DISTRIBUTED DATA COLLECTION (DDC) FOR REINSURANCE (RI) AND RISK ADJUSTMENT (RA): EDGE Server 2015 Data Archive and Preparing for 2016 Data Submission

June 28, 2016

Health Insurance Marketplace Program Training Series

CMS CENTERS FOR MEDICARE & MEDICAID SERVICES

Agenda

- Purpose
- Session Guidelines
- EDGE Server Announcements
- 2015 Data Archive
- 2016 Data Submission Requirements
- 2016 Plan Reference Data Updates
- Open Q&A
- Submission of Inquiries
- Frequently Asked Question (FAQ) Database
- Closing Remarks

Purpose

This External Data Gathering Environment (EDGE) server session will:

- Provide issuers and Third Party Administrators (TPAs) with information about preparing for 2016 data submission, to include:
  - 2015 Data Archive
  - 2016 Data Submission Requirements
  - 2016 Plan Data Load

Session Guidelines

- This is a 90-minute webinar session.
- For questions regarding content, please submit inquiries to the Registration for Technical Assistance Portal (REGTAP) at https://www.REGTAP.info/.
- For questions regarding logistics and registration, please contact the Registrar at (800) 257-9520.

EDGE Server Announcements

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2015 Data Archive

2015 Data Archive: Overview

- The Centers for Medicare & Medicaid Services (CMS) is releasing an EDGE server application update, Version 17.0, on July 22, 2016 that will include deployment of new tables to archive 2015 data on issuers' EDGE servers.
- Following the application update, CMS will release a remote command for issuers to execute to perform the archive.
- **In order to successfully archive, issuers will be required to prepare their servers in accordance with the guidance outlined in these slides and detailed in the Archive Job Aid.**

2015 Data Archive: Overview (Continued)

- The PROD and COMMON database schemas will be re-named to archive all data used for the 2015 Benefit Year Risk Adjustment (RA) and Reinsurance (RI) calculations.
  - The TEST schemas will not be included in the archive process.
- The database archive process will ensure 2015 Benefit Year data is not altered, but remains accessible in accordance with the three (3) year data retention requirement.
- **NOTE:** If any 2016 Benefit Year data was uploaded to PROD prior to the blackout period, it must be resubmitted.

2015 Data Archive: Prepare Early for Success IMPORTANT

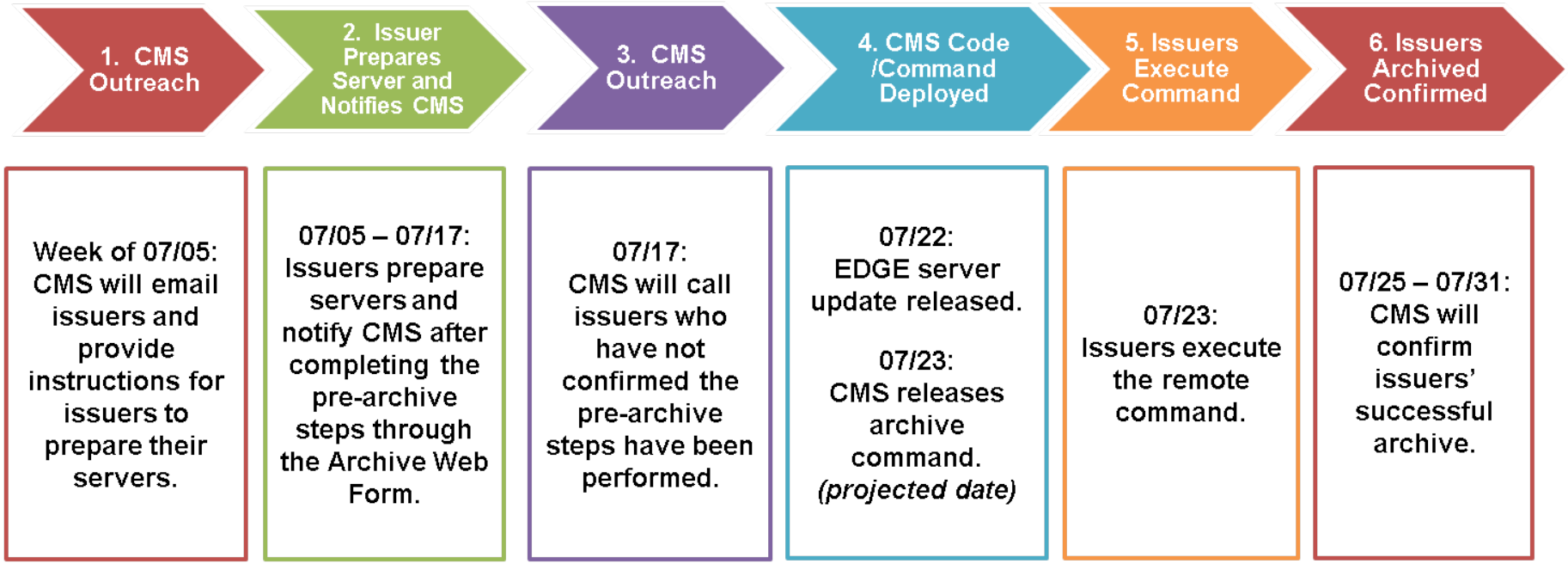
- Successful archiving and lifting of the blackout depends upon timely completion of preparation and confirmation.

Please prepare early, and report and execute promptly!

- CMS will monitor pre-archive reporting and command execution success rates.
  - CMS will provide technical assistance throughout the process. Issuers should contact EDGE_server_data@cms.hhs.gov.

2015 Data Archive: Backup Process

- The following steps outline the process for completing the 2015 EDGE server database archive in preparation for 2016 Benefit Year data submissions:



Step 1: CMS Outreach (Week of 07/05)

- The week of July 5, 2016, CMS will send an email from the RARIPaymentOperations@cms.hhs.gov mailbox that will include:
  - 2015 Archive Job Aid (includes pre-archive steps and post-archive confirmation steps)
  - How to notify CMS that the pre-archive steps and post-archive confirmations have been performed
- The email will be sent to TPAs, EDGE technical contacts and CEO Designates.
- Issuers who
  - Did not receive this this email should contact RARIPaymentOperations@cms.hhs.gov.
  - Need assistance with the steps outlined in the job aid should contact EDGE_Server_Data@cms.hhs.gov.

Step 2: Issuers Prepare Servers (07/05 – 07/17)

- Issuers will need to prepare their servers by updating the properties file.
- To update the properties file, go to the /opt/edge/config directory and open edge.properties to obtain the database user ID:

```
[ec2-user@edgeserver-2906515 config]$ pwd
/opt/edge/config
You have mail in /var/spool/mail/ec2-user
[ec2-user@edgeserver-2906515 config]$ view edge.properties
```

- In the 'db_user' field is the database user ID.
  - In the image below, db_user is **'edgedbuser':**

```
db_host=localhost
db_port=3306
db_user=edgedbuser
```

Step 2: Issuers Prepare Servers (Continued)

- Login into MySQL with root access:
  - Enter: sudo mysql

```
[ec2-user@edgeserver-606103 ~]$ sudo mysql
[sudo] password for ec2-user:
Welcome to the MySQL monitor.  Commands end with ; or \g.
Your MySQL connection id is 23806
Server version: 5.5.43 MySQL Community Server (GPL) by Remi

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owners.

Type 'help;' or '\h' for help. Type '\c' to clear the current input statement.

mysql>
```

- Next, grant the required permissions to the database user in order to execute the archive process:
  - **Enter:** GRANT ALL PRIVILEGES ON EDGE_SRVR_COMMON_2015.* TO 'edgedbuser'@'localhost';
  - GRANT ALL PRIVILEGES ON EDGE_SRVR_PROD_2015.* TO 'edgedbuser'@'localhost' ; **Enter:** FLUSH PRIVILEGES;

```
mysql>  GRANT ALL PRIVILEGES ON EDGE_SRVR_COMMON_2015.* TO 'edgedbuser'@'localhost' ;
Query OK, 0 rows affected (0.00 sec)

mysql>  GRANT ALL PRIVILEGES ON EDGE_SRVR_PROD_2015.* TO 'edgedbuser'@'localhost' ;
Query OK, 0 rows affected (0.00 sec)

mysql>  FLUSH PRIVILEGES;
Query OK, 0 rows affected (0.00 sec)
```

Step 2: Issuers Prepare Servers (Continued)

- All permissions MUST be granted.
- Verify that all the correct permissions outlined were granted.
  - Enter: SHOW GRANTS FOR 'edgedbuser'@'localhost' ;

```
mysql> SHOW GRANTS FOR 'edgedbuser'@'localhost' ;
+-----------------------------------------------------------------------------------------------------+
| Grants for edgedbuser@localhost                                                                     |
+-----------------------------------------------------------------------------------------------------+
| GRANT USAGE ON *.* TO 'edgedbuser'@'localhost' IDENTIFIED BY PASSWORD <secret>                      |
| GRANT ALL PRIVILEGES ON `EDGE_SRVR_COMMON`.* TO 'edgedbuser'@'localhost' WITH GRANT OPTION          |
| GRANT ALL PRIVILEGES ON `EDGE_SRVR_TEST_2015`.* TO 'edgedbuser'@'localhost'                         |
| GRANT ALL PRIVILEGES ON `EDGE_SRVR_PROD_2015`.* TO 'edgedbuser'@'localhost'                         |
| GRANT ALL PRIVILEGES ON `EDGE_SRVR_COMMON_2015`.* TO 'edgedbuser'@'localhost'                       |
| GRANT ALL PRIVILEGES ON `EDGE_SRVR_PROD`.* TO 'edgedbuser'@'localhost' WITH GRANT OPTION            |
| GRANT ALL PRIVILEGES ON `EDGE_SRVR_TEST`.* TO 'edgedbuser'@'localhost' WITH GRANT OPTION            |
+-----------------------------------------------------------------------------------------------------+
7 rows in set (0.00 sec)
```

- (Optional) Issuers who like to provide permissions to archive custom schemas should complete the following:
- Note that EDGE_SRVR_COMMON_CUSTOM and EDGE_SRVR_PROD_CUSTOM are sample examples for CUSTOM schema names. The actual names would be available in edge.properties.
  - **Enter:** GRANT ALL PRIVILEGES ON EDGE_SRVR_COMMON_CUSTOM_2015.* TO 'edgedbuser'@'localhost';
  - GRANT ALL PRIVILEGES ON EDGE_SRVR_PROD_CUSTOM_2015.* TO 'edgedbuser'@'localhost';
- Enter: FLUSH PRIVILEGES;

Steps 2 & 3: Issuer Confirmation and CMS Outreach (07/17)

- Once issuers have prepared their servers, issuers need to confirm the EDGE server is ready for the July 22, 2016 code deployment by completing the Archive Web Form.
- CMS will send the Archive Web Form link to the EDGE CEO Designate and alternate contact on a future date from RARIPaymentOperations@cms.hhs.gov.
- Issuers must complete and report the completion of pre-archive steps by 5 p.m. July 17, 2016.
  - Issuers who do not confirm by July 17, 2016 will be contacted via phone, and advised that confirmation must be completed by July 21, 2016, or the archive command may fail.

Step 4: EDGE Server Application Update Released

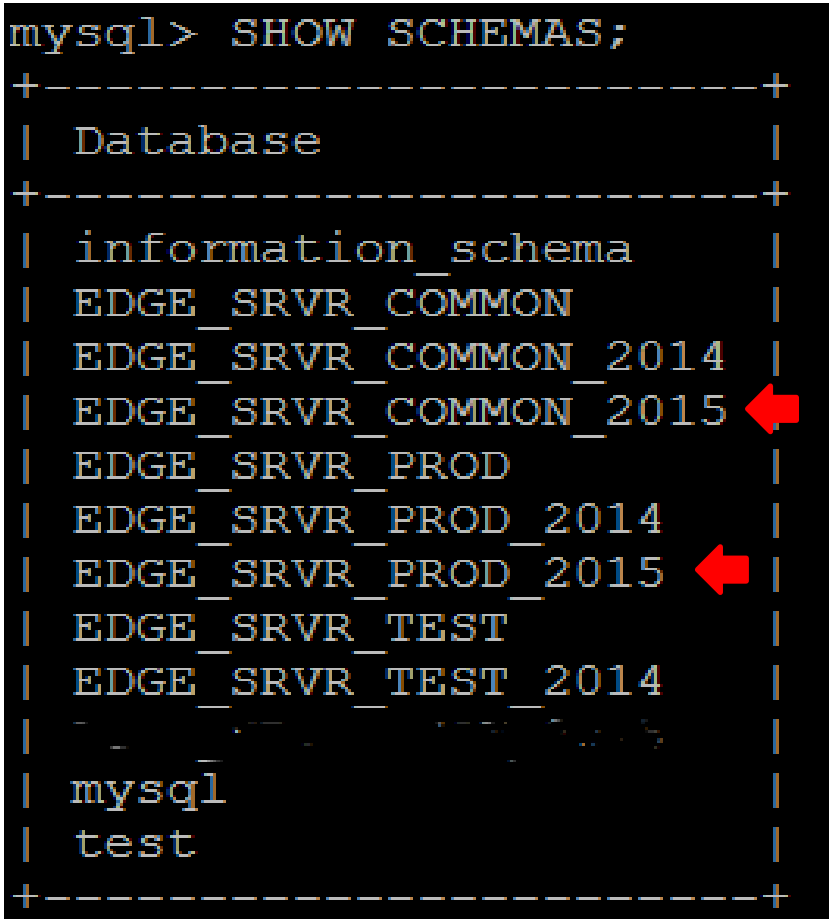
- On July 22, 2016, CMS will release an EDGE server application update which will deploy new database schemas that will be used to archive the 2015 data on issuers' servers.
- Once the application update is released, issuers will need to execute a local 'edge' command to apply the updates (e.g. **'edge version'**).
- CMS will contact issuers with unsuccessful application updates.

Steps 4 & 5: Archive Command Deployment and Issuer Executes

- At 12:01 a.m. on July 23, 2016, CMS will release an EDGE server command (YEAR_END_BACKUP_DB) that will perform the archive of the 2015 EDGE production and common data.
- Issuers will need to execute a local 'edge' command (e.g. **'edge version**') to begin the archive process.
  - Issuers should email EDGE_Server_Data@cms.hhs.gov as soon as possible, if they experience any problems executing the archive process.
- Starting Monday, July 25, 2016 CMS will confirm archive is successful and conduct outreach to any issuers who have servers in a failed or pending status.
- **NOTE:** July 23, 2016 is the tentative date for the EDGE server archive command.

Step 6: Confirm New Schemas Created

- CMS recommends that issuers validate the archive was successful by confirming the following schemas were created:
  - EDGE_SRVR_COMMON_2015
  - EDGE_SRVR_PROD_2015
- Execute the command '**show schemas'**, in MySQL, to list all EDGE server schemas.



Step 6: Confirm Database Schema Tables

- Confirm the new tables were created in the new schemas by executing the commands shown below.

COMMON Schema	PROD Schema
Execute: EDGE_SRVR_COMMON_2015	**Execute: EDGE_SRVR_PROD_2015**
To list the tables, execute: show tables;	**To list the tables, execute: show tables;**
Table Count: 75	**Table Count: 39**

Step 6: Archive Confirmed Successful

- Confirmation of a successful archive completion will be collected by CMS before Friday, July 29, 2016.
- IMPORTANT: All issuers must have completed a successful archive before the blackout will be lifted.

2016 Data Submission Requirements

Important Dates

- The blackout period currently in effect will be lifted on Friday, July 29, 2016 after all issuers have successfully archived their servers.
- Issuers may begin submitting data to the production zone as soon as the blackout is lifted.

2016 Enrollment Submission

- On March 18, 2016, CMS published guidance in Issue 26 of the 'EDGE Server Updates 2015 Data Submission' related to 2016 enrollment submission.
- Issuers will need to submit 2015 and 2016 enrollment for the 2016 Benefit Year in order for cross-year claims to be included in the 2016 calculations.
  - Issuers are not required to submit 2014 enrollment.
- Issuers should review the three (3) options provided by CMS in the published guidance to determine the best method for submitting 2015 and 2016 enrollment data.

2016 Claims Data Submission

- Issuers should submit:
  - Medical claims with a 2016 Statement Covers From date and 2016 Statement Covers Through date.
  - Medical claims with a 2015 Statement Covers From date and 2016 Statement Covers Through date.
  - Pharmacy claims with a 2016 Fill Date.
- Claims will be rejected if:
  - Medical claims contain both a Statement Covers From and Through date prior to January 1, 2016.
  - Pharmacy claims that contain a Fill Date prior to January 1, 2016.

2015 and 2016 Claims Data Submission

- Any medical or pharmacy claim submitted for the 2015 Benefit Year will be rejected with the following Error Messages:
  - Medical:
    - Error Code 3.5.69 Message: Statement Covers Through date must be within the current payment year(s) accepted by the EDGE server.
  - Pharmacy:
    - Error Code 3.5.68 Message: Fill Date must be within the current payment year(s) accepted by the EDGE server.

2016 Plan Reference Data Updates

2016 Plan Data Updates

- CMS deployed the first set of 2016 Plan IDs to issuers' EDGE servers in March 2016.
- CMS will update issuers' EDGE server plan reference data tables by August 29, 2016.
  - Issuers can expect all on-Exchange plans (Federally-facilitated Marketplace [FFM] and State-based Marketplace [SBM]) to be included.
  - Issuers can expect all off-Exchange plans submitted and attested to in the Rate and Benefits Information System (RBIS) by July 8, 2016 to be included.
    - Issuers who did not submit data by July 8, 2016 will not have their plan reference tables updated with off-Exchange plans.

2016 Plan Reference Data

- For 2016, CMS will not utilize the "work around" template process that was in place for the 2015 data submission period.
  - Issuers must follow the appropriate process to submit off-Exchange data to RBIS by July 7, 2016.
    - This includes plans that are no longer being sold in 2016 but continue to have enrollment for part of the 2016 Benefit Year.
  - Issuers must respond to any RBIS feedback and submit any corrections needed.
  - Issuers should contact the appropriate parties in their organization to ensure that off-Exchange plan reference data has been submitted and accepted by the RBIS team.
  - Questions regarding RBIS data submission should be sent to CCIIOPlanFinder@cms.hhs.gov.

2016 Plan Reference Data (Continued)

- 2015 plan reference data will remain active in the plan reference table with a 2015 Market Year.
- 2016 plan reference data will be loaded to the plan reference table with a Market Year of 2016.
- Effective "from" and effective "to" dates in the table are irrelevant and have no affect on the acceptance or rejection of data submitted.

Plan ID	Effective From	Effective To	Market Year
11801PA004000102	01/01/2015	12/31/2015	2015
11801PA004000102	01/01/2016	12/31/2016	2016

Plan ID	Effective From	Effective To	Market Year
02114NY001000103	01/01/2015	12/31/9999	2015
02114NY001000103	01/01/2016	12/31/9999	2016

Important Reminders and Next Steps

Important Reminders

- Issuers should be prepared to perform the necessary actions to successfully archive 2015 data beginning on July 5, 2016.
- Issuers should notify CMS when you have completed the pre-archive steps through the Archive Web Form.
- All servers must have successfully archived or the blackout will not be lifted on July 29, 2016.
- All issuers should review the 2016 enrollment file requirements and options published in Issue 26 of the 'EDGE Server Updates 2015 Data Submission' in the REGTAP Library.
- Issuers should submit any remaining off-Marketplace plans to RBIS by July 8, 2016.
- Issuers should contact EDGE_Server_Data@cms.hhs.gov with any issues or questions.

Next Steps

Who	When	Next Step
CMS	Week of July 5th	Email Issuers/TPAs Archive Job Aid and Archive Web Form
Issuer	Week of July 5th	Update/Verify EDGE properties and permissions for archive
Issuer	July 5th – 17th	Notify CMS that EDGE is ready for archive
Issuer	July 7th	Final deadline to submit 2016 RBIS (off-Marketplace) plan data - Including plans that are no longer being sold in 2016 but continue to have enrollment
CMS	July 18th – 21st	Call issuers who have not notified CMS they are ready for archive
CMS	July 22nd (8-11pm)	Deploy code to update schemas
CMS	July 23rd (12:01am)	Deploy command to archive
Issuer	July 23rd *tentative*	Execute archive command
CMS	July 25th – 29th	Confirm archive successful and outreach to any issuers who have servers in a failed or pending status
CMS	July 29th	Lift blackout (dependent on successful archive by all issuers)
Issuer	After Successful Archive Completion	Production zone available for data submission
CMS	Aug 29th	Deploy 2016 plan reference updates

Questions?

To submit questions by phone:

- ❑ Dial ‘14’ on your phone’s keypad
- ❑ Dial ‘13’ to exit the phone queue

Upcoming Webinar

Webinar	Scheduled Event Date
Walkthrough of Pre-Archival Confirmation	**July 5, 2016 11:30 a.m. – 1:00 p.m. ET**

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Resources

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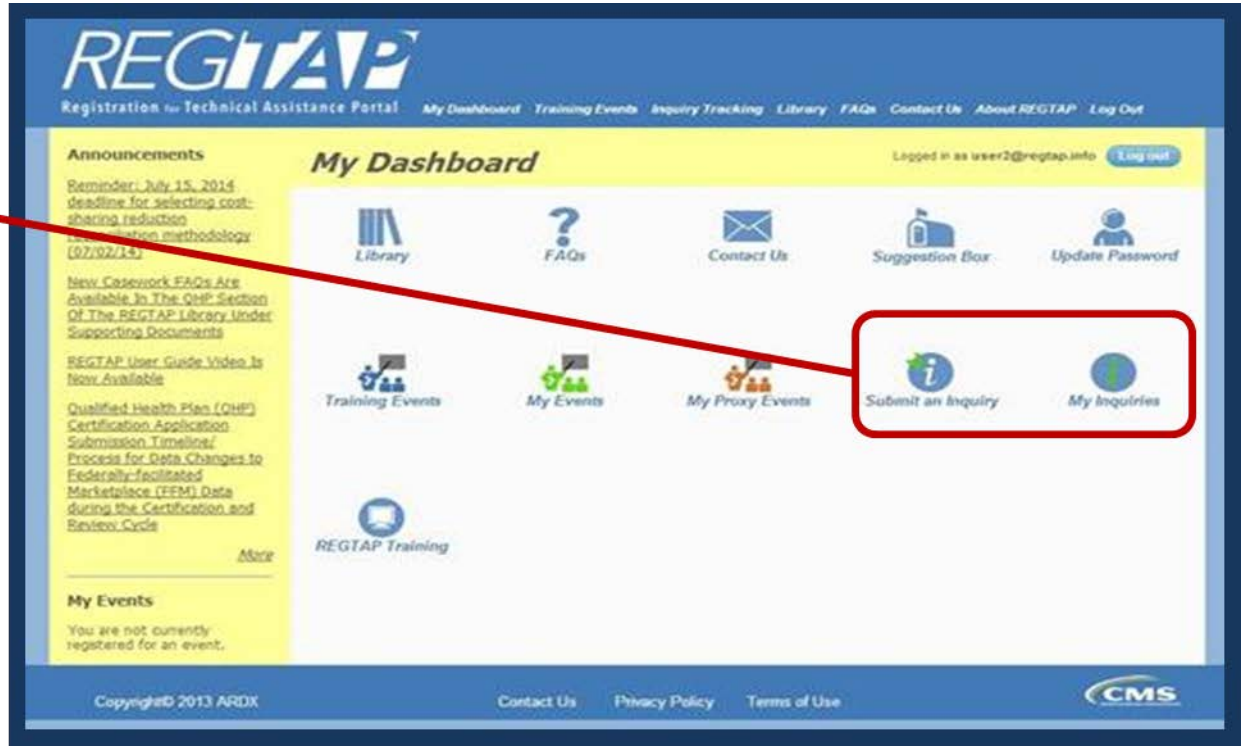
Resources

Resource	Resource Link
Center for Consumer Information and Insurance Oversight (CCIIO)	http://www.cms.gov/cciio
REGTAP • Registration • Inquiry Tracking and Management System (ITMS) • Resource Library • Frequently Asked Questions (FAQs)	https://www.REGTAP.info/

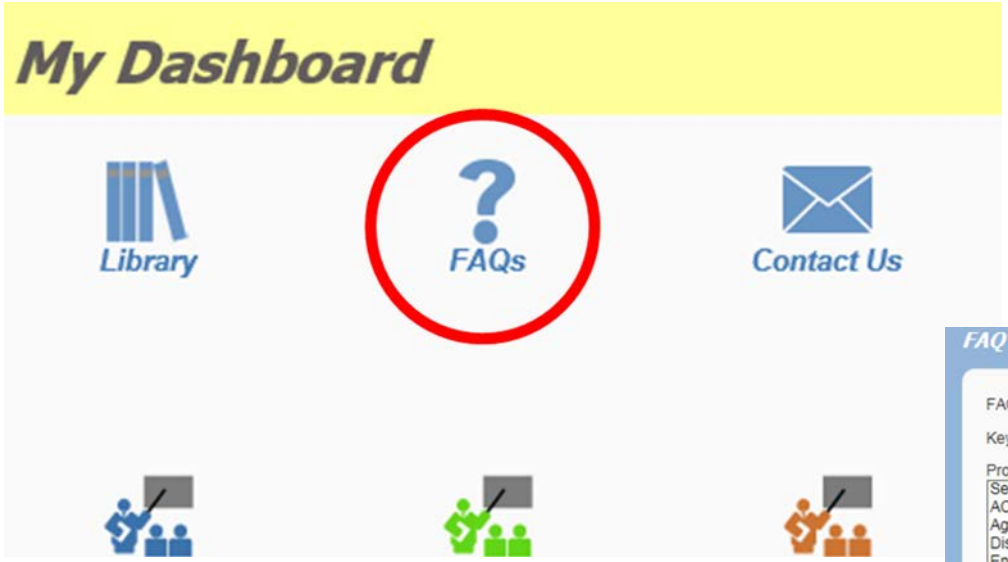
Inquiry Tracking and Management System (ITMS)

Stakeholders can submit inquiries to ITMS at https://www.REGTAP.info

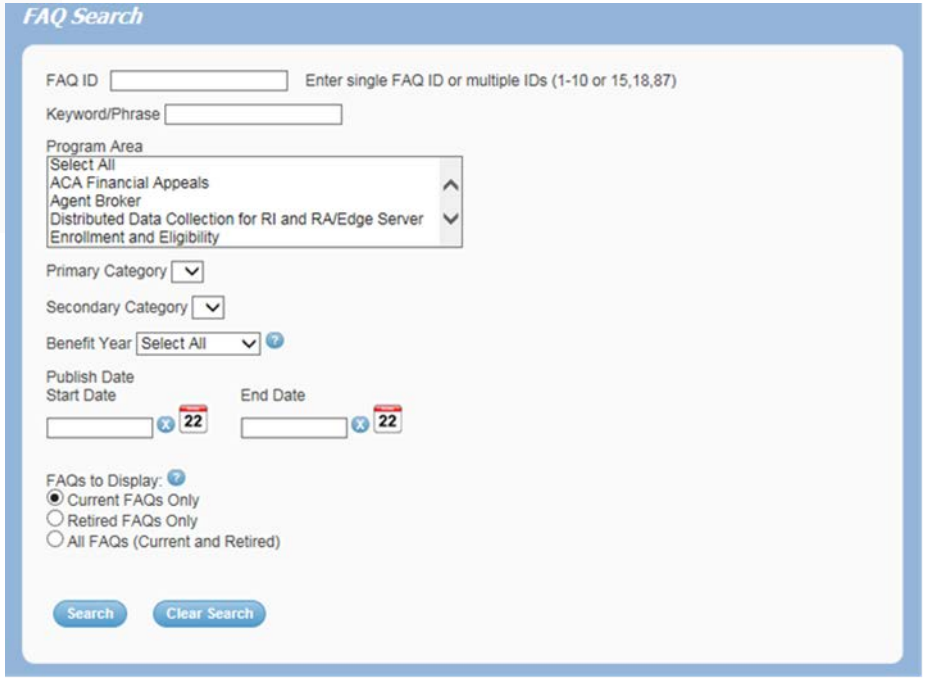
Select 'Submit an Inquiry' from My Dashboard.



FAQ Database on REGTAP



The FAQ Database allows users to search FAQs by FAQ ID, Keyword/Phrase, Program Area, Primary and Secondary categories, Benefit Year and Publish Date.



FAQ Database is available at https://www.regtap.info/.

Closing Remarks

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