DISTRIBUTED DATA COLLECTION (DDC) FOR REINSURANCE (RI) AND RISK ADJUSTMENT (RA): 2015 EDGE Server Status & Baseline Reporting

October 20, 2015

Health Insurance Marketplace Program
Training Series

WWW.REGTAP.INFO

Agenda

Session Guidelines

- This is a 90-minute webinar session.
- For questions regarding content, please submit inquiries to: raripaymentoperations@cms.hhs.gov
    - Include EDGE server and the Health Insurance Oversight System (HIOS) ID in the subject line.
- For questions regarding logistics and registration, please contact the Registrar at: (800) 257-9520.

Intended Audience

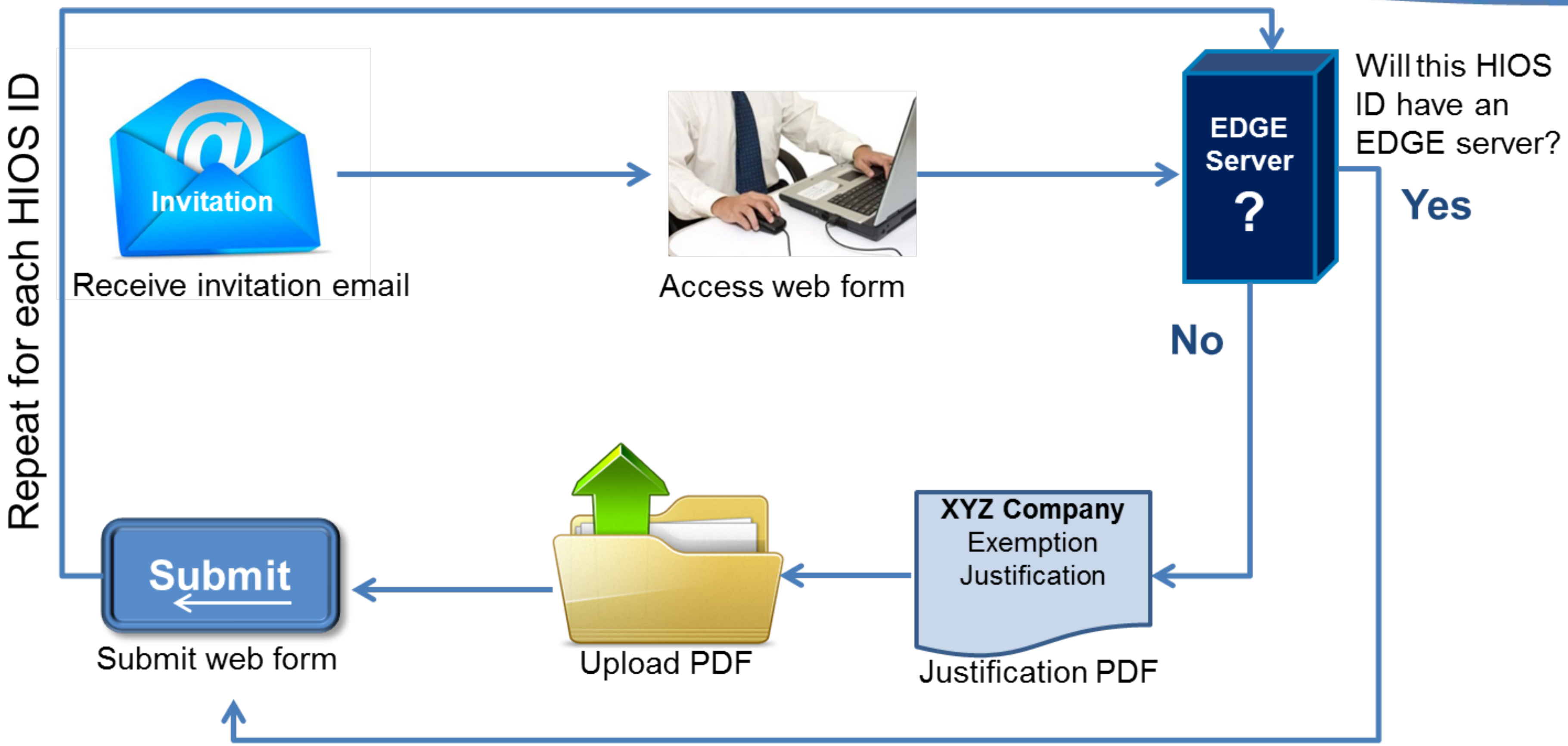
- Amazon Web Services (AWS) and On-Premise Issuers.
- Third Party Administrators (TPAs) and Support Vendors.

EDGE Server Status Reporting

EDGE Status Reporting Overview

- CMS is working to validate the population of HIOS IDs that will have related EDGE servers for the 2015 Benefit Year by establishing a systematic reporting process.
- CMS has already identified new issuers but understands not all issuers who provisioned a server in 2014 have data to report in 2015.

EDGE Status Reporting Process



EDGE Status Reporting Guidelines

- The Submitter should be prepared to provide the following Submitter and Alternate Contact information:
  - First Name
  - Last Name
  - Job Title
  - Email Address
  - Phone Number
- If not participating in 2015, the Submitter should provide a valid exemption reason:
  - Issuer has only grandfathered or transitional plans in 2015.
  - Issuer offers only large group plans in 2015.
  - Issuer has had no 2015 enrollment in any of the issuer's plans subject to the RA and RI programs.
  - Issuer offers only stand-alone dental coverage.
  - Other*

***If "Other" is selected, a reason must be provided**.

EDGE Status Reporting Guidelines

(continued)

- If seeking an exemption, upload justification on company letterhead in PDF format, citing the appropriate exemption reason.
  - If you have multiple exempt HIOS IDs, you may create a single PDF to be uploaded. Please ensure each HIOS ID is listed with the associated exemption reason in the PDF.

NOTE

You must still upload a new PDF for each HIOS ID. This can be the same single PDF that was created, as long as each HIOS ID is listed with the associated exemption reason.

Reporting Status for 10 or More HIOS IDs

- Issuers submitting the Microsoft Excel workbook in lieu of the web form should:
  - o Include the workbook as an attachment to the invitation email.
  - o Populate the workbook with all HIOS IDs for which you must report.

NOTE

The workbook will only be sent to Issuers with 10 or more HIOS IDs.

- Email completed workbook to: raripaymentoperations@cms.hhs.gov
  - o Reply to the invitation email, or
  - o Copy and paste subject line from the invitation email to ensure the subject line includes your Federal Employer Identification Number (FEIN).
  - o Attach PDF justification for exempt HIOS IDs.

How Status Ties into Baselines

EDGE Server ? **No** →

Valid Exemption Reasons

- Only grandfathered or transitional plans
- Only large group plans
- No enrollment in plans subject to the RA or RI programs
- Offers only stand-alone dental coverage
- Other*

= No Baseline Reporting Required

EDGE Server ? **Yes** → = Baseline Reporting Required

***If "Other" is selected, a reason must be provided.**

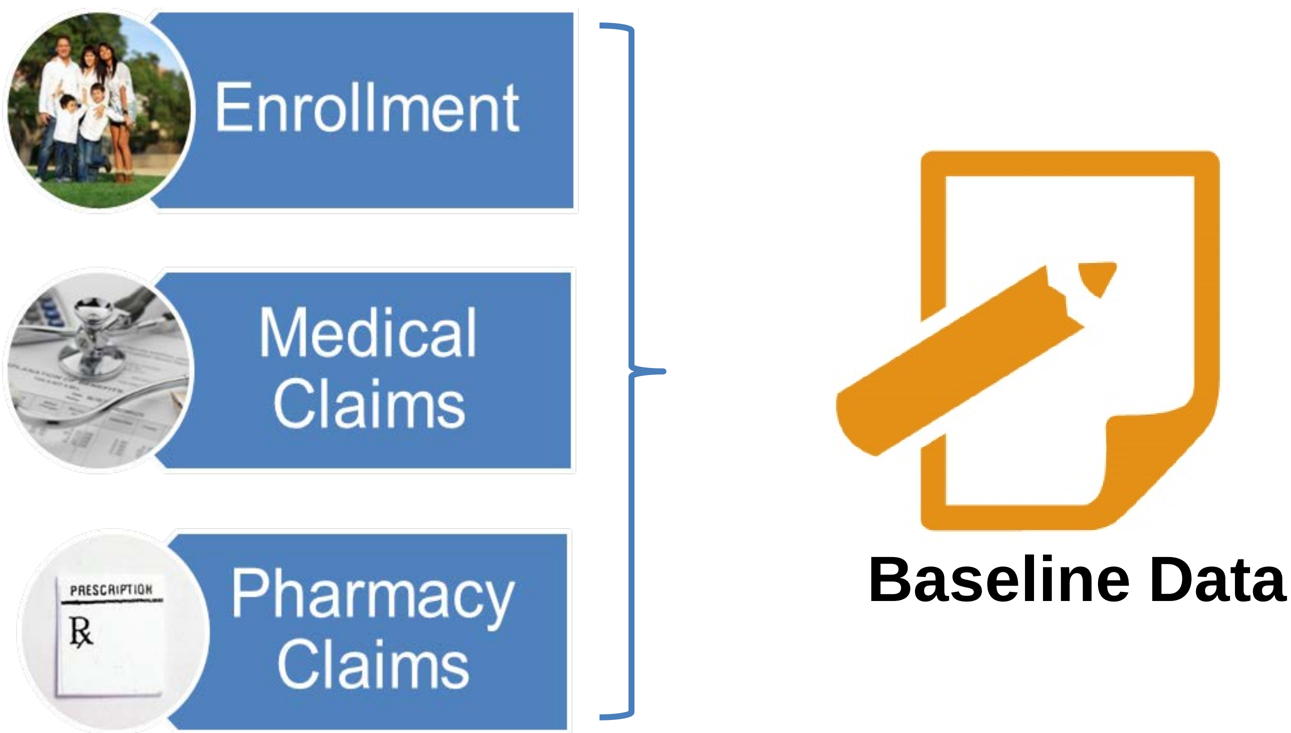
EDGE Status Reporting Deadline

- EDGE server status reporting data must be submitted by **11:59 p.m. ET on November 4, 2015.**

EDGE Server Baseline Reporting

EDGE Baseline Submission

- CMS is working to ensure the completeness of 2015 EDGE server data. CMS must establish baselines of the following:



EDGE Baseline Reporting Process

Receive an email with links to access the 2015 EDGE Server Baseline Reporting Web Form and Job Aid.

Collect baselines for enrollment, medical claims and pharmacy claims.

Access web form to enter baselines.

Upload .CSV file (using the job aid) to report a large number of HIOS IDs.

Manually enter baselines to the web form per HIOS ID and Market.

Validate Submitter's access to HIOS IDs.

Submit baselines.

EDGE Baseline Submission Guidelines

- 2015 Benefit Year enrollment, medical and pharmacy claim counts are reported by Market for each HIOS ID.
- Issuers should provide the actual counts from your internal enrollment and claims systems.
- Issuers should indicate if they are submitting Supplemental Diagnosis files for the 2015 Benefit Year.
- Issuers should provide the total Premium Amount for the second and third collection periods.

Prepare Before Reporting Baselines

Any individual who receives the baseline e-mail may submit baseline on behalf of the issuer. In addition, CMS requires a contact to validate the information for the CEO Designate.

Submitter Information:

- First Name
- Last Name
- Job Title
- Email Address
- Phone Number

Alternate Contact Information:

- First Name
- Last Name
- Job Title
- Email Address
- Phone Number

NOTE

Two (2) unique contacts must be entered, and one (1) of the contacts provided must include the Chief Executive Officer (CEO) designate*.

***If you do not know your CEO designate, please contact your Financial Management (FM) Service Representative.**

Prepare Before Reporting Baselines
(continued)

Enrollment Count	Medical Claims	Pharmacy Claims
• The actual number of unique covered lives that will be submitted to the EDGE server. • Include enrollees and their dependents.	• The actual number of medical claims (not claim lines) that will be submitted to the EDGE server. • Do not count void or replacement claims as part of the claims total.	• The actual number of pharmacy claims that will be submitted to the EDGE server. • Do not count void or replacement claims as part of the claims total.

NOTE

Each baseline count is collected per HIOS ID and Market.

Prepare Before Reporting Baselines (continued)

Supplemental Files

- Refers specifically to Supplemental Diagnosis Codes that were missed or omitted during the initial claim or encounter submission.
- Must follow the EDGE server Interface Control Document (ICD) and Business Rules, Section 8 for submission of Supplemental Diagnosis data, located in the REGTAP Library.

NOTE

A company is not required to submit supplemental files.

Total Premium Amount

- Reported for the second and third collection periods.
- Aggregation of monthly total rated premium charged for a subscriber’s policy, including the advanced premium tax credit (APTC) amount.
- May include more than the amount charged directly to a subscriber.

Baseline Reporting Deadlines

First Collection

- Quarter 1
- Quarter 2

Due by 11:59 p.m. ET on 11/4/15

Second Collection

- Quarter 1
- Quarter 2
- Quarter 3

Due by 11:59 p.m. ET on 12/9/15

Third Collection

- Quarter 1
- Quarter 2
- Quarter 3
- Quarter 4

Due by 11:59 p.m. ET on 2/17/16

Steps for Reporting Baselines

Accessing the Web Form

- After collecting the baseline counts for enrollment, medical claims, and pharmacy claims, refer to the baseline invitation email with links to access the 2015 EDGE Server Baseline Reporting Web Form and Job Aid.

Web Form: Welcome Page & Contact Information

Welcome Page

- Review the instructions on how to report baselines for the 2015 Benefit Year.
- Select the **Next** button.

Contact Information

- Enter all required Submitter details, as indicated with a red asterisk (*).
- Select the **Next** button.

NOTE

The Submitter and Alternate Contact (one [1] of these people must be the CEO designate*) information must be entered on the contact information page to move forward in the baseline reporting process.

***If you do not know your CEO designate, please contact your FM service representative.**

Web Form: Submission Method

How are you going to submit your 2015 EDGE server baseline counts?

Are you reporting for a large number of HIOS IDs?

NOTE

You must complete the web form in one (1) session for all applicable HIOS IDs/Markets.

Yes → Use the 2015 EDGE Baseline Reporting Job Aid to create a .CSV file to upload.

No → Manually enter baselines on the web form per HIOS ID and Market.

Web Form: Online Entry Selected

HIOS Validation:

Enter a valid 2015 HIOS ID and select the **Next** button.

Reminder

You will be required to navigate through the web form and enter data for each HIOS ID. If you have a large number of HIOS IDs, you may want to consider using the 2015 EDGE Baseline Reporting Job Aid.

Confirm HIOS ID:

Review and confirm the accuracy of the following information:

- HIOS ID
- Legal Business Name
- FEIN

Select the **Next** button.

Web Form: EDGE Server Baseline Counts

Market Type:

Select from the drop down menu:

- Individual
- Small Group
- Merged (only for VT and MA)

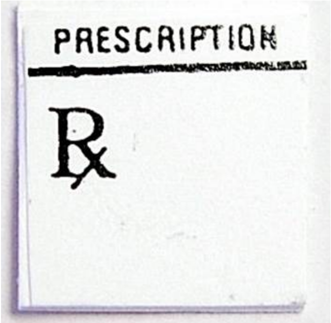
Enrollment Count:

- Enter positive whole number.
- Enter actual number of unique covered lives including enrollees and their dependents for the 2015 Coverage Year.
- CMS will match this number against the Enrollment Claims Selection (ECS) report.
- CMS will collect only 2015 enrollment. Do not include 2014 enrollment records that are loaded on your EDGE server.

Web Form: EDGE Server Baseline Counts (continued)

Medical Claims Count:

- Enter the actual number of medical claims (not claim lines).
- Only quarters within the current collection period will be available for data entry.
- Include cross-over claims in Q1 counts.
- Only include paid claims (claims that can be submitted to EDGE).



Pharmacy Claims Count:

- Enter the actual number of pharmacy claims (not claim lines).
- Only quarters within the current collection period will be available for data entry.

Web Form: Supplemental Files & Total Premium Dollar Amount

Will you be submitting Supplemental Diagnosis files?

- Select **Yes** or **No** from the drop-down menu.

What is your total premium dollar amount?

- Enter the total premium dollar amount for medical and pharmacy benefit plans for the collection period.
- The amount is entered per HIOS ID and Market.
- This field is required and available during the second and third collection periods.

Web Form: Variance Explanations

Count Variance Explanation (Optional)

- Text entry field (limit 2000 characters).
- Enter an explanation for why counts have significantly changed from the prior collection period.

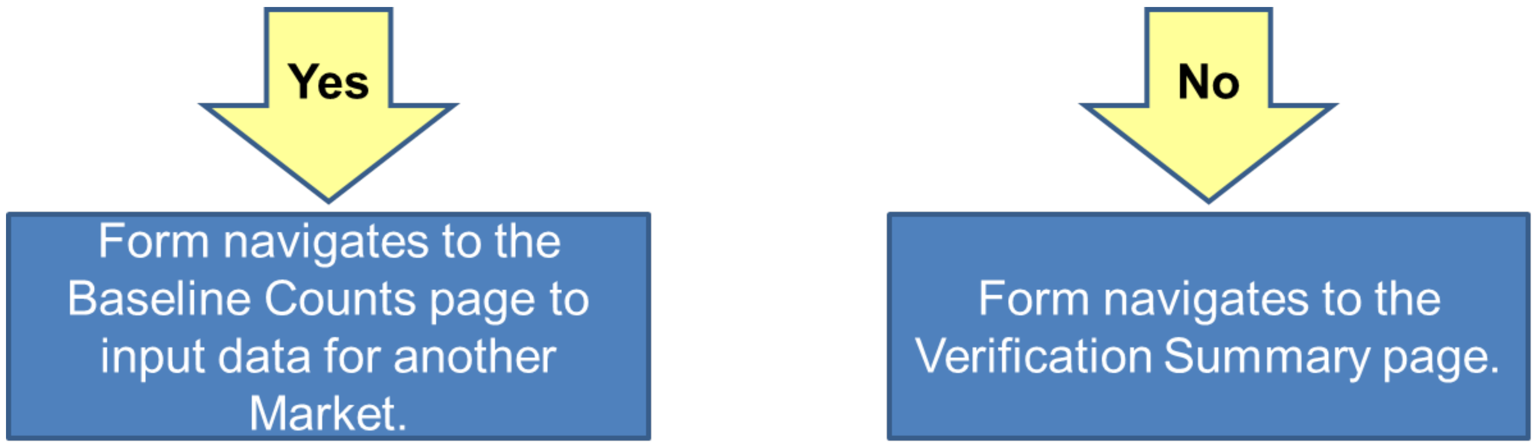
Ratio Variance Explanation (Optional)

- Text entry field (limit 2000 characters).
- Enter an explanation for why the claims to enrollee ratio is outside the following thresholds:
    - First Collection – 10 claims per enrollee
    - Second Collection – 15 claims per enrollee
    - Third Collection – 20 claims per enrollee

Web Form: Entering Additional Baseline Counts

Do you have additional baseline counts to enter for another market for this HIOS ID?

- Select **Yes** or **No** from the drop down menu.



- Select the **Next** button.

Web Form: Multiple Response & Outside Collection Period Explanations

Multiple Response Explanation (Optional)

- Text entry field (limit 2000 characters).
- Enter an explanation for why multiple responses were submitted for a HIOS ID and Market.

Response Outside Collection Period Explanation (Optional)

- Text entry field (limit 2000 characters).
- Enter an explanation for why baselines for a HIOS ID and Market are being submitted outside a collection period.

Web Form: Verification Summary

Verification Summary Page

- Verify the information entered for each of the listed fields is correct.
- Select the **Edit Contact Info** or **Edit** buttons to make corrections.
- Answer, “Do you have baseline counts for another HIOS ID?”.

Yes

Form navigates to the HIOS Validation page to input data for the next HIOS ID/Market.

No

Form navigates to the Confirmation page.

Web Form: Confirmation Page

Confirmation Page

- Submission End Time – date and time baselines were submitted.
- Acknowledgement email and submission information sent to email addresses – Submitter and Alternate Contact email addresses listed.
- PDF button – generates a PDF containing all the HIOS ID numbers associated with the submitted baseline counts.

NOTE

It is recommended that you print and save a copy of the web form information for your records.

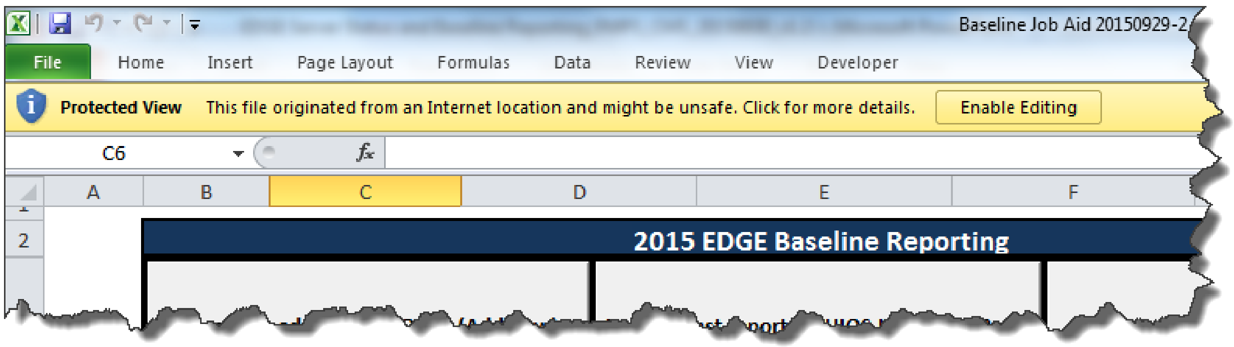
Creating the .CSV File Using the Job Aid

2015 EDGE Baseline Reporting Job Aid

2015 EDGE Baseline Reporting						
	Report for additional HIOS ID and market			Please use the Tab key when navigating fields, not the Enter key.		
	Create .CSV File					
		HIOS ID	Market 1 = Individual 2 = Small group 3 = Merged	Medical Claims Count	Pharmacy Claims Count	
Delete Section	Quarter 1					
	Quarter 2					
	Quarter 3					
	Quarter 4					
	Enrollment Count					
	Will you be submitting supplemental files? (Required - Yes/No)					
	What is your total premium dollar amount?					

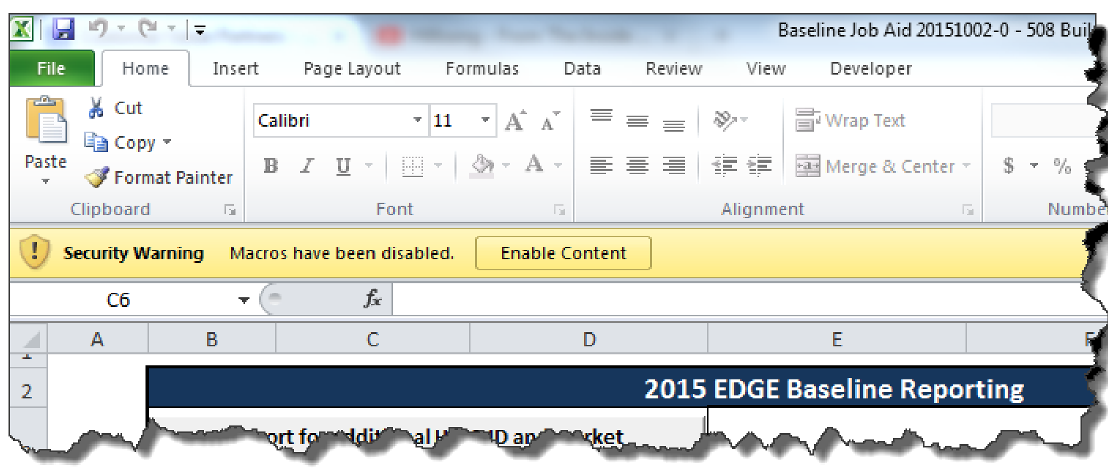
- The job aid is a macro-enabled Excel file that will allow you to enter Baseline counts and create a .CSV file by selecting a button within the tool.
- The 2015 Baseline Reporting Job Aid Manual is a tool available to guide you through the process of using the job aid.

2015 Baseline Reporting Job Aid Enablement



Enable Editing:
Select the **Enable Editing** button in the yellow ribbon at the top of the page.

Enable Macros:
Select the **Enable Content** button in the yellow ribbon at the top of the page.



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Entering HIOS ID Information

Issuers will need to enter the following HIOS ID information:

- The valid 5-digit HIOS ID(s)
  - This must be a valid 2015 HIOS ID
- Market type
  - Individual
  - Small group
  - Merged (only for VT and MA)
- Medical claims count for each reportable quarter
- Pharmacy claims count for each reportable quarter
- Enrollment count for the 2015 Benefit Year
- Indication on submission of Supplemental Diagnosis files
  - Supplemental Diagnosis files will not be submitted at this point
- Total premium dollar amount for the second and third collection periods

Additional Features of the Job Aid

- Adding HIOS ID and Market Information
  - Add as many additional HIOS IDs and Markets as necessary.
- Deleting HIOS ID and Market Information
  - Remove as many additional HIOS IDs and Markets as necessary.

Reviewing and Creating the .CSV File

Create .CSV File

1. Review the HIOS ID and Market information you have entered into the job aid.
2. Select the **Create .CSV File** button.
   - The workbook will display all relevant records that contain an error.
   - All identified errors must be corrected before the job aid will create the .CSV file.
   - When saving the .CSV file on your computer, you will be prompted to select a location and file name for the .CSV file.

NOTE

Saving the spreadsheet using the .CSV file extension will **NOT** create a .CSV file. You must select the **Create .CSV File** button in the job aid to create the .CSV file.

Saving the Job Aid

- Save the job aid to use when reporting baselines for a new collection period.

NOTE

You are encouraged to use the same job aid to report baselines for the first, second and third collections.

- Locate and select the **Save As** command in Excel.
- The **Save As** dialog box will appear. Select the location where you want to save the job aid Excel file.
- Open the saved job aid Excel file and enter the new required data.

Web Form: .CSV Upload

Once the .CSV file has been created:

1. Navigate to the web form from the link in the invitation email.
2. Complete the Contact Information page.
3. Select **Upload CSV** on the Submission Method page.
4. In the .CSV Upload page, select the **Browse** button to locate the completed .CSV file to upload.
5. Select the **Upload Attachment** button to validate the .CSV file and move forward to complete the web form.

Web Form: Verification Summary (.CSV)

Verification Summary Page

- Verify the information entered for each of the listed fields is correct.
  - Select the **Edit Contact Info** or **Edit** buttons to make corrections.
  - To upload a corrected .CSV file, select the **Replace .CSV File** button (selecting this option will clear the data uploaded from the original .CSV file).
- Select **Yes** to navigate to the HIOS Validation page and enter an additional HIOS ID and Market.
- Select **No** to submit your Baseline Report and navigate to the Confirmation page.

Web Form: Confirmation Page

Confirmation Page

- Submission End Time – date and time baselines were submitted.
- Acknowledgement email and submission information sent to email addresses – Submitter and Alternate Contact email addresses listed.
- PDF button – generates a PDF containing all the HIOS ID numbers associated with the submitted baseline counts.

NOTE

It is recommended that you print and save a copy of the web form information for your records.

Key Dates and Deadlines

Key Dates & Deadlines

	Notification Date	Deadline
EDGE Server Status	**October 28, 2015**	**November 4, 2015 11:59 p.m. ET**
EDGE Server Baseline	NULL	NULL
First Collection	October 28, 2015	November 4, 2015 11:59 p.m. ET
Second Collection	December 2, 2015	December 9, 2015 11:59 p.m. ET
Third Collection	February 10, 2016	February 17, 2016 11:59 p.m. ET

Review and Next Steps

EDGE Server Status & Reporting Review

- You will need to report EDGE server status for 2015 for each HIOS ID and provide justification for exemptions.
- You will need to report EDGE baselines for each HIOS ID by Market (unless exempt).
- Both processes may involve completion of a web form.
- A job aid for creating a .CSV file is available for reporting baselines for a large number of HIOS IDs.
- Send an email to raripaymentoperations@cms.hhs.gov and include **EDGE server** and **HIOS ID** in the subject line for questions about either process.

Next Steps

NOW

- Collect baseline counts for enrollment counts for the 2015 Benefit Year.
- Collect baseline counts for medical claims and pharmacy claims for Quarter 1 and Quarter 2.
- Designate a Submitter from your organization who will submit the baseline reporting web form and an Alternate Contact. One (1) of the above should be a CEO designate.

LATER

- **Complete the EDGE status reporting process.**
- Complete the baseline reporting process, if necessary.

Upcoming Webinars

Upcoming Webinars

Upcoming webinar presentations will:

- Highlight important business rules as they relate to a specific inbound file type.
- Provide information on outbound files.
- Explain data management and data retention requirements.

CMS staff will be available at the end of each webinar presentation to answer questions on the material covered in each session.

Upcoming Webinars

Webinar	Scheduled Event Date
Open Q&A Session	October 27, 2015
Duplicate Claims and Mother/Baby Claims	November 3, 2015
Open Q&A Session	November 10, 2015
File Processing Detail and Summary Reports Including Managing Errors	November 17, 2015

Questions?

To submit questions by phone:

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

Resources

Regulatory References

This list of regulatory references offers additional information and details on the Transitional Reinsurance Program.

Resource	Link/Contact Information
Standards Related to Reinsurance, Risk Corridors and Risk Adjustment (77 FR 17220) provided a regulatory framework	http://www.gpo.gov/fdsys/pkg/FR-2012-03-23/pdf/2012-6594.pdf
HHS Notice of Benefit and Payment Parameters for 2014 (78 FR 15410)	http://www.gpo.gov/fdsys/pkg/FR-2013-03-11/pdf/2013-04902.pdf
Program Integrity: Exchange, Premium Stabilization Programs, and Market Standards (78 FR 65046) established oversight standards	http://www.gpo.gov/fdsys/pkg/FR-2013-10-30/pdf/2013-25326.pdf
HHS Notice of Benefit and Payment Parameters for 2015 (78 FR 13744)	http://www.gpo.gov/fdsys/pkg/FR-2014-03-11/pdf/2014-05052.pdf
Exchange and Insurance Market Standards for 2015 and Beyond (79 FR 30240)	http://www.gpo.gov/fdsys/pkg/FR-2014-05-27/pdf/2014-11657.pdf
HHS Notice of Benefit and Payment Parameters for 2016 (80 FR 10750)	http://www.gpo.gov/fdsys/pkg/FR-2015-02-27/pdf/2015-03751.pdf

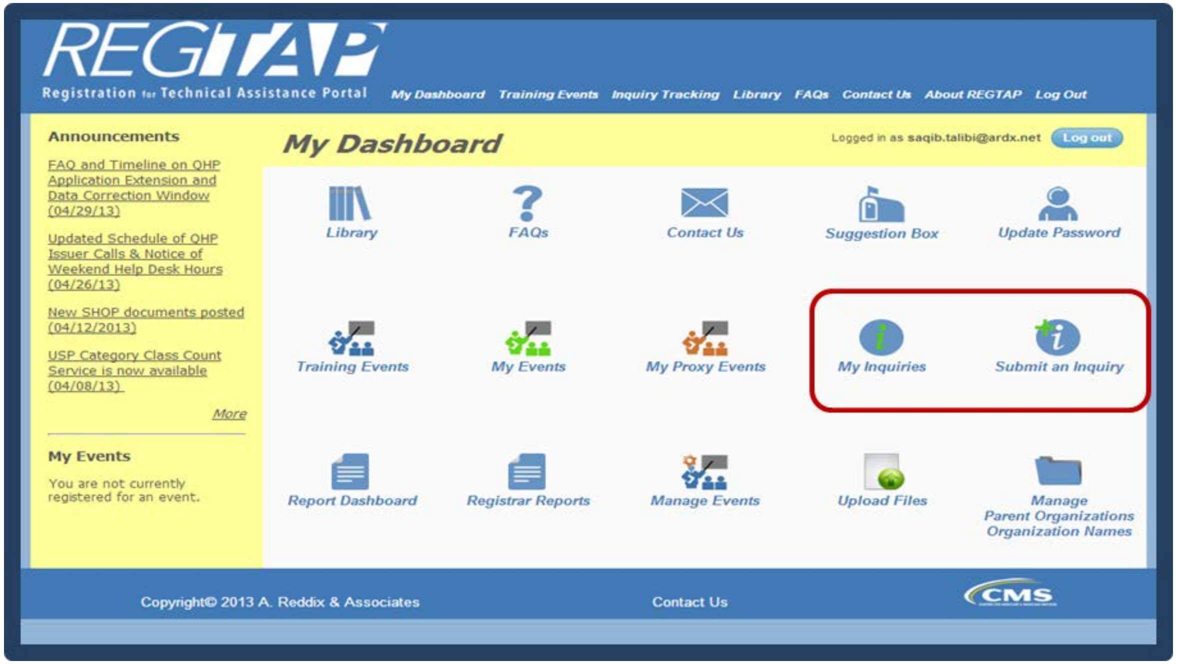
Resources

Resource	Link/Contact Information
U.S. Department of Health & Human Services	http://www.hhs.gov/
Centers for Medicare & Medicaid Services (CMS)	http://www.cms.gov/
The Center for Consumer Information & Insurance Oversight (CCIIO) web page	http://www.cms.gov/cciio
Registration for Technical Assistance Portal (REGTAP) - presentations, FAQs	https://www.REGTAP.info
Registration and Form on Pay.gov	https://pay.gov/paygov/

Inquiry Tracking and Management System (ITMS)

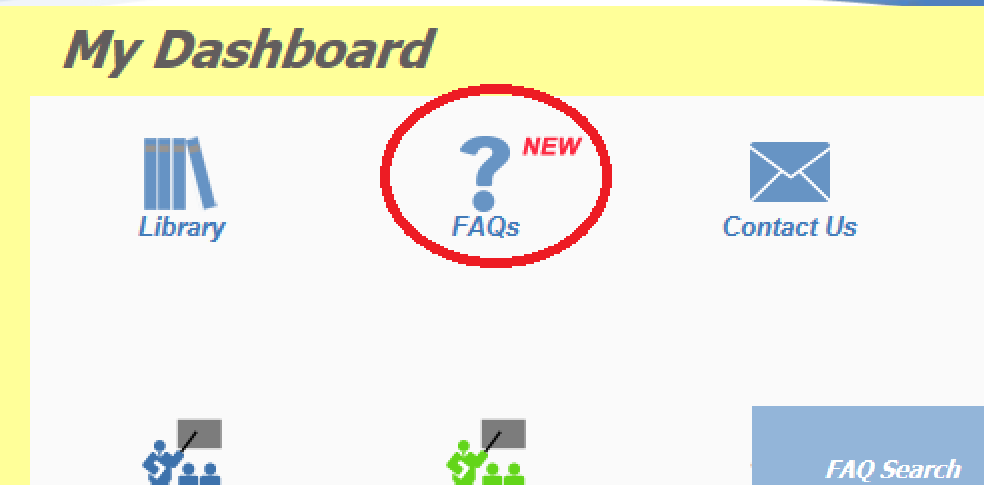
ITMS is available at http://www.REGTAP.info.

Users can submit questions after the User Group by selecting "Submit an Inquiry" from My Dashboard.



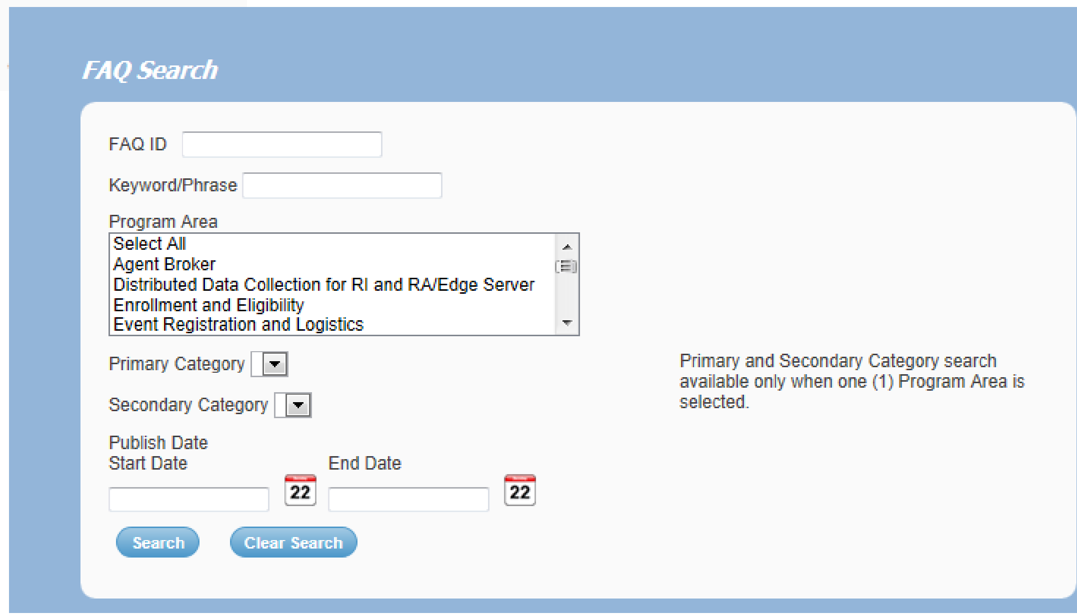
Note: Enter only one (1) question per submission.

FAQ Database on REGTAP



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

FAQ Database is available at http://www.REGTAP.info.



Closing Remarks