

HHS Risk Adjustment Data Validation (HHS-RADV) IVA Entity Designation

April 3, 2019

HHS-RADV Webinar Series IV

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Session Agenda

- Session Guidelines
- Intended Audience
- Session Purpose
- HHS-RADV Timeline
- Initial Validation Audit (IVA) Entity Designation
- Question and Answer (Q&A)
- Next Steps, Resources, and Closing Remarks

Session Guidelines

- This is a 60-minute webinar session
- For questions regarding content, please submit questions to the HHS-RADV team at the following email:
 - CCIIOACARADatavalidation@cms.hhs.gov
- For questions regarding logistics and registration, contact the Registrar at: (800) 257-9520

Intended Audience

- Issuers subject to the HHS-RADV Audit requirements under 45 CFR 153.630
- IVA Entities
- Third Party Administrators (TPA) and support vendors

Session Purpose

- Overview of the HHS-RADV issuer participation requirements
- Overview of Issuer SO and Issuer Coordinator designations
- Overview of IVA Entity designation
- Next steps and upcoming trainings

HHS-RADV Timeline

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HHS-RADV Timeline



To access the most HHS-RADV Timeline, please log in to REGTAP and visit the HHS-RADV Program Area page:

www.REGTAP.info/hhsradv.php

or utilize the following web link:

https://www.regtap.info/reg_librarye.php?i=2456

IVA Entity Designation

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IVA Entity Designation Overview

- The Issuer SO or Back-Up Issuer SO must complete registration in the HHS-RADV Audit Tool before they are able to complete the IVA Entity Designation Form
 - The IVA Entity Designation Form is available in the Audit Tool under the **Forms** tab
- The IVA Entity Designation must be completed and the designation accepted by CMS before an IVA Entity will have access to an issuer's sample reports
- This is an annual process that must be completed by new and returning issuers

Accessing the Form

- Select the **Forms** tab from the main page of the Audit Tool

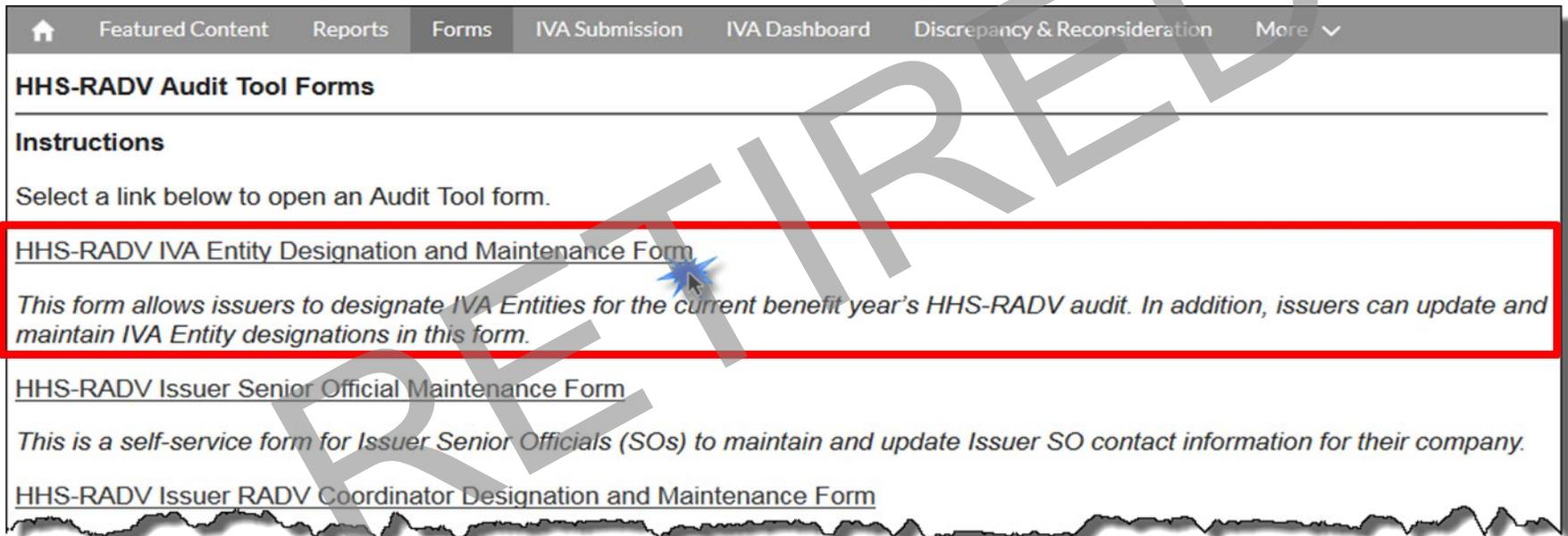
This system is a part of the CCIIO Customer Relationship Management System (CCRMS) which supports the PPACA Premium Stabilization Programs, including Reinsurance, Risk Adjustment, and Risk Corridors.

Search... Bob Wills ▾

Home Featured Content Reports **Forms** IVA Submission IVA Dashboard Discrepancy & Reconsideration More ▾

A screenshot of a web application interface. At the top, there is a blue header with the title 'Accessing the Form'. Below the header, a bullet point instructs the user to 'Select the Forms tab from the main page of the Audit Tool'. The main content area shows a grey navigation bar with a search box on the left containing 'Search...' and a blue 'Search' button. To the right of the search box is a user profile icon labeled 'Bob Wills' with a dropdown arrow. Below the search bar is a dark grey navigation menu with several tabs: 'Home' (with a house icon), 'Featured Content', 'Reports', 'Forms' (which is highlighted with a blue starburst and a mouse cursor), 'IVA Submission', 'IVA Dashboard', 'Discrepancy & Reconsideration', and 'More' (with a dropdown arrow). A large, semi-transparent 'RETIRED' watermark is overlaid diagonally across the center of the screenshot.

Accessing the Form (continued)



Home Featured Content Reports Forms IVA Submission IVA Dashboard Discrepancy & Reconsideration More ▾

HHS-RADV Audit Tool Forms

Instructions

Select a link below to open an Audit Tool form.

[HHS-RADV IVA Entity Designation and Maintenance Form](#)

This form allows issuers to designate IVA Entities for the current benefit year's HHS-RADV audit. In addition, issuers can update and maintain IVA Entity designations in this form.

[HHS-RADV Issuer Senior Official Maintenance Form](#)

This is a self-service form for Issuer Senior Officials (SOs) to maintain and update Issuer SO contact information for their company.

[HHS-RADV Issuer RADV Coordinator Designation and Maintenance Form](#)

Completing IVA Entity Designation



[Guidance](#)

Welcome

The HHS-RADV IVA Entity Designation and Maintenance form allows issuers to designate IVA Entities for the current benefit year's HHS-RADV audit. This is a self-service form for Issuer Senior Officials (SOs) to maintain and update IVA Entity designations. The form allows Issuer SOs to add, edit, or delete IVA Entity information. It is the responsibility of the Issuer SO to ensure ongoing accuracy of this information.

If you need assistance or have questions related to the completion of this process, please contact us at CCIOACARADDataValidation@cms.hhs.gov. All emails must include your organization's HIOS ID(s) in the subject line.

Continue

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Completing IVA Entity Designation

(continued)

- On the IVA Entity Designation page, select the **Designate IVA Entity** button
- After selecting the button, the Designate IVA Entity page will display a list of IVA Entities
 - The IVA Entities listed have completed the election process and are registered for the applicable HHS-RADV benefit year with CMS
 - If you do not locate an IVA Entity you wish to designate on the list, contact the IVA Entity directly to ensure they have completed the HHS-RADV IVA Entity Election web form

Company Name: Kari's RADV Company

Designate IVA Entity



Completing IVA Entity Designation

(continued)

Designate IVA Entity

Instructions

Required fields are indicated with a red asterisk (*).

The following is a list of IVA Entities that have elected to participate in the current benefit year's HHS-RADV audit. The IVA Entities listed have been accepted by CMS and are eligible to conduct HHS-RADV audits for the current benefit year. Please note that CMS will review all submissions for conflict of interest before the designation will be accepted.

For the purposes of HHS-RADV, third party administrators (TPAs) or any organization/company/entity, responsible for reviewing, analyzing, submitting claims, or supplemental diagnosis records on behalf of an issuer via their EDGE server for risk adjustment calculation is considered to be in conflict of interest and may not be designated as an IVA Entity.

* Select an IVA Entity:

If you do not locate the IVA Entity you have engaged on this list, contact the IVA Entity directly to ensure they have completed the HHS-RADV Initial Validation Audit (IVA) Entity Election web form for the current benefit year. Select the following link for suggested language for your communication with the IVA Entity to request completion of the web form: [Suggested IVA Entity Communication](#).

Completing IVA Entity Designation

(continued)

- After selecting an IVA Entity from the list, review the list of available HIOS IDs and determine which HIOS IDs should be associated with the IVA Entity

The screenshot displays a web interface for IVA Entity Designation. At the top, there is a dropdown menu labeled '* Select an IVA Entity:' with a selection of '--None--'. Below this, a list of IVA Entities is shown, including Banana, Co., Rice LLC, Soup2Nuts, Inc., Broccoli, Inc., Grapes, Co., Roasted Red Pepper LLC, Gummy Bear, Co., Vanilla Cake, Co., Cookies, Inc., Rye Toast, Inc., and Macaroni LLC (which is highlighted in blue). To the right of the list, there is a text box with instructions: 'If you do not locate the IVA Entity Initial Validation Audit (IVA) Entity communication with the IVA Entity, contact the IVA Entity directly to ensure they have completed the HHS-RADV benefit year. Select the following link for suggested language for your form: [Suggested IVA Entity Communication.](#)'

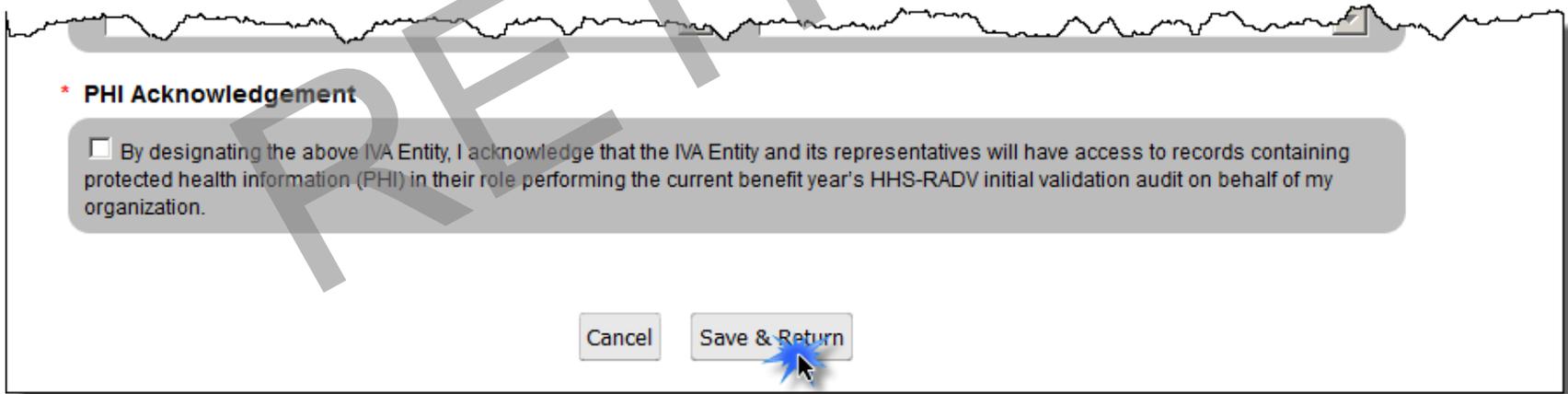
Below the list, there is a section labeled '* Select the HIOS ID(s) as' with instructions: 'Select HIOS ID(s) by using the available HIOS ID(s) list. Remove selected HIOS ID(s) list.' To the right of this section, there is a text box with instructions: 'Use the available HIOS ID(s) list to move the applicable HIOS ID(s) and market to the Selected HIOS ID(s) list.'

At the bottom, there are two lists of HIOS IDs. The 'Available HIOS ID(s)' list shows 'Showing all 6' and includes a filter and arrows. The 'Selected HIOS ID(s)' list is currently empty and also includes a filter and arrows.

Completing IVA Entity Designation

(continued)

- After selecting all the applicable HIOS IDs for your organization that should be associated with the designated IVA Entity, select the checkbox next to the Protected Health Information (PHI) Acknowledgement statement
- Select the **Save & Return** button



The screenshot shows a web form with a section titled "* PHI Acknowledgement". Below the title is a checkbox that is currently unchecked. The text next to the checkbox reads: "By designating the above IVA Entity, I acknowledge that the IVA Entity and its representatives will have access to records containing protected health information (PHI) in their role performing the current benefit year's HHS-RADV initial validation audit on behalf of my organization." At the bottom of the form, there are two buttons: "Cancel" and "Save & Return". A mouse cursor is pointing at the "Save & Return" button.

Completing IVA Entity Designation

(continued)

- After completing the process, you will return to the IVA Entity Designation page
- This page displays a table containing the selected IVA Entity name and associated HIOS IDs
 - If changes need to be made to this selection, you will do so on this page using the Action links in the table

IVA Entity

Action	IVA Entity Name	Associated HIOS ID(s)
Edit Delete	Purple IVA Entity	22123, 22124



Completing IVA Entity Designation

(continued)

- When all HIOS IDs are associated to an IVA Entity, select the **Continue** button to navigate to the Summary page
- You will not be able to submit the form until all HIOS IDs for your organization have been associated with an IVA Entity

IVA Entity

Action	IVA Entity Name	Associated HIOS ID(s)
Edit Delete	Purple IVA Entity	22123, 22124



Summary Page

- Before proceeding, review the following information for accuracy:
 - IVA Entity Name
 - Associated HIOS ID(s)
- Select the **Generate COI Attestation Form** button to generate the form.
 - The Conflict of Interest (COI) Attestation form must be signed by your company's Chief Executive Officer (CEO), Chief Financial Officer (CFO), or a person who is authorized to legally and financially bind the organization, acknowledging the IVA Entity designation
 - The form may be signed physically or electronically
- If you are not able to immediately upload the Attestation Form, select the **Save and Exit** button on this page



1. The **Submitter Contact Information** is the information associated with the Issuer SO or Back-up Issuer SO submitting the form. This information is not editable
2. Refer to the Protocols for detailed information as to what constitutes COI

Summary Page (continued)

Summary

Instructions

Select the Edit button to make edits to the IVA Entity information.

Company Name: Brie's RADV Company

IVA Entity

IVA Entity Name	Associated HIOS ID(s)
Purple IVA Entity	22123, 22124

Edit

Submitter Contact Information

First Name:	John	Last Name:	Jones
Email Address:	sampleuser78@gmail.com	Job Title:	Analyst
Phone Number:	(555) 555-5555	Phone Extension:	

Summary Page (continued)

COI Attestation Form

Select the **Generate COI Attestation Form** button to obtain a Conflict of Interest (COI) Attestation form. This form must be signed by your company's Chief Executive Officer (CEO), Chief Financial Officer (CFO), or a person who is authorized to legally and financially bind the organization. Save the document as a PDF and upload a signed copy below. Either physical or electronic signatures are accepted. You may select the **Save and Exit** button to save the form up to this page and return at a later time to upload the signed COI Attestation form. Select the **Continue** button to navigate to the Attestation page to upload your COI Attestation form and attest to your IVA designations.

Generate COI Attestation Form

Cancel & Exit

Save & Exit

Continue

Attestation Page

- Before submitting the IVA Entity Designation Form, the CEO, CFO, or a person who is authorized to legally and financially bind the organization must review and complete the COI Attestation Form (printed on the Summary page)
- If you saved and exited the form (in order to get the COI Attestation Form signed), when you return, you will be automatically directed to the Summary page
 - After reviewing the Summary of the previously entered information, you may continue to the Attestation page
- The COI Attestation Form must be saved as a PDF and uploaded on this page

Attestation Page (continued)

- Enter the CEO/CFO Attester details in the appropriate fields
 - This information must align with the CEO/CFO or the person who is authorized to legally and financially bind the organization, who signs the COI Attestation Form
- In the Upload File section, select the **Browse** button
 - Locate the signed Attestation and select the file
 - Select the **Upload Attachment** button
 - Confirm that the appropriate attachment is uploaded
- Select the **Submit** button to submit the IVA Entity Designation and COI Attestation

Attestation Page (continued)

Attestation

Instructions

Prior to completing the IVA Entity Designation process, your company's Chief Executive Officer (CEO), Chief Financial Officer (CFO), or a person who is authorized to legally and financially bind the organization must attest to the information submitted in this form. To attest, complete the CEO/CFO Attester Details and upload a signed copy of the Conflict of Interest (COI) Attestation form.

The completion of CEO/CFO Attester Details and upload of the COI Attestation form should be completed by the Issuer Senior Official or Back-up Senior Official; however, the COI Attestation form **MUST** be signed by the CEO, CFO, or a person who is authorized to legally and financially bind the organization

Required fields are indicated with a red asterisk (*).

CEO/CFO Attester Details

* First Name:	Pat	* Last Name:	Jones
* Email Address:	Pjones@email.com	* Job Title:	CFO
* Phone Number:	(111) 111-1111	Phone Extension:	

Upload COI Attestation Form

Attestation Page (continued)

Upload COI Attestation Form

Note: Once the COI Attestation form has been submitted, future changes to the IVA Entity/Entities require a new COI Attestation form submission.

Upload a File

No file selected.

(Only one file is allowed. File must be a PDF and cannot exceed 5 MB)

Attestation form has not been uploaded.

Attachment Summary

By selecting the **Submit** button, the IVA Entity designation information and attestation for your company are submitted. Select the **Save and Exit** button to save all information entered prior to this page and return at a later time. You will be required to log into the ACA HHS-RADV Audit Tool to complete this process.

The IVA Entity designation process is not complete until the COI Attestation form has been uploaded and the **Submit** button is selected.

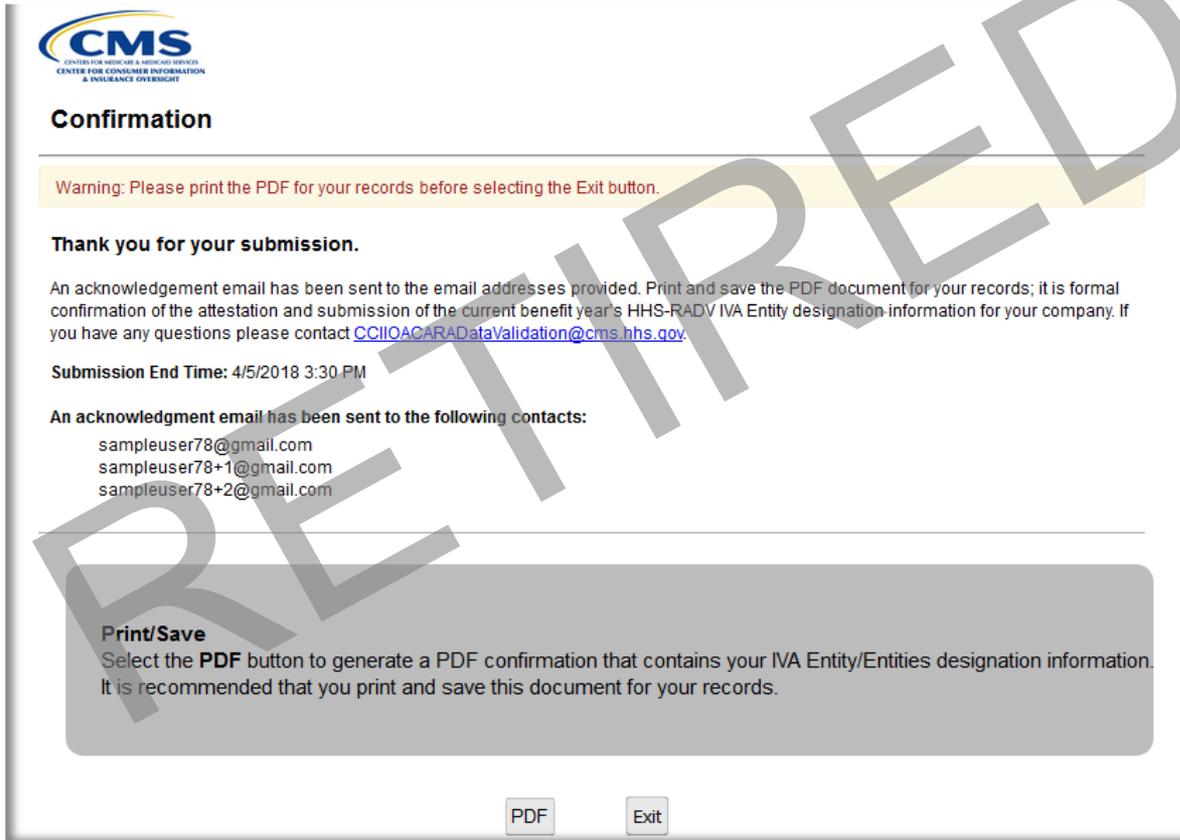
Confirmation Page

- Displays the Submission End Time, the date, and the time when the IVA Entity Designation information was submitted
- An email acknowledgement of the submission will be sent to the Issuer SO, Back-Up Issuer SO, and CEO/CFO/Attester
 - This acknowledgement does not constitute CMS acceptance
- Includes a button to generate a PDF containing the information submitted



It is recommended that you print and save a copy of the PDF for your records, as it is not included in the acknowledgement email

Confirmation Page (continued)




CENTERS FOR MEDICARE & MEDICAID SERVICES
CENTER FOR CONSUMER INFORMATION
& INSURANCE OVERSIGHT

Confirmation

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

Thank you for your submission.

An acknowledgement email has been sent to the email addresses provided. Print and save the PDF document for your records; it is formal confirmation of the attestation and submission of the current benefit year's HHS-RADV IVA Entity designation information for your company. If you have any questions please contact CCIIOACARADDataValidation@cms.hhs.gov.

Submission End Time: 4/5/2018 3:30 PM

An acknowledgment email has been sent to the following contacts:

- sampleuser78@gmail.com
- sampleuser78+1@gmail.com
- sampleuser78+2@gmail.com

Print/Save
Select the **PDF** button to generate a PDF confirmation that contains your IVA Entity/Entities designation information. It is recommended that you print and save this document for your records.

IVA Entity Designation Activity

- The IVA Entity Designation Form for 2018 benefit year HHS-RADV will be available beginning April 15, 2019



CMS Review

- After completing the IVA Entity Designation Form, CMS will review the submission to verify that there are no actual or apparent COI between the IVA Entity and the issuer
- The issuer will receive an email with the outcome of CMS's review
- If CMS accepts the IVA Entity Designation, the IVA Entity SOs will also receive a notification email, letting them know that the issuer has designated them – the IVA Entity should consider this their notification of the designation and should retain the email for their records
- If CMS accepts the IVA Entity Designation, the IVA Entity SOs will also receive a registration email, if they are not currently registered Audit Tool users



The IVA Entity SO will NOT receive a registration email until the IVA Entity is designated by an issuer and the designation is accepted by CMS

Q&A

- Type your question in the text box under the “Q&A” tab located to the left-hand panel of your screen
 - To submit your question, click “Submit”



If your question does not receive a response during this webinar session, please submit your question to the HHS-RADV team at CCIIOACARADDataValidation@cms.hhs.gov

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Next Steps

Next Steps: Training Sessions

Topic	Date
Q&A	April 24, 2019

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Resources

Locating HHS-RADV Documents in REGTAP

Stakeholders can access additional documents at <https://www.REGTAP.info> in the REGTAP Library.

Under Program Area, select “HHS Risk Adjustment Data Validation (HHS-RADV)”

The screenshot shows the REGTAP Library interface. The top navigation bar includes links for Registration, Technical Assistance Portal, My Dashboard, Training Events, Inquiry Tracking, Library, FAQs, Contact Us, About REGTAP, and Log Out. The main content area is titled 'Library' and features a search bar with 'Training Event' entered. A dropdown menu for 'Filter by: Program Area' is open, listing various categories. A red arrow points to 'HHS-Operated Risk Adjustment Data Validation (RADV)'. Below the dropdown is a table of resources.

Program Area	Resource Type	Download
User Fees	Supporting Documents	Download
User Fees	Supporting Documents	Download
User Fees	Presentation Slides	Download
User Fees	FAQ	Download
User Fees	Supporting Documents	Download
Distributed Data Collection for RI and RA/Edge Server	CBT	Play CBT Transcript
Distributed Data Collection for RI and RA/Edge Server	Presentation Slides	Download

Resources: Links

Resource	Resource Link
U.S. Department of Health & Human Services (HHS)	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/ccio
Consumer website on Health Reform	http://www.healthcare.gov/
Registration for Technical Assistance Portal (REGTAP)	https://www.REGTAP.info
Patient Protection and Affordable Care Act (PPACA)	http://www.gpo.gov/fdsys/pkg/PLAW-111publ148/content-detail.html

Resources: Links (continued)

Resource	Resource Link
HHS Notice of Benefit and Payment Parameters for 2014	http://www.gpo.gov/fdsys/pkg/FR-2013-03-11/pdf/2013-04902.pdf
HHS Notice of Benefit and Payment Parameters for 2015	http://www.gpo.gov/fdsys/pkg/FR-2014-03-11/pdf/2014-05052.pdf
HHS Notice of Benefit and Payment Parameters for 2016	http://www.gpo.gov/fdsys/pkg/FR-2015-02-27/pdf/2015-03751.pdf
HHS Notice of Benefit and Payment Parameters for 2017	https://www.gpo.gov/fdsys/pkg/FR-2016-03-08/pdf/2016-04439.pdf
HHS Notice of Benefit and Payment Parameters for 2018	https://www.gpo.gov/fdsys/pkg/FR-2016-12-22/pdf/2016-30433.pdf

Resources: Links (continued)

Resource	Resource Link
HHS Notice of Benefit and Payment Parameters for 2019	https://www.govinfo.gov/content/pkg/FR-2018-04-17/pdf/2018-07355.pdf
Proposed HHS Notice of Benefit and Payment Parameters for 2020	https://www.govinfo.gov/content/pkg/FR-2019-01-24/pdf/2019-00077.pdf

Resources: Contact Information

Resource	Contact Information
For RADV policy questions, contact the RADV Team.	CCIIOACARADDataValidation@cms.hhs.gov
For EDGE server questions, please contact your Financial Management (FM) Service Representative directly and copy the Centers for Medicare & Medicaid Services (CMS) Help Desk.	EDGE_server_data@cms.hhs.gov and copy CMS_FEPS@cms.hhs.gov
HHS-RADV Audit Tool	To contact us within the HHS-RADV Audit Tool, use the Inquiries tab and select “Submit Inquiry”

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Closing Remarks



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