



Centers for Medicare & Medicaid Services

# HHS-RADV SVA Findings Report Attestation and Discrepancy Form

## User Guide

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March 2019



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## Resources

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Additional information about the HHS-RADV Program can be found in the Registration for Technical Assistance Portal (REGTAP) library. Visit <https://www.REGTAP.info> for materials; in the REGTAP dashboard, filter by Program Area “HHS-Operated Risk Adjustment Data Validation (RADV).” If you are not already a REGTAP user, visit <https://www.REGTAP.info> to register as a new user. You may also access resources for the HHS-RADV program in the PPACA HHS-RADV Audit Tool Library.

## 1 Introduction

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CMS released the *HHS-RADV Second Validation Audit (SVA) Findings Report* for HIOS IDs where there is insufficient agreement between the IVA and SVA results during the pairwise means analysis and the HHS-RADV SVA findings will be used for the risk score error rate calculation. Pursuant to 45 CFR 153.630(d)(2), issuers are required to attest to the HHS-RADV SVA findings for those HIOS IDs included in the report within 30 calendar days of notification of when the *HHS-RADV SVA Findings Report* is made available in the Audit Tool. If issuers identify a discrepancy in the *HHS-RADV SVA Findings Report*, they should qualify that attestation with a discrepancy. The discrepancy must either relate to a newly discovered HCC that the SVA substantiated, which was not present in your IVA Findings Report, or to an HCC which was identified in the IVA Findings Report but which is not identified in the *HHS-RADV SVA Findings Report*. **The attestation and discrepancy reporting process for 2017 benefit year HHS-RADV SVA Finding Report begins Friday, March 22, 2019, and closes on Monday, April 22, 2019.**

As stated in the HHS Notice of Benefit and Payment Parameters for 2019 (2019 Payment Notice), disputes of IVA findings are not permitted as the IVA Entity is under contract with the issuer and CMS does not produce the IVA results. Therefore, issuers are only required to complete this attestation and discrepancy reporting process for the HIOS ID(s) included in the *HHS-RADV SVA Findings Report*.

In order to file a discrepancy, issuers must provide a detailed description and sufficient evidence in support of the discrepancy filed to allow CMS to appropriately identify the following:

- The issue or finding being disputed;
- The document location or associated reference to which the dispute is linked; and
- The evidence or support necessary to evaluate the discrepancy provided.

CMS developed the HHS-RADV SVA Findings Report Attestation and Discrepancy Form for issuers to complete the HHS-RADV SVA Findings Report Attestation and Discrepancy reporting process. The form must be completed by the Issuer Senior Official (SO) or Issuer Backup SO.

 **Warning: This form must be completed in one session, and may only be completed once. It is strongly recommended that you review the *HHS-RADV SVA Findings Report* (available on the Welcome page) and gather all supporting information prior to completing the form.**

This document is a step-by-step guide to complete and submit the attestation and, if applicable, report any discrepancies within the form for HIOS ID(s) included in the *HHS-RADV SVA Findings Report*. Issuers who elect to file a discrepancy to dispute the *HHS-RADV SVA Findings Report* must follow the detailed instructions below to successfully submit a discrepancy. CMS will not accept any additional medical records, workpapers, or screenshots that were not provided during the IVA Results Submission process as part of this discrepancy reporting process. Issuers may upload any corresponding supporting documentation, reference materials, or supplemental evidence related to a discrepancy prior to the attestation and discrepancy reporting deadline, in order for CMS to address your discrepancy and calculate your risk score error rate. Upon review of a reported discrepancy, CMS may request that additional documentation, reference material, or other supplemental evidence be submitted in support of the discrepancy.

If you have any questions related to the process for submitting a discrepancy related to *HHS-RADV SVA Finding Report*, contact [CCIIOACARADDataValidation@cms.hhs.gov](mailto:CCIIOACARADDataValidation@cms.hhs.gov) and include your organization's HIOS ID and "SVA Findings Discrepancy" in the subject line.

 **Note: The web form is optimized for use with Google Chrome™ or Firefox®. Some form features, such as error messaging, may not function properly in Internet Explorer®.**

## 2 *HHS-RADV SVA Findings Report*

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The *HHS-RADV SVA Findings Report* is available for issuers to download and review on the Welcome page of the HHS-RADV SVA Findings Report Attestation and Discrepancy Form ([Section 3](#)). The *HHS-RADV SVA Findings Report* is downloaded as a zip file which contains two files: SVA Findings – Summary and Insufficient Agreement Pairwise Report.

The SVA Findings – Summary is a .csv file containing, at the company level, every enrollee from the SVA subsample for all HIOS ID(s) that had insufficient pairwise agreement who were included in the final failed pairwise test who had at least one substantiated medical record. The SVA Findings – Summary report also contains a listing of each medical record ID with the validation status. Medical records are either valid or invalid, due to either demographic and enrollment failure or claim failure. A demographic and enrollment failure occurs when demographic information (name, gender, and date of birth) of the enrollee on the submitted medical record does not match the demographic information of the enrollee as provided in the



IVA Entity Audit Results Submission XML and the Name/UID/DOB/Gender Mapping Document. A claim failure occurs when the linked claim’s (RADVMCE or Non-EDGE Claim (NEC)) dates of service do not reasonably align to the statement covers from and through dates on the submitted medical record, identified in the IVA Entity Audit Results Submission XML. If a medical record displays *Demographic Enrollment Fail* or *Claim Fail* on the SVA Findings – Summary report, it means that the HCCs were not substantiated during the SVA. A blank value indicates that the Medical Record is valid.

Figure 1: SVA Findings – Summary

	A	B	C	D	E	F	G	H
1	HIOS ID	Enrollee ID	IVA HCCs	SVA HCCs	IVA Enrollee Risk Score	SVA Risk Score	MR ID	MR Validation Status
2	12345	E1	20, 50	19, 50	21.2	16.425	MR 1	
3	12345	E1	20, 50	19, 50	21.2	16.425	MR 2	Demographic Enrollment Fail
4	12345	E2	1, 2, 7, 10	1, 2, 7, 10	14.65	14.65	MR 11	
5	12345	E2	1, 2, 7, 10	1, 2, 7, 10	14.65	14.65	MR 22	
6	54321	E3	8, 156	156	9.3654	8.536541	MR 1111	
7	54321	E3	8, 156	156	9.3654	8.536541	MR 222	
8	54321	E3	8, 156	156	9.3654	8.536541	MR 3	Demographic Enrollment Fail
9	54321	E3	8, 156	156	9.3654	8.536541	MR 4	Claim Fail

The Insufficient Agreement Pairwise Report is a .csv file containing, at the company level, one row for each HCC deviation. Each HCC deviation is assigned a unique System ID that will be used as an identifier during the HHS-RADV SVA Findings Attestation and Discrepancy reporting process. There are two possible HCC deviations:

- IVA HCC that was not substantiated by the SVA; and
- SVA HCC not submitted by the IVA.

An error category, determined by the SVA, is displayed for each HCC deviation.

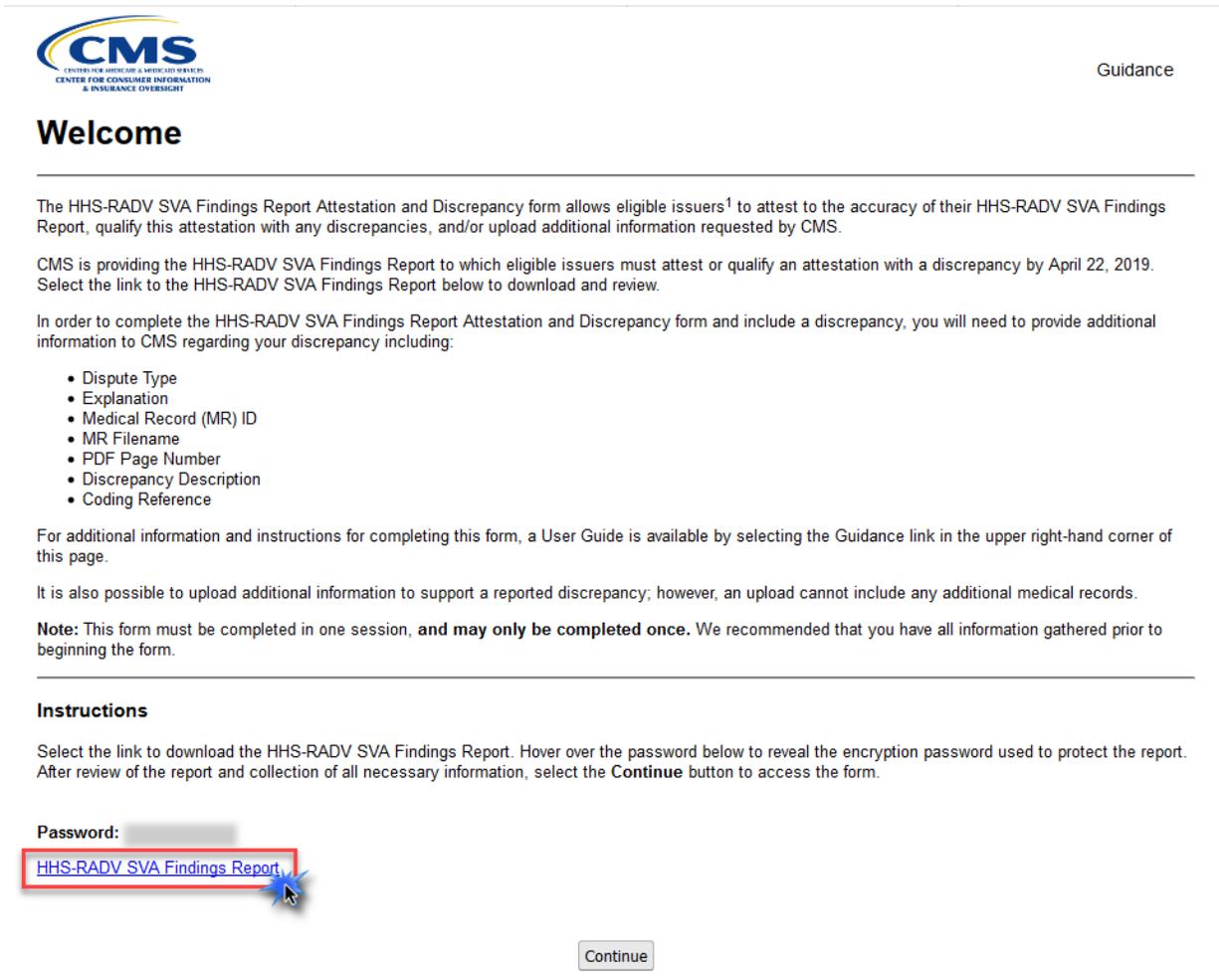
Figure 2: Insufficient Agreement Pairwise Report

	A	B	C	D	E	F
1	System ID	HIOS ID	Enrollee ID	HCC Deviation	HCC Deviation Type	Error Category
7	DV-006	12345	abc127	249	IVA HCC not substantiated By SVA	DX not found in documentation provided
8	DV-007	12345	abc130	1	IVA HCC not substantiated By SVA	Invalid Signature
9	DV-008	12345	abc130	45	IVA HCC not substantiated By SVA	Demographic error
10	DV-009	12345	abc130	126	SVA HCC not submitted by IVA	Coding error
11	DV-010	12345	abc130	161	IVA HCC not substantiated By SVA	Other
12	DV-011	12345	abc130	209	IVA HCC not substantiated By SVA	Other
13	DV-012	54321	xyz4	57	SVA HCC not submitted by IVA	Other
14	DV-013	54321	xyz5	4	SVA HCC not submitted by IVA	Other
15	DV-014	54321	xyz6	26	IVA HCC not substantiated By SVA	Coding error

### 3 Welcome Page

After selecting the **HHS-RADV SVA Findings Report Attestation and Discrepancy Form** link in the Audit Tool, the form navigates to the *Welcome* page, as displayed in [Figure 3](#). Select the **HHS-RADV SVA Findings Report** link to download and review the report. Hover over the password to reveal the encryption password for the report. After reviewing the report and collecting all necessary information, select the **Continue** button to navigate to the *HHS-RADV SVA Findings Attestation and Discrepancy Options* page.

Figure 3: Welcome Page



The screenshot shows the 'Welcome' page of the HHS-RADV SVA Findings Report Attestation and Discrepancy form. The page features the CMS logo in the top left and a 'Guidance' link in the top right. The main heading is 'Welcome'. The text explains that the form allows eligible issuers to attest to the accuracy of their HHS-RADV SVA Findings Report, qualify this attestation with any discrepancies, and/or upload additional information requested by CMS. It states that CMS is providing the HHS-RADV SVA Findings Report to which eligible issuers must attest or qualify an attestation with a discrepancy by April 22, 2019. A link to the HHS-RADV SVA Findings Report is provided for download and review. The page lists the additional information required to complete the form and include a discrepancy: Dispute Type, Explanation, Medical Record (MR) ID, MR Filename, PDF Page Number, Discrepancy Description, and Coding Reference. A link to the User Guide is provided for additional information and instructions. It is noted that an upload cannot include any additional medical records. A note states that the form must be completed in one session and may only be completed once. The 'Instructions' section provides further details on how to use the form, including hovering over the password to reveal the encryption password. A red box highlights the 'HHS-RADV SVA Findings Report' link, and a mouse cursor is shown hovering over it. A 'Continue' button is located at the bottom of the page.

 Guidance

## Welcome

The HHS-RADV SVA Findings Report Attestation and Discrepancy form allows eligible issuers<sup>1</sup> to attest to the accuracy of their HHS-RADV SVA Findings Report, qualify this attestation with any discrepancies, and/or upload additional information requested by CMS.

CMS is providing the HHS-RADV SVA Findings Report to which eligible issuers must attest or qualify an attestation with a discrepancy by April 22, 2019. Select the link to the HHS-RADV SVA Findings Report below to download and review.

In order to complete the HHS-RADV SVA Findings Report Attestation and Discrepancy form and include a discrepancy, you will need to provide additional information to CMS regarding your discrepancy including:

- Dispute Type
- Explanation
- Medical Record (MR) ID
- MR Filename
- PDF Page Number
- Discrepancy Description
- Coding Reference

For additional information and instructions for completing this form, a User Guide is available by selecting the Guidance link in the upper right-hand corner of this page.

It is also possible to upload additional information to support a reported discrepancy; however, an upload cannot include any additional medical records.

**Note:** This form must be completed in one session, **and may only be completed once**. We recommended that you have all information gathered prior to beginning the form.

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### Instructions

Select the link to download the HHS-RADV SVA Findings Report. Hover over the password below to reveal the encryption password used to protect the report. After review of the report and collection of all necessary information, select the **Continue** button to access the form.

Password: HHS-RADV SVA Findings Report

## 4 HHS-RADV SVA Findings Attestation and Discrepancy Options Page

Select one of the three options available on the HHS-RADV SVA Findings Attestation and Discrepancy Options page ([Figure 4](#)), and proceed in this document as indicated in [Table 1](#).

Figure 4: HHS-RADV SVA Findings Attestation and Discrepancy Options Page

### HHS-RADV SVA Findings Attestation and Discrepancy Options

**Instructions**

Select the statement that best fits your situation.

If you have no discrepancies to report for any eligible HIOS ID, select **I want to attest for all HIOS ID(s) as I have no discrepancies to report**.  
 If you have one or more discrepancies to report, select **I want to report at least one discrepancy and submit an attestation**.  
 If you received a request from CMS for supporting documentation, select **I want to submit CMS requested supporting documentation for a discrepancy**.

The red asterisk (\*) indicates required fields.

**\* What would you like to do?**

- I want to attest for all HIOS ID(s) as I have no discrepancies to report.
- I want to report at least one discrepancy and submit an attestation.
- I want to submit CMS requested supporting documentation for a discrepancy.

Exit Continue

Table 1: HHS-RADV SVA Findings Attestation and Discrepancy Options

If	Refer to
You have no discrepancies to report and want to attest for all HIOS ID(s),	<a href="#">Section 5</a>
You want to report one or more discrepancies and attest,	<a href="#">Section 6</a>
You received a request from CMS to submit supporting documentation and are ready to submit,	<a href="#">Section 7</a>

## 5 No Discrepancies to Report and Want to Attest for All HIOS IDs

Follow these steps to begin submitting an attestation for all HIOS IDs, as displayed in [Figure 5](#):

1. Select the ***I want to attest for all HIOS ID(s) as I have no discrepancies to report*** radio button on the *HHS-RADV SVA Findings Attestation and Discrepancy Options* page.
2. Select the **Continue** button. The form navigates to the *Summary* page.

Figure 5: HHS-RADV SVA Findings Attestation and Discrepancy Options Page – Attest for All HIOS ID(s)

**\* What would you like to do?**

I want to attest for all HIOS ID(s) as I have no discrepancies to report.

I want to report at least one discrepancy and submit an attestation.

I want to submit CMS requested supporting documentation for a discrepancy.

### 5.1 Summary Page

Follow these steps to complete the **Summary** page:

1. Review the Attestation Summary table, which displays all the HCC Deviations for which no discrepancies were reported.

Figure 6: Attestation Summary Table

**Attestation Summary**

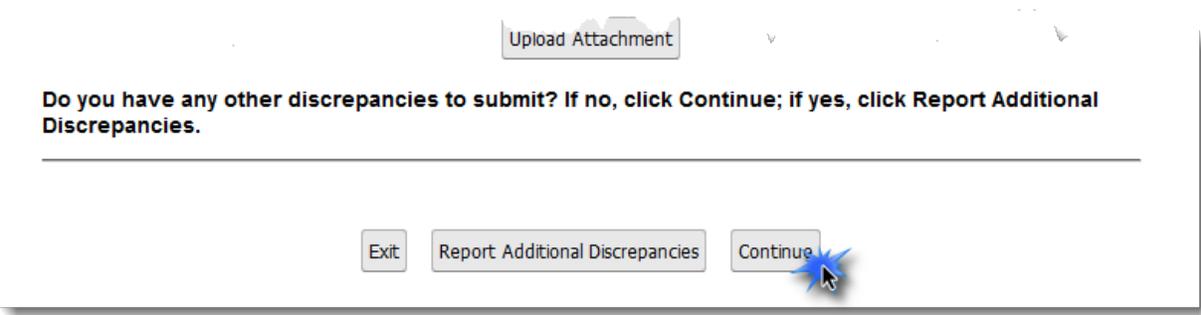
The Attestation Summary table displays HCC Deviations for which no discrepancies were reported. Select the **Report Additional Discrepancies** button if you have additional discrepancies to report.

System ID ▲	HIOS ID ▼	Enrollee ID ▼	HCC Deviation ▼	HCC Deviation Type ▼	Error Category ▼	Error Comments ▼
SVA-Findings-1765	07702	EDGE26.0_RAD V_0980	3	SVA HCC not submitted by IVA	Illegible handwriting	
SVA-Findings-4048	07702	EDGE26.0_RAD V_0980	73	IVA HCC not substantiated by SVA	Unaccepted credential	
SVA-Findings-4049	07702	EDGE26.0_RAD V_0980	114	SVA HCC not submitted by IVA	Other	the sva found this hcc

 **Note:** If, during your review of the Attestation Summary table, you decide to submit one or more discrepancies, select the Report Additional Discrepancies button to navigate to the *Report Discrepancy* page (refer to [Section 5.1](#)).

2. Select the **Continue** button.

Figure 7: Continue Button



## 5.2 Attestation Page

Follow these steps to complete the *Attestation* page:

1. Review each attestation statement, and select each corresponding check box on behalf of the Attester.

Figure 8: Attestation Statements

### Attestation

\* On behalf of the company identified on this form, I hereby attest and certify that, for the HIOS ID(s) listed on this form, to the best of my information, knowledge, and belief as of 3/12/2019:

<input checked="" type="checkbox"/>	Qualified by any discrepancy reported herein, I confirm and attest to the accuracy of the HHS-RADV SVA Findings Report for the HIOS ID(s) listed on the Summary page of this form.
<input checked="" type="checkbox"/>	The information provided in this submission is true, complete, and accurate.
<input checked="" type="checkbox"/>	I acknowledge that the submission of data to CMS upon which the HCC failure rate and error rate estimation methodology are calculated may be subject to the provisions of the False Claims Act, 31 U.S.C. § 3729, et. seq., which generally prohibits the intentional submission of a false claim to the government, or the knowing submission of a false record or statement to get a false claim paid by the government, and/or 18 U.S.C § 1001, which prohibits the submission of materially false statements or information to Federal executive agencies.
<input checked="" type="checkbox"/>	If my organization becomes aware that any of the information contained in this form is incorrect, my organization will promptly inform CMS.
<input checked="" type="checkbox"/>	I am authorized to legally and financially bind my organization.

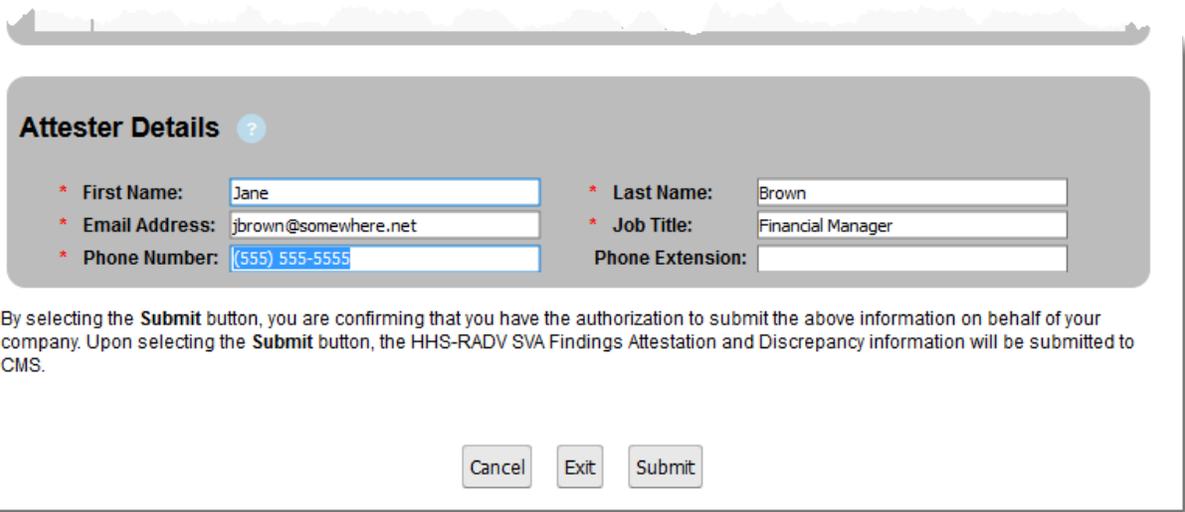


**Note:** The individual providing the attestation must be someone who can legally and financially bind the company; however, it does not need to be the person completing the form.

2. Enter the Attester Details:

- First Name
- Last Name
- Email Address
- Job Title
- Phone Number
- Phone Extension (optional)

Figure 9: Attester Details



The screenshot shows a web form titled "Attester Details" with a help icon. It contains six input fields arranged in two columns. The first column includes "First Name" (Jane), "Email Address" (jbrown@somewhere.net), and "Phone Number" ((555) 555-5555). The second column includes "Last Name" (Brown), "Job Title" (Financial Manager), and "Phone Extension" (empty). Below the form is a paragraph of text explaining the submission process, followed by three buttons: "Cancel", "Exit", and "Submit".

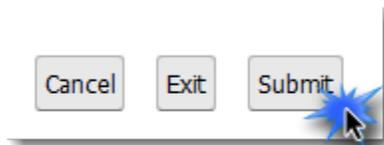
* First Name:	Jane	* Last Name:	Brown
* Email Address:	jbrown@somewhere.net	* Job Title:	Financial Manager
* Phone Number:	(555) 555-5555	Phone Extension:	

By selecting the **Submit** button, you are confirming that you have the authorization to submit the above information on behalf of your company. Upon selecting the **Submit** button, the HHS-RADV SVA Findings Attestation and Discrepancy information will be submitted to CMS.

Cancel Exit Submit

3. Select the **Submit** button to submit the attestation to CMS.

Figure 10: Submit Button



**Note:** By selecting the Submit button, you are confirming that you have the authorization to submit the above information on behalf of your company.

### 5.3 Confirmation Page

An acknowledgement email will be sent from [CCIIOACARADDataValidation@cms.hhs.gov](mailto:CCIIOACARADDataValidation@cms.hhs.gov) to the Issuer SO, Back-up Issuer SO, and Attester for this form.

The .pdf generated on the *Confirmation* page is the formal confirmation of the attestation and will not be attached to the acknowledgment email. This is your only opportunity to print or save a copy for your records. Follow these steps to print or save the confirmation:

1. Select the **PDF** button to print/save the confirmation for your records.

Figure 11: Confirmation Page

#### Confirmation

**Thank you for your submission.**

**Warning:** Please print the PDF for your records before selecting the Exit button.

An acknowledgement email has been sent to the Issuer SO, Back-up Issuer SO, and Attester for this form. Thank you for attesting to all of the eligible HIOS IDs within your company. As you have not submitted any discrepancies for the *HHS-RADV SVA Findings Report*, you have completed the HHS-RADV SVA Findings Report Attestation and Discrepancy reporting process and no further action is required at this time.

Print and save the PDF document for your records; it is formal confirmation of the submission of the HHS-RADV SVA Findings Report Attestation and Discrepancy form for your company. If you have any questions, please contact [CCIIOACARADDataValidation@cms.hhs.gov](mailto:CCIIOACARADDataValidation@cms.hhs.gov).

**Submission End Time:** 03/18/2019 12:48 PM

**An acknowledgment email has been sent to the following contacts:**

sampleuser78+iss1@gmail.com  
jbrown@somewhere.net  
sampleuser78+iss2@gmail.com

#### Print/Save

Select the PDF button to generate a PDF confirmation that contains the information reported. It is recommended that you print and save this document for your records.



2. Once your confirmation is printed and/or saved, select the **Exit** button to exit the form.

Figure 12: Exit Button



## 6 Report SVA Findings Discrepancy and Attest

Follow these steps begin reporting at least one discrepancy and attesting, as displayed in [Figure 13](#):

1. Select the ***I want to report at least one discrepancy and submit an attestation*** radio button on the *HHS-RADV SVA Findings Attestation and Discrepancy Options* page.
2. Select the **Continue** button. The form navigates to the *Report Discrepancy* page.

Figure 13: HHS-RADV SVA Findings Attestation and Discrepancy Options Page – Report At Least One Discrepancy

**\* What would you like to do?**

I want to attest for all HIOS ID(s) as I have no discrepancies to report.

I want to report at least one discrepancy and submit an attestation.

I want to submit CMS requested supporting documentation for a discrepancy.

### 6.1 Report Discrepancy Page

The Discrepancy table on the *Report Discrepancy* page displays information from the *HHS-RADV SVA Findings Report* for each HCC deviation, as displayed in [Figure 14](#). Each HCC deviation is assigned a unique System ID that is used as an identifier throughout the form. To add, view, edit, or delete a discrepancy, or to continue to the *Summary* page and attest, proceed in this document as indicated in [Table 2](#).

Figure 14: Report Discrepancy Page

#### Report Discrepancy

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**Instructions**

The Discrepancy Table displays information from the HHS-RADV SVA Findings Report for each item. To report a discrepancy, select the **Add Discrepancy** link in the Action column. Select the appropriate link in the Action column to **Edit**, **Delete**, or **View** a discrepancy that has been added.

**Discrepancy Table**

Action	System ID	HIOS ID	Enrollee ID	HCC Deviation	HCC Deviation Type	Error Category	Error Comments	Discrepancy(Y/N)
<a href="#">Edit</a> <a href="#">Delete</a> <a href="#">View</a>	SVA-Findings-1765	07702	EDGE26_0_R ADV_0980	3	SVA HCC not submitted by IVA	Illegible handwriting		Y
<a href="#">Add Discrepancy</a>	SVA-Findings-4048	07702	EDGE26_0_R ADV_0980	73	IVA HCC not substantiated by SVA	Unaccepted credential		N
					SVA HCC not			

Table 2: Report Discrepancy Actions

If you want to	Then	Refer to
<b>Add a discrepancy</b>	Select the <b>Add Discrepancy</b> link in the Action column to navigate to the <i>Discrepancy Information</i> page	<a href="#">Section 6.1.1</a>
<b>View a previously added discrepancy</b>	Select the <b>View</b> link in the Action column to navigate to the <i>View Discrepancy</i> page	<a href="#">Section 6.1.2</a>
<b>Edit a previously added discrepancy</b>	Select the <b>Edit</b> link in the Action column to navigate to the <i>Discrepancy Information</i> page	<a href="#">Section 6.1.3</a>
<b>Delete a previously added discrepancy</b>	Select the <b>Delete</b> link in the Action column of the Discrepancy table	N/A
<b>Continue to the Summary page and Attest</b>	Select the <b>Continue</b> button to navigate to the Summary page	<a href="#">Section 6.2</a>

### 6.1.1 Add a Discrepancy

The *Discrepancy Information* page allows issuers to add a discrepancy by entering the dispute type and supporting information for the selected System ID. Issuers can select only one dispute type for each System ID. Follow these steps to add a discrepancy:

1. Select the **Add Discrepancy** link on the *Report Discrepancy* page to navigate to the *Discrepancy Information* page.

Figure 15: Add Discrepancy Link

Discrepancy Table ?

Action	System ID	HIOS ID	Enrollee ID	HCC Deviation	HCC Deviation Type	Error Category	Error Comments	Discrepancy(Y/N)
<a href="#">Edit</a> <a href="#">Delete</a> <a href="#">View</a>	SVA-Findings-1765	07702	EDGE26.0_R ADV_0980	3	SVA HCC not submitted by IVA	Illegible handwriting		Y
<a href="#">Add Discrepancy</a>	SVA-Findings-4048	07702	EDGE26.0_R ADV_0980	73	IVA HCC not substantiated by SVA	Unaccepted credential		N
<a href="#">Add Discrepancy</a>	SVA-Findings-4049	07702	EDGE26.0_R ADV_0980	114	SVA HCC not submitted by	Other	the sva found this	N

2. Complete the Discrepancy Information Fields (refer to [Table 3](#)).

Figure 16: Discrepancy Information Page

<b>System ID:</b>	SVA-Findings-4048
<b>HIOS ID:</b>	07702
<b>Enrollee ID:</b>	EDGE26.0_RADV_0980
<b>HCC Deviation:</b>	73
<b>HCC Deviation Type:</b>	IVA HCC not substantiated by SVA
<b>Error Category:</b>	Unaccepted credential
<b>Error Comments:</b>	

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\* **Dispute Type:**  ▾

\* **Other Explanation:**

\* **MR ID:**  ▾ **VALID**

\* **MR Filename:**  ▾

\* **PDF Page Number:**

\* **Discrepancy Description:**

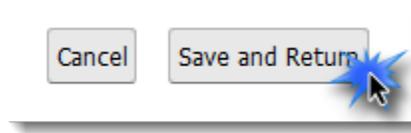
**Coding Reference:**

Table 3: Discrepancy Information Field Instructions

#	Field	Instructions
1	Dispute Type	<p>Select <i>Documentation</i>, <i>Coding Guidance</i>, or <i>Other</i> from the dropdown menu.</p> <ul style="list-style-type: none"> <li>• <i>Documentation</i> indicates that the dispute type is related to documentation that may support a HCC being substantiated. Issuers should provide specific details on the documentation and how the documentation substantiates the HCC.</li> <li>• <i>Coding Guidance</i> indicates that the dispute type is related to a disagreement in coding guidance supporting the HCC deviation. Refer to the HHS-RADV Protocols for information related to the coding guidance used in HHS-RADV. Issuers should provide detailed coding references if they feel there was a disagreement on coding guidance.</li> <li>• <i>Other</i> indicates that the dispute type is neither related to <i>Documentation</i> or <i>Coding Guidance</i>. Detailed information must be provided in <i>Other Explanation</i> field if <i>Other</i> is chosen.</li> </ul>
2	Other Explanation	Enter an explanation of <i>Other</i> dispute (required only when <i>Other</i> is selected for Dispute Type).
3	MR ID	Select the relevant MR ID from the dropdown menu containing possible options from your Package 2 and Package 3 file submissions.
4	MR Filename	Select the relevant MR Filename from the dropdown menu containing possible options from your Package 2 and Package 3 file submissions.
5	PDF Page Number	Enter the PDF page citation of MR ID and MR Filename selected.
6	Discrepancy Description	Enter additional information describing the discrepancy.
7	Coding Reference	Enter coding reference comments related to your interpretation of the relevant coding guidance (required only if <i>Coding Guidance</i> is selected for Dispute Type).

3. Select the **Save & Return** button to save the discrepancy information and return to the *Report Discrepancy* page.

Figure 17: Save & Return Button



### 6.1.2 View Discrepancy

Follow these steps to view a discrepancy from the *Discrepancy Information* page:

1. Select the **View** link on the *Report Discrepancy* page to navigate to the *View Discrepancy* page.

Figure 18: View Link

**Discrepancy Table** ?

Action	System ID	HIOS ID	Enrollee ID	HCC Deviation	HCC Deviation Type	Error Category	Error Comments	Discrepancy(Y/N)
<a href="#">Edit</a> <a href="#">Delete</a> <a href="#">View</a>	SVA-Findings-1765	07702	EDGE26.0_R ADV_0980	3	SVA HCC not submitted by IVA	Illegible handwriting		Y
<a href="#">Add Discrepancy</a>	SVA-Findings-4048	07702	EDGE26.0_R ADV_0980	73	IVA HCC not substantiated by SVA	Unaccepted credential		N
<a href="#">Add Discrepancy</a>	SVA-Findings-4049	07702	EDGE26.0_R ADV_0980	114	SVA HCC not submitted by	Other	the sva found this	N

2. Review the discrepancy information, then select the **Back** button to return to the *Report Discrepancy* page.

Figure 19: View Discrepancy Page

### View Discrepancy

---

**System ID:** SVA-Findings-4048

**HIOS ID:** 07702

**Enrollee ID:** EDGE26.0\_RADV\_0980

**HCC Deviation:** 73

**HCC Deviation Type:** IVA HCC not substantiated by SVA

**Error Category:** Unaccepted credential

**Error Comments:**

**Dispute type:** Other

**Other Explanation:** Other explanation text here.

**MR ID:** 5873MRID8435

**MR Filename:** Sample MR45\_R.pdf

**PDF Page Number:** 3

**Discrepancy Description:** Discrepancy description text here. Discrepancy description text here.  
Discrepancy description text here. Discrepancy description text here. Discrepancy description text here.

**Coding Reference:**



### 6.1.3 Edit Discrepancy

Follow these steps to edit a previously entered discrepancy from the *Discrepancy Information* page:

1. Select the **Edit** link on the *Report Discrepancy* page to navigate to the *Discrepancy Information* page.

Figure 20: Edit Link

Discrepancy Table ?

Action	System ID	HIOS ID	Enrollee ID	HCC Deviation	HCC Deviation Type	Error Category	Error Comments	Discrepancy(Y/N)
<a href="#">Edit</a> <a href="#">Delete</a> <a href="#">View</a>	SVA-Findings-1765	07702	EDGE26.0_R ADV_0980	3	SVA HCC not submitted by IVA	Illegible handwriting		Y
<a href="#">Add Discrepancy</a>	SVA-Findings-4048	07702	EDGE26.0_R ADV_0980	73	IVA HCC not substantiated by SVA	Unaccepted credential		N
<a href="#">Add Discrepancy</a>	SVA-Findings-4049	07702	EDGE26.0_R ADV_0980	114	SVA HCC not submitted by	Other	the sva found this	N

2. Review and update the Discrepancy Information fields as needed.

Figure 21: Discrepancy Information Page

**System ID:** SVA-Findings-1765  
**HIOS ID:** 07702  
**Enrollee ID:** EDGE26.0\_RADV\_0980  
**HCC Deviation:** 3  
**HCC Deviation Type:** SVA HCC not submitted by IVA  
**Error Category:** Illegible handwriting  
**Error Comments:**

---

\* **Dispute Type:**

\* **MR ID:**

\* **MR Filename:**

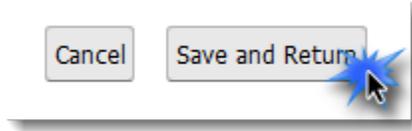
\* **PDF Page Number:**

\* **Discrepancy Description:**

**Coding Reference:**

3. Select the **Save & Return** button to save the changes to the discrepancy information and return to the *Report Discrepancy* page.

Figure 22: Save & Return Button



## 6.2 Summary Page

Follow these steps to complete the **Summary** page:

1. Review the Discrepancy Summary table, which displays all of the discrepancies that will be reported to CMS. Select the appropriate link in the Action column to **View**, **Edit**, or **Delete** a discrepancy as needed.

Figure 23: Discrepancy Summary Table

### Discrepancy Summary

Action	System ID	HIOS ID ▲	Enrollee ID	Dispute Type	MR ID	MR Filename	PDF Page Number	Discrepancy Description	Coding Reference
<a href="#">Edit</a> <a href="#">Delete</a> <a href="#">View</a>	SVA-Findings-1765	07702	EDGE26.0_RADV_0980	Documentation	5873MRID 8435	MR Document51 4284.pdf	12	Discrepancy description text here. Discrepancy des	
<a href="#">Edit</a> <a href="#">Delete</a> <a href="#">View</a>	SVA-Findings-4048	07702	EDGE26.0_RADV_0980	Other	5873MRID 8435	Sample MR45_R.pdf	3	Discrepancy description text here. Discrepancy des	

### Attestation Summary

The Attestation Summary table displays HCC Deviations found when no discrepancies were reported. Select the **Report Additional**



**Note:** If you need to submit additional discrepancies, select the **Report Additional Discrepancies** button to navigate to the *Report Discrepancy* page (refer to [Section 6.1](#)).

- Review the Attestation Summary table, which displays HCC Deviations for which no discrepancies were reported.

Figure 24: Attestation Summary Table

**Attestation Summary**

The Attestation Summary table displays HCC Deviations for which no discrepancies were reported. Select the **Report Additional Discrepancies** button if you have additional discrepancies to report.

System ID ▲	HIOS ID	Enrollee ID	HCC Deviation	HCC Deviation Type	Error Category	Error Comments
SVA-Findings-4049	07702	EDGE26.0_RA DV_0980	114	SVA HCC not submitted by IVA	Other	the sva found this hcc
SVA-Findings-4050	07702	EDGE26.0_RA DV_0980	1	IVA HCC not substantiated by SVA	Demographic error	
SVA-Findings-4051	07702	EDGE26.0_RA DV_0980	69	SVA HCC not submitted by IVA	SVA New HCC	

**Attachment Summary**

- To upload additional supporting documentation, refer to [Section 6.2.1](#). Once attachment(s) have been uploaded, review the Attachment Summary section. Select the appropriate link in the Action column to **View**, **Edit**, or **Delete** an attachment as needed. As noted previously, CMS will not accept any additional documentation that was not provided during the IVA Results Submission process to CMS, such as additional medical records, workpapers or screenshots, as part of the attestation and discrepancy reporting process. Only reference materials, such as coding references, will be accepted during the discrepancy submission process.

Figure 25: Attachment Summary Section

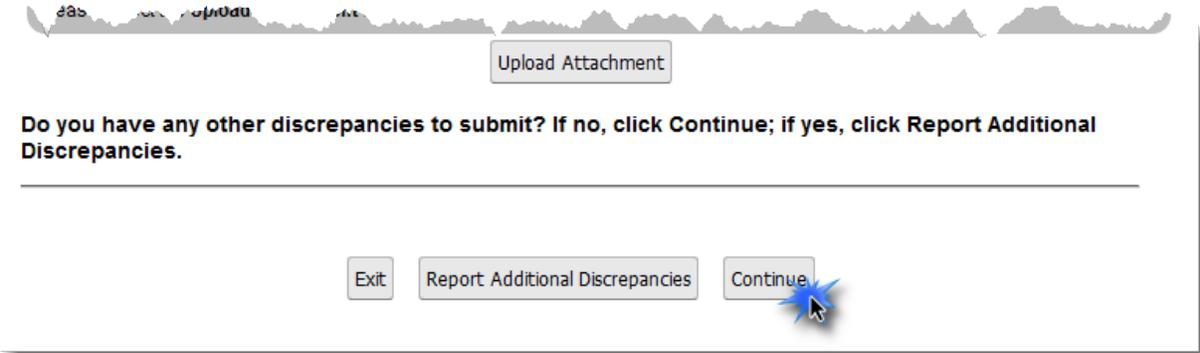
**Attachment Summary**

Action	Filename	File Size ▲	Associated System ID(s)
<a href="#">View</a> <a href="#">Edit</a> <a href="#">Delete</a>	SampleFile.zip	0.0003 MB	SVA-Findings-1765

...with other discrepancies submitted. Click continue if you click Report Additional

4. Once you are ready to attest, select the **Continue** button to navigate to the *Attestation* page.

Figure 26: Continue Button



## 6.2.1 Upload Additional Documentation Page

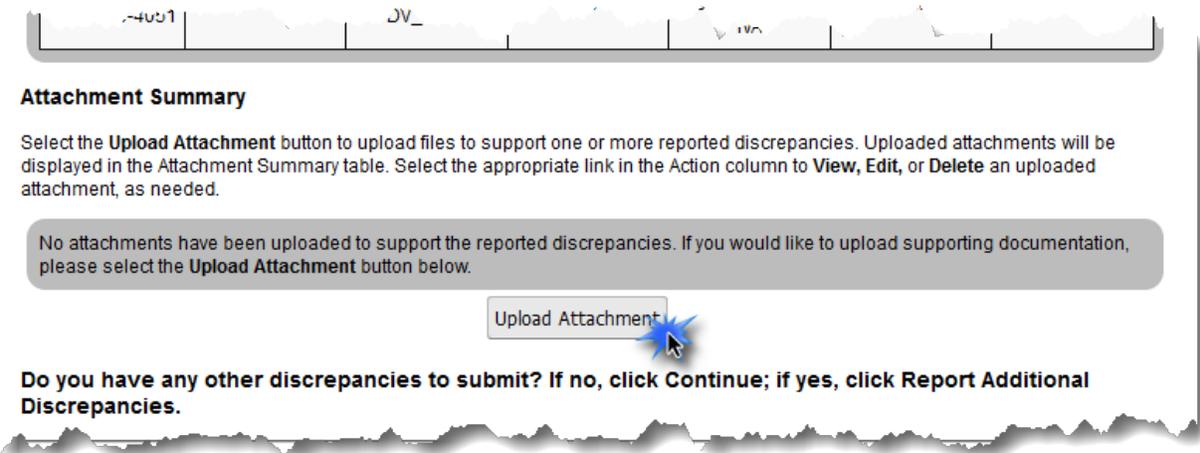
Follow these steps to upload a zipped and encrypted attachment:



**Note:** Issuers should not submit additional medical record documentation, or supplemental documentation that was not provided during the IVA Results Submission process to CMS and the SVA Entity, as part of this discrepancy reporting process.

1. From the *Summary* page, select the **Upload Attachment** button to navigate to the *Upload Additional Documentation* page.

Figure 27: Upload Attachment Button



2. Select one or more System ID(s) to link to the attachment.

Figure 28: Select System ID(s)

\* Select at least one discrepancy System ID to link to the attachment.

Select	System ID	HIOS ID	Enrollee ID	Dispute Type	File(s) Uploaded
<input checked="" type="checkbox"/>	SVA-Findings-1765	07702	EDGE26.0_RADV_0980	Documentation	
<input type="checkbox"/>	SVA-Findings-4048	07702	EDGE26.0_RADV_0980	Other	

**Please note:** Uploaded files must **NOT** contain any protected health information (PHI) or personally identifiable information (PII). Files containing PHI or PII will be deleted and not considered as part of the discrepancy filing.

3. Select the **Browse** button to locate the file for upload.

Figure 29: Select Browse Button

Files containing PHI or PII will be deleted and not considered as part of the filing.

**Upload a File**

No file selected.

**Maximum file size: 10 MB**

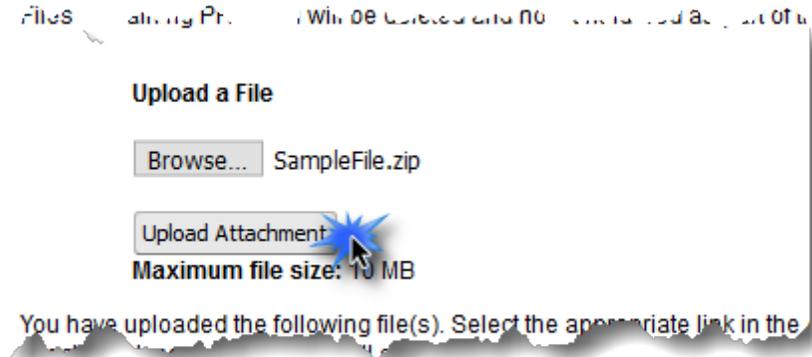
You have uploaded the following file(s). Select the appropriate link in the attachment, as needed. Once all attachments have been uploaded, select



**Note:** You must encrypt and password protect all supporting .pdf and Excel documentation in zip file format prior to upload. Documents may not exceed a 10MB size limit, and all .pdf and Excel files must be zipped and encrypted with the password listed on the *Upload Additional Documentation* page. For more information about passwords and file encryption, see the [Appendix](#) of this user guide.

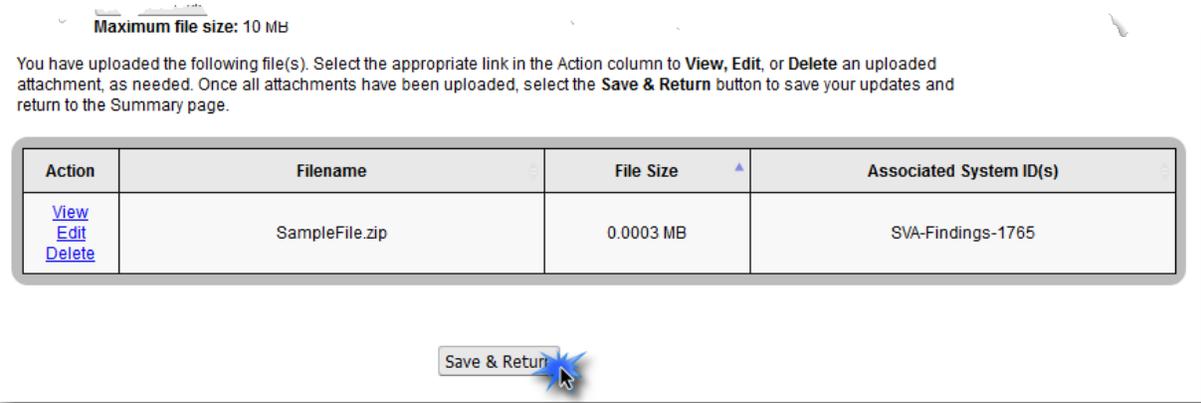
4. Select the **Upload Attachment** button to upload the file.

Figure 30: Upload Attachment Button



5. Repeat steps 2 through 4 as needed to upload additional encrypted zip files for one or more System IDs.
6. Select the **Save & Return** button to return to the Summary page.

Figure 31: Save & Return Button

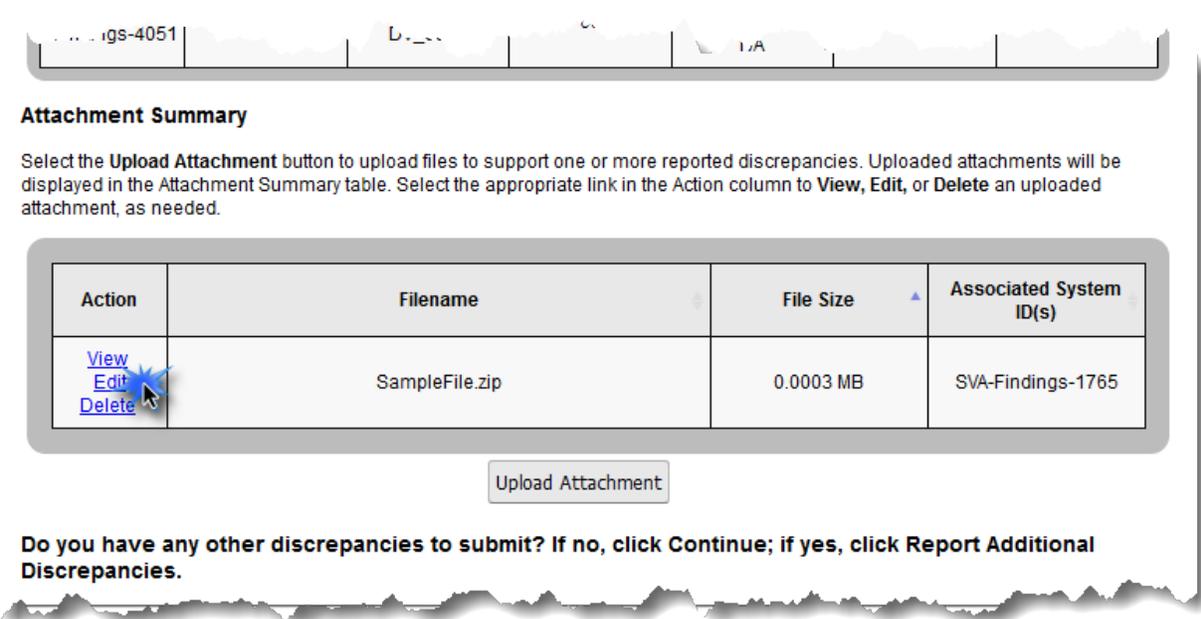


### 6.2.1.1 Edit Attachment Page

Follow these steps to change the System ID(s) associated with a previously uploaded attachment:

1. From the *Summary* page, select the **Edit** link in the Action column of the Attachment Summary table to navigate to the *Edit Attachment* page.

Figure 32: Edit Link



**Attachment Summary**

Select the **Upload Attachment** button to upload files to support one or more reported discrepancies. Uploaded attachments will be displayed in the Attachment Summary table. Select the appropriate link in the Action column to **View**, **Edit**, or **Delete** an uploaded attachment, as needed.

Action	Filename	File Size	Associated System ID(s)
<a href="#">View</a> <a href="#">Edit</a> <a href="#">Delete</a>	SampleFile.zip	0.0003 MB	SVA-Findings-1765

Upload Attachment

Do you have any other discrepancies to submit? If no, click Continue; if yes, click Report Additional Discrepancies.

2. Select or de-select the check box next to the System ID to edit the association with the listed file.

Figure 33: Edit Associated System ID(s)

**Instructions**

The red asterisk (\*) indicates required fields.

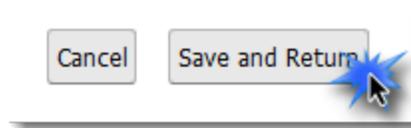
\* Select or de-select the check box next to the discrepancy System ID to edit the association with the listed file. Select the **Save & Return** button to save your selection and return to the previous page.



Filename	Associated System ID/HIOS ID/Enrollee ID/Dispute Type
<a href="#">SampleFile.zip</a>	<input checked="" type="checkbox"/> SVA-Findings-1765/07702/EDGE26.0_RADV_0980/Documentation <input type="checkbox"/> SVA-Findings-4048/07702/EDGE26.0_RADV_0980/Other

3. Select the **Save & Return** button to save your selection and return to the *Summary* page.

Figure 34: Save & Return Button



## 6.3 Attestation Page

Follow these steps to complete the *Attestation* page:

1. Review each attestation statement, and select each corresponding check box on behalf of the Attester.

Figure 35: Attestation Statements

### Attestation

\* On behalf of the company identified on this form, I hereby attest and certify that, for the HIOS ID(s) listed on this form, to the best of my information, knowledge, and belief as of 3/12/2019:

<input checked="" type="checkbox"/>	Qualified by any discrepancy reported herein, I confirm and attest to the accuracy of the HHS-RADV SVA Findings Report for the HIOS ID(s) listed on the Summary page of this form.
<input checked="" type="checkbox"/>	The information provided in this submission is true, complete, and accurate.
<input checked="" type="checkbox"/>	I acknowledge that the submission of data to CMS upon which the HCC failure rate and error rate estimation methodology are calculated may be subject to the provisions of the False Claims Act, 31 U.S.C. § 3729, et. seq., which generally prohibits the intentional submission of a false claim to the government, or the knowing submission of a false record or statement to get a false claim paid by the government, and/or 18 U.S.C § 1001, which prohibits the submission of materially false statements or information to Federal executive agencies.
<input checked="" type="checkbox"/>	If my organization becomes aware that any of the information contained in this form is incorrect, my organization will promptly inform CMS.
<input checked="" type="checkbox"/>	I am authorized to legally and financially bind my organization.

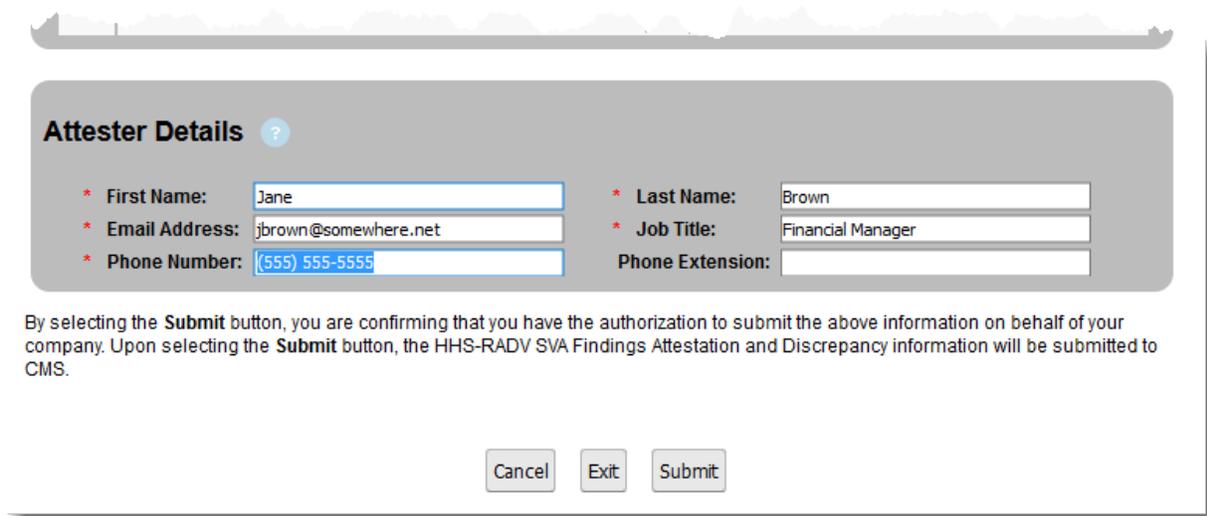


**Note: The individual providing the attestation must be someone who can legally and financially bind the company.**

2. Enter the Attester Details:

- First Name
- Last Name
- Email Address
- Job Title
- Phone Number
- Phone Extension (optional)

Figure 36: Attester Details



The screenshot shows a form titled "Attester Details" with a help icon. It contains the following fields:

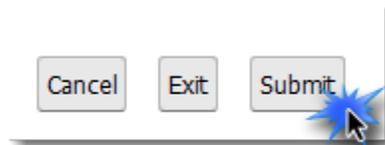
* First Name:	Jane	* Last Name:	Brown
* Email Address:	jbrown@somewhere.net	* Job Title:	Financial Manager
* Phone Number:	(555) 555-5555	Phone Extension:	

By selecting the **Submit** button, you are confirming that you have the authorization to submit the above information on behalf of your company. Upon selecting the **Submit** button, the HHS-RADV SVA Findings Attestation and Discrepancy information will be submitted to CMS.

Buttons: Cancel, Exit, Submit

3. Select the **Submit** button to submit the HHS-RADV SVA Findings Attestation and Discrepancy information to CMS.

Figure 37: Submit Button



 **Note:** By selecting the **Submit** button, you are confirming that you have the authorization to submit the above information on behalf of your company.

## 6.4 Confirmation Page

An acknowledgement email will be sent from [CCIIOACARADDataValidation@cms.hhs.gov](mailto:CCIIOACARADDataValidation@cms.hhs.gov) to the Issuer SO, Back-up Issuer SO, and Attester for this form. As discrepancies are resolved, CMS will contact you by email with the resolution.

The .pdf generated on the *Confirmation* page is the formal confirmation of the attestation and will not be attached to the acknowledgment email. This is your only opportunity to print or save a copy for your records. Follow these steps to print or save the confirmation:

1. Select the **PDF** button to print/save the confirmation for your records.

Figure 38: Confirmation Page

### Confirmation

**Thank you for your submission.**

**Warning:** Please print the PDF for your records before selecting the Exit button.

An acknowledgement email has been sent to the Issuer SO, Back-up Issuer SO, and Attester for this form. As discrepancies are resolved, CMS will contact you by email with the resolution. For any eligible HIOS ID(s) for which no discrepancy was filed, you have completed the HHS-RADV SVA Findings Report Attestation and Discrepancy reporting process and no further action is required at this time.

Print and save the PDF document for your records; it is formal confirmation of the submission of the HHS-RADV SVA Findings Report Attestation and Discrepancy form for your company. If you have any questions, please contact [CCIIOACARADDataValidation@cms.hhs.gov](mailto:CCIIOACARADDataValidation@cms.hhs.gov).

**Submission End Time:** 03/18/2019 12:48 PM

**An acknowledgment email has been sent to the following contacts:**

sampleuser78+iss1@gmail.com  
jbrown@somewhere.net  
sampleuser78+iss2@gmail.com

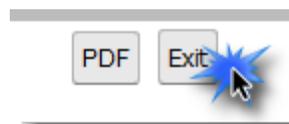
#### Print/Save

Select the PDF button to generate a PDF confirmation that contains the information reported. It is recommended that you print and save this document for your records.



2. Once your confirmation is printed and/or saved, select the **Exit** button to exit the form.

Figure 39: Exit Button



## 7 CMS Requested Supporting Documentation Page

CMS will send an email notification requesting additional documentation in support of a reported discrepancy, if needed. Follow these steps to begin submitting CMS requested supporting documentation, as displayed in [Figure 40](#):

1. Select the ***I want to submit CMS requested supporting documentation for a discrepancy*** radio button on the *HHS-RADV SVA Findings Attestation and Discrepancy Options* page.
2. Select the **Continue** button to navigate to the *CMS Requested Supporting Documentation* page.

Figure 40: HHS-RADV SVA Findings Attestation and Discrepancy Options Page – CMS Supporting Documentation

**\* What would you like to do?**

I want to attest for all HIOS ID(s) as I have no discrepancies to report.

I want to report at least one discrepancy and submit an attestation.

I want to submit CMS requested supporting documentation for a discrepancy.

### 7.1 CMS Requested Supporting Documentation Page

Follow these steps to upload CMS requested supporting documentation:

1. Select a System ID to link to the attachment.

Figure 41: Select System ID(s)

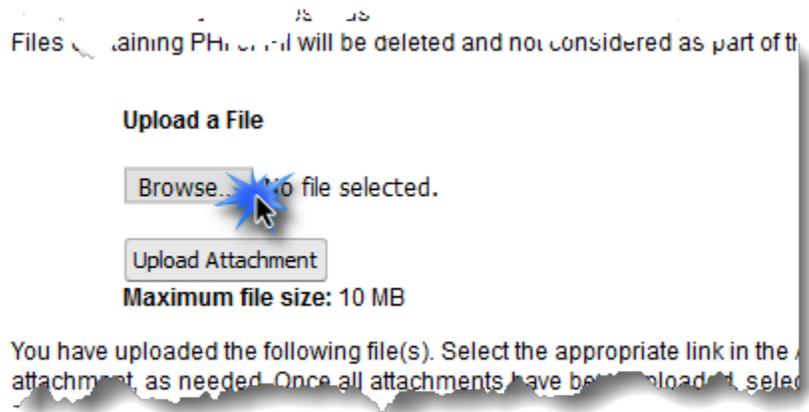
\* Select a discrepancy System ID to link to the attachment.

Select	System ID	Outreach Comments	Original File	New/Replaced File	Explanation
	<a href="#">SVA-Findings-1765</a>	<a href="#">Outreach Comments</a>	N/A		

 **Note: If an Original File is provided, the Replacement Filename must be the same as the Original Filename.**

2. Select the **Browse** button to locate the zipped and encrypted file for upload.

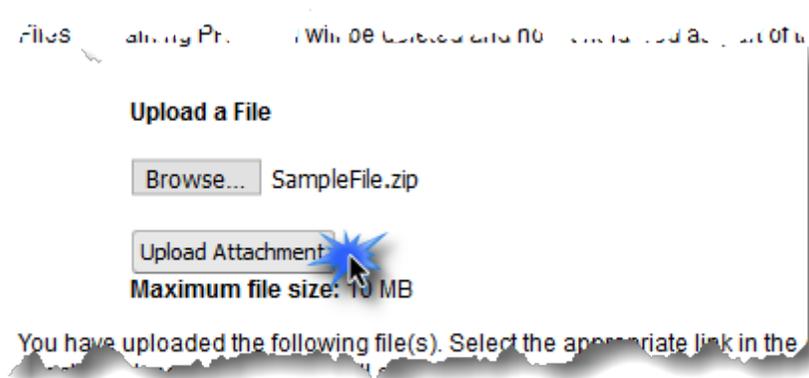
Figure 42: Select Browse Button



**Note:** You must encrypt and password protect all supporting .pdf and Excel documentation in zip file format prior to upload. Documents may not exceed a 10MB size limit, and all .pdf and Excel files must be zipped and encrypted with the password listed on the *Upload Additional Documentation* page. For more information about passwords and file encryption, see the [Appendix](#) of this user guide.

3. Select the **Upload Attachment** button to upload the file.

Figure 43: Upload Attachment Button



4. Repeat steps one through three as needed to upload additional encrypted zip files for one or more System IDs.

- If you do not have a new or replacement file to upload in response to CMS’s request, enter an explanation in the corresponding Explanation field.

Figure 44: Enter Explanation

\* Select a discrepancy System ID to link to the attachment.

Select	System ID	Outreach Comments	Original File	New/Replaced File	Explanation
<input checked="" type="radio"/>	<a href="#">SVA-Findings-1765</a>	<a href="#">Outreach Comments</a>	N/A		A replacement file is unavailable because of these reasons. A replacement file is unavailable because of these reasons. A replacement file is unavailable because of these reasons.

- Select the **Submit** button to proceed to the Confirmation page.

Figure 45: Submit Button

You have uploaded the following file. Select the Action link next to the attachment to view, edit, or delete the selected attachment. Once all attachments have been uploaded, select the **Submit** button to save your updates and return to the Welcome page.

Action	File Name	File Size	System ID
<a href="#">View</a> <a href="#">Delete</a>	SampleFile_20190318_07702.zip	0.0003 MB	SVA-Findings-1765

## 7.2 Confirmation Page

An acknowledgement email will be sent from [CCIOACARADDataValidation@cms.hhs.gov](mailto:CCIOACARADDataValidation@cms.hhs.gov) to the Issuer SO and Back-up Issuer SO for this form.

The .pdf generated on the *Confirmation* page is the formal confirmation of the attestation and will not be attached to the acknowledgment email. This is your only opportunity to print or save a copy for your records. Follow these steps to print or save the confirmation:

1. Select the **PDF** button to print/save the confirmation for your records.

Figure 46: Confirmation Page

## Confirmation

**Thank you for your submission.**

**Warning:** Please print the PDF for your records before selecting the Exit button.

An acknowledgement email has been sent to the Issuer SO and Back-up Issuer SO for this form. Thank you for submitting the supporting documentation requested by CMS.

Print and save the PDF document for your records; it is formal confirmation of the submission of CMS Requested Supporting Documentation to the HHS-RADV SVA Findings Attestation and Discrepancy form submission. If you have any questions, please contact [CCIOACARADDataValidation@cms.hhs.gov](mailto:CCIOACARADDataValidation@cms.hhs.gov).

[CCIOACARADDataValidation@cms.hhs.gov](mailto:CCIOACARADDataValidation@cms.hhs.gov)

**Submission End Time:** 03/18/2019 12:48 PM

**An acknowledgment email has been sent to the following contacts:**

sampleuser78+iss1@gmail.com  
jbrown@somewhere.net  
sampleuser78+iss2@gmail.com

### Print/Save

Select the PDF button to generate a PDF confirmation that contains the information reported. It is recommended that you print and save this document for your records.



2. Once your confirmation is printed and/or saved, select the **Exit** button to exit the form.

Figure 47: Exit Button



## Appendix: Passwords and File Encryption

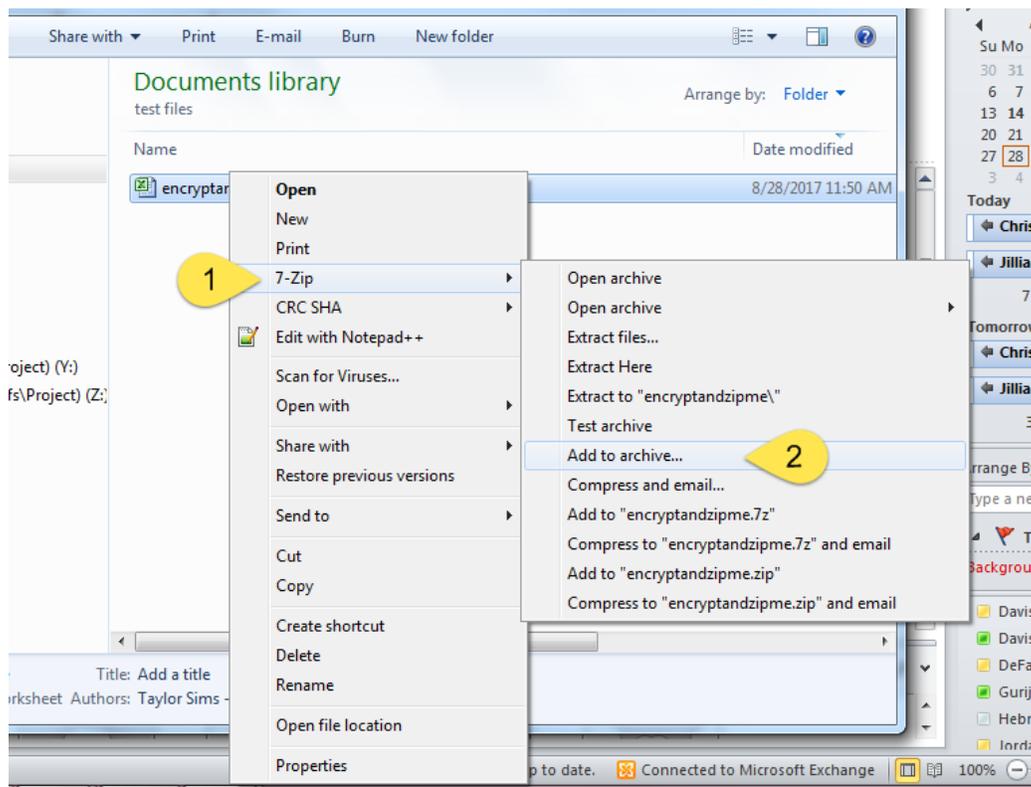
This appendix provides instructions on how to encrypt and zip files using 7-Zip, which is an open source file archiver that is available free for private and commercial use.

 **Note: The use of 7-Zip is not required by the HHS-RADV program. This information is provided only as an option for file encryption.**

Download and install the 7-Zip file archiver from <http://www.7-zip.org/>.

1. Right click on the file that you wish to encrypt.
2. From the sub-menu, select **7-Zip** from the menu, then select **Add to archive...** from the sub-menu.

Figure 48: File Selection



3. Enter your desired file name in the **Archive** field.
4. Select **Zip** from the **Archive format** dropdown menu.
5. Enter the password provided on the **Initial Validation Audit System Generated Passwords** page in the Audit Tool in the **Enter password** field, and then reenter the password.
6. Select **AES-256** from the **Encryption method** dropdown.

7. Select the **OK** button to encrypt and zip the file.

Figure 49: Add to Archive Window

