technology support fees decreased as of May 2020 by switching technology vendors to Helms' subcontractor.
 - d. Travel, lodging, and education relate directly to trips to Seattle by the Executive Director as well as any conferences or other, related travel, and is expected to decrease in FY2021 due to Covid-19.
3. **Provider and Payer Education and Outreach.** These costs relate directly to communications and education efforts for providers and payers. The FY2021 budget adds a half-time, contracted resource to assist the Executive Director with provider and payer visit, webinars, and calls that will focus on education regarding the DBA process as well as discussions driven by the WVA analytics tools (e.g., payer denial analysis).
 - a. Provider education materials, development and printing are increased in FY2021 in order to support new printed, video, and web-based education materials.
 - b. Postage costs increase in order to support multiple "drops" per year of provider and payer education and outreach materials (e.g., billing guide, vaccine assessment grid, denial recoupment letters).
 - c. The website costs are expected to decline as the site was redesigned in the prior fiscal year.
 - d. Margaret Lane, the WVA's former Deputy Director is being retained as a technical consultant to the Executive Director and Administrator on special issues.
 - e. Conferences and education, advertising and sponsorships, and hospitality are all flat from the current budget.
 - f. Funding has been added to support provider office training sessions. They will be done in concert with other COVID-19 outreach being performed by the DOH and pharmaceutical industry.
 - g. A part-time, Seattle-based provider and payer education subcontractor is budgeted for FY2021 forward to work with providers and payers directly on the DBA process.
4. **Administrative Costs.**
 - a. Legal fees, office supplies and equipment, and investment management fees are expected to decrease in FY2021-23.
 - b. Based upon prior Board discussions related to the TRICARE settlement, funds have been added for government relations support.
 - c. Bank fees are expected to be similar to prior years.
 - d. Board retreat and meeting expenses have increased in FY2021 to facilitate a board retreat and strategic planning process.
 - e. The audit fees have increased slightly in FY2021 to accommodate auditing two different financial procedures: the current and former Administrators'.
 - f. Rent includes the ELM law office space, rented conference rooms, and the file storage unit.
 - g. The insurance items are expected due to increased cyberinsurance rate increases.

5. **Other Discretionary Expenses.**

- a. The one-time conversion/implementation cost for the new Administrator does not recur in FY2021-23.
- b. The Executive Director and other administrative contractor bonus potential remains at the same budget level as prior years.
- c. The denied claims recovery expense was less than expected in FY2020 as the vendor's contract, MRM, was terminated as of March 31, 2020. Funds have been allocated in the FY2021-23 budgets for a potential, replacement vendor depending on need as well as grid adherence activities.
- d. \$24,000 per year has been budgeted for WVA work on refinement of the dosage-based system partnering with the Department of Health.

#

April/May 2020
WVA Status Report
Patrick Miller, Administrative Director, Julia Zell, Executive Director

This report summarizes the primary activities of the WVA in the month of April/May 2020.

FINANCE

- FY2021 Vaccine Assessment Grid, Administrative Budget, and Cash Flow Model.** A fundamental redesign of the organization's financial forecasting and pricing model was undertaken in March and was presented to the Board on April 23 as part of the FY2021 Vaccine Assessment Grid approval process. The 2020-21 Vaccine Assessment Grid was then finalized and approved by the Operations Committee on May 7 and has been disseminated to stakeholders via the WVA communication plan (outlined further below).
- Financial Statements and Investments.** The May financial statements will be published in advance of the May board meeting. Ms. Zell and Mr. Miller have been in close communication with the investment teams at Morgan Stanley and KeyBank. As of May 31, total assets with Morgan Stanley stood at \$52,100,195. However, given that WVA assessment collections are down and continue to decrease due to the COVID-19 outbreak decreased provider wellness visits, the WVA is utilizing investment reserves to fulfill DOH funding requests. On May 12, 2020, \$1M was transferred from Morgan Stanley to KeyBank to ensure adequate funds were available for the June 2020 DOH vaccine purchase. The following table provides a comparison between 2019 and 2020 assessment collections and the drop in 2020 due to COVID-19.

Figure 1: Comparison of Unaudited 2019 and 2020 Assessment Collections

CY Year	January	February	March	April	May	June
2019 Assessment Collections	\$ 6,342,729	\$ 5,156,707	\$ 6,490,515	\$ 6,055,530	\$ 6,692,508	\$ 5,945,345
2020 Assessment Collections	\$ 6,491,637	\$ 5,610,679	\$ 5,666,245	\$ 3,825,663	\$ 3,612,907	
Increase/(Decrease)	\$ 148,908	\$ 453,972	\$ (824,270)	\$ (2,229,867)	\$ (3,079,601)	
% Increase/(Decrease)	2.3%	8.8%	-12.7%	-36.8%	-46.0%	

* Unaudited

TECHNOLOGY AND OPERATIONS

- Automation Activities.** Progress continued in April and May in terms of the continued effort to migrate payers from paper to electronic remittances and from paper checks to electronic funds transfers. This migration is a fundamental part of the implementation strategy to be able to use payer-generated data to evaluate and monitor the open-DBA system. **Figure 2** shows the number of payer applications submitted to generate electronic remittances (835 transactions) and electronic deposits (EFT transactions). The number of payers submitting 835s doubled between April 2 and June 2 to 69. Each payer application takes between two weeks and three months depending on their process. Each payer added reduces processing of paper. These 114 payers, while only a subset of the nearly 350 payers that have remitted to WVA, are estimated to account for more than 80% of WVA's volume.

Figure 2: Monthly EFT Transaction Volume and Remittance Amounts

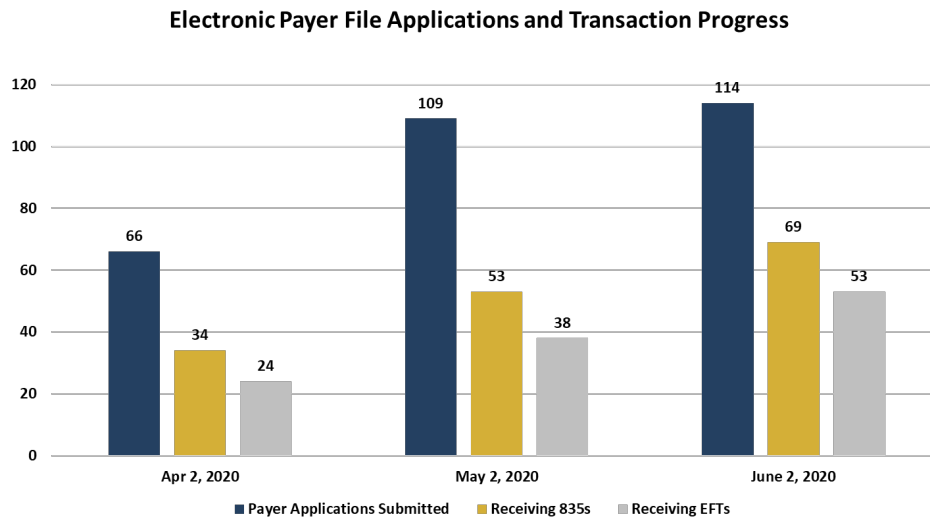


Figure 3 shows the number of paper remittances compared with the number of electronic remittances received. Currently, paper remittances are received in the lockbox and converted to an electronic document by Helms' vendor, OrboGraph. Paper volumes increased sharply in February and March due to the backlog processing of July to October 2019 data, but have stabilized in April and May 2020. The electronic remittance volume as a proportion of all remittances is steadily increasing as the Helms obtains more electronic files from clearinghouses.

Figure 3: Monthly Paper and Electronic Remittance Volume Receipts

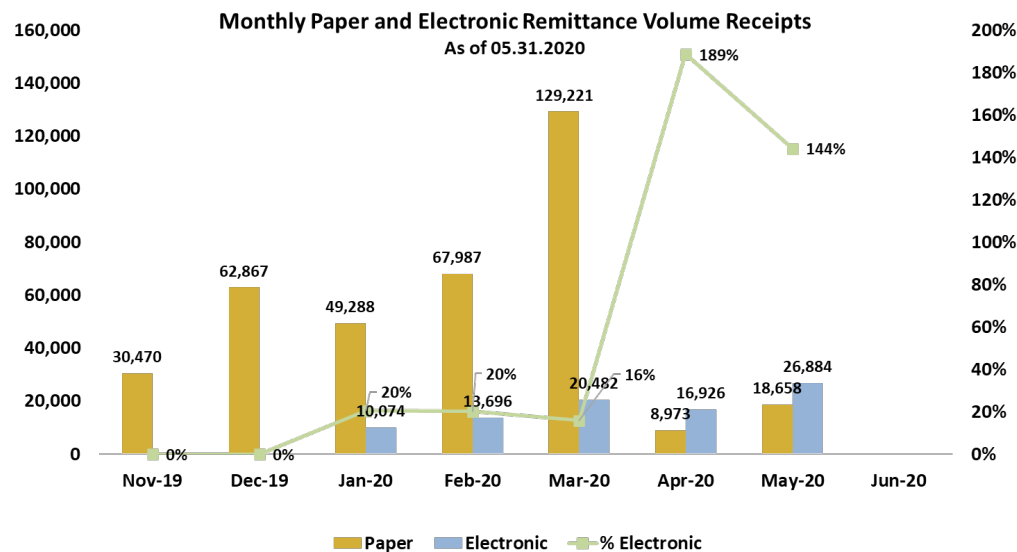
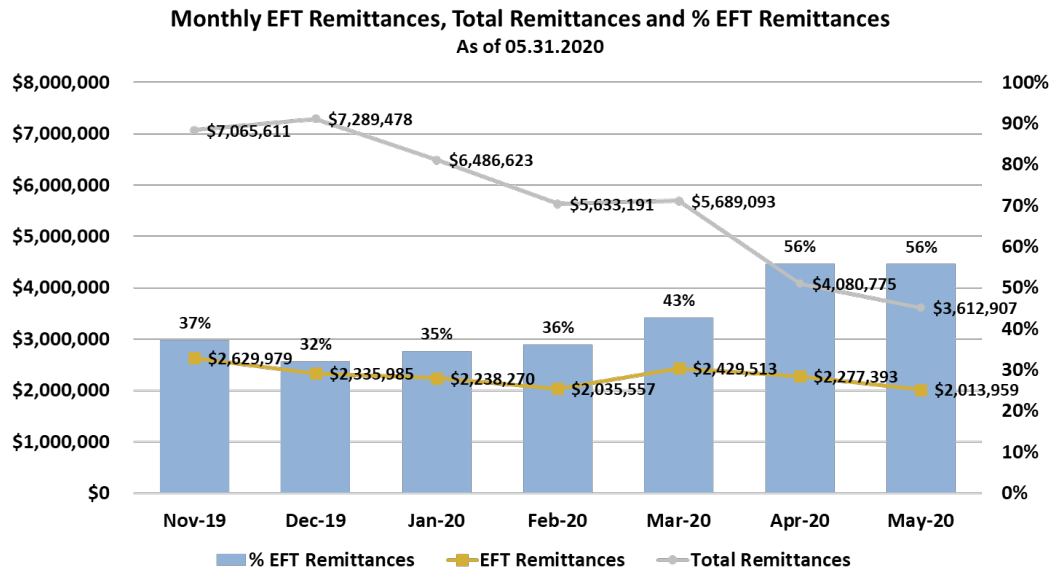


Figure 4 details the total, monthly remittances and the EFT remittances and the percent of total remittances that were EFT. The decline in total remittances and the lack of upward trend in EFT remittances are reflective of the COVID-19 decline in services. The percent of total remittances that were EFT grew in March and April and leveled off in May. It is expected that this will increase again as additional payer EFT applications are processed by the payers in the coming month.

Figure 4: Monthly EFT Remittances, Total Remittances & % Total EFT



4. **Payer Database Development.** To date, nearly 350 unique payers have been identified through the lockbox imaging and electronic remittance efforts. Each of these has remitted payment to the WVA and is being tracked in the general ledger and within our customer service application. In order to prepare for enhanced financial, regulatory, and operational analytics in FY2021, a database has been in development to connect seven different data sources together; it is expected this work will be complete by the end of the second quarter 2020. As of May 31, 2020, the database was being actively used to assign payers and is linked to the OrboGraph system. Additionally, daily KeyBank deposit files are imported and linked to the correct payer. The system can generate daily deposit and EFT transaction reports. The payer database also has fields identifying payers such as health shares, Medicare Advantage, Medicaid Apple Health, travel insurance, and other types of payers that should not be remitting payment to the WVA. This data is being used to contact these payers to correct the problem and provide appropriate education. Next steps include linking the new payer database to the TPA Registration database and furthering automation with WVA finance functions.

EDUCATION AND STAKEHOLDER SERVICING

5. **WVA Education Materials.** With the 2020-21 Vaccine Assessment Grid approval, a Communications Plan was developed to reach a following audiences through a variety of mediums: website subscribers, Board and Board Committee members, payers, TPAs, Childhood Vaccine Program providers, the Office of the Insurance Commissioner, the Department of Health, the Washington Chapter of the American Academy of Pediatrics (WCAAP), the Association of Washington Healthcare Plans (AWHP), TRICARE leadership, and OneHealthPort. Communications were sent both electronically and by US mail.

The WVA also completed reworking the payer and provider assessment billing guide, which in the past was two separate documents. This combination has resulted in the creation of the “Private Insurance Assessment Billing Provider and Payer Guide.” This Guide will be used by the WVA and the DOH for education opportunities. A final copy of the Guide and the communications plan are attached to this document.

6. **Stakeholder Servicing.** The WVA now has a dedicated Helms staff member, Lisa White, available to manage incoming calls and faxes on Pacific hours, as well as process payer refunds and other operational tasks. The two **Figures 5 and 6** below relate to processing volumes in the WVA Stakeholder Servicing unit. **Figure 4** shows

the monthly refund request counts and corresponding refund amounts. The March and April 2020 numbers are higher than normal due to several large, payer re-processing efforts.

Figure 5: Monthly Refund Request Counts and Amounts

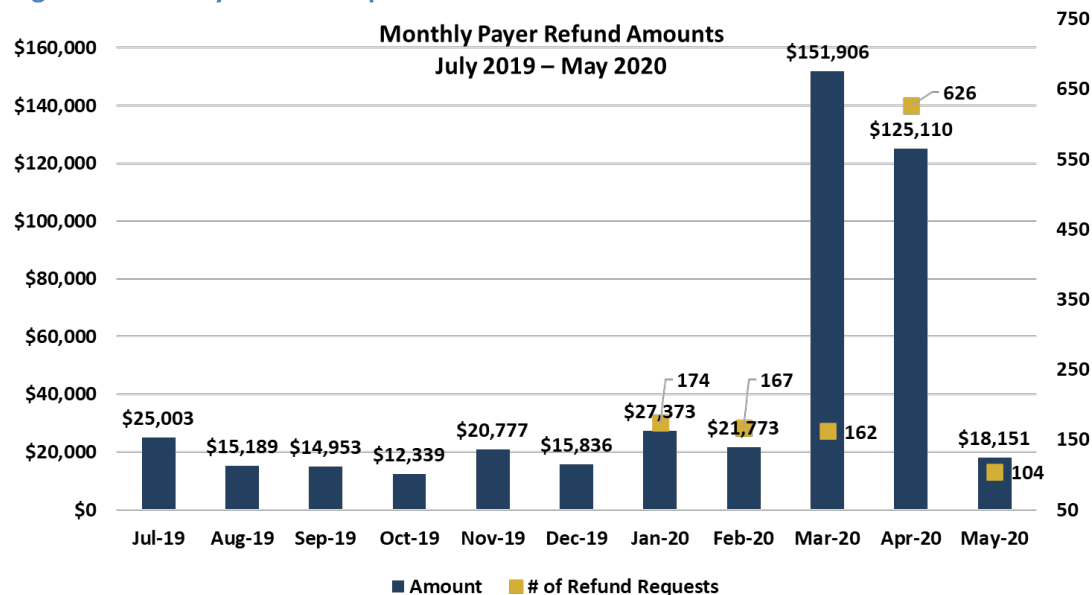
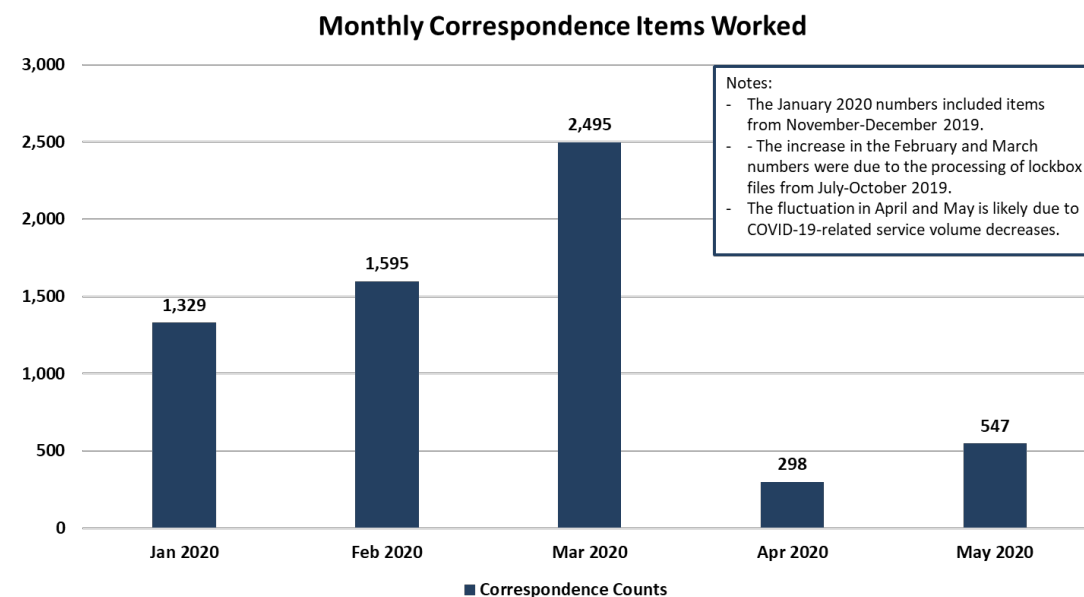


Figure 6 shows the number of pieces of correspondence items worked within OrboGraph’s imaging workflow system (HPAC). The number of correspondence items has swung wildly over the past five months. The reasons vary as shown in the “notes” call out box on the chart. We will continue to watch this going forward as we have more contact with payers on items we are “cleaning up” such as Medical Review Managers, health shares, and other initiatives.

Figure 6: Monthly Correspondence Items Worked



MISCELLANEOUS

7. **HB 2728/PAL Program**. Ms. Zell and Mr. Miller continue to work with the Washington State Department of Health and the Washington State Health Care Authority on the PAL Program; as of the last call, it remains unclear as to the exact information the WVA will be required to provide, but it is likely to be centered around access to our payer database. We expect to hear more specifics from the Authority by July.
8. **WVA Board Governance**. Chad Murphy has taken on the role of Board Chair, replacing Dr. Sobeck. Dr. Auerbach is now Chair of the Finance Committee as well as WVA Treasurer. Ms. Zell continues to work towards obtaining a Board member to fill the open “health plan” seat. A Board retreat is still contemplated for next year.

#

BE IT RESOLVED

WHEREAS,

The Washington Vaccine Association (the Association), created by the legislature in 2010 to provide a funding mechanism for the State's purchase of all recommended childhood vaccines, recognizes that John Sobeck, MBA, MD has provided exemplary and critical leadership to the Association to ensure that all vaccine funding needs have been met so that children in the state of State of Washington continue to have equal access to childhood vaccines;

Dr. Sobeck served in numerous leadership positions on the Board, first as an Audit Committee Member, then as Finance Committee Chairman, as the Association's Treasurer, and as the Board Chairman; Dr. Sobeck has served with great professionalism, dedication, and distinction, helping the Association attain financial security and operational stability;

Dr. Sobeck personally advocated for the Association with the Defense Health Agency (DHA) and members of Congress to guarantee payment to state vaccine programs for their expenditures on behalf of TRICARE and securing on-going compliance and DHA payment to the Association for past-due assessment amounts; and

Dr. Sobeck has led the Association through operational and administrative change, ensuring stable leadership and actively engaging his fellow Board members in the work of the Board. Dr. Sobeck's personal contributions as an intelligent, hard-working, dedicated, and generous person will be greatly missed by the Association's Board members and staff;

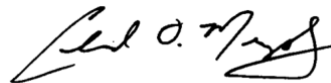
NOW, THEREFORE, IT IS HEREBY RESOLVED:

The Association's Board of Directors unanimously acknowledges with gratitude Dr. Sobeck's outstanding service to the State of Washington and notable contributions to the Association's mission of providing an equitable assessment system to fund Washington's pediatric universal vaccine program, thereby contributing to improve health outcomes for children throughout the State.

Signed on this ____ day of June, Two-Thousand and Twenty



Julia G. Zell, M.A., Esq., Executive Director



Chad Murphy, PharmD., Board Chairman

2020 Executive Director Goals:

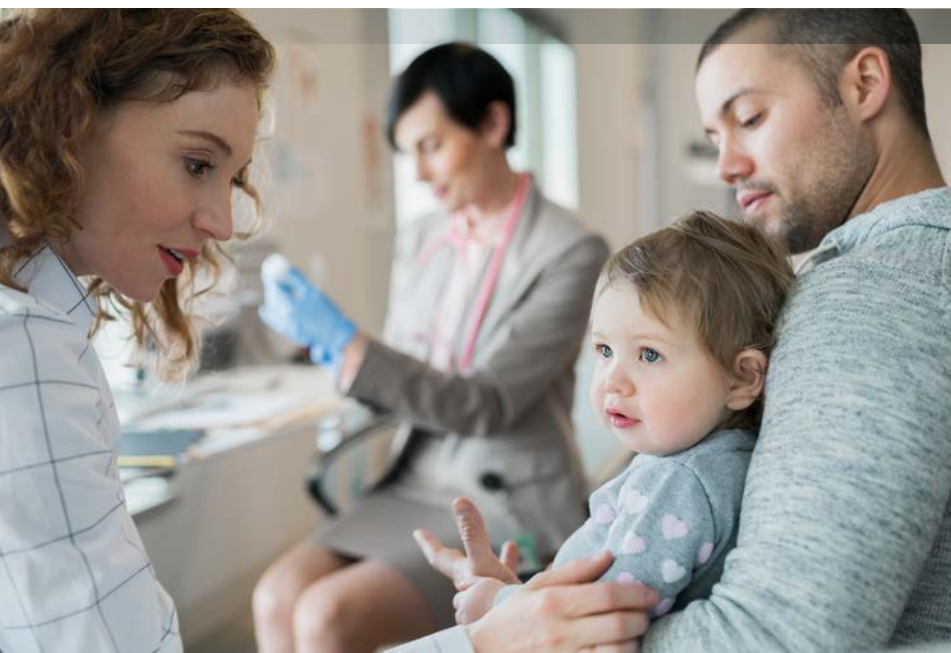
2020 Goal	Workstream	2020 Goal Due Date	2020 Stretch Goal
1. Improving Partner Communications (Payers & Providers) through direct communication pieces	<ul style="list-style-type: none"> • Complete Redesign of WVA Assessment Billing Guide (For both Payers and Providers) <ul style="list-style-type: none"> - Send via mail to entire payer and provider lists • Develop WVA Basic “What/Who We Are” Brochure <ul style="list-style-type: none"> - Print/Provide Copies to DOH and include with statutory assessment letter for all payers • Update all WVA Website FAQs and add additional ones as need 	<p>July 1, 2020</p> <p>September 1, 2020</p> <p>December 31, 2020</p>	<p>Replace existing WVA “How-to videos with new, more professional and accurate segments by December 31, 2020</p>
2. Increase the WVA’s Overall % of Electronic Remittances Receipts from Payers	To over 50% in June 2020	To over 70% by November 30, 2020	To 80% or less by December 31, 2020
3. Reduce the WVA OVERALL Denial Rate	From 11.5%	To 9% or lower by December 31, 2020	To 7% or lower by December 31, 2020



WASHINGTON VACCINE ASSOCIATION

Private Insurance Assessment Billing

PROVIDER & PAYER GUIDE



What We Do

Ensuring Funds for Childhood Vaccines

PUBLIC/PRIVATE PARTNERSHIP

The Washington Vaccine Association (WVA) and the Washington State Department of Health (DOH) work together in a public / private partnership to support Washington's universal Childhood Vaccine Program (CVP). The Program provides publicly purchased vaccines that are recommended by the Advisory Committee on Immunization Practices (ACIP) for all children less than 19 years of age. Health plans and other payers reimburse the WVA for vaccines.

The WVA collects these payments and remits the funds to the DOH. The DOH uses funding from both the federal Vaccine for Children Program (VFC) and the WVA assessment funds to purchase vaccines at federal contract rates and distributes vaccines to physicians, hospitals and other providers at no cost to providers or patients through the CVP.

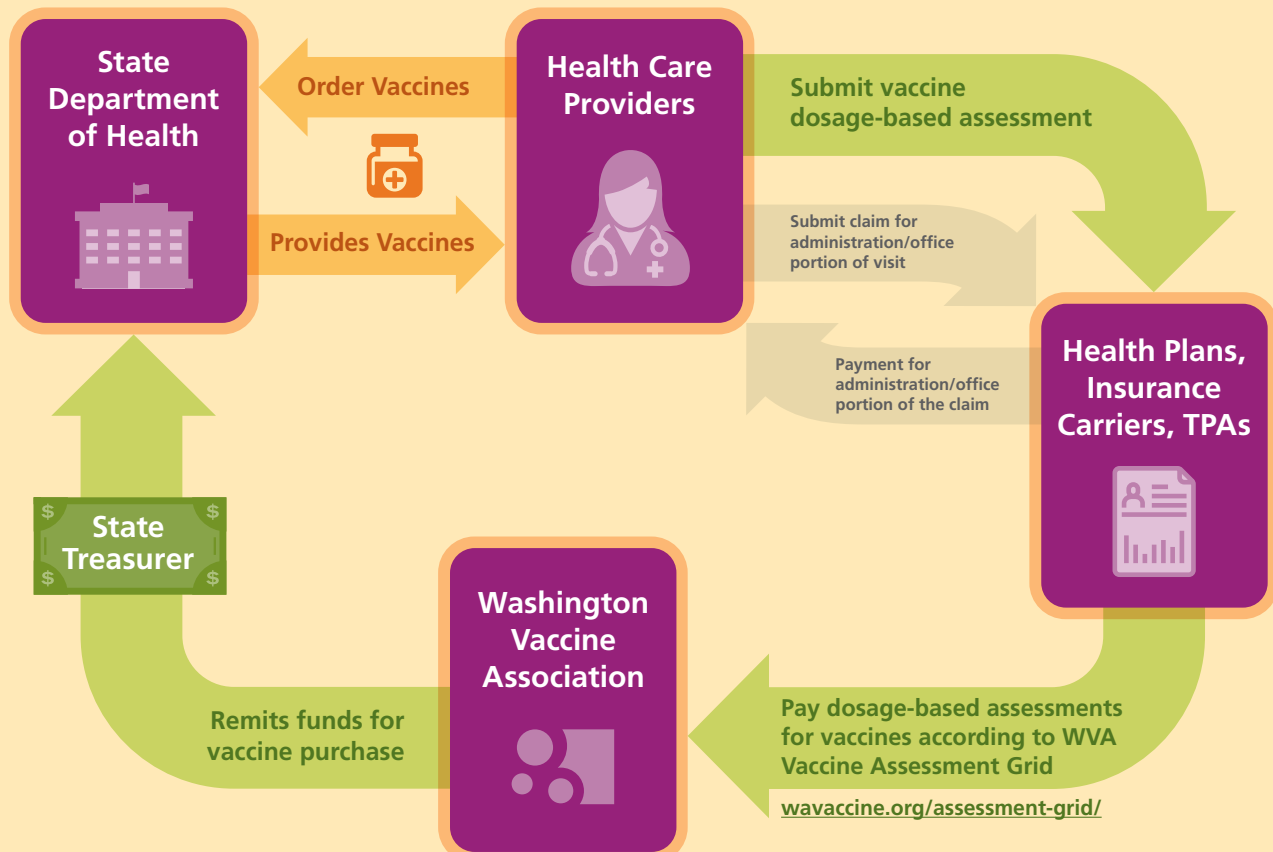
WVA MAKES IT POSSIBLE FOR:

- All children to have easy access to critical vaccines;
- Physicians, clinics, and hospitals to receive State-supplied vaccines at no charge;
- Payers to participate in an efficient, cost-effective system to facilitate childhood vaccinations at no cost to their members; and
- Medical providers to have a blended vaccine stock versus the need to segregate publicly and privately-funded vaccine stocks.

THE SYSTEM WORKS BY:

- Having providers enroll in the Childhood Vaccine Program and using State-supplied vaccine material;
- Having providers submit the Dosage-Based Assessment (DBA) to payers with their administrative claims submission. This critical step allows physicians, clinics, hospitals, other providers and their patients to receive vaccines for all children at no cost; and
- By ensuring that providers and payers do not bill patients, regardless of how the payer processes the submitted dosage-based assessment.

HOW FUNDING WORKS*



*There is no charge to patients.

File electronically
(or by mail)

Dosage-Based Assessment (DBA) Filing Basics

Providers only need to submit DBAs for State-supplied CVP vaccine material for privately-insured patients under the age of 19, and will complete two separate HCFA 1500s, one for Administration Claim and one for Dosage-Based Assessment. Payers expect electronic submission unless provider has made other arrangements directly.

STEP 1

Complete Administration Claim (HCFA 1500)

Complete the vaccine administration claim. This claim should only include the vaccine administration code(s), and not the vaccine material.

*** Note: Do NOT include vaccine codes and modifiers for provider's administration charges on the Administration Claim to the payer.**

STEP 2

Use the HCFA 1500 for the Dosage-Based Assessment

*** First: Download the Vaccine Assessment Grid!**

The Dosage-Based Assessment has the following changes from the Administration Claim:

1. **Box 19:** A good place for processing notes to payer if needed.
2. **Box 21:** Enter "Z23" (this is the only diagnosis required).
3. **Box 24d:** Enter CPT code for the state-supplied vaccine given. **(Do not include modifiers.)**
4. **Box 24f:** Enter WVA charge based on the current Vaccine Assessment Grid, found online at: wavaccine.org/assessment-grid/.

5. **Box 24j:** Enter Provider's billing NPI.
6. **Box 25:** Enter WVA TIN: 27-2251833.
7. **Box 32a:** Enter Provider's billing NPI.
8. **Box 33:** Enter **Provider's** billing office phone number. Enter **WVA's** address: Washington Vaccine Association, PO Box 94002, Seattle, WA 98124-9402.
9. **Box 33a:** Enter WVA NPI: 1699092718.
10. **Box 33b:** Enter WVA's Taxonomy Code: 251K00000X.


STEP 3

Submit both versions to payer

Submit the Administrative Claim and Dosage-Based Assessment to the payer (health plan, insurance company, or third-party administrator).

*** Billing Tip: Submit to Payer and NOT to WVA.**

STEP 1: ADMINISTRATION CLAIM



SAMPLE ADMINISTRATION CLAIM TO SUBMIT WITH DOSAGE-BASED ASSESSMENT

Payer & Address according to patient's card (never WVA). Only commercial payers and patients under 19. Out of state patient plans are o.k. - you may need to submit to local payer address.

HEALTH INSURANCE CLAIM FORM

APPROVED BY NATIONAL UNIFORM CLAIM COMMITTEE (NUCC) 03/12

1. MEDICARE <input type="checkbox"/> MEDICAID <input type="checkbox"/> TRICARE <input type="checkbox"/> CHAMPVA <input type="checkbox"/> GROUP HEALTH PLAN <input type="checkbox"/> FICA SECLING <input type="checkbox"/> OTHER <input type="checkbox"/>		1a. INSURED'S I.D. NUMBER (For Program in Item 1)	
2. PATIENT'S NAME (Last Name, First Name, Middle Initial)		4. INSURED'S NAME (Last Name, First Name, Middle Initial)	
5. PATIENT'S ADDRESS (No., Street)		7. INSURED'S ADDRESS (No., Street)	
CITY STATE		CITY STATE	
ZIP CODE		ZIP CODE	
3. PATIENT'S BIRTH DATE MM DO YY SEX M <input type="checkbox"/> F <input type="checkbox"/>		6. PATIENT RELATIONSHIP TO INSURED Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Other <input type="checkbox"/>	
b. RESERVED FOR NUCC USE		5. OTHER CLAIM ID (Designated by NUCC)	
c. RESERVED FOR NUCC USE		6. INSURANCE PLAN NAME OR PROGRAM NAME	
d. INSURANCE PLAN NAME OR PROGRAM NAME		6. IS THERE ANOTHER HEALTH BENEFIT PLAN? <input type="checkbox"/> YES <input type="checkbox"/> NO # see complete Items 9, 10a, and 10d.	

Complete Administration Claim as would occur with a normal claim.

READ BACK OF FORM BEFORE COMPLETING & SIGNING THIS FORM.

12. PATIENTS OR AUTHORIZED PERSON'S SIGNATURE: I authorize the release of any medical or other information necessary to process this claim. I also request payment of government benefits after to myself or to the party who accepts assignment below.

SIGNED DATE

14. DATE OF CURRENT ILLNESS, INJURY, OR PREGNANCY (LMP) MM DO YY QUAL. 15. OTHER DATE MM DO YY

17. NAME OF REFERRING PROVIDER OR OTHER SOURCE 17a. NPI 17b. NPI

16. DATES PATIENT UNABLE TO WORK IN CURRENT OCCUPATION FROM MM DO YY TO MM DO YY

18. HOSPITALIZATION DATES RELATED TO CURRENT SERVICES FROM MM DO YY TO MM DO YY

20. OUTSIDE LAB? ☐ YES ☐ NO # CHARGES

22. BILL NUMBER CODE ORIGINAL REF. NO.

23. PRIOR AUTHORIZATION NUMBER

24. A. DATES OF SERVICE From MM YY To MM YY B. C. P. D. E. F. G. H. I. J. K. L. M. N. O. P. Q. R. S. T. U. V. W. X. Y. Z. AA. AB. AC. AD. AE. AF. AG. AH. AI. AJ. AK. AL. AM. AN. AO. AP. AQ. AR. AS. AT. AU. AV. AW. AX. AY. AZ. BA. BB. BC. BD. BE. BF. BG. BH. BI. BJ. BK. BL. BM. BN. BO. BP. BQ. BR. BS. BT. BU. BV. BW. BX. BY. BZ. CA. CB. CC. CD. CE. CF. CG. CH. CI. CJ. CK. CL. CM. CN. CO. CP. CQ. CR. CS. CT. CU. CV. CW. CX. CY. CZ. DA. DB. DC. DD. DE. DF. DG. DH. DI. DJ. DK. DL. DM. DN. DO. DP. DQ. DR. DS. DT. DU. DV. DW. DX. DY. DZ. EA. EB. EC. ED. EE. EF. EG. EH. EI. EJ. EK. EL. EM. EN. EO. EP. EQ. ER. ES. ET. EU. EV. EW. EX. EY. EZ. FA. FB. FC. FD. FE. FF. FG. FH. FI. FJ. FK. FL. FM. FN. FO. FP. FQ. FR. FS. FT. FU. FV. FW. FX. FY. FZ. GA. GB. GC. GD. GE. GF. GH. GI. GJ. GK. GL. GM. GN. GO. GP. GQ. GR. GS. GT. GU. GV. GW. GX. GY. GZ. HA. HB. HC. HD. HE. HF. HG. HH. HI. HJ. HK. HL. HM. HN. HO. HP. HQ. HR. HS. HT. HU. HV. HW. HX. HY. HZ. IA. IB. IC. ID. IE. IF. IG. IH. II. IJ. IK. IL. IM. IN. IO. IP. IQ. IR. IS. IT. IU. IV. IW. IX. IY. IZ. JA. JB. JC. JD. JE. JF. JG. JH. JI. JJ. JK. JL. JM. JN. JO. JP. JQ. JR. JS. JT. JU. JV. JW. JX. JY. JZ. KA. KB. KC. KD. KE. KF. KG. KH. KI. KJ. KK. KL. KM. KN. KO. KP. KQ. KR. KS. KT. KU. KV. KW. KX. KY. KZ. LA. LB. LC. LD. LE. LF. LG. LH. LI. LJ. LK. LL. LM. LN. LO. LP. LQ. LR. LS. LT. LU. LV. LW. LX. LY. LZ. MA. MB. MC. MD. ME. MF. MG. MH. MI. MJ. MK. ML. MN. MO. MP. MQ. MR. MS. MT. MU. MV. MW. MX. MY. MZ. NA. NB. NC. ND. NE. NF. NG. NH. NI. NJ. NK. NL. NM. NO. NP. NQ. NR. NS. NT. NU. NV. NW. NX. NY. NZ. OA. OB. OC. OD. OE. OF. OG. OH. OI. OJ. OK. OL. OM. ON. OO. OP. OQ. OR. OS. OT. OU. OV. OW. OX. OY. OZ. PA. PB. PC. PD. PE. PF. PG. PH. PI. PJ. PK. PL. PM. PN. PO. PP. PQ. PR. PS. PT. PU. PV. PW. PX. PY. PZ. QA. QB. QC. QD. QE. QF. QG. QH. QI. QJ. QK. QL. QM. QN. QO. QP. QQ. QR. QS. QT. QU. QV. QW. QX. QY. QZ. RA. RB. RC. RD. RE. RF. RG. RH. RI. RJ. RK. RL. RM. RN. RO. RP. RQ. RR. RS. RT. RU. RV. RW. RX. RY. RZ. SA. SB. SC. SD. SE. SF. SG. SH. SI. SJ. SK. SL. SM. SN. SO. SP. SQ. SR. SS. ST. SU. SV. SW. SX. SY. SZ. TA. TB. TC. TD. TE. TF. TG. TH. TI. TJ. TK. TL. TM. TN. TO. TP. TQ. TR. TS. TT. TU. TV. TW. TX. TY. TZ. UA. UB. UC. UD. UE. UF. UG. UH. UI. UJ. UK. UL. UM. UN. UO. UP. UQ. UR. US. UT. UU. UV. UW. UX. UY. UZ. VA. VB. VC. VD. VE. VF. VG. VH. VI. VJ. VK. VL. VM. VN. VO. VP. VQ. VR. VS. VT. VU. VW. VX. VY. VZ. WA. WB. WC. WD. WE. WF. WG. WH. WI. WJ. WK. WL. WM. WN. WO. WP. WQ. WR. WS. WT. WU. WV. WW. WX. WY. WZ. XA. XB. XC. XD. XE. XF. XG. XH. XI. XJ. XK. XL. XM. XN. XO. XP. XQ. XR. XS. XT. XU. XV. XW. XX. XY. XZ. YA. YB. YC. YD. YE. YF. YG. YH. YI. YJ. YK. YL. YM. YN. YO. YP. YQ. YR. YS. YT. YU. YV. YW. YX. YY. YZ. ZA. ZB. ZC. ZD. ZE. ZF. ZG. ZH. ZI. ZJ. ZK. ZL. ZM. ZN. ZO. ZP. ZQ. ZR. ZS. ZT. ZU. ZV. ZW. ZX. ZY. ZZ.

A good place to reference CPT and NDC of vaccine used if needed for payer, and/or processing notes to payer.

25. FEDERAL TAX I.D. NUMBER SSN EIN 26. PATIENT'S ACCOUNT NO. 27. ACCEPT ASSIGNMENT? ☐ YES ☐ NO 28. TOTAL CHARGE \$ 29. AMOUNT PAID \$ 30. Ref for NUCC Use

31. SIGNATURE OF PHYSICIAN OR SUPPLIER INCLUDING DEGREES OR CREDENTIALS (I certify that the statements on the reverse apply to this bill and are made in good faith.) 32. SERVICE FACILITY LOCATION INFORMATION 33. BILLING PROVIDER INFO & PH # ()

SIGNED DATE a. NPI b. NPI a. NPI b. NPI

NUCC Instruction Manual available at: www.nucc.org

PLEASE PRINT OR TYPE

APPROVED OM-0038-1197 FORM 1500 (02-10)

STEP 2: DOSAGE-BASED ASSESSMENT

SAMPLE DOSAGE-BASED ASSESSMENT (DBA)

Payer & Address according to patient's card (never VVA). Only commercial payers and patients under 19. Out of state patient plans are a.k. - you may need to submit to local payer address.

HEALTH INSURANCE CLAIM FORM

APPROVED BY NATIONAL UNIFORM CLAIM COMMITTEE (NUCC) 02/12

1. MEDICARE (Medicare)		2. MEDICAID (Medicaid)		3. TRICARE (CHAMPVA)		4. CHAMPVA (Medicare)		5. GROUP HEALTH PLAN (Medicare)		6. FECA BENEFIT (Medicare)		7. OTHER (Medicare)		8. INSURED'S I.D. NUMBER (For Program in Item 1)	
9. PATIENT'S LAST NAME, First Name, Middle Initial		10. PATIENT'S BIRTH DATE MM DD YY		11. SEX M <input type="checkbox"/> F <input type="checkbox"/>		12. PATIENT RELATIONSHIP TO INSURED Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Other <input type="checkbox"/>		13. INSURED'S ADDRESS (No. Street)		14. CITY		15. STATE		16. ZIP CODE	
17. DATE OF CURRENT ILLNESS, INJURY, or PREGNANCY (LMP) MM DD YY		18. OTHER DATE MM DD YY		19. OTHER INSURED'S POLICY OR GROUP NAME		20. RESERVED FOR NUCC USE		21. AUTO ACCIDENT? <input type="checkbox"/> YES <input type="checkbox"/> NO		22. PLACE (State)		23. OTHER CLAIM ID (Designated by NUCC)		24. INSURANCE PLAN NAME OR PROGRAM NAME	
25. DATE OF REFERRING PROVIDER OR OTHER SOURCE MM DD YY		26. DATE MM DD YY		27. DATE MM DD YY		28. DATE MM DD YY		29. DATE MM DD YY		30. DATE MM DD YY		31. DATE MM DD YY		32. DATE MM DD YY	

Complete similarly to Administration Claim, but with some adaptations.

33. SIGNATURE OF INSURED OR AUTHORIZED REPRESENTATIVE (I authorize the release of any medical or other information necessary to process this claim. I also request payment of government benefits either in my favor or to the party who accepts assignment below.)		34. SIGNED DATE		35. SIGNED DATE		36. SIGNED DATE		37. SIGNED DATE		38. SIGNED DATE		39. SIGNED DATE		40. SIGNED DATE	
41. ADDITIONAL CLAIM INFORMATION (Designated by NUCC)		42. DATE OF CURRENT ILLNESS, INJURY, or PREGNANCY (LMP) MM DD YY		43. OTHER DATE MM DD YY		44. DATE MM DD YY		45. DATE MM DD YY		46. DATE MM DD YY		47. DATE MM DD YY		48. DATE MM DD YY	
49. DATE OF REFERRING PROVIDER OR OTHER SOURCE MM DD YY		50. DATE MM DD YY		51. DATE MM DD YY		52. DATE MM DD YY		53. DATE MM DD YY		54. DATE MM DD YY		55. DATE MM DD YY		56. DATE MM DD YY	

57. ADDITIONAL CLAIM INFORMATION (Designated by NUCC)		58. DATE OF CURRENT ILLNESS, INJURY, or PREGNANCY (LMP) MM DD YY		59. OTHER DATE MM DD YY		60. DATE MM DD YY		61. DATE MM DD YY		62. DATE MM DD YY		63. DATE MM DD YY		64. DATE MM DD YY	
65. DATE OF REFERRING PROVIDER OR OTHER SOURCE MM DD YY		66. DATE MM DD YY		67. DATE MM DD YY		68. DATE MM DD YY		69. DATE MM DD YY		70. DATE MM DD YY		71. DATE MM DD YY		72. DATE MM DD YY	
73. ADDITIONAL CLAIM INFORMATION (Designated by NUCC)		74. DATE OF CURRENT ILLNESS, INJURY, or PREGNANCY (LMP) MM DD YY		75. OTHER DATE MM DD YY		76. DATE MM DD YY		77. DATE MM DD YY		78. DATE MM DD YY		79. DATE MM DD YY		80. DATE MM DD YY	

81. SIGNATURE OF INSURED OR AUTHORIZED REPRESENTATIVE (I authorize the release of any medical or other information necessary to process this claim. I also request payment of government benefits either in my favor or to the party who accepts assignment below.)		82. SIGNED DATE		83. SIGNED DATE		84. SIGNED DATE		85. SIGNED DATE		86. SIGNED DATE		87. SIGNED DATE		88. SIGNED DATE	
89. ADDITIONAL CLAIM INFORMATION (Designated by NUCC)		90. DATE OF CURRENT ILLNESS, INJURY, or PREGNANCY (LMP) MM DD YY		91. OTHER DATE MM DD YY		92. DATE MM DD YY		93. DATE MM DD YY		94. DATE MM DD YY		95. DATE MM DD YY		96. DATE MM DD YY	
97. DATE OF REFERRING PROVIDER OR OTHER SOURCE MM DD YY		98. DATE MM DD YY		99. DATE MM DD YY		100. DATE MM DD YY		101. DATE MM DD YY		102. DATE MM DD YY		103. DATE MM DD YY		104. DATE MM DD YY	

NUCC Instruction Manual available at www.nucc.org PLEASE PRINT OR TYPE

ELECTRONIC FILING

Crosswalk Guide for Dosage-Based Assessment (DBA) Electronic Submission

STEP 1

Complete the DBA electronically (837 Professional)

This includes:

1. Billing Provider Federal Tax ID Number
2. Billing Provider Information
3. Patient Account Number, Claim Notes and Provider Signature
4. Rendering Provider Name
5. Service Facility & Location NPI
6. Service Line and Date of Service
7. Procedures, Services and Supplies
8. Line Item Charge (\$) Amount
9. Vaccine Material Identification

STEP 2

Submit electronically to payer

Submit the DBA to the payer (health plan, insurance company, or third-party administrator) via your electronic claims clearinghouse – NOT to WVA.

IMPORTANT BILLING REMINDERS

★ **Do NOT submit to WVA. Submit to Payer.**

★ First time electronic filers:

The first time you use the electronic DBA process, please notify your claim clearinghouse or electronic medical records vendor that you intend to submit electronically using the DBA process with WVA's name, Tax ID and NPI.

★ Important Numbers:

WVA Tax Identification Number (TIN):
27-2251833

WVA National Provider Identifier (NPI):
1699092718

WVA Billing Taxonomy Number:
251K00000X

Dosage-Based Assessment (837 Professional)

	B	C	D	E	F	G	H
	X12N 837, Version 5010A1 Claim - Field Description	Loop	Segment/ Element	Qualifier	Qualifier Description	Data for WVA DBA Process	CMS-1500 Box Crosswalk
1	Billing Provider						
	Federal Tax ID Number (TIN)	2010AA	REF01	E1	For EIN		None
2	TIN	2010AA	REF02			27-2251833	Box 25
	Billing Provider Information	2010AA	NM101	85	Billing Provider		None
3	Billing Provider Entity Type	2010AA	NM102	2	Organization		None
	Billing Organizational Name	2010AA	NM103			Washington Vaccine Association	Box 33
4	Identification Code Type	2010AA	NM108	XX	NPI		None
	National Provider Identifier (NPI)	2010AA	NM109			1699092718	Box 33a
5	Billing Provider Taxonomy	2000A	PRV01	BI	Billing		None
	Identification Qualifier Code	2000A	PRV02	PXC	Taxonomy		None
6	Identification Code Type	2000A	PRV03			251K00000X	Box 33b
	Billing Provider Address	2010AA	N3			Leave Blank	None
7	Billing Provider Address - Line 1	2010AA	N301			1700 Seventh Ave	Box 33
	Billing Provider Address - Line 2	2010AA	N302			Suite 1810	Box 33
8	Billing Provider City	2010AA	N401			Seattle	Box 33
	Billing Provider State	2010AA	N402			WA	Box 33
9	Billing Provider ZIP Code	2010AA	N403			981011397	Box 33
	Billing Provider Contact	2000A	PER01	IC	Information Contact		None
10	Identification Code Type	2000A	PER03	TE	Telephone Number		None
	Billing Provider Telephone Number	2000A	PER04			Service Provider's Billing Office/ Contact Telephone Number	Box 33
11	Pay-To Provider Name	2010AB	NM101	87	Pay-To Provider	Washington Vaccine Association	None
	Pay-To Entity Type	2010AB	NM102	2	Organization		None
12	Pay-To Address - Line 1	2010AB	N301			PO Box 94002	None
	Pay-To City	2010AB	N401			Seattle	None
13	Pay-To State	2010AB	N402			WA	None
	Pay-To ZIP Code	2010AB	N403			981249402	None
14	Patient Account Number	2300	CLM01				Box 26
	Total Charge	2300	CLM02			Total Charge Amount	Box 28
15		2300	CLM05-1	11	Office		Box 24B
	Provider Signature Indicator	2300	CLM06	Y	Yes		Box 31
16	Note	2300	NTE				None
	Note Reference Code	2300	NTE01	ADD	Indicates additional information for claim		Box 19
17	Note Text	2300	NTE02			Enter any free text notes about the claim	Box 19
18	Rendering Provider Name	2310B	NM1				None
	Identification Code Type	2310B	NM101	82	Rendering Provider		None
19	Identification Code Type	2310B	NM102	1	Individual		None
	Identification Code Type	2310B	NM108	XX	NPI		None
20	Identification Code Type	2310B	NM109			Rendering Provider's NPI #	Box 24J
21	Service Facility Location Information	2310C					None
	Service Facility Identifier	2310C	NM101	77	Service Location		None
22				FA	Facility	Use Office Address of Service Facility	None
	Service Facility Type	2310C	NM102	2	Non-Person Entity		None
23	Service Facility Name	2310C	NM103				Box 32
24	Service Line, Service Date(s)	2400	DTP01	472	Date of Service		None
	Service From - To Dates	2400	DTP02	RD8	Range of Dates of Service		None
25	Format as: CCYYMMDD-CCYYMMDD	2400	DTP03				Box 24A
26	Procedures, Services, Supplies	2400	SV1				None
	Product/Service ID	2400	SV101-1	HC	Standard CPT Code		None
27	Procedure-CPT/HCPCS Code	2400	SV101-2				Box 24D
28	Line Item \$ Charge Amount	2400	SV102				Box 24F
29	Drug Identification	2410	LIN				None
	Product or Service Identification Code	2410	LIN02	N4	Must be N4 (No description given)		Box 24 Shaded area for service line
30	National Drug Code NDC #	2410	LIN03			11-digit NDC #	Box 24 Shaded area for service line
	Drug Quantity	2410	CTP				None
31	Drug Unit Price	2410	CTP03			Unit price, based upon the unit of measure as defined by the NDC.	Box 24 Shaded area for service line
	National Drug Unit Count/Quantity	2410	CTP04			Dispensing quantity, based upon the unit of measure as defined by the NDC.	Box 24 Shaded area for service line
32	Unit or Basis for Measurement Code	2410	CTP05-1			NDC unit or basis for measurement code (UN, ML, F2 or GR)	Box 24 Shaded area for service line

QUESTIONS?

We are here to help! You can find answers to many questions on our [FAQs page](http://www.wavaccine.org/faqs) (www.wavaccine.org/faqs), by calling us at 1-888-928-2224, or emailing us at info@wavaccine.org.

Takeaways for Providers and Payers

When providers and payers participate in the WVA dosage-based assessment (DBA) process, it allows the WVA to collect the necessary assessments from insurance carriers and third-party administrators (TPAs) that in turn allows the State of Washington to continue to provide vaccines to protect covered children in our state.

TAKEAWAYS FOR PROVIDERS

- The modifier SL should never be used with the DBA process. The modifier may be required by traditional and managed Medicaid plans that do not require a DBA.
- The Vaccine Assessment Grid is posted on the WVA website and contains the most up-to-date information on vaccine material CPT and NDC codes and charges to use on the DBA submission – see <https://wavaccine.org/assessment-grid/>.
- Providers only need to submit DBAs for State-supplied CVP vaccine material for privately-insured patients under the age of 19.
- Providers should not submit DBAs on behalf of patients with other types of insurance such as Apple Health (Medicaid) or managed-Medicaid products.
- Providers should consult the WA Department of Health's (DOH) [Eligibility for Publicly Funded Vaccines – A Guide for Providers](#) to determine if a DBA for the WVA is required.
- Providers should not collect co-pays, co-insurances, or deductibles for the vaccine portion of the visit as there is no patient responsibility due.

The Department of Health can assist you with questions about:

- Provider enrollment in the Vaccine for Children (VFC) program and program requirements, including site visits.
- Vaccine ordering and the State's Immunization Information System (IIS).
- Center for Disease Control (CDC) requirements and education on vaccine material storage, handling, and waste.
- Non-commercially insured, traditional Medicaid, managed Medicaid (Apple Health), and uninsured patients.
- A health benefit plan that does not cover preventive services.
- Questions regarding brand choice.

VACCINE CLAIM/ASSESSMENT FOLLOW UP

If the administration and/or DBA is denied for incorrect provider demographic or patient eligibility information, lacking a National Drug Code (NDC), or other reason, the provider must re-file both the corrected administrative and vaccine material DBA forms to the carrier or TPA. The WVA relies on provider offices to pursue payment of the DBA, or vaccine portion of the claim, to the full extent they pursue payment of the administration portion of the claim. The WVA does not submit claims directly to carriers and TPAs, and relies on correct DBA processing in order to maintain program funding.

TAKEAWAYS FOR PAYERS

Participation and Regulatory Requirements

- The WVA, created by State statute, is considered a public health organization and is not required to be in network to receive payments for DBAs from carriers or TPAs.
- TPAs are required by RCW 70.290.075 to register on the [WVA website \(https://wavaccine.org/registration-requirements/\)](https://wavaccine.org/registration-requirements/).
- Carriers and TPAs are required to ensure their adjudication systems pay according to the WVA Vaccine Assessment Grid price. The price is set by CPT and NDC code annually on July 1st – see <https://wavaccine.org/assessment-grid/>.

No Patient Responsibility

- There are no contractual adjustments or patient responsibility associated with DBAs.

DBA Adherence

- The WVA does not submit DBAs itself and receives remits from carriers and TPAs only. DBAs are only submitted by providers on behalf of the WVA to the payers.
- If a provider cannot separate the provider's administrative fee from the vaccine material fee (DBA), the payer must in the interim produce a settlement report and payment to the WVA with remittance detail until the provider can bill the payer a separate DBA.

Other

- Carriers and TPAs can reduce their administrative expenses by submitting electronic remittance advices (ERAs) and electronic fund transfers (EFTs) to the WVA. Payment may also be made via check, but not by VCP. To sign up for electronic remittance, please [email info@wavaccine.org](mailto:email_info@wavaccine.org) with your request and contact information so we can follow up with you.
- Each year payers and TPAs are provided a statutory assessment letter which contains an estimate of future-year payments to the WVA for informational/budgeting purposes.
- The WVA is a non-profit entity that does not require a 1099. The 1099 results in administrative expense for the carrier/TPA and the WVA. A WVA W9 may be downloaded from our website if required – see <https://wavaccine.org/other-resources-and-links/>.

Overpayments, Refunds and Takebacks

- If payers have made payments to providers instead of the WVA for vaccine material, payers are responsible to reverse the payment and re-process for remittance to the WVA.
- The WVA asks payers to seek refunds with DBA-specific information (claim number, DOS, patient ID, charges, paid amounts) in order for a refund check to be mailed to payers.
- The WVA does not accept takebacks, vouchers, or offsets from payers when claims are reprocessed by payers seeking reimbursement for overpaid DBAs.
- If a payer is planning to reprocess DBAs in bulk, we would ask they reach out to us to make arrangements (e.g., a lump payment with claim-specific notation) in order to reduce manual refund check processing costs.

Stay connected.

Sign up to stay informed by going to:
www.wavaccine.org/contact/



www.wavaccine.org

info@wavaccine.org

Ph 888-928-2224

Fax 888-928-2242

Mailing Address:

PO Box 94002

Seattle, WA 98124-9402



www.doh.wa.gov

WAChildhoodVaccines@doh.wa.gov

360.236.2VAX or 1-866-397-0337 (toll free)

Mailing Address:

Washington State Childhood Vaccine Program

Office of Immunization and Child Profile

Washington State Department of Health

P.O. Box 47843

Olympia, Washington 98504-7843