

HHS Risk Adjustment Data Validation (HHS-RADV)

Initial Validation Audit (IVA) Results

Submission Process: Package 1 & 2

November 7, 2018

HHS-RADV Webinar Series III



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Session Agenda

- Session Guidelines
- Intended Audience
- Session Purpose
- HHS-RADV Timeline
- Recommendations
- HHS-RADV Package 1 & 2 Submission Process
- Question and Answer (Q&A)
- Next Steps
- Resources
- Closing Remarks

Session Guidelines

- This is a 90-minute webinar session
- For questions related to content, please contact the RADV team at CCIIOACARADDataValidation@cms.hhs.gov
- For questions regarding logistics and registration, please contact the Registrar at (800) 257-9520



NOTE: All screenshots included in this presentation were captured in a test system environment and do not reflect the required HHS-RADV submission dates

Intended Audience

- Issuers subject to the HHS-RADV Audit
- IVA Entities
- Third Party Administrators (TPA) and support vendors
- Second Validation Audit (SVA) Entities

Session Purpose

- The purpose of this session is to:
 - Review the steps of the IVA submission process for IVA Entities and issuers
 - Provide guidance on interpreting the IVA submission process outbound reports

HHS-RADV Timeline

Benefit Year 2017 HHS-RADV Timeline



To access the most current Benefit Year 2017 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

Announcements



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Announcements

- The IVA Results Submission period opens Monday, December 3, 2018
- The IVA System Generated Password page is currently available to IVA Entities
- CMS strongly encourages IVA Entities to test at least one (1) file when the window opens, to ensure that your XML is correct and accepted by the Audit Tool
 - **CMS recommends that IVA Entities prepare files for submission prior to December 3rd to allow sufficient time to upload files and address errors or warnings**

Announcements (continued)

- CMS would like issuers and IVA Entities to ensure that they have access to the Audit Tool by logging in and ensuring that their user name and password is working
- If you have a new computer and need re-establish connectivity to WinAuth for two (2)-factor authentication, you should email CCIIOACARADDataValidation@cms.hhs.gov and provide a good time for the help desk to work with you to resolve issues

Announcements (continued)

- The Audit Tool will have a planned outage for all users starting on Wednesday, November 28th
- The Audit Tool will be available again with functionality for all users on Monday, December 3rd

Recommendations

Issuer Review and Signoff of IVA Findings

- Prior to final Issuer SO (Senior Official) signoff, it is important to review the IVA Findings Report in a timely manner
- Issuers and their respective IVA Entities are responsible for working together to gather the information necessary for a complete risk adjustment data validation audit
- Given the contractual relationship between the issuer and IVA Entity, IVA Entity findings are not disputable through the CMS discrepancy reporting processes set forth in 45 CFR 153.630(d)(2) or appealable under 45 CFR 153.630(d)(3) and 45 CFR 156.1220
 - If the SVA Entity finds sufficient pairwise agreement between the SVA and IVA findings, then the IVA findings upon which the error rate calculation will be based are not disputable or appealable

Submit Early

SUBMIT EARLY!

- Plan ahead and avoid the rush to make medical record requests of providers, as providers are inundated with medical record requests during this time of the year
- Final Issuer SO signoff on Package 1 (IVA Findings) is January 11, 2019
- Final Issuer SO signoff on Package 2 (SVA Subsample Medical Records) is January 25, 2019
- No extensions will be provided
- Early submission benefits:
 - Receipt of pairwise results in a timely manner, especially if there are substantial differences between SVA and IVA findings
 - Greater support from CMS and ability to address submission issues earlier to meet your submission goals
 - Time for issuers and IVA Entities to address any issues during the submission and signoff process

Avoid the Risks of a Last Minute Submission

- CMS expects a 33% increase in Health Insurance Oversight System (HIOS) IDs for 2017 benefit year HHS-RADV
- Working with your IVA Entity early in the submission process can minimize technical problems
- Several IVA Entities may be submitting a large volume of records at the same time to the Audit Tool at the same time, potentially causing slowdowns in IVA Entity submissions
- Streamline the review and signoff from Issuer SO by communicating with the IVA Entity about the submission progress regularly

IVA Results Submission Process Overview

IVA Entity Submission Roles

- IVA Entity tasks in the Audit Tool include file upload/download, report review, and signoff
- While file uploads and downloads may be performed by HHS-RADV Coordinators or SOs, signoffs **MUST** be performed by an IVA Entity SO

Issuer Submission Roles

- Issuer tasks in the Audit Tool include file download, report review, and signoff
- While file download and report review may be performed by RADV Coordinators or SOs, signoffs **MUST** be performed by an Issuer SO

IVA Results Submission Process Overview

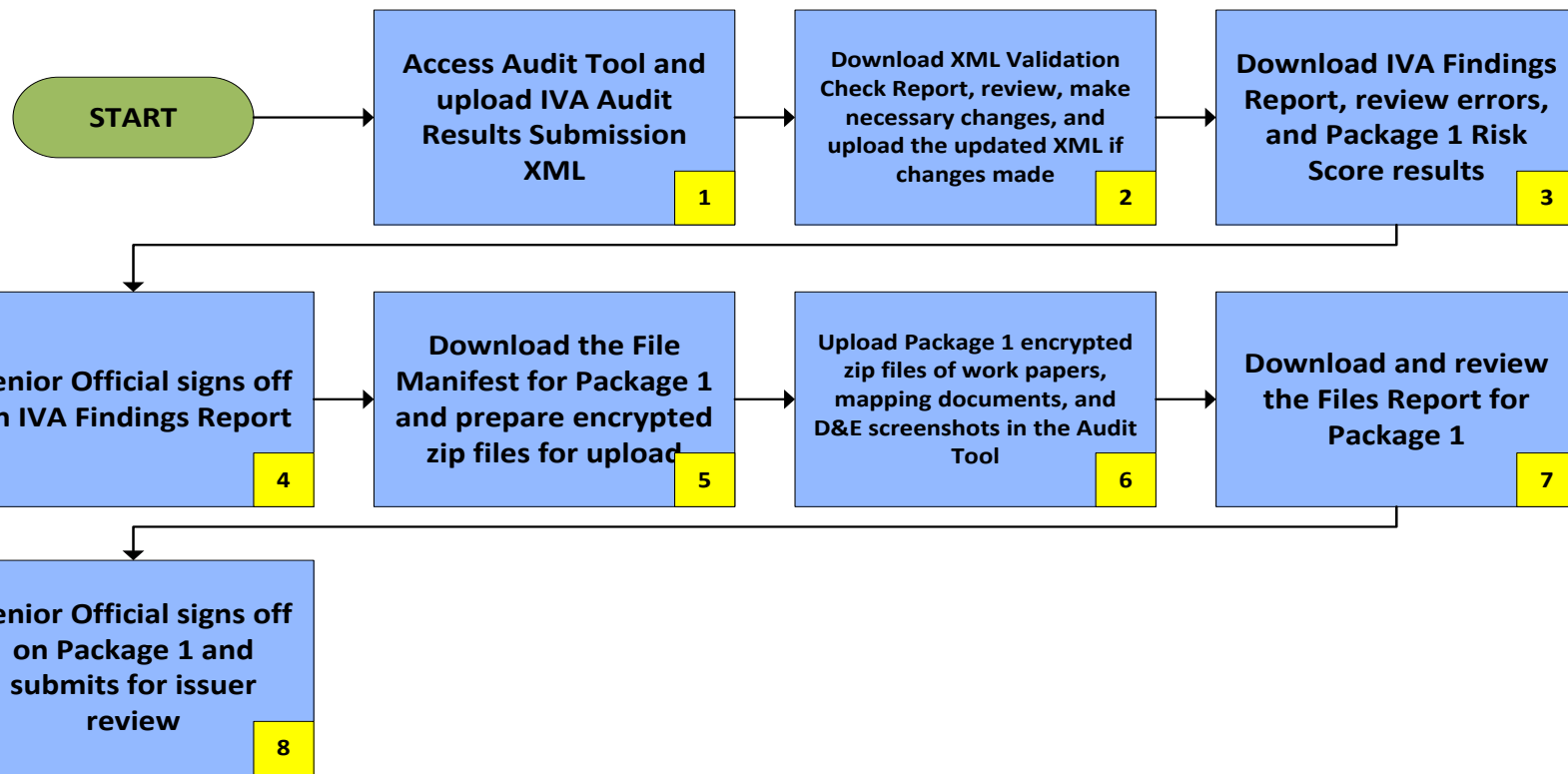
- IVA results submission process occurs through the Submission Status page in the Audit Tool, which provides access to all required Package 1, Package 2 and Package 3 activities
- The Submission Status pages contain instructions, direct links for bulk file/report download, and Submission Status tables
 - The Submission Status tables include links to upload/download individual files at the HIOS ID level, and for SOs to perform signoffs
- IVA Entities and issuers each have dedicated Package 1 and Package 2 Submission Status pages



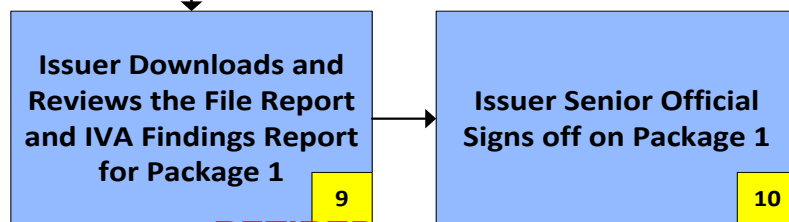
NOTE: Package 3 is a new process for 2017 benefit year submission and will be discussed during the 11/14/18 webinar session

IVA Results Submission Process – Package 1

IVA Entity



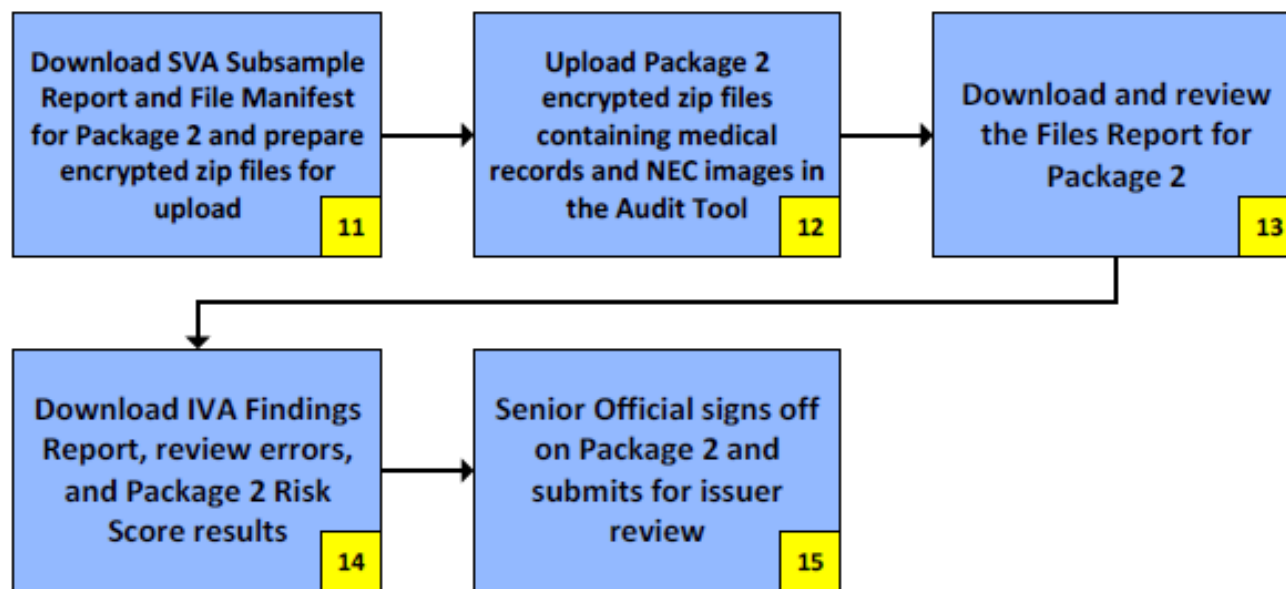
Issuer



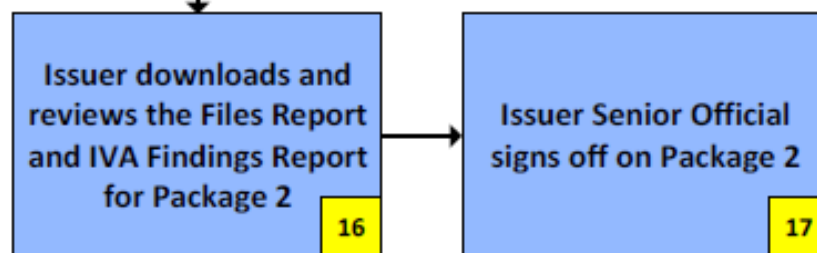
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IVA Results Submission Process – Package 2

IVA Entity



Issuer



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IVA Entity File Submission Requirements



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File Name and Size Requirements

- All files must be uniquely named
- File names may **NOT** include these special characters ~
% & * { } \ : < > ? / + | " [] @
- All files submitted must adhere to the 250MB file size limit prior to zip compression
- Files greater than 250MB (pre-zip) must be split into multiple files to meet these submission requirements
- A collection of individual files may be zipped and encrypted, however folders containing files may not be included in a zipped file

Password Protection and File Encryption Overview

- All files in the Audit Tool, including inbound (uploaded) and outbound (downloaded) files, are required to be encrypted and password protected in zip file format
 - Error Code 0.0.2 is a fatal error that will be returned when the password used to upload a zip file does not match the corresponding password provided in the Audit Tool for a given HIOS ID
 - To correct this error the zip file must be encrypted using the password provided for the HIOS ID and the file must be resubmitted

Password Protection and File Encryption Overview (continued)

- Each HIOS ID has been randomly assigned an encryption password
- All files related to that HIOS ID **MUST** be encrypted with the assigned password
- Passwords are available for both IVA Entities and issuers in the Audit Tool



NOTE: Please refer to the October 17th webinar slides for details on password and encryption located at the following link in the REGTAP Library

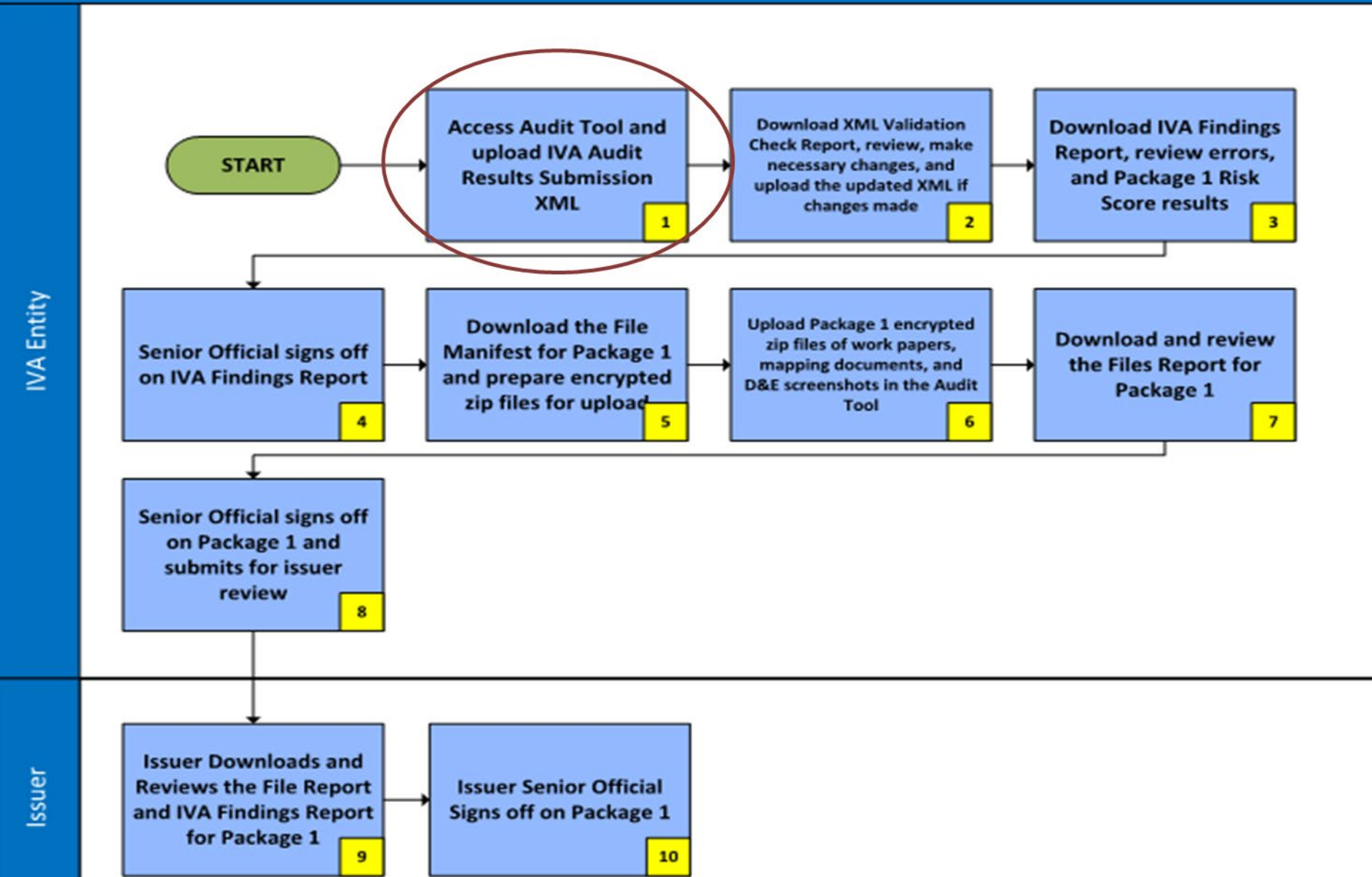
https://www.regtap.info/reg_librarye.php?i=2687

Package 1

Submission Process

IVA Entity Responsibilities

IVA Results Submission Process – Package 1 - Step 1



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Submission Status Page Package 1

- To access the Submission Status page
 1. Log in to the Audit Tool
 2. Select the **IVA Submission** tab on the HHS-RADV Audit Tool Featured Content page
 3. Select the **HHS-RADV IVA Submission of Package 1 Form** link to navigate to the Package 1 Submission Form Welcome page

HHS-RADV IVA Results Submission Process Forms

Instructions

Select a link below to open an Audit Tool form.

[HHS-RADV Initial Validation Audit System Generated Passwords](#)

This form provides IVA Entity Senior Officials (SOs) and IVA Entity RADV Coordinators with the encryption passwords for each HIOS ID.

[HHS-RADV IVA Entity IRR Results Submission Form](#)

This form allows IVA Entity Senior Officials (SOs) and IVA Entity RADV Coordinators to upload the Inter-rater Reliability (IRR) Results Template and submit for CMS review.

[HHS-RADV IVA Entity IVA Documentation Replacement Form](#)

This form allows IVA Entities to resubmit requested IVA documentation for SVA review.

[HHS-RADV IVA Submission of Package 1 Form](#)

This form allows IVA Entities to upload Package 1 documentation and submit for Issuer review.

[HHS-RADV IVA Submission of Package 2 Form](#)

This form allows IVA Entities to upload Package 2 documentation and submit for Issuer review.

[HHS-RADV IVA Submission of Package 3 Form](#)

This form allows IVA Entities to upload Package 3 documentation and submit for Issuer review.

4. Select the **Continue** button to navigate to the Submission Status page

Submission Status Page Package 1

(continued)

- IVA Entity Package 1 Submission Status Page



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Package 1 Submission Status

Package 1 Submission Instructions

For each HIOS ID:

- Select the **Upload/Download Audit Files** link in the Submission Status table to upload (or download after submission) the IVA Entity Audit Results Submission XML
- Select the **IVA Findings Report Signoff** link in the Submission Status table to navigate to sign off on the IVA Findings Report for Package 1
- Select the **Upload/Download Pkg 1 Docs** link to upload (or download after submission) the Package 1 files
- Select the **Package 1 IVA Entity Signoff** link to sign off on the Package 1 submission

If a status of **Error(s) Must Resubmit** is indicated in the column(s) for XML Validation Check Report Status or Files Report for Package 1 Status, then the *IVA Entity Audit Results Submission* zip file requires resolution and resubmission. If a status of **Warning(s) Need Review** is indicated in the column(s) for IVA Findings Report for Package 1 Status or Files Report for Package 1 Status, then the *IVA Entity Audit Results Submission* zip file does not require resubmission, but the final risk score calculation may be impacted.

Select one of the following to:

- [Download XML Validation Check Reports](#) to download XML Validation Check Reports.
- [Download IVA Findings Reports for Package 1](#) to download IVA Findings Reports for multiple HIOS IDs.
- [Download File Manifest for Package 1](#) to download File Manifests for multiple HIOS IDs.
- [Download Files Reports for Package 1](#) to download Files Reports for multiple HIOS IDs.

Sort the columns of the Submission Status table by selecting the up or down arrows for each column.

- The links on this page allow you to download files for multiple HIOS IDs

Submission Status Page Package 1

(continued)

- IVA Entity Package 1 Submission Status Page

Submission Status

Action	Issuer Company Name	HIOS ID ▲	XML Validation Check Report Status	IVA Findings Report for Package 1 Status	IVA Findings Report for Package 1 Signoff	Files Report for Package 1 Status	Package 1 IVA Entity Signoff	Package 1 Issuer Signoff ?
Upload/Download Audit Files Upload/Download Pkg 1 Docs	Cheese Inc	07701 History	Processed without Errors ✓	Processed without Errors ✓	10/2/2018 12:00 PM ✓	Processed without Errors ✓	10/2/2018 12:21 PM ✓	Approved 10/9/2018 ✓
Upload/Download Audit Files Upload/Download Pkg 1 Docs	Cheese Inc	07702 History	Processed without Errors ✓	Processed without Errors ✓	10/2/2018 12:00 PM ✓	Processed without Errors ✓	10/2/2018 12:22 PM ✓	Approved 10/2/2018 ✓
Upload/Download Audit Files	Cheese Inc	08802 History	Awaiting Audit Results Submission Upload	Awaiting Audit Results Submission Upload				
Upload/Download Audit Files	Cheese Inc	08803 History	Awaiting Audit Results Submission Upload	Awaiting Audit Results Submission Upload				

- The links in the action column allow you to take action for a single HIOS ID

IVA Entity - Audit Results Submission

XML Upload: Step 1

- The IVA Entity Audit Results Submission begins with the upload of the IVA Entity Audit Results Submission XML
- The IVA Entity Audit Results Submission XML contains all IVA results and specifies all supporting documentation included in Package 1 and Package 2
- From the IVA Entity Package 1 Submission Status page:
 1. Select the **Upload/Download Audit Files** link in the Action column of the Submission Status table for the appropriate Company/HIOS ID to navigate to the IVA Entity Audit Results Submission page
 2. Select the **Browse/Choose File** button to locate the XML file

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IVA Entity Audit Results Submission

Instructions

- Select the **Browse/Choose File** button to find the appropriate IVA Entity Audit Results Submission XML
- Select the **Upload Attachment** button to upload the IVA Entity Audit Results Submission XML
- If needed, select the **Delete** link in the Action column of the IVA Entity Audit Results Submission to delete a previously submitted XML

All uploaded files must be encrypted and password protected in a Zip file format using the specified **Password for Zip** file. Use the [IVA File Encryption Guide](#) for guidance on uploading an encrypted file. Hover your mouse over the **Password** to view the required password for the file. Select the **Browse/Choose File** button to locate and upload the zipped file.

You can download files for review after upload. Use the [Download Encrypted Files Instructions](#) for guidance on downloading and opening the files. Hover your mouse over the **Password** to view the required password for the file. The name of the last user to upload or download a file is located on the IVA Entity Package 1 History page.

If a status of **Error(s) Must Resubmit** is indicated in the column(s) for XML Validation Check Report Status or Files Report for Package 1 Status, then the **IVA Entity Audit Results Submission** zip file requires resolution and resubmission. If a status of **Warning(s) Need Review** is indicated in the column(s) for IVA Findings Report for Package 1 Status or Files Report for Package 1 Status, then the **IVA Entity Audit Results Submission** zip file does not require resubmission, but the final risk score calculation may be impacted.

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

Issuer Company Name: Cheese Inc

HIOS ID: 08801

Password for Zip files:

Encryption Type: AES-256

* Upload a File

No file selected.

Maximum file size: 250 MB

IVA Entity Audit Results Submission

Action	File Name	Uploaded Date/Time
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IVA Entity - Audit Results Submission

XML Upload: Step 1 (continued)

3. Select the **Upload Attachment** button
4. Select the **Return to Status** page button to return to the IVA Entity Package 1 Submission Status page

Issuer Company Name: Cheese Inc

HIOS ID: 08801

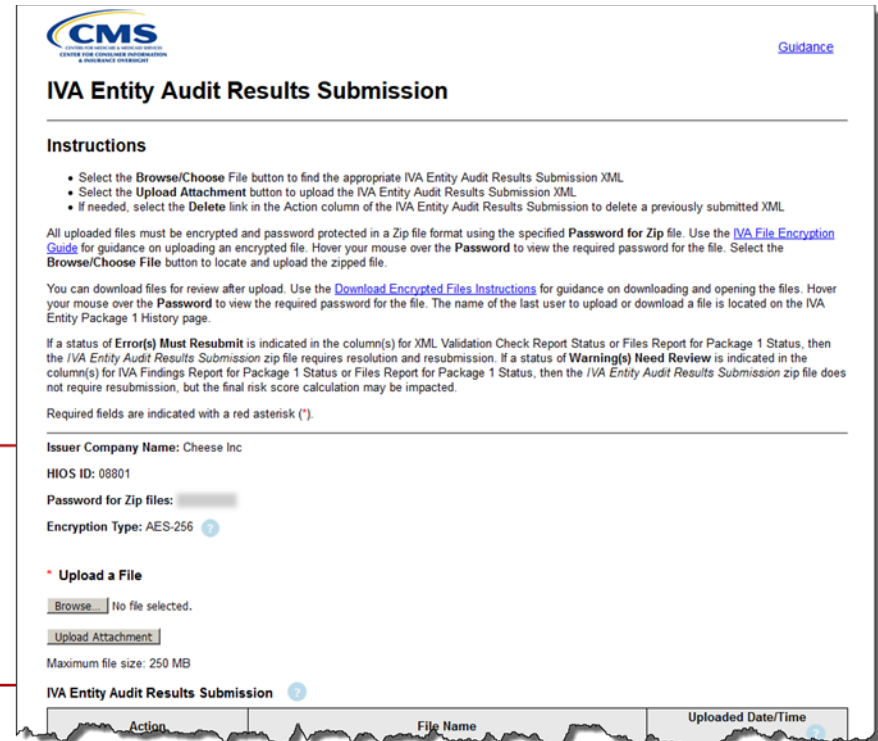
Password for Zip files:

Encryption Type: AES-256 

* Upload a File

No file selected.

Maximum file size: 250 MB



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IVA Entity Audit Results Submission

Instructions

- Select the **Browse/Choose File** button to find the appropriate IVA Entity Audit Results Submission XML
- Select the **Upload Attachment** button to upload the IVA Entity Audit Results Submission XML
- If needed, select the **Delete** link in the Action column of the IVA Entity Audit Results Submission to delete a previously submitted XML

All uploaded files must be encrypted and password protected in a Zip file format using the specified **Password for Zip file**. Use the [IVA File Encryption Guide](#) for guidance on uploading an encrypted file. Hover your mouse over the **Password** to view the required password for the file. Select the **Browse/Choose File** button to locate and upload the zipped file.

You can download files for review after upload. Use the [Download Encrypted Files Instructions](#) for guidance on downloading and opening the files. Hover your mouse over the **Password** to view the required password for the file. The name of the last user to upload or download a file is located on the IVA Entity Package 1 History page.

If a status of **Error(s) Must Resubmit** is indicated in the column(s) for XML Validation Check Report Status or Files Report for Package 1 Status, then the **IVA Entity Audit Results Submission** zip file requires resolution and resubmission. If a status of **Warning(s) Need Review** is indicated in the column(s) for IVA Findings Report for Package 1 Status or Files Report for Package 1 Status, then the **IVA Entity Audit Results Submission** zip file does not require resubmission, but the final risk score calculation may be impacted.

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

Issuer Company Name: Cheese Inc

HIOS ID: 08801

Password for Zip files:

Encryption Type: AES-256 

* Upload a File

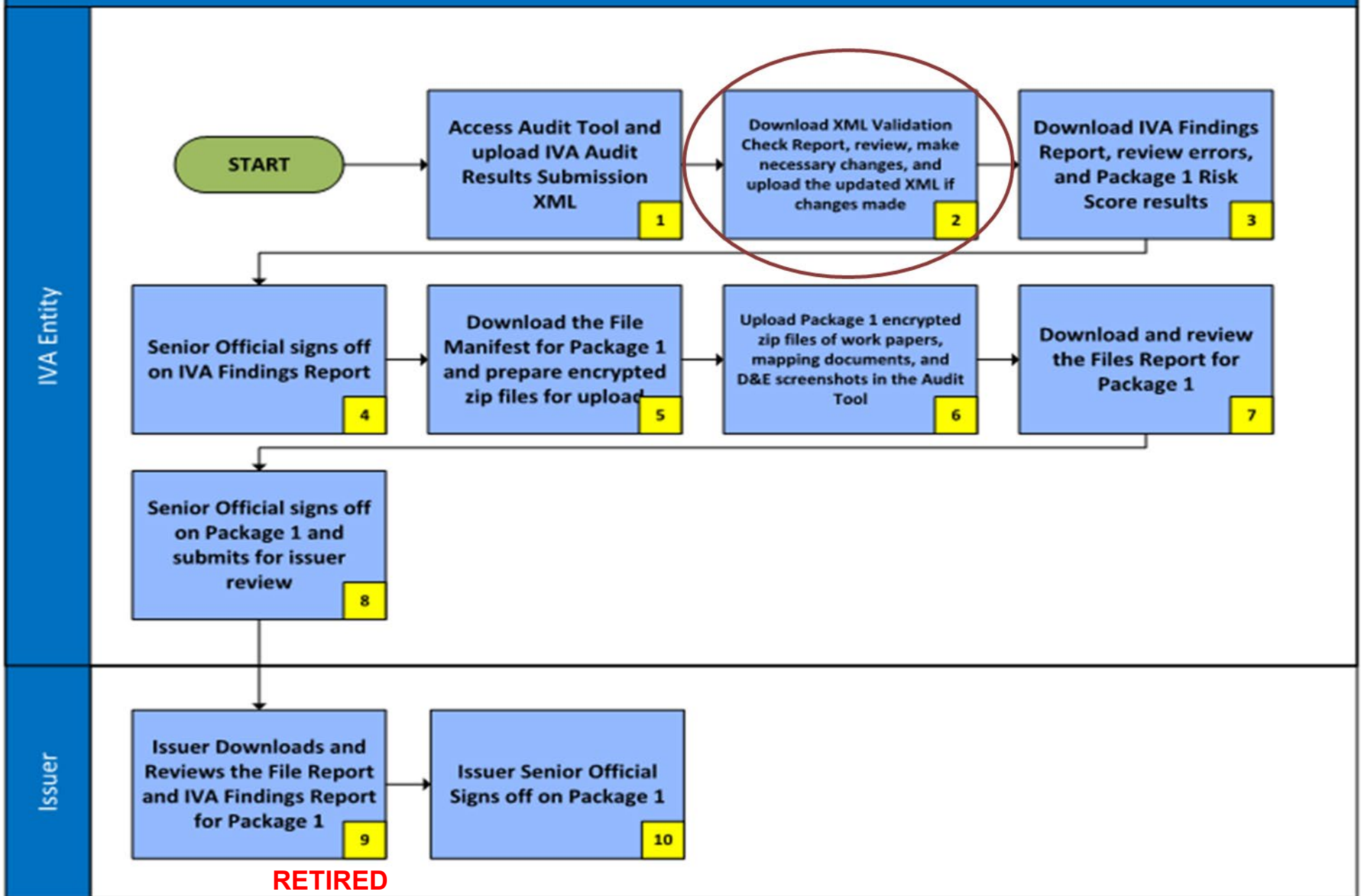
No file selected.

Maximum file size: 250 MB

IVA Entity Audit Results Submission

Action	File Name	Uploaded Date/Time
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IVA Results Submission Process – Package 1 - Step 2



IVA Entity - XML Validation Check Report

Overview: Step 2

- The **XML Validation Check Report** contains the results of the following validations performed by the Audit Tool:
 - Validates required fields in the IVA Entity Audit Results Submission XML are populated
 - Validates that fields in the IVA Entity Audit Results Submission XML adhere to the CMS-specified formatting guidance
 - Validates that the fields in the IVA Entity Audit Results Submission XML adhere to the rules defined in the ICD
 - Validates that the Unique Enrollee ID and the RADVMCE Linked Claim ID match data within the RADV reports
- The submitter of the IVA Entity Audit Results Submission XML will receive an email notification when the XML Validation Check Report is available

IVA Entity - XML Validation Check Report

Download Process: Step 2 (continued)

- From the IVA Entity Package 1 Submission Status page:
 1. Select the **Download XML Validation Check Reports** link to navigate to the XML Validation Check Report Download page
 2. Select the checkbox(es) in the Select column for the requested HIOS ID(s)
 - You can choose to select one (1) or multiple HIOS IDs
 3. Select the **Download** button to download the file(s)
 4. Select the **Return to Status** page button to return to the IVA Entity Package 1 Submission Status page

IVA Entity - XML Validation Check Report Download Process: Step 2 (continued)



[Guidance](#)

XML Validation Check Report Download

Instructions

Select the check box next to the file(s) you want to download. Select the **Download** button to download the file(s).

Use the [Download Encrypted Files Instructions](#) for guidance on downloading and opening the files. Hover your mouse over the **Password** to view the required password for the file. The name of the last user to upload or download a file is located on the IVA Entity Package 1 History page.

A status of **Error(s) Must Resubmit** indicated in the Status column indicates that the zip file requires resolution and resubmission.

XML Validation Reports ?

Select	HIOS ID	File Name	Status	Last Downloaded Date/Time	Password
☐	07701	07701_XML Validation Check Report_20181001140801.xml	Processed without Errors	10/2/2018 11:56 AM	
☐	07702	07702_XML Validation Check Report_20181001140748.xml	Processed without Errors	10/2/2018 11:56 AM	
☐	07703	07703_XML Validation Check Report_20181003161455.xml	Processed without Errors	10/3/2018 12:22 PM	

[Exit](#) [Return to Status page](#) [Download](#)



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IVA Entity - Interpreting the XML Validation Check Report: Step 2 (continued)

- If errors are identified, they will be included in error response records nested under the related item or on the related row
- Error messages are an indication that an error was identified as a result of the executed validation checks on the IVA Entity Audit Results Submission XML
 - The IVA Entity Audit Results Submission XML may need to be resubmitted multiple times until no errors are returned in the XML Validation Check Report

IVA Entity - XML Validation Check Report

File Validation Checks: Step 2 (continued)

- **XML Validation Check Report Errors**

- If errors result from the validation checks performed, the **XML Validation Check Report** will provide an error message: 'Fatal Error' or 'Critical Error'

- **Fatal Errors**

- Generated when a file fails to conform to the specified file layout and data element value restrictions. As a result, the file is either not machine readable or records are not able to be loaded into the database given the data type restrictions indicated in the Interface Control Document (ICD)

- **Critical Errors**

- Generated when the data submitted in a file fails to conform to data element restrictions, fails a business or logical validation, or presents a unique ID that is unable to map to RADV Sample Reports data



NOTE: All Fatal and Critical Errors require remediation and resubmission of the IVA Entity Audit Results Submission XML

IVA Entity - Interpreting the XML Validation Check Report: Step 2 (continued)

- The ICD contains Response Messages, refer to the last three (3) columns in Table 35 which provides the file level and record level response codes for IVA Entity Audit Results Submission processing
- **Action** – contains the appropriate action(s) to correct the specific error or warning
- **Error Type** – indicates if the error is a warning, a critical error, or a fatal error
- **Report(s)** – lists the report(s) in which the error may appear

Description	Action	Error Type	Report(s)
Element in	You must update your submission to include the specified element and corresponding value and resubmit.	Critical	• XML Validation Check Report • File Name Revisions Report
Fatal error your	You must update your submission file by using the correct format and resubmit.	Fatal	• XML Validation Check Report • File Name Revisions Report
must be with the provided ID or Zip file it is	You must encrypt your Zip file with the password provided for the HIOS ID or recreate the Zip file to fix corruption and resubmit.	Fatal	• XML Validation Check Report • Files Reports for Package 1, Package 2, and Package 3 • File Name Revisions Report

IVA Entity - Interpreting the XML Validation Check Report: Step 2 (continued)

- **Example of XML Validation Check Report Fatal Error**
 - Response code 5.2.3

```
- <docResponseItem>
  <responseType>Fatal Error</responseType>
  <dataElement>fileSize</dataElement>
  <valueProvided>ads</valueProvided>
  <responseCode>5.2.3</responseCode>
  <responseMessage>Incorrect field format.</responseMessage>
</docResponseItem>
```

Table 35 of the HHS-RADV Interface Control Document (ICD)

XML Data Element	Error Level	Error Type	Unique ID	Response Code	Error Message	Error Description	Action	Error Type	Report(s)
fileSize	5	2	3	5.2.3	Incorrect field format.	This field must contain a number between 0.0000000000 and 250.0000000000.	You must split the file into multiple documents each with an unzipped file size no larger than 250 MB. Update the document detail item section for the record and resubmit.	Fatal	• XML Validation Check Report • File Name Revisions Report

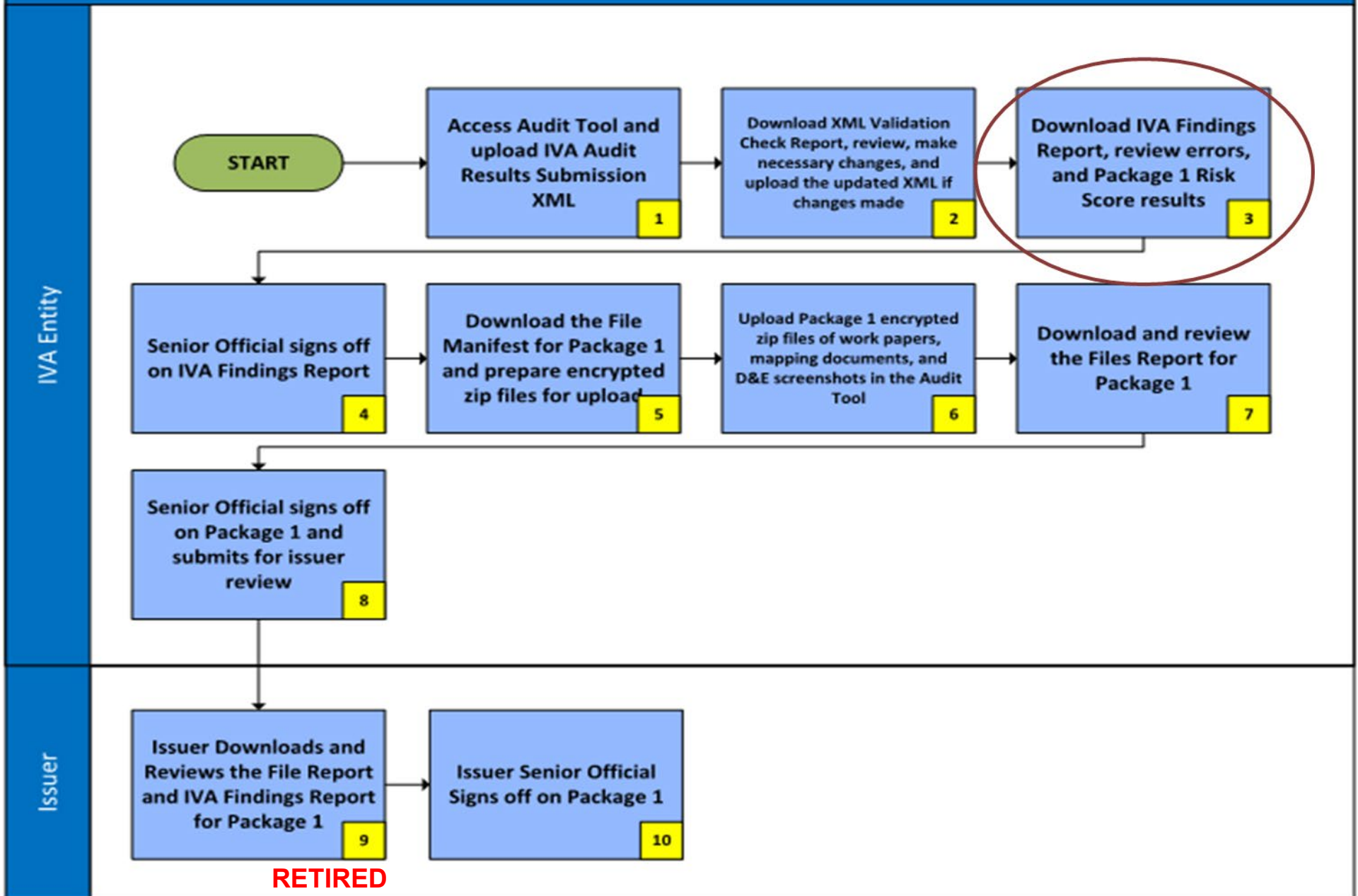
IVA Entity - Interpreting the XML Validation Check Report: Step 2 (continued)

- **Examples of XML Validation Check Report Fatal Error**
 - Response code 0.0.2: The zip file must be encrypted with the password provided for the HIOS ID

Table 35 of the HHS-RADV Interface Control Document (ICD)

XML Data Element	Error Level	Error Type	Unique ID	Response Code	Error Message	Error Description	Action	Error Type	Report(s)
Any	0	0	2	0.0.2	Invalid password or zip file.	The Zip file must be encrypted with the password provided for the HIOS ID or review the Zip file to make sure it is not corrupted.	You must encrypt your Zip file with the password provided for the HIOS ID or recreate the Zip file to fix corruption and resubmit.	Fatal	• XML Validation Check Report • Files Reports for Package 1, Package 2, and Package 3 • File Name Revisions Report

IVA Results Submission Process – Package 1 - Step 3



IVA Entity - Findings Report for Package 1 Overview: Step 3

- The **IVA Findings Report for Package 1** is generated following the successful submission of the IVA Entity Audit Results Submission XML with no Fatal or Critical Errors identified on the **XML Validation Check Report**
- The **IVA Findings Report** will include warning messages identified during file processing, enrollee level summary counts, and enrollee risk scores based on IVA findings
- The submitter of the IVA Entity Audit Results Submission XML and the IVA Entity SOs will receive an email notification when the IVA Findings Report for Package 1 is available

IVA Entity - Findings Report for Package 1 Download Process: Step 3

- From the IVA Entity Package 1 Submission Status Page:
 1. Select the **Download IVA Findings Reports for Package 1** link to navigate to the IVA Findings Reports for Package 1 Download page
 2. Select the checkbox(es) in the Select column for the requested HIOS ID(s)
 - You can choose to select one (1) or multiple HIOS IDs
 3. Select the **Download** button to download the file(s)
 4. Select the **Return to Status page** button to return to the IVA Entity Package 1 Submission Status page

IVA Entity - Findings Report for Package 1 Download Process: Step 3 (continued)



[Guidance](#)

IVA Findings Report for Package 1 Download

Instructions

Select the check box next to the file(s) you want to download. Select the **Download** button to download the file(s).

You can download files for review after upload. Use the [Download Encrypted Files Instructions](#) for guidance on downloading and opening the files. Hover your mouse over the **Password** to view the required password for the file. The name of the last user to upload or download a file is located on the IVA Entity Package 1 History page.

Items with a status of **Warning(s) Need Review** do not require file resubmission, but the final risk score calculation may be impacted.

IVA Findings Reports for Package 1 ?

Select	HIOS ID	File Name	Status	Last Downloaded Date/Time	Password
☐	07701	07701_IVA Findings Report_20181001140930.xml	Processed without Errors	10/9/2018 4:41 PM	
☐	07702	07702_IVA Findings Report_20181001140943.xml	Processed without Errors	10/2/2018 3:00 PM	
☐	07703	07703_IVA Findings Report_20181003161650.xml	Processed without Errors	10/3/2018 12:17 PM	

Exit

Return to Status page

Download



RETIRED

IVA Entity - Findings Report - Enrollee Response: Step 3

- The Enrollee Response messages are nested at the Enrollee Level and messages include information about the enrollee:
 - Count of unique medical records submitted
 - Count of unique diagnosis codes
 - Count of unique Hierarchical Condition Categories (HCCs)
 - Risk scores for each enrollee:
 - Risk score for the enrollee from the RADV Detailed Enrollee Report (RADVDE) Report
 - IVA Risk Score Package 1
 - Difference between those Risk Score Values

IVA Entity - Interpreting the IVA Findings Report for Package 1: Step 3

- The <enrlResponseItem> is an example of useful information that is included in the IVA Findings Report, in addition to Warnings

```
- <includedEnrolleeItem>
  <uniqueEnrolleeId>EDGE26.0_RADV_0021</uniqueEnrolleeId>
  <sourceSystemMemberId>3021SYS1288</sourceSystemMemberId>
  <firstName>River</firstName>
  <middleName>I</middleName>
  <lastName>Ward</lastName>
  <suffix>SR</suffix>
  <dateOfBirth>2017-01-01</dateOfBirth>
  <gender>M</gender>
  <dAndESampleIndicator>N</dAndESampleIndicator>
- <enrlResponseItem>
  <mrCount>1.0</mrCount>
  <uniqueDiagCount>1.0</uniqueDiagCount>
  <uniqueHccCount>1.0</uniqueHccCount>
  <uniqueIVAHccs>55</uniqueIVAHccs>
  <radvdeRiskScore>2.782</radvdeRiskScore>
  <ivaRiskScorePk1>2.782</ivaRiskScorePk1>
  <deltaRSRadvdeIvaPk1>0.0</deltaRSRadvdeIvaPk1>
  <ivaRiskScorePk2>0</ivaRiskScorePk2>
  <deltaRSRadvdeIvaPk2>2.782</deltaRSRadvdeIvaPk2>
</enrlResponseItem>
```

IVA Findings Report Warnings: Step 3

- **IVA Findings Report Warnings**

- Provide notification that information provided in the IVA Entity Audit Results Submission XML may be incorrect or invalid for a given situation, but warnings do not prevent the IVA Entity or issuer from advancing through the IVA Submission Process
 - The **IVA Findings Report** may include warning messages which indicate variances between IVA findings and RADV sampling reports or other reference documents
 - Warnings **do not require remediation and resubmission**. However, **warnings may result in a lower than anticipated Risk Score for one (1) or more enrollees**; therefore, it is recommended that all warnings are reviewed before confirming the submission as final
 - If the IVA Entity chooses to remediate a warning then the IVA Entity Audit Results Submission XML must be corrected and resubmitted



NOTE: If the enrollee's risk score is lower, it may be an indication that a medical record specified in the XML was not submitted, resulting in an unsubstantiated HCC

Interpreting the IVA Findings Report for Package 1: Step 3

- **Examples of Package 1 Warning**

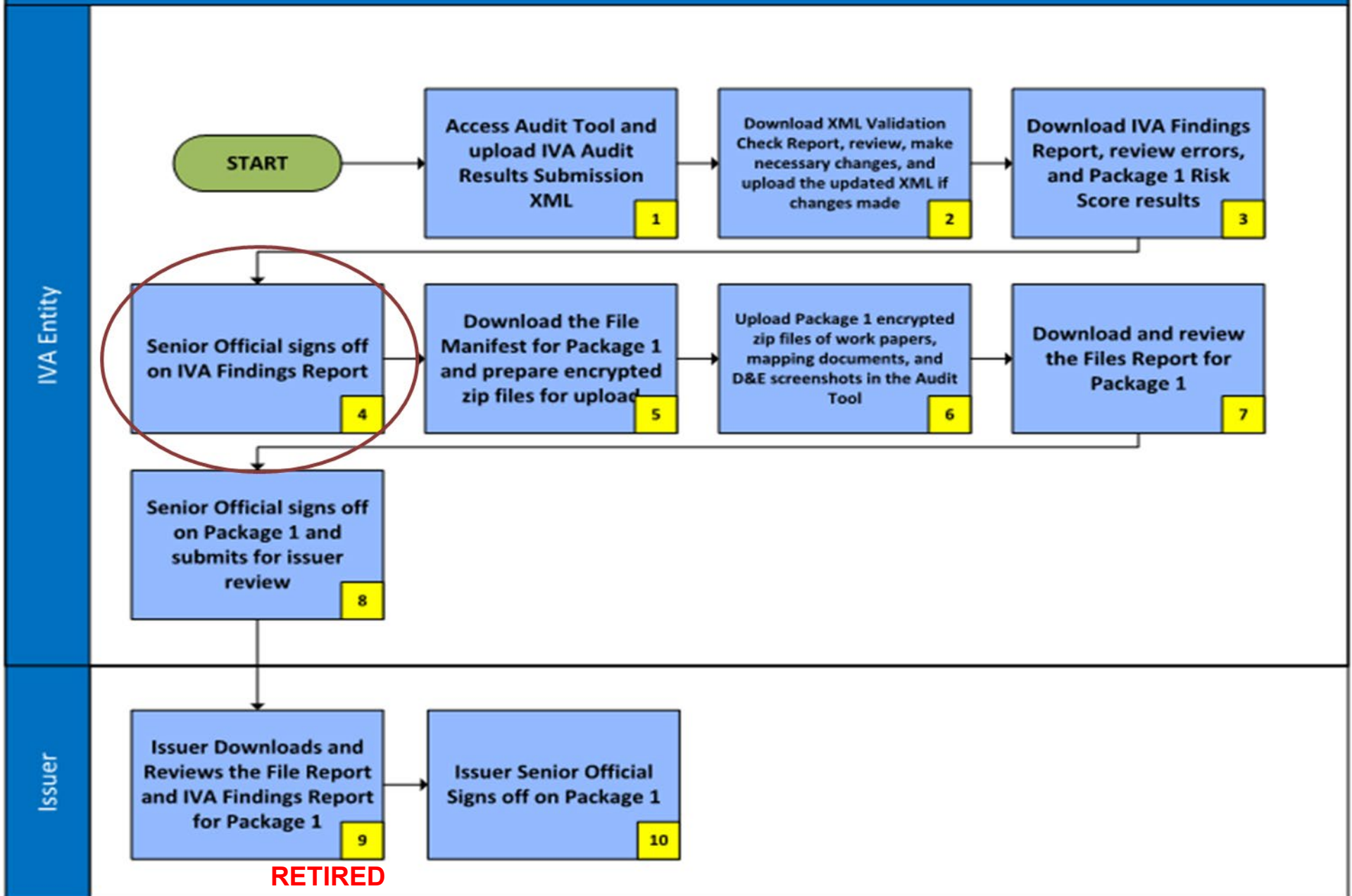
```
- <mrResponseItem>  
  <responseType>Warning</responseType>  
  <dataElement>primaryCoderDiagnosisCode</dataElement>  
  <valueProvided>A038</valueProvided>  
  <responseCode>3.5.2</responseCode>  
  <responseMessage>Not a valid ICD-10 Code.</responseMessage>  
</mrResponseItem>
```

- Response code 3.5.2: An incorrect ICD-10 code is provided

Table 35 of the HHS-RADV Interface Control Document (ICD)

XML Data Element	Error Level	Error Type	Unique ID	Response Code	Error Message	Error Description	Action	Error Type	Report(s)
primaryCoderDiagnosisCode	3	5	2	3.5.2	Not a valid ICD-10 code.	The Primary Coder diagnosis code provided is not a valid ICD-10 code as listed in the HHS-Developed Risk Adjustment Model Algorithm Software .	Confirm the information submitted in the file. If the information is incorrect, make the appropriate corrections and resubmit. If the information in the file is correct, no further action is required.	Warning	IVA Findings Report

IVA Results Submission Process – Package 1 - Step 4



IVA Findings Report for Package 1

IVA Entity Signoff Process: Step 4

- After reviewing the IVA Findings Reports for Package 1, the IVA Entity SO must sign off on the report
 - By completing the signoff attestation, the IVA Entity SO is certifying that the IVA Findings Report for Package 1 is acceptable and ready for issuer review

IVA Findings Report for Package 1

IVA Entity Signoff Process: Step 4 (continued)

- From the IVA Entity Package 1 Submission Status Page:
 1. Select the **IVA Findings Report Signoff** link in the Submission Status table to navigate to signoff on the IVA Findings Report for Package 1
 2. Select the **Attestation** checkbox
 3. Select the **Submit** button



NOTE: Signoff can only be completed by the IVA Entity SO

IVA Findings Report for Package 1

IVA Entity Signoff Process: Step 4 (continued)

[Guidance](#)

IVA Findings Report for Package 1 Signoff

Instructions

Select the **Download** action link to review the IVA Findings Report for Package 1 for the listed HIOS ID. An IVA Entity Senior Official must select the **Attestation** check box to certify the IVA Findings Report for Package 1 is acceptable and ready for issuer review.

Use the [Download Encrypted Files Instructions](#) for guidance on downloading and opening the files. Hover your mouse over the **Password** to view the required password for the file. The name of the last user to upload or download a file is located on the IVA Entity Package 1 History page.

If a status of **Warning(s) Need Review** is indicated in the Status column, then the zip file does not require resubmission, but the final risk score calculation may be impacted.

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

Issuer Company Name: Cheese Inc

HIOS ID: 08802

Password for Zip files:

Encryption Type: AES-256

IVA Findings Report for Package 1

Action	File Name	Status	Last Downloaded Date/Time
Download	08802_IVA Findings Report_20181018164137.xml	Processed without Errors	10/18/2018 12:42 PM

Note: All files must be downloaded prior to signoff.

Attestation

☒ * I certify that the IVA Findings report is acceptable and ready for issuer review.

Submitter Contact Information

First Name: John

Email Address: sampleuser78+iva1@gmail.com

Phone Number:

Last Name: Smith

Job Title:

Phone Extension:

Exit

Back

Submit



RETIRED

IVA Findings Report for Package 1

IVA Entity Signoff Process: Step 4 (continued)

[Download](#) [Report_20164137](#)

Note: All files must be downloaded prior to signoff.

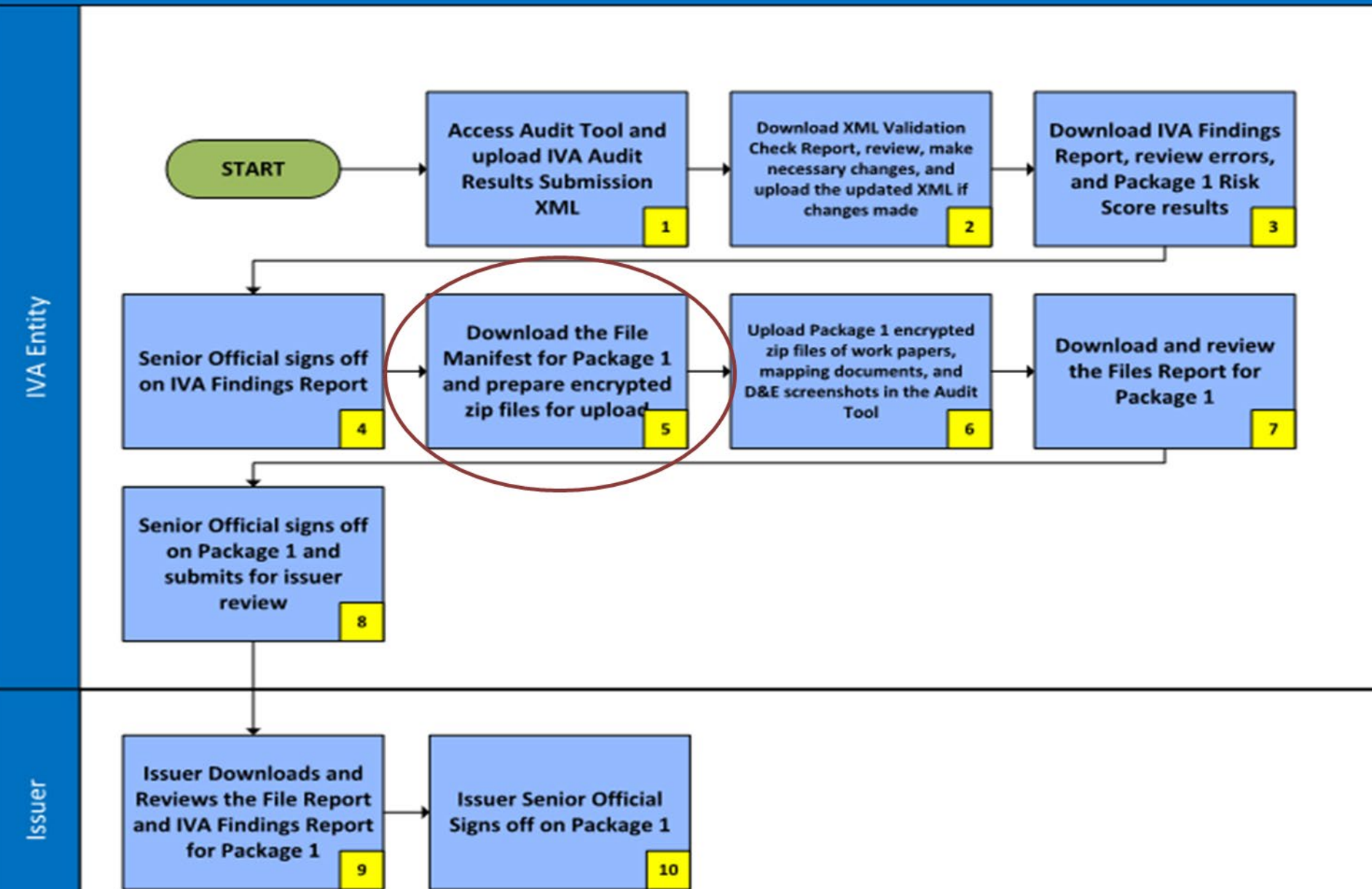
Attestation

☒ * I certify that the IVA Findings report is acceptable and ready for issuer review.

Submitter Contact Information

First Name:	John	Last Name:	Smith
Email Address:	sampleuser78+iva1@gmail.com	Job Title:	
Phone Number:		Phone Extension:	

IVA Results Submission Process – Package 1 - Step 5



IVA Entity - File Manifest for Package 1

Overview: Step 5

- The File Manifest is generated after the IVA Findings Report for Package 1 is signed off
- The IVA Entity SO who signed off on the IVA Findings Report and the IVA Entity RADV Coordinators will receive an email notification when the File Manifest for Package 1 is available
- The File Manifest for Package 1 will be provided to assist IVA Entities in identifying exactly which files must be submitted as part of Package 1 submission

IVA Entity - File Manifest for Package 1

Overview: Step 5 (continued)

- Files identified in the File Manifest for Package 1 will directly correspond to the IVA Entity Audit Results Submission XML
- Package 1 documentation may contain the following files:
 - Mapping Documentation
 - Screenshots (for enrollees in the D&E Subsample)
 - Workpapers (to support screenshot evidence)
- After review, if additional files should be submitted for Package 1 that are not included on the File Manifest, you should edit the IVA Entity Audit Results Submission XML and resubmit to start the resubmission process

IVA Entity - File Manifest for Package 1

Download Process: Step 5

- From the IVA Entity Package 1 Submission Status Page:
 1. Select the **Download File Manifest for Package 1** link to navigate to the File Manifest for Package 1 Download page
 2. Select the checkbox(es) in the Select column for the requested HIOS ID(s)
 - You can choose to select one (1) or multiple HIOS IDs
 3. Select the **Download** button to download the file(s)
 4. Select the **Return to Status page** button to return to the IVA Entity Package 1 Submission Status Page

IVA Entity - File Manifest for Package 1

Download Process: Step 5 (continued)

[Guidance](#)

Files Report for Package 1 Download

Instructions

Select the check box next to the file(s) you want to download. Select the **Download** button to download the file(s).

You can download files for review after upload. Use the [Download Encrypted Files Instructions](#) for guidance on downloading and opening the files. Hover your mouse over the **Password** to view the required password for the file. The name of the last user to upload or download a file is located on the IVA Entity Package 1 History page.

A status of **Error(s) Must Resubmit** indicated in the Status column indicates that the zip file requires resolution and resubmission. Items with a status of **Warning(s) Need Review** do not require file resubmission, but the final risk score calculation may be impacted.

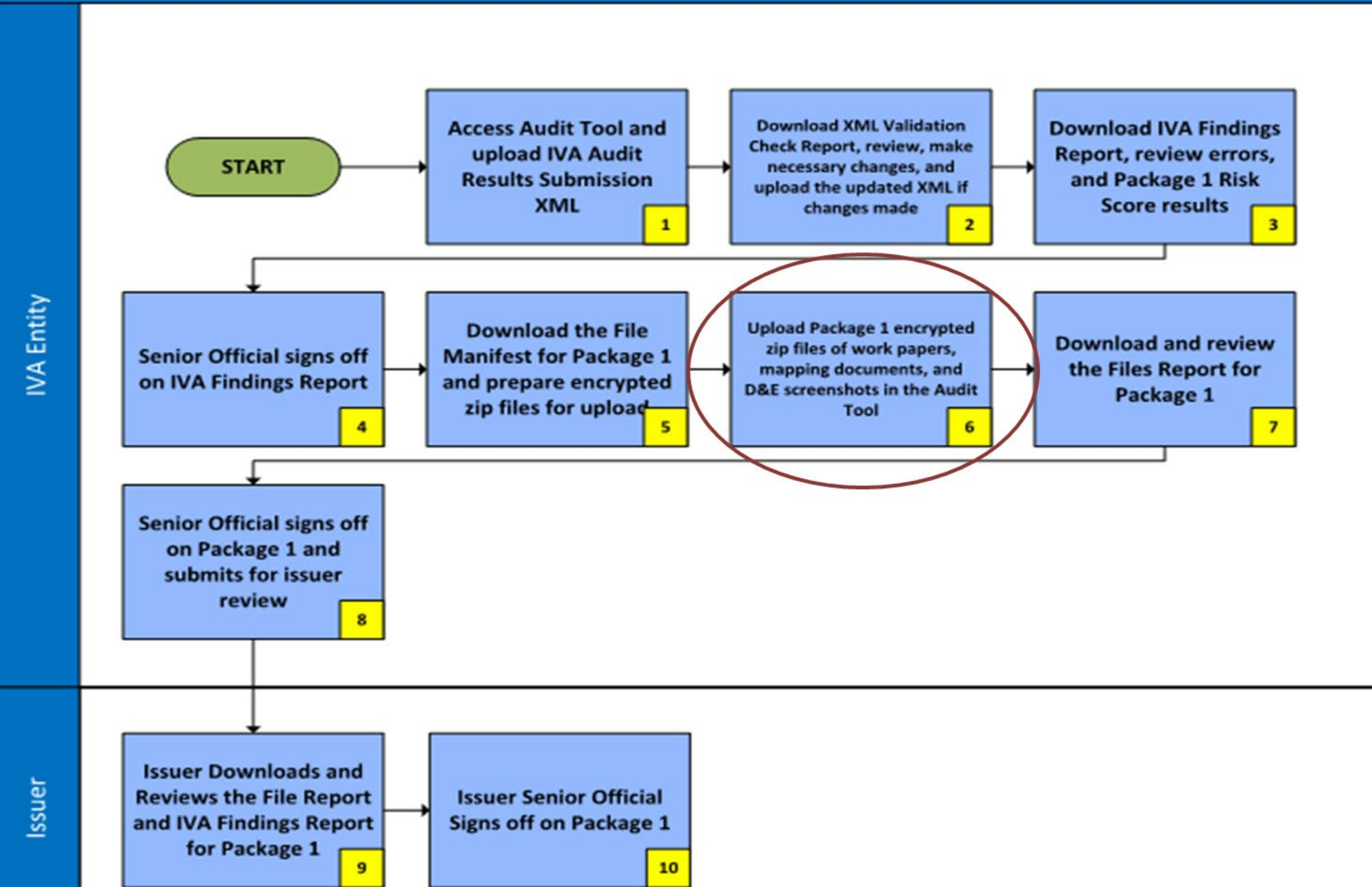
Files Reports for Package 1 ?

Select	HIOS ID	File Name	Status	Last Downloaded Date/Time	Password
☐	07701	07701_File Report Pk1_20181002161228 .csv	Processed without Errors	10/9/2018 4:40 PM	
☐	07702	07702_File Report Pk1_20181002161315 .csv	Processed without Errors	10/2/2018 3:15 PM	
☐	07703	07703_File Report Pk1_20181003162305 .csv	Processed without Errors	10/3/2018 12:23 PM	

[Exit](#)[Return to Status page](#)[Download](#)

RETIRED

IVA Results Submission Process – Package 1 - Step 6



RETIRED

IVA Entity - Package 1 Files Upload Process: Step 6

- From the IVA Entity Package 1 Submission Status Page:
 1. Select the **Upload/Download Pkg 1 Docs** link in the Action column of the Submission Status table for the appropriate Company/HIOS ID to navigate to the Package 1 File Upload page
 2. Select the **Browse/Choose File** button to locate your Package 1 file
 - All files must be zipped and encrypted with the provided password
 3. Select the **Upload Attachment** button
 4. Repeat steps 2 and 3 as needed until all the Package 1 files have been uploaded
 5. Select the **Package 1 File upload complete** button when the Package 1 file upload has been completed
 6. Select the **Return to Status page** button to return to the IVA Entity Package 1 Submission Status page



NOTE: Uploaded files will be saved but not processed until selecting the **Upload Complete** button

IVA Entity - Package 1 Files Upload

Process: Step 6 (continued)

Issuer Company Name: Cheese Inc

HIOS ID: 07701

Password for Zip files:

Encryption Type: AES-256 ?

File Manifest for Package 1 ?

Action	File Name	File Manifest for Package 1 Status
Download	07701_File Manifest Pk1_20181001140930.csv	Downloaded

* Upload a File

No file selected.

Maximum file size: 250 MB

Package 1 File(s) ?

Action	File Name	Uploaded Date/Time ?
Download	Package_1_Submission.zip	10/2/2018 12:06 PM

Package 1 file upload completed

Files Report for Package 1 ?

Action	File Name	Status	Created Date/Time ?
		Processing	



NOTE: All screenshots included in this presentation were captured in a test system environment and do not reflect the required HHS-RADV submission dates

File Upload Impacts – Adding Files: Step 6

- Contents of the zip files are cumulative
- Continue adding unique files by uploading multiple, unique zip files

Zip 1	Zip 2	Zip 3	System Stores
12345ZipA	12345ZipB	12345ZipC	
File1.pdf			File1.pdf
File2.pdf			File2.pdf
File3.xlsx			File3.xlsx
	File4.pdf		File4.pdf
		File5.pdf	File5.pdf

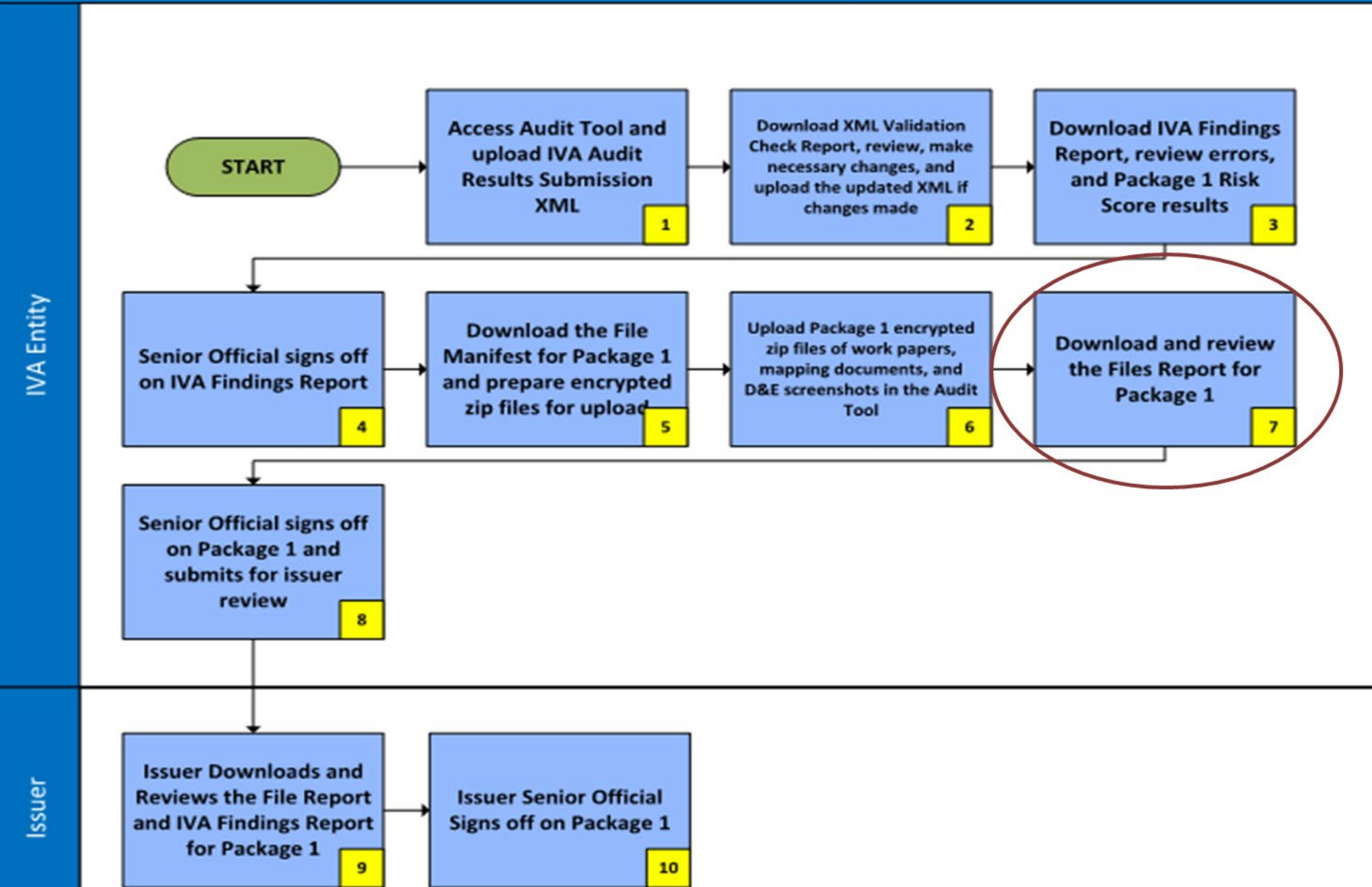


NOTE: All files being uploaded must have been previously identified in the IVA Entity Audit Results Submission XML

Delay in Receipt of Files Report: Step 6

- If IVA Entities think that the files were submitted but have not received the Files Report for Package 1, confirm that you selected the **Package 1 file upload complete** button
- If the upload screen continues to show “Processing”, issuers may have experienced a time out
 - Navigate back to the Package 1 Files Upload page to see if the file is listed in the Package 1 Files table

IVA Results Submission Process – Package 1 - Step 7



RETIRED

IVA Entity - Files Report for Package 1

Overview: Step 7

- The **Files Report for Package 1** contains the results of Package 1 File validation, and includes a response record for each file uploaded in Package 1 compared to the File Manifest for Package 1
 - The File Manifest for Package 1 includes the files listed in the IVA Entity Audit Results Submission XML
- The submitter of the Package 1 Files and the IVA Entity SOs will receive an email notification when the Files Report for Package 1 is available

IVA Entity - Files Report for Package 1

Download Process: Step 7

- From the IVA Entity Package 1 Submission Status page:
 1. Select the **Download Files Reports for Package 1** link to navigate to the Files Report for Package 1 Download page
 2. Select the checkbox(es) in the Select column for the requested HIOS ID(s)
 - You can choose to select one (1) or multiple HIOS IDs
 3. Select the **Download** button to download the file(s)
 4. Select the **Return to Status page** button to return to the IVA Entity Package 1 Submission Status page

IVA Entity - Files Report for Package 1

Download Process: Step 7 (continued)



[Guidance](#)

Files Report for Package 1 Download

Instructions

Select the check box next to the file(s) you want to download. Select the **Download** button to download the file(s).

You can download files for review after upload. Use the [Download Encrypted Files Instructions](#) for guidance on downloading and opening the files. Hover your mouse over the **Password** to view the required password for the file. The name of the last user to upload or download a file is located on the IVA Entity Package 1 History page.

A status of **Error(s) Must Resubmit** indicated in the Status column indicates that the zip file requires resolution and resubmission. Items with a status of **Warning(s) Need Review** do not require file resubmission, but the final risk score calculation may be impacted.

Files Reports for Package 1 ?

Select	HIOS ID	File Name	Status	Last Downloaded Date/Time ?	Password
☐	07701	07701_File Report Pk1_20181002161228.csv	Processed without Errors	10/9/2018 4:40 PM	
☐	07702	07702_File Report Pk1_20181002161315.csv	Processed without Errors	10/2/2018 3:15 PM	
☐	07703	07703_File Report Pk1_20181003162305.csv	Processed without Errors	10/3/2018 12:23 PM	

Exit

Return to Status page

Download



RETIRED

IVA Entity - Interpreting the Files Report for Package 1: Step 7

- The Files Report for Package 1 contains Fatal Errors, Critical Errors, and Warnings
 - **Fatal Error(s) or Critical Error(s)**: If these errors occur in the Files Report for Package 1 they must be addressed and corrected, and files resubmitted for that Package
 - **Warning(s)**: Warning messages do not prevent the IVA Entity and issuer from advancing through the IVA Submission Process, as they may be accepted by the IVA Entity and issuer
- If you need to split and resubmit file(s) to meet file size limits, you must submit a File Name Revisions XML
 - Section 7.5 of the ICD describes the File Name Revisions process and requirements in detail

IVA Entity - Interpreting the Files Report for Package 1: Step 7 (continued)

- **Example of Files Report Errors**

- Response Code 5.5.3: File size too large

Table 35 of the HHS-RADV Interface Control Document (ICD)

XML Data Element	Error Level	Error Type	Unique ID	Response Code	Error Message	Error Description	Action	Error Type	Report(s)
fileSize	5	5	3	5.5.3	File size too large.	The Audit Tool will not accept files larger than 250 MB.	You must split the file into multiple documents each with an unzipped file size no larger than 250 MB. Use the File Name Revisions process to submit the replacement files.	Critical	Files Reports for Package 1, Package 2, and Package 3

- **Example of Files Report Warning**

- Response Code 5.3.2: No file name match found

Table 35 of the HHS-RADV Interface Control Document (ICD)

XML Data Element	Error Level	Error Type	Unique ID	Response Code	Error Message	Error Description	Action	Error Type	Report(s)
fileName	5	3	2	5.3.2	No file name match found.	The file name provided in a Package 1, Package 2 or Package 3 submission does not match the IVA Entity Audit Results Submission (XML) . This file has been deleted.	If the file was named incorrectly, you must update file name and resubmit. If you did not intend to submit the file, no further action is required. The file has been deleted.	Warning	Files Reports for Package 1, Package 2 and Package 3

For more information on adding and replacing files, reference slides 63, 73 and 74

IVA Entity - Interpreting the Files Report for Package 1: Step 7 (continued)

- **Examples of Files Report Errors**
 - Response Code 5.3.6 – 5.3.8: Required file missing

Table 35 of the HHS-RADV Interface Control Document (ICD)

XML Data Element	Error Level	Error Type	Unique ID	Response Code	Error Message	Error Description	Action	Error Type	Report(s)
FileName	5	3	6	5.3.6	Required Mapping Document file missing.	A required Mapping Document specified in the IVA Entity Audit Results Submission (XML) was not included in the Package 1 submission.	You must upload the required Mapping Document file listed in the Files Report for Package 1.	Critical	Files Report for Package 1
FileName	5	3	7	5.3.7	Required D&E file missing.	A required D&E file specified in the IVA Entity Audit Results Submission (XML) was not included in the Package 1 submission.	You must upload the required D&E file listed in the Files Report for Package 1.	Critical	Files Report for Package 1
FileName	5	3	8	5.3.8	Required D&E workpaper file missing.	A required D&E workpaper file specified in the IVA Entity Audit Results Submission (XML) was not included in the Package 1 submission.	When 'Enrollee in Correct Plan is 'N' for an enrollee in the D&E Sub-sample a D&E workpaper is required. You must upload the required D&E workpaper file specified in the Files Report for Package 1.	Critical	Files Report for Package 1

For more information on adding and replacing files, reference slides 63, 73 and 74

IVA Entity - Interpreting the Files Report for Package 1: Step 7 (continued)

- **Examples of Files Report Warning**
 - Response Code 5.3.3: Expected file missing

Table 35 of the HHS-RADV Interface Control Document (ICD)

XML Data Element	Error Level	Error Type	Unique ID	Response Code	Error Message	Error Description	Action	Error Type	Report(s)
fileName	5	3	3	5.3.3	Expected file missing.	A file expected in the IVA Entity Audit Results Submission (XML) was not included in the Package 1, Package 2, or Package 3 submission.	Confirm the information submitted in the Package 1, Package 2 or Package 3 submission. If the information is incorrect, make the appropriate corrections and resubmit. If the information in the Package 1, Package 2 or Package 3 submission is correct, no further action is required.	Warning	Files Reports for Package 1, Package 2, and Package 3

For more information on adding and replacing files, reference slides 63, 73 and 74

File Upload Impacts – Replacing Files

Correct Process: Step 7

- To replace a file within a zip file, delete the entire zip file and upload a new zip file

Original Zip

Replacement Zip

12345ZipA	12345ZipA	System Stores
File1.pdf (Good)	File1.pdf (Good)	File1.pdf (Good)
File2.pdf (Bad)	File2.pdf (Good)	File2.pdf (Good)
File3.xlsx (Good)	File3.xlsx (Good)	File3.xlsx (Good)
File4.pdf (Bad)	File4.pdf (Good)	File4.pdf (Good)
File5.pdf (Good)	File5.pdf (Good)	File5.pdf (Good)

- The system will not allow you to upload two (2) zip files with the same name

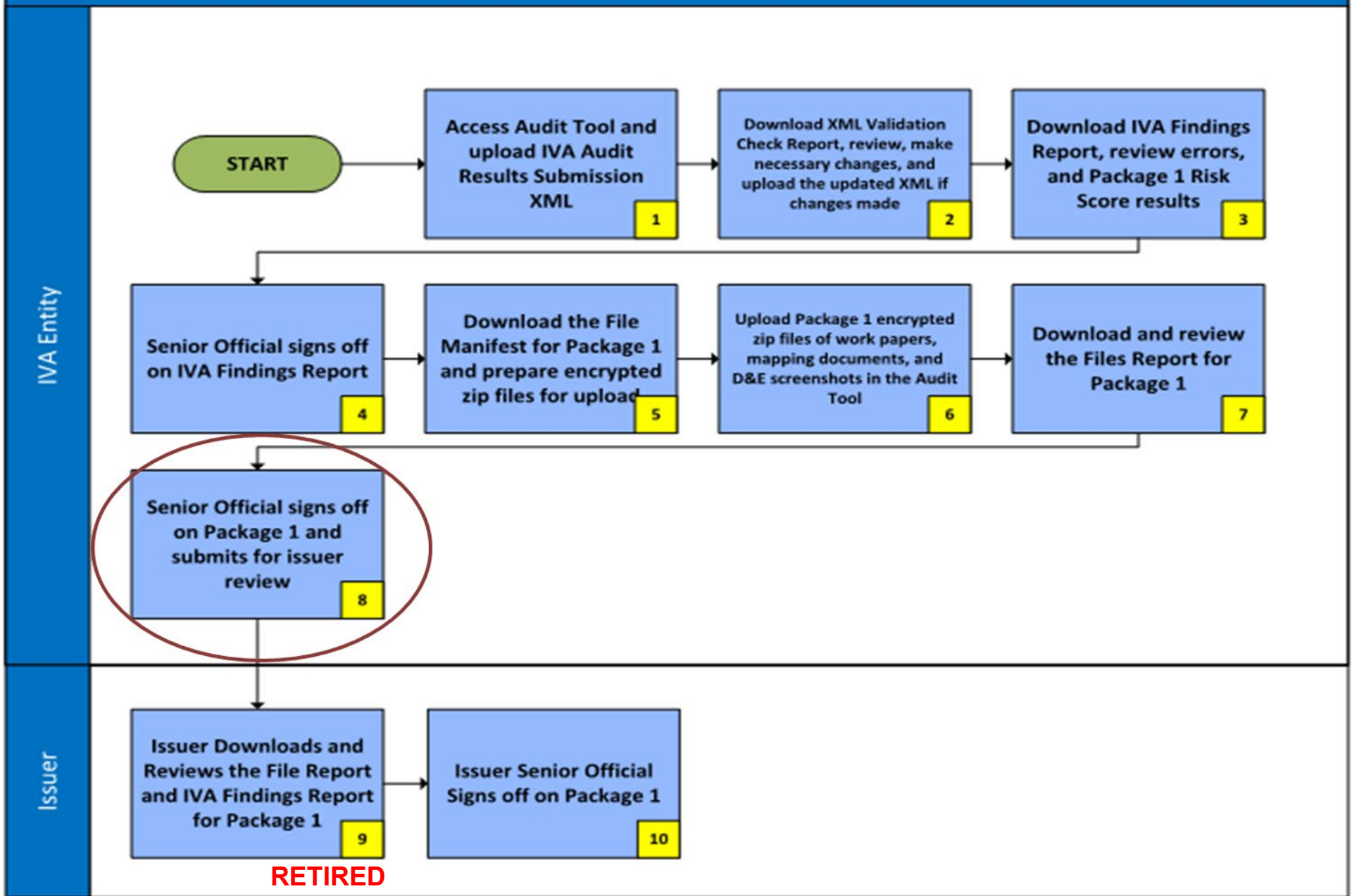
File Upload Impacts – Replacing Files

Incorrect Process: Step 7

- **Do Not put the same file in multiple zip files**
 - The Audit Tool does not have control of which version of a file that has been uploaded gets stored, if multiple versions have been uploaded
 - Reviewers will see all available zip files and will not know which file is the final submission

Original	Second Upload	Third Upload	
12345ZipA	12345ZipB	12345ZipC	System Stores
File1.pdf	File1.pdf	File1.pdf	File1.pdf (from Zip 1)
File2.pdf		File2.pdf	File2.pdf (from Zip 3)
File3.xlsx	File3.xlsx	File3.xlsx	File3.xlsx (from Zip 2)
	File4.pdf		File4.pdf (from Zip 2)
		File5.pdf	File5.pdf (from Zip 3)

IVA Results Submission Process – Package 1 - Step 8



IVA Entity Signoff for Package 1

Overview: Step 8

- After reviewing the IVA Findings Report and Package 1 Files Report, resolving any errors, and resubmitting, the IVA Entity SO must signoff on Package 1
 - By completing the signoff attestation, the IVA Entity SO is certifying that Package 1 is acceptable and ready for issuer review
 - The issuer is provided with the IVA Findings and Files Reports for Package 1 as well as all zip files that have been uploaded
 - It is recommended that IVA Entities notify the issuer as soon as Package 1 is available for the issuer's review and signoff in order to keep the process moving

IVA Entity Signoff for Package 1

Process: Step 8

- From the IVA Entity Package 1 Submission Status page:
 1. Select the **Package 1 IVA Entity Signoff** link in the Action column of the Submission Status table for the appropriate Company/HIOS ID to navigate to the IVA Entity Package 1 Signoff page
 2. Select the **Attestation** checkbox
 3. Select the **Submit** button to navigate to the Confirmation page
 4. Print or save the PDF for your records

IVA Entity Signoff for Package 1 Process

– Step 8 (continued)

Issuer Company Name: Cheese Inc

HIOS ID: 07702

Password for Zip files:

Encryption Type: AES-256 ?

IVA Findings Report for Package 1 ?

Action	File Name	Status	Last Downloaded Date/Time ?
Download	07702_IVA Findings Report_20181024213814.xml	Processed without Errors ✔	10/24/2018 5:53 PM

Files Report for Package 1 ?

Action	File Name	Status	Last Downloaded Date/Time ?
Download	07702_File Report Pk1_20181026152240.csv	Processed without Errors ✔	10/26/2018 12:03 PM

Note: All files must be downloaded prior to signoff.

Attestation

☒ * I certify that Package 1 is acceptable and ready for issuer signoff.

Submitter Contact Information

First Name: John

Last Name: Smith

Email Address: sampleuser78+iva1@gmail.com

Job Title:

Phone Number:

Phone Extension:

Exit

Back

Submit

IVA Entity Signoff for Package 1

Process: Step 8 (continued)



Confirmation

Thank you for your submission.

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

Print and save the PDF document for your records; it is formal confirmation of the submission of the IVA Entity Package 1 Signoff. If you have any questions please contact CCIIOACARADDataValidation@cms.hhs.gov.

Submission End Time: 10/3/2018 11:22 PM

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.

PDF

Exit

Return to Status page

Package 1

Submission Process

Issuer Responsibilities

Issuer Signoff for Package 1 Overview

- The Issuer SOs and RADV Coordinators will receive an email notification when the IVA Results Package 1 is available for review and signoff
- There are two (2) reports that must be downloaded and reviewed by the Issuer SO or RADV Coordinators:
 - IVA Findings Report for Package 1
 - Files Report for Package 1
- While an Issuer SO is required to sign off, the files may be downloaded and reviewed by an Issuer SO or RADV Coordinator
- Issuer SOs can choose to sign off on individual or multiple HIOS IDs from the IVA Entity Package 1 Submission Status page



NOTE: The deadline to submit Package 1, including issuer signoff, is **January 11, 2019**. It is strongly recommended that issuers review and signoff on Package 1 as soon as possible rather than waiting until the deadline

Issuer Signoff for Package 1 Overview

(continued)

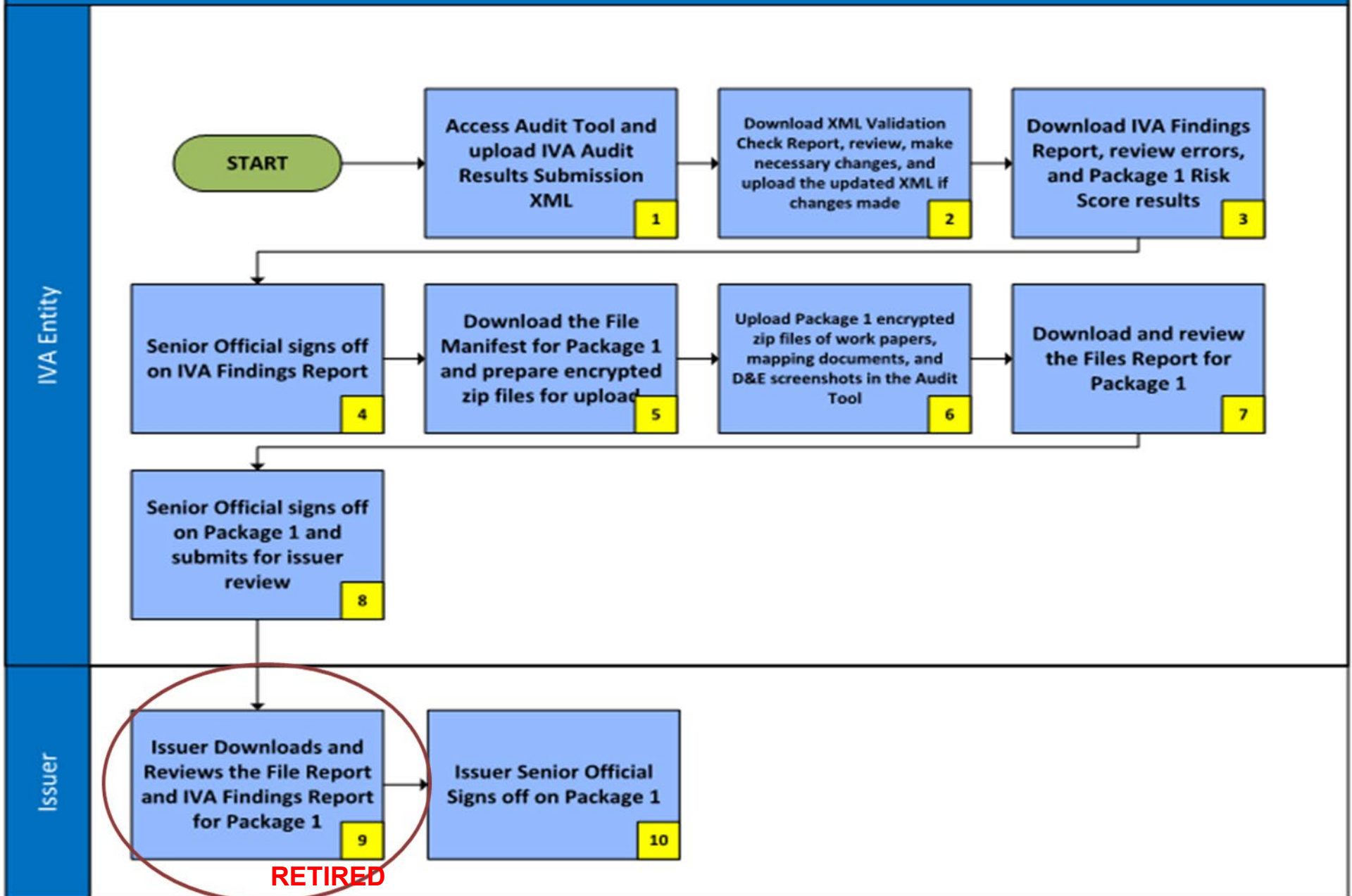
- Issuer signoff of Package 1 completes the IVA Package 1 submission process
 - It is important to review all warnings in the IVA Findings Report and Files Report for Package 1
 - The IVA findings report contains the EDGE server generated risk score, the IVA generated risk score and the variance between the two (2)

Issuer Signoff for Package 1 Overview

(continued)

- After reviewing the IVA Findings Report for Package 1 and the Files Report for Package 1, an Issuer SO must sign off on Package 1 by choosing approve or reject
 - Choosing “Reject” requires the IVA Entity to correct any issues using the IVA Submission Process for Package 1
This may include resubmitting the IVA Entity Audit Results Submission XML and all Package 1 files
 - You may enter comments regarding rejection in the Rejection Comments field
 - The IVA Entity will be able to review rejection comments through the Audit Tool

IVA Results Submission Process – Package 1 - Step 9



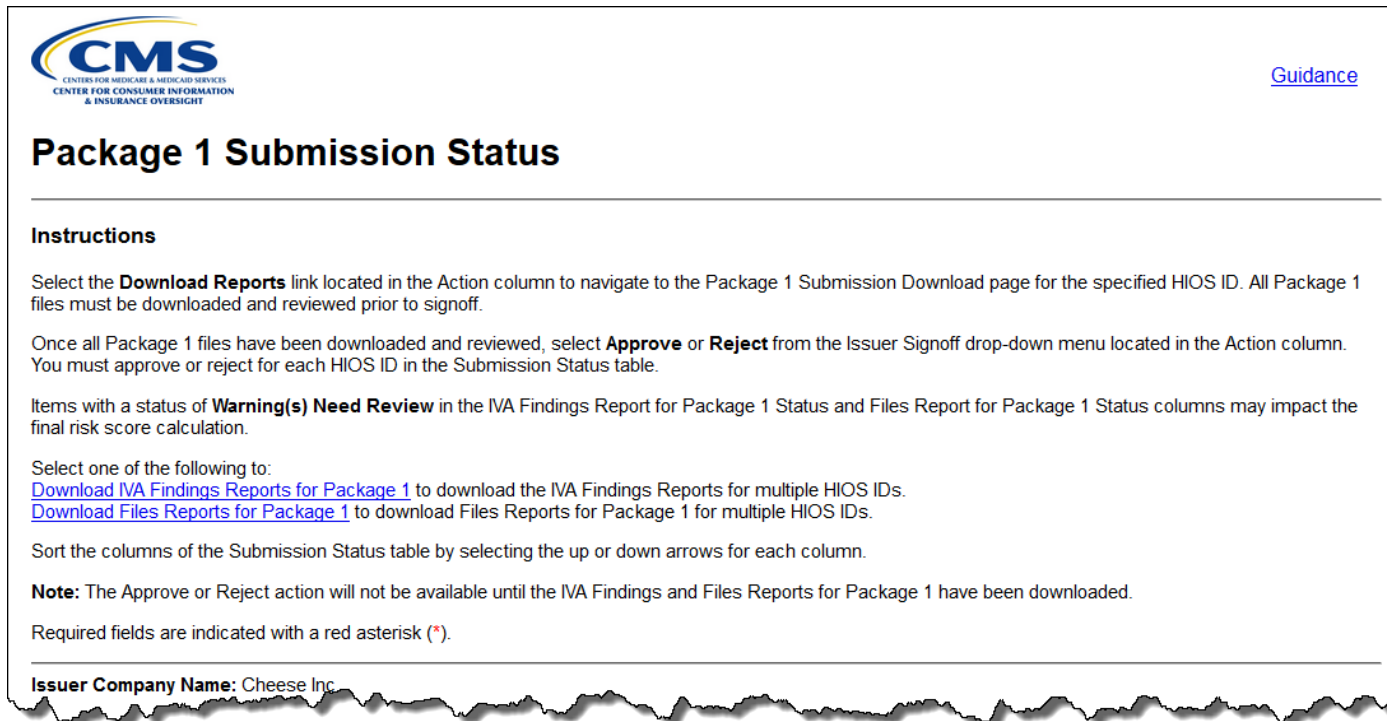
Issuer & IVA Entity Recommendations About Signoff

- It is important to be aware that issuer's review and signoff of the IVA submission is time sensitive
- The issuer is expected to perform a thorough review of the submission as it is the issuer's responsibility to verify that the content submitted is correct
- Issuers and IVA Entities should allow time for this review process so that if the issuer finds issues with the IVA submission, there is time allocated for corrections to be made
- **CMS recommends that issuers communicate closely with the IVA Entity to allow time for review of Package 1 and any corrections that may need to be made by the IVA Entity before the issuer signoff deadline**
- IVA Entity findings are not disputable through the CMS discrepancy reporting processes or appealable

Issuer Submission Status Pages

Package 1: Step 9

- Issuer Package 1 Submission Status page



The screenshot shows the CMS (Centers for Medicare & Medicaid Services) website interface for the 'Package 1 Submission Status' page. The CMS logo is in the top left, and a 'Guidance' link is in the top right. The page title is 'Package 1 Submission Status'. Below the title, there is an 'Instructions' section. The instructions state that users should select the 'Download Reports' link in the Action column to navigate to the Package 1 Submission Download page for the specified HIOS ID. It also mentions that all Package 1 files must be downloaded and reviewed prior to signoff. Further instructions state that once all Package 1 files have been downloaded and reviewed, users should select 'Approve' or 'Reject' from the Issuer Signoff drop-down menu located in the Action column. A note indicates that items with a status of 'Warning(s) Need Review' in the IVA Findings Report for Package 1 Status and Files Report for Package 1 Status columns may impact the final risk score calculation. The instructions also provide links to download IVA Findings Reports for Package 1 and Files Reports for Package 1 for multiple HIOS IDs. A note states that the Approve or Reject action will not be available until the IVA Findings and Files Reports for Package 1 have been downloaded. Required fields are indicated with a red asterisk (*). At the bottom, the 'Issuer Company Name' is listed as 'Cheese Inc'.

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

[Guidance](#)

Package 1 Submission Status

Instructions

Select the **Download Reports** link located in the Action column to navigate to the Package 1 Submission Download page for the specified HIOS ID. All Package 1 files must be downloaded and reviewed prior to signoff.

Once all Package 1 files have been downloaded and reviewed, select **Approve** or **Reject** from the Issuer Signoff drop-down menu located in the Action column. You must approve or reject for each HIOS ID in the Submission Status table.

Items with a status of **Warning(s) Need Review** in the IVA Findings Report for Package 1 Status and Files Report for Package 1 Status columns may impact the final risk score calculation.

Select one of the following to:

- [Download IVA Findings Reports for Package 1](#) to download the IVA Findings Reports for multiple HIOS IDs.
- [Download Files Reports for Package 1](#) to download Files Reports for Package 1 for multiple HIOS IDs.

Sort the columns of the Submission Status table by selecting the up or down arrows for each column.

Note: The Approve or Reject action will not be available until the IVA Findings and Files Reports for Package 1 have been downloaded.

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

Issuer Company Name: Cheese Inc

- The links on the top of the page allow you to download files for multiple HIOS IDs

Access the Issuer Submission Status Pages – Package 1: Step 9

- Issuer Package 1 Submission Status Page

Issuer Company Name: Cheese Inc

Submission Status

Action*	IVA Entity Name	HIOS ID ▲	IVA Findings Report for Package 1 Status	Files Report for Package 1 Status	Package 1 Issuer Signoff Status
Download Reports	Macaroni LLC	07701 IVA Entity History Issuer History	Processed without Errors ✓	Processed without Errors ✓	Pending
Download Reports	Macaroni LLC	07702 IVA Entity History Issuer History	Processed without Errors ✓	Processed without Errors ✓	Pending
Download Reports	Macaroni LLC	07703 IVA Entity History Issuer History	Processed without Errors ✓	Warning(s) Need Review ⚠	Pending

- The links in the action column allow you to take action for a single HIOS ID

Issuer - IVA Findings Report for Package 1 Download Process: Step 9

- IVA Findings Report
 - From the Issuer Package 1 Submission Status Page:
 1. Select the **Download IVA Findings Reports for Package 1** link to navigate to the IVA Findings Reports for Package 1 Download page
 2. Select the checkbox(es) in the Select column for the specific HIOS ID(s)
 - You can choose to select one (1) or multiple HIOS IDs
 3. Select the **Download** button to download the file(s)
 4. Select the **Return to Status page** button to return to the Issuer Package 1 Submission Status page

Issuer - IVA Findings Report for Package 1

Download Process: Step 9 (continued)

IVA Findings Report for Package 1 ?

Select	HIOS ID	File Name	Status	Last Downloaded by Issuer Date/Time ?	Password
☒	07701	07701_IVA Findings Report_20181001140930.xml	Processed without Errors ☒	10/2/2018 2:52 PM	
☒	07702	07702_IVA Findings Report_20181001140943.xml	Processed without Errors ☒	N/A	
☐	07703	07703_IVA Findings Report_20181001140947.xml	Processed without Errors ☒	N/A	

Exit

Return to Status page

Download

Issuer - Files Report for Package 1

Download Process: Step 9

- Files Report
 - From the Issuer Package 1 Submission Status Page:
 1. Select the **Download Files Reports for Package 1** link to navigate to the IVA Findings Reports for Package 1 Download page
 2. Select the checkbox(es) in the Select column for the specific HIOS ID(s)
 - You can choose to select one (1) or multiple HIOS IDs
 3. Select the **Download** button to download the file(s)
 4. Select the **Return to Status page** button to return to the Issuer Package 1 Submission Status page

Issuer - Files Report for Package 1

Download Process: Step 9 (continued)



[Guidance](#)

Files Report for Package 1 Download

Instructions

Select the check box next to the file(s) you want to download. Select the Download button to download the file(s).

Use the [Download Encrypted Files Instructions](#) for guidance on downloading and opening the files. Hover your mouse over the **Password** to view the required password for the file. The name of the last user to upload or download a file is located on the Package 1 History pages.

Items with the status of **Warning(s) Need Review** in the Status column may impact the final risk score calculation.

Files Reports for Package 1 ?

Select	HIOS ID	File Name	Status	Last Downloaded by Issuer Date/Time	Password
☐	07701	07701_File Report Pk1_20181002161228.c sv	Processed without Errors	10/2/2018 2:53 PM	
☒	07702	07702_File Report Pk1_20181002161315.c sv	Processed without Errors	N/A	
☐	07703	07703_File Report Pk1_20181002161359.c sv	Warning(s) Need Review	N/A	

Exit

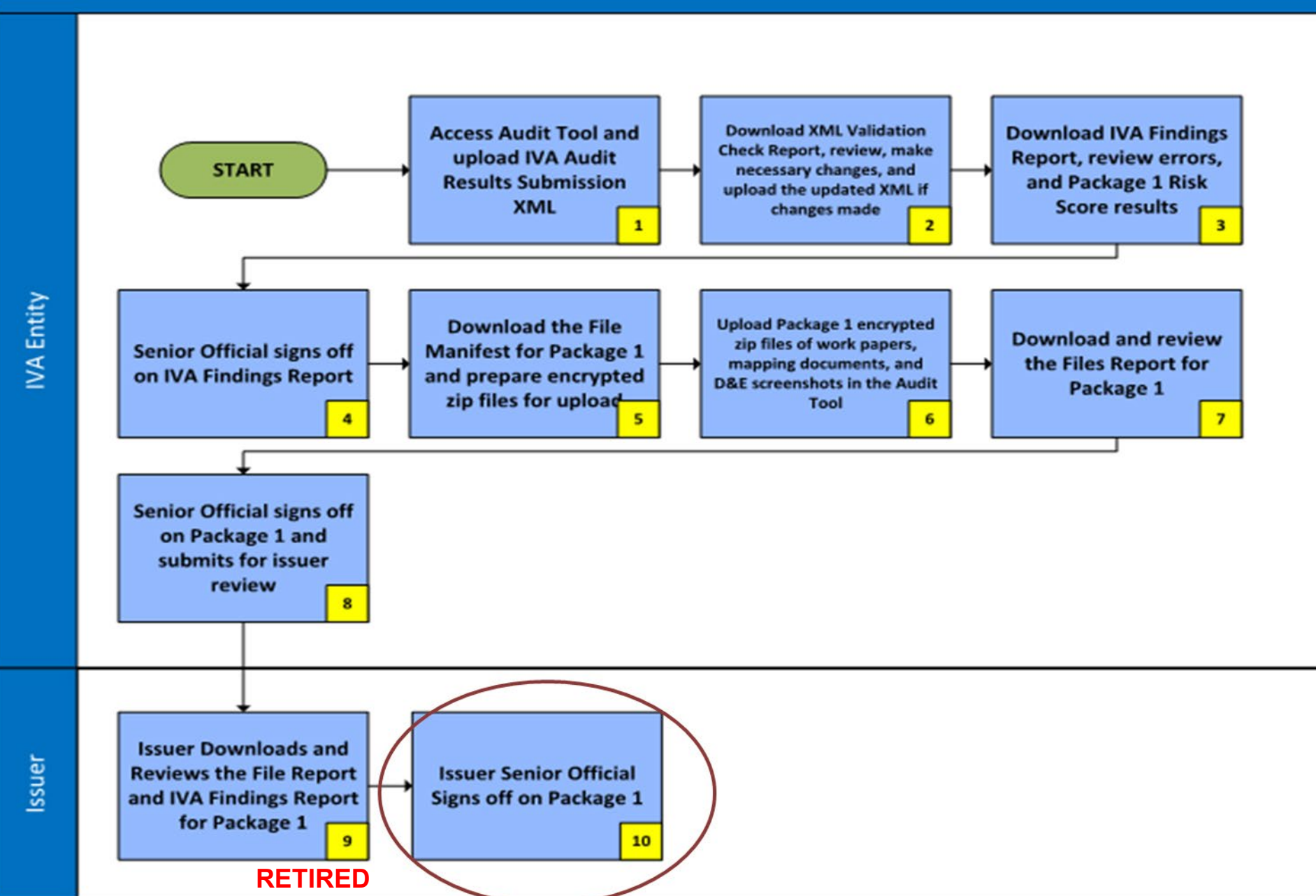
Return to Status page

Download



RETIRED

IVA Results Submission Process – Package 1 - Step 10



Issuer - Signoff for Package 1: Step 10

- After the issuer has reviewed the Files Report and IVA Findings Report for Package 1 the Issuer SO may sign off on Package 1 using one (1) of two (2) methods
 - Sign off for one (1) HIOS ID at a time
 - From the *Package 1 Submission Download* page
 - Sign off for multiple HIOS ID at one (1) time
 - From the *Package 1 Submission Status* page



NOTE: Rejecting Package 1 requires that the IVA Entity correct any issues using the IVA Submission Process for Package 1. This may include resubmitting the IVA Entity Audit Results Submission XML and all Package 1 files. It is strongly recommended that issuers communicate closely with the IVA Entity to meet the Package 1 signoff deadline

Issuer - Signoff for Package 1: Step 10

(continued)

- From the Issuer Package 1 Submission Status Page:
 1. Select **Approve** or **Reject** from the drop down in the Action column of the Submission Status table for the appropriate HIOS ID(s)
 - The Approve or Reject action will not be available until the IVA Findings and Files Reports for Package 1 have been downloaded
 2. Select the **Continue** button to navigate to the Issuer Package 1 Signoff page
 3. Verify that the correct HIOS IDs have been selected for approval/rejection
 - If **Reject** is selected, enter **Rejection Comments** as needed
 4. Select the **Submit** button to navigate to the Confirmation page

Issuer - Signoff for Package 1: Step 10

(continued)

Submission Status

Action*	IVA Entity Name	HIOS ID	IVA Findings Report for Package 1 Status	Files Report for Package 1 Status	Package 1 Issuer Signoff Status
Download Reports Issuer Signoff --None--	Macaroni LLC	07701 IVA Entity History Issuer History	Processed without Errors ✓	Processed without Errors ✓	Pending
Download Reports Issuer Signoff --None--	Macaroni LLC	07702 IVA Entity History Issuer History	Processed without Errors ✓	Processed without Errors ✓	Pending
Download Reports Issuer Signoff --None-- Approved Rejected	Macaroni LLC	07703 IVA Entity History Issuer History	Processed without Errors ✓	Warning(s) Need Review ⚠	Approved 10/2/2018 ✓

Exit

Continue

Issuer - Signoff for Package 1 Approve: Step 10

- After Selecting “Approve” or “Reject” for one (1) or more HIOS IDs, the Issuer SO will continue to the Issuer Package 1 Signoff page to verify selection and enter rejection comments as necessary

Approve:



[Guidance](#)

Issuer Package 1 Signoff

Instructions

Review the HIOS ID(s) indicated as approved or rejected for Package 1. To change your signoff selection, select the **Back** button. Select the **Submit** button to submit Package 1 signoff for the listed HIOS ID(s).

Package 1 Approved HIOS ID(s)

IVA Entity Name	HIOS ID
Macaroni LLC	07701

Submitter Contact Information

First Name: Bob
Email Address: sampleuser78+iss1@gmail.com
Phone Number: (111) 111-1111

Last Name: Wills
Job Title: Manager
Phone Extension:



RETIRED

Issuer - Signoff for Package 1 Reject: Step 10

Reject:



[Guidance](#)

Issuer Package 2 Signoff

Instructions

Review the HIOS ID(s) indicated as approved or rejected for Package 2. To change your signoff selection, select the **Back** button. Select the **Submit** button to submit Package 2 signoff for the listed HIOS ID(s).

Package 2 Approved HIOS ID(s)

IVA Entity Name	HIOS ID
Macaroni LLC	07702

Package 2 Rejected HIOS ID(s)

IVA Entity Name	HIOS ID	Rejection Comments
Macaroni LLC	07703	Here are the reasons for rejection - reasons, reasons, and reasons.

Submitter Contact Information

First Name: Bob
Email Address: sampleuser78+iss1@gmail.com
Phone Number: (111) 111-1111

Last Name: Wills
Job Title: Manager
Phone Extension:

Exit

Back

Submit



RETIRED

Issuer - Signoff for Package 1: Step 10

(continued)



Confirmation

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

Thank you for your submission.

Print and save the PDF document for your records; it is formal confirmation of the submission of Package 1 Signoff. If you have any questions please contact CCIIOACARADDataValidation@cms.hhs.gov.

Submission End Time: 10/02/2018 04:19 PM

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.



Exit

Return to Status Page



RETIRED

Issuer - IVA Entity Notification of Package 1 Approval/Rejection: Step 10

If the Issuer SO	Then
<u>Approves</u> the Package 1 Submission	IVA Entity SOs and RADV Coordinators will receive a confirmation email which includes notification that the Package 2 Reports are available.
<u>Rejects</u> the Package 1 Submission	The IVA Entity must review the issuer's rejection notes (if entered) in the Audit Tool and correct any issues using the IVA Submission Process for Package 1. This may include resubmitting the IVA Entity Audit Results Submission XML and all Package 1 files.

Package 2

Submission Process

IVA Entity Responsibilities

IVA Results Submission Process – Package 2 - Step 11

IVA Entity

Download SVA Subsample Report and File Manifest for Package 2 and prepare encrypted zip files for upload

11

Upload Package 2 encrypted zip files containing medical records and NEC images in the Audit Tool

12

Download and review the Files Report for Package 2

13

Download IVA Findings Report, review errors, and Package 2 Risk Score results

14

Senior Official signs off on Package 2 and submits for issuer review

15

Issuer downloads and reviews the Files Report and IVA Findings Report for Package 2

16

Issuer Senior Official signs off on Package 2

17

RETIRED

IVA Entity - SVA Subsample Report and File Manifest for Package 2 Overview: Step 11

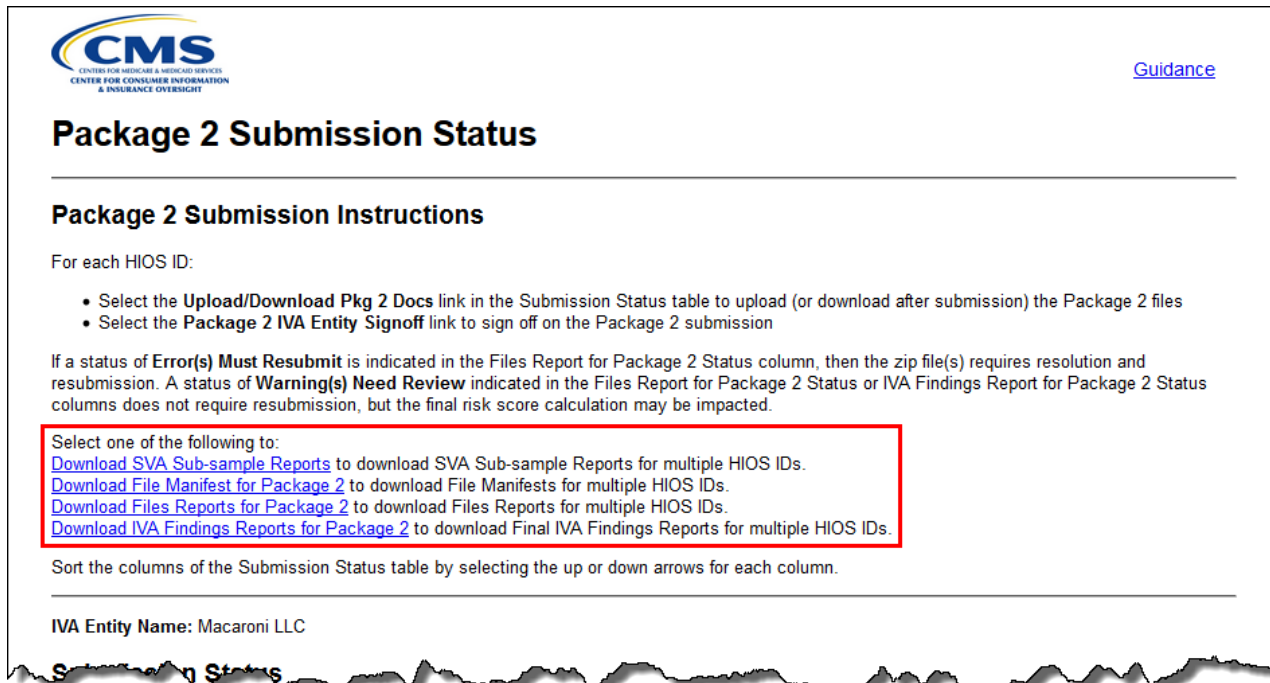
- The SVA Subsample Report and the File Manifest for Package 2 will be available following issuer signoff on Package 1
 - The SVA Subsample report contains the list of enrollees in the SVA subsample for the Package 2 (medical records) submission
 - The File Manifest for Package 2 contains the list of medical records, NEC screen shots and workpaper files that were reported in the IVA Entity Audit Results Submission XML for the enrollees in the SVA subsample
- **The final day for IVA Entity to submit medical records to CMS for the SVA subsample and receive final signoff from issuer is January 25, 2019**

IVA Entity - SVA Subsample Report for Package 2 Download Process: Step 11

- From the IVA Entity Package 2 Submission Status Page:
 1. Select the **Download SVA Subsample Reports** link to navigate to the SVA Subsample Reports Download page
 2. Select the checkbox(es) in the Select column for the specific HIOS ID(s)
 - You can choose to select one (1) or multiple HIOS IDs
 3. Select the **Download** button to download the file(s)
 4. Select the **Return to Status page** button to return to the IVA Entity Package 2 Submission Status page

Submission Status Pages Package 2

- IVA Entity Package 2 Submission Status page



The screenshot shows the CMS Package 2 Submission Status page. At the top left is the CMS logo with the text "CENTERS FOR MEDICARE & MEDICAID SERVICES" and "CENTER FOR CONSUMER INFORMATION & INSURANCE OVERSIGHT". At the top right is a link labeled "Guidance". The main heading is "Package 2 Submission Status". Below this is a section titled "Package 2 Submission Instructions". The text reads: "For each HIOS ID:" followed by a bulleted list: "• Select the Upload/Download Pkg 2 Docs link in the Submission Status table to upload (or download after submission) the Package 2 files" and "• Select the Package 2 IVA Entity Signoff link to sign off on the Package 2 submission". Below this, it states: "If a status of **Error(s) Must Resubmit** is indicated in the Files Report for Package 2 Status column, then the zip file(s) requires resolution and resubmission. A status of **Warning(s) Need Review** indicated in the Files Report for Package 2 Status or IVA Findings Report for Package 2 Status columns does not require resubmission, but the final risk score calculation may be impacted." A red box highlights the following text: "Select one of the following to:" followed by four links: "Download SVA Sub-sample Reports" to download SVA Sub-sample Reports for multiple HIOS IDs, "Download File Manifest for Package 2" to download File Manifests for multiple HIOS IDs, "Download Files Reports for Package 2" to download Files Reports for multiple HIOS IDs, and "Download IVA Findings Reports for Package 2" to download Final IVA Findings Reports for multiple HIOS IDs. Below the red box, it says: "Sort the columns of the Submission Status table by selecting the up or down arrows for each column." At the bottom, it says "IVA Entity Name: Macaroni LLC". The bottom of the screenshot is torn.

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

[Guidance](#)

Package 2 Submission Status

Package 2 Submission Instructions

For each HIOS ID:

- Select the **Upload/Download Pkg 2 Docs** link in the Submission Status table to upload (or download after submission) the Package 2 files
- Select the **Package 2 IVA Entity Signoff** link to sign off on the Package 2 submission

If a status of **Error(s) Must Resubmit** is indicated in the Files Report for Package 2 Status column, then the zip file(s) requires resolution and resubmission. A status of **Warning(s) Need Review** indicated in the Files Report for Package 2 Status or IVA Findings Report for Package 2 Status columns does not require resubmission, but the final risk score calculation may be impacted.

Select one of the following to:

- [Download SVA Sub-sample Reports](#) to download SVA Sub-sample Reports for multiple HIOS IDs.
- [Download File Manifest for Package 2](#) to download File Manifests for multiple HIOS IDs.
- [Download Files Reports for Package 2](#) to download Files Reports for multiple HIOS IDs.
- [Download IVA Findings Reports for Package 2](#) to download Final IVA Findings Reports for multiple HIOS IDs.

Sort the columns of the Submission Status table by selecting the up or down arrows for each column.

IVA Entity Name: Macaroni LLC

Submission Status

- The links on the top of the page allow you to download files for multiple HIOS IDs

Submission Status Pages Package 2

(continued)

- IVA Entity Package 2 Submission Status Page

Submission Status

Action	Issuer Company Name	HIOS ID 	Package 1 Issuer Signoff 	SVA Sub-sample Status	Files Report for Package 2 Status	IVA Findings Report for Package 2 Status	Package 2 IVA Entity Signoff	Package 2 Issuer Signoff 
	Cheese Inc	07701 History	Approved 10/9/2018 	New				
Upload/Download Pkg 2 Docs	Cheese Inc	07702 History	Approved 10/2/2018 	Downloaded	Processed without Errors 	Processed without Errors 	10/3/2018 11:53 AM 	Approved 10/4/2018 
Upload/Download Pkg 2 Docs	Cheese Inc	07703 History	Approved 10/3/2018 	Downloaded	Warning(s) Need Review 	Warning(s) Need Review 	10/3/2018 12:53 PM 	Pending
	Cheese Inc	08801 History		Not Yet Available				
	Cheese Inc	08802 History		Not Yet Available				
	Cheese Inc	08803 History		Not Yet Available				

- The links in the action column allow you to take action for a single HIOS ID

IVA Entity – SVA Subsample Download Process: Step 11

- From the IVA Entity Package 2 Submission Status Page:
 1. Select the **Download SVA Subsample** link to navigate to the SVA Subsample Download page
 2. Select the checkbox(es) in the Select column for the specific HIOS ID(s)
 - You can choose to select one (1) or multiple HIOS IDs
 3. Select the **Download** button to download the file(s)
 4. Select the **Return to Status page** button to return to the IVA Entity Package 2 Submission Status page

IVA Entity - SVA Subsample Report for Package 2

Download Process: Step 11 (continued)

SVA Sub-sample Reports ?

Select	Issuer Company Name ▲	HIOS ID	SVA Sub-sample Status	File Name	Last Downloaded Date/Time ?	Password
☐	Cheese Inc	07701	New	07701- RADV_SVA_Subsample.cs v.zip	N/A	
☐	Cheese Inc	07702	Downloaded	07702- RADV_SVA_Subsample.cs v.zip	10/3/2018 12:28 PM	
☐	Cheese Inc	07703	Downloaded	07703- RADV_SVA_Subsample.cs v.zip	10/3/2018 12:32 PM	

[Exit](#) [Return to Status page](#) [Download](#)

IVA Entity - File Manifest for Package 2

Download Process: Step 11

- From the IVA Entity Package 2 Submission Status Page:
 1. Select the **Download File Manifest for Package 2** link to navigate to the File Manifest for Package 2 Download page
 2. Select the checkbox(es) in the Select column for the specific HIOS ID(s)
 - You can choose to select one (1) or multiple HIOS IDs
 3. Select the **Download** button to download the file(s)
 4. Select the **Return to Status page** button to return to the IVA Entity Package 2 Submission Status page

File Manifest for Package 2

Download Process: Step 11 (continued)

File Manifest for Package 2 ?

Select	Issuer Company Name	HIOS ID	File Manifest Status	File Name	Last Downloaded Date/Time	Password
☐	Cheese Inc	07701	New	07701_File Manifest Pk2_20181009204230.csv	N/A	
☐	Cheese Inc	07702	Downloaded	07702_File Manifest Pk2_20181002201909.csv	10/3/2018 12:27 PM	
☐	Cheese Inc	07703	Downloaded	07703_File Manifest Pk2_20181003162423.csv	10/3/2018 12:32 PM	

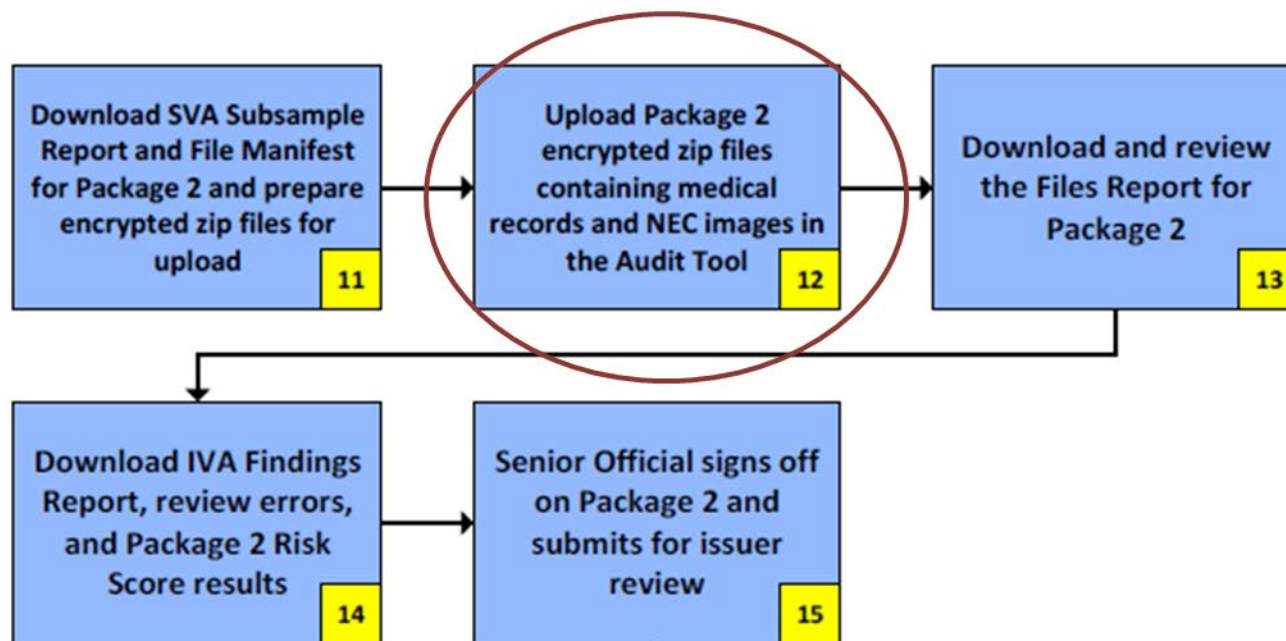
Exit

Return to Status page

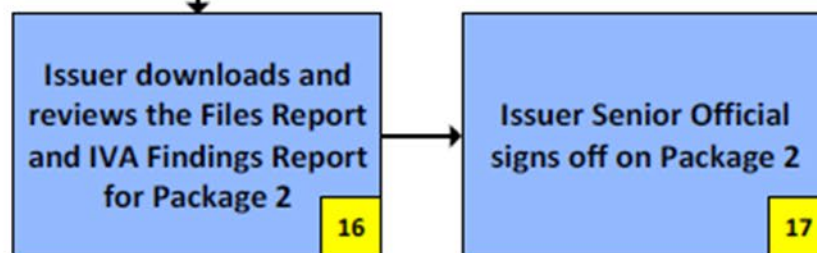
Download

IVA Results Submission Process – Package 2 - Step 12

IVA Entity



Issuer



RETIRED

IVA Entity - Package 2

Files Upload Overview: Step 12

- Package 2 contains the following files for the enrollees in the SVA Subsample:
 - Medical Record PDF Files, workpapers and/or other associated supporting documents
 - Any NEC screenshots, workpapers and/or other associated supporting documents

IVA Entity - Package 2

Files Upload Process: Step 12

- From the IVA Entity Package 2 Submission Status Page:
 1. Select the **Upload/Download Pkg 2 Docs** link in the Action column of the Submission Status table for the appropriate Company/HIOS ID to navigate to the Package 2 File Upload page
 2. Select the **Browse/Choose File** button to locate your Package 2 file
 - All files must be zipped and encrypted prior to upload
 3. Select the **Upload Attachment** button
 4. Repeat steps 2 and 3 as needed until all the Package 2 files have been uploaded
 5. Select the **Package 2 File upload complete** button when the Package 2 file upload has been completed
 6. Select the **Return to Status page** button to return to the IVA Entity Package 2 Submission Status page

IVA Entity - Package 2

Files Upload Process: Step 12 (continued)

Issuer Company Name: [redacted] Inc.

HIOS ID: 07701

Password for Zip files: [redacted]

Encryption Type: AES-256 ?

File Manifest for Package 2 ?

Action	File Name	File Manifest Status
Download	07701_File Manifest PK2_20181009204230.csv	New

SVA Subsample ?

Action	File Name	SVA Subsample Status
Download	07701-RADV_SVA_Subsample.csv.zip	Downloaded

*** Upload a File**

[Browse...](#) No file selected.

[Upload Attachment](#)

Maximum file size: 250 MB

Package 2 File(s) ?

Action	File Name	Uploaded Date/Time ?
--------	-----------	----------------------

Package 2 file upload completed

Files Report for Package 2 ?

Action	File Name	Status	Created Date/Time ?
		Awaiting Package 2 Upload	

IVA Findings Report for Package 2 ?

Action	File Name	Status	Created Date/Time ?
		Awaiting Package 2 Upload	

[Exit](#) [Refresh page](#) [Return to Status page](#)

IVA Entity - Package 2

Files Upload Process: Step 12 (continued)

You have uploaded a Package 2 File(s) but have not selected the "Package 2 file upload completed" button. Your files will not be processed until the button is clicked.

Issuer Company Name: Cheese Inc

HIOS ID: 07701

Password for Zip files:

Encryption Type: AES-256 ?

File Manifest for Package 2 ?

Action	File Name	File Manifest Status
Download	07701_File Manifest Pk2_20181009204230.csv	New

SVA Subsample ?

Action	File Name	SVA Subsample Status
Download	07701-RADV_SVA_Subsample.csv.zip	Downloaded

* Upload a File

No file selected.

Maximum file size: 250 MB

Package 2 File(s) ?

Action	File Name	Uploaded Date/Time ?
Download Delete	Package_2_Submission.zip	10/18/2018 6:32 PM

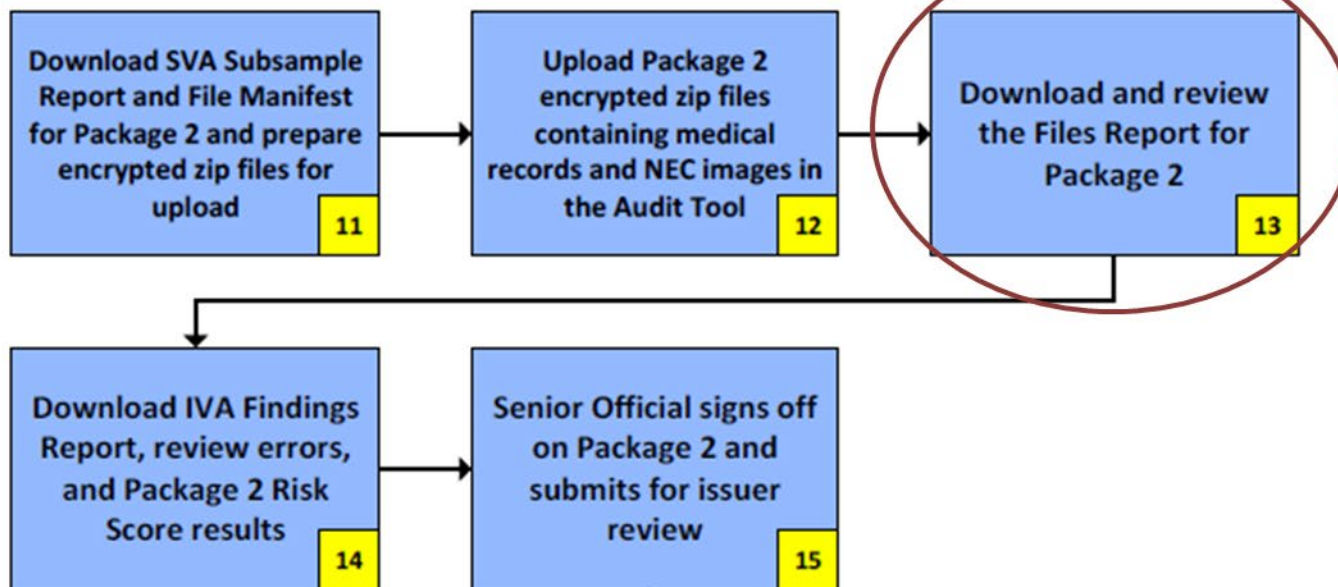
Files Report for Package 2 ?

Delay in Receipt of Files Report: Step 12

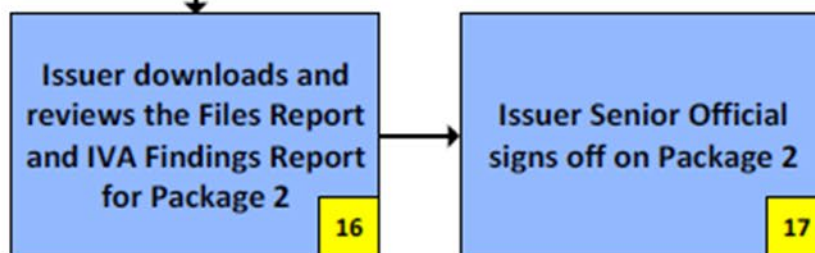
- If you submitted files but have not received the Files Report for Package 2, confirm that you selected the **Package 2 file upload complete** button
- If the upload screen continues to show “Processing”, you may have experienced a time out
 - Navigate back to the Package 2 Files Upload page to see if the file is listed in the Package 2 Files table

IVA Results Submission Process – Package 2 - Step 13

IVA Entity



Issuer



RETIRED

IVA Entity - Files Report for Package 2

Overview: Step 13

- The Files Report for Package 2 contains the results of Package 2 file validation and includes a response record for each file uploaded in Package 2 compared to the File Manifest for Package 2
 - The file manifest for Package 2 includes the files listed in the IVA Entity Audit Results Submission XML
- The submitter of the Package 2 files and the IVA Entity SOs will receive an email notification when the Files Report for Package 2 is available

IVA Entity - Files Report for Package 2

Download Process: Step 13

- From the IVA Entity Package 2 Submission Status page:
 1. Select the **Download Files Reports for Package 2** link to navigate to the Files Report for Package 2 Download page
 2. Select the checkbox(es) in the Select column for the specific HIOS ID(s)
 - You can choose to select one (1) or multiple HIOS IDs
 3. Select the **Download** button to download the file(s)
 4. Select the **Return to Status page** button to return to the IVA Entity Package 2 Submission Status page

IVA Entity - Files Report for Package 2

Download Process: Step 13 (continued)

Files Reports for Package 2 ?

Select	HIOS ID	File Name	Status	Last Downloaded Date/Time ?	Password
☐	07702	07702_File Report Pk2_20181003151424.csv	Processed without Errors	10/3/2018 11:53 AM	
☐	07703	07703_File Report Pk2_20181003163345.csv	Warning(s) Need Review	10/3/2018 12:52 PM	

Exit

Return to Status page

Download

IVA Entity - Interpreting the Files Report for Package 2: Step 13

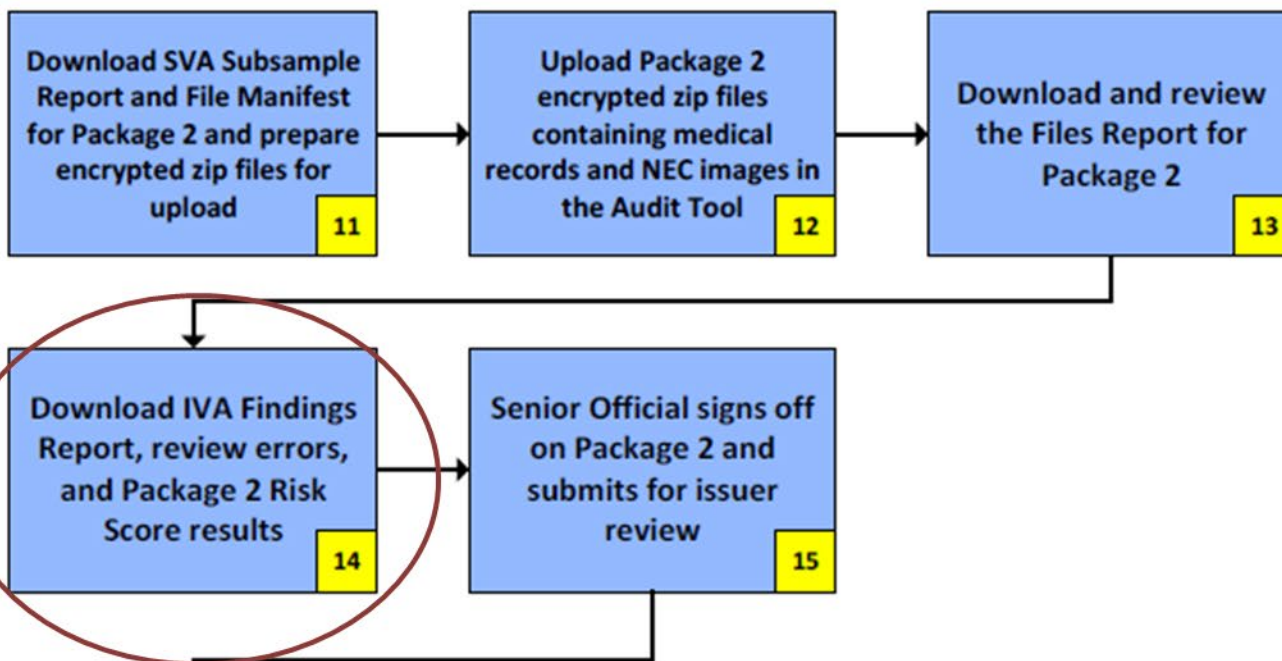
- The Files Report for Package 2 contains Fatal Errors, Critical Errors, and Warnings
 - **Fatal Error(s) and Critical Error(s):** If these errors occur in the Files Report for Package 2 they must be addressed and corrected and files resubmitted for Package 2
 - **Warning(s):** Warning messages do not prevent the IVA Entity and issuer from advancing through the IVA Submission Process, as they may be accepted by the IVA Entity and issuer
- If you need to split and resubmit file(s) because the original file exceeded the maximum file size (250 MB unzipped), you must submit a File Name Revisions XML

IVA Entity - Interpreting the Files Report for Package 2: Step 13 (continued)

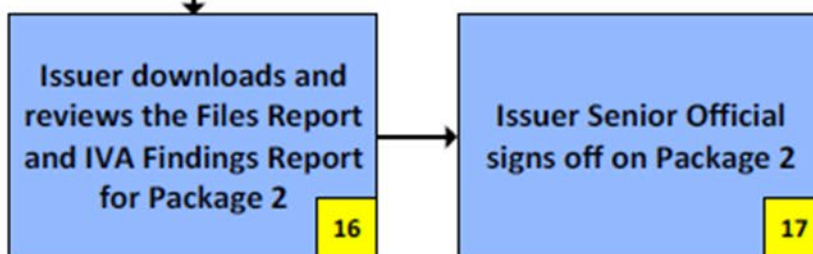
- A status of **Warning(s) Need Review** does not require file resubmission, but may impact the final risk score calculation
 - Warnings will be included in the Files Report for Package 2; however, the impact to the risk score will be included in the IVA Findings Report
 - If a medical record listed in the file manifest was not submitted in the package 2 submission this warning will show in the files report, this may result in an unsubstantiated HCC, resulting in a lower risk score which will be reflected in the IVA findings report
- If you need to split and resubmit file(s) to meet file size limits, you must submit a File Name Revisions XML File

IVA Results Submission Process – Package 2 - Step 14

IVA Entity



Issuer



RETIRED

IVA Entity - IVA Findings Report for Package 2 Overview: Step 14

- The IVA Findings Report incorporates further validation after the Package 2 file submission and calculates enrollee risk score results using IVA HCC findings
 - **Enrollee risk scores should be the same as in the IVA Findings Report from Package 1, unless a medical record expected to be submitted in Package 2 is not submitted**
 - **If an expected medical record is not submitted, the HCCs associated with that medical record will not be used in the final IVA findings report risk score calculation**
- The Submitter of the Package 2 files will receive an email notification when the Files Report and the IVA Findings Report for Package 2 are available

IVA Entity - IVA Findings Report for Package 2 Download Process: Step 14

- From the IVA Entity Package 2 Submission Status Page:
 1. Select the **Download IVA Findings Reports for Package 2** link to navigate to the IVA Findings Reports for Package 2 Download page
 2. Select the checkbox(es) in the Select column for the specific HIOS ID(s)
 - You can choose to select one (1) or multiple HIOS IDs
 3. Select the **Download** button to download the file(s)
 4. Select the **Return to Status page** button to return to the IVA Entity Package 2 Submission Status page

IVA Entity - IVA Findings Report for Package 2

Download Process: Step 14 (continued)

IVA Findings Reports for Package 2 ?

Select	HIOS ID	File Name	Status	Last Downloaded Date/Time ?	Password
☐	07702	07702_IVA Findings Report 2_20181003151536.xml	Processed without Errors	10/3/2018 11:53 AM	
☐	07703	07703_IVA Findings Report 2_20181003164053.xml	Warning(s) Need Review	10/3/2018 12:53 PM	

[Exit](#) [Return to Status page](#) [Download](#)

IVA Entity - Interpreting the IVA Findings Report for Package 2: Step 14

- The IVA Findings Report for Package 2 should be viewed in conjunction with the Files Report for Package 2. A lower risk score may be explained by files that were expected, but not included in the Package 2 submission

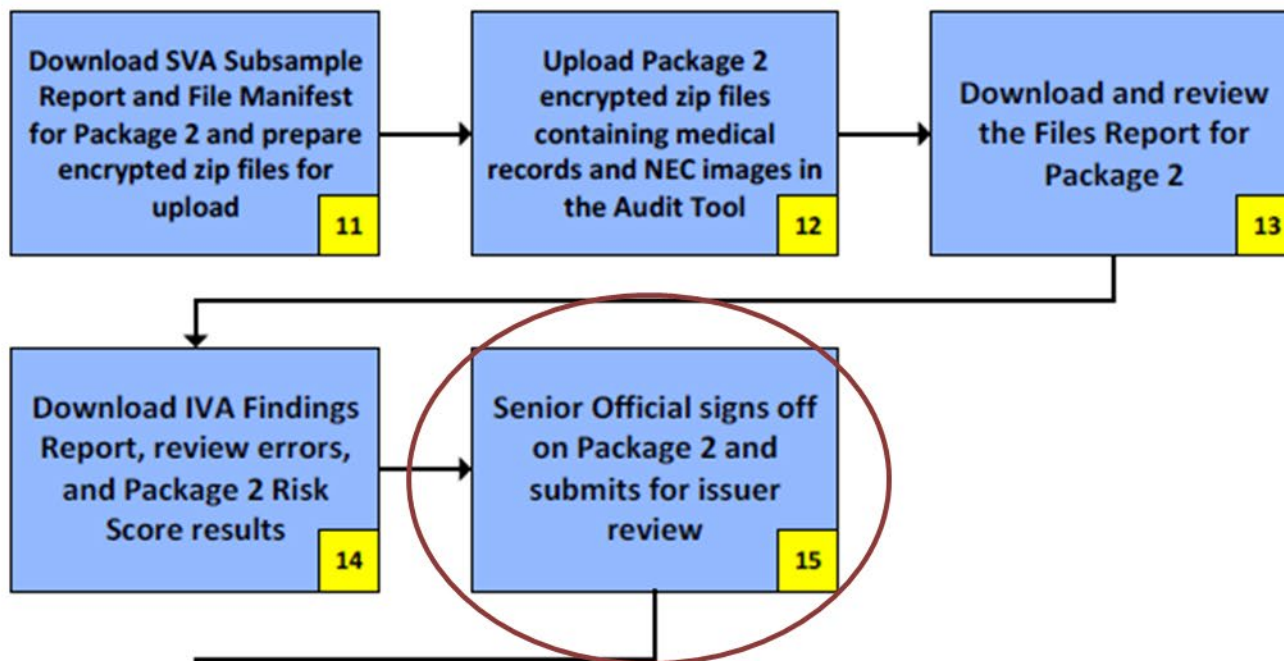
```
- <enrlResponseItem>
  <mrCount>2.0</mrCount>
  <uniqueDiagCount>3.0</uniqueDiagCount>
  <uniqueHccCount>2.0</uniqueHccCount>
  <uniqueIVAHccs>55,11</uniqueIVAHccs>
  <uniqueEDGEHccs>11,55,163</uniqueEDGEHccs>
  <radvdeRiskScore>21.237</radvdeRiskScore>
  <ivaRiskScorePk1>21.237</ivaRiskScorePk1>
  <deltaRSRadvdeIvaPk1>0.0</deltaRSRadvdeIvaPk1>
  <ivaRiskScorePk2>10.142</ivaRiskScorePk2>
  <deltaRSRadvdeIvaPk2>11.095</deltaRSRadvdeIvaPk2>
</enrlResponseItem>
```

issuerIden	uniqueEnrolleeld	mrIdentifier	neclIdentifi	fileName	expectedF	receivedFil	responseC	responseMessage
1234	82353ETD	01234MR8235302		MR456785	23.64		5.3.3	Expected file missing.
1234	82353ETD	01234MR8235302		MR456785	75.45		5.3.3	Expected file missing.
1234	82353ETD	01234MR8235302	01234NEC	NEC86753	86.24		5.3.3	Expected file missing.
1234	82353ETD	01234MR8235302	01234NEC	NEC12468	76.14		5.3.3	Expected file missing.
12345				INVALID_FILE.pdf		25	5.3.2	No file name match found.

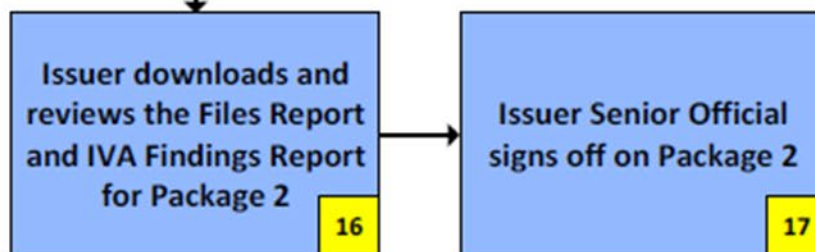
For more information on adding and replacing files, reference slides 63, 73 and 74

IVA Results Submission Process – Package 2 - Step 15

IVA Entity



Issuer



RETIRED

IVA Entity - Signoff for Package 2

Overview: Step 15

- After reviewing the Package 2 documentation, an IVA Entity SO must sign off on Package 2
 - By completing the signoff attestation, the IVA Entity SO is certifying that Package 2 is acceptable and ready for issuer review
 - The issuer is presented with the IVA Findings and Files Reports for Package 2, as well as all zip files that have been uploaded

IVA Entity - Signoff for Package 2

Process: Step 15

- From the IVA Entity Package 2 Submission Status Page:
 1. Select the **Package 2 IVA Entity Signoff** link in the Action column of the Submission Status table for the appropriate Company/HIOS ID to navigate to the IVA Entity Package 2 Signoff page
 2. Select the **Attestation** checkbox
 3. Select the **Submit** button

IVA Entity - Signoff for Package 2

Process: Step 15 (continued)

Required fields are indicated by a red asterisk.

Issuer Company Name: Cheese Inc
HIOS ID: 08803
Password for Zip files:
Encryption Type: AES-256 ?

Files Report for Package 2 ?

Action	File Name	Status	Last Downloaded Date/Time ?
Download	08803_File Report Pk2_20181018164709.csv	Warning(s) Need Review ⚠	10/18/2018 6:39 PM

IVA Findings Report for Package 2 ?

Action	File Name	Status	Last Downloaded Date/Time ?
Download	08803_IVA Findings Report 2_20181018164722.xml	Processed without Errors ✓	10/18/2018 6:39 PM

Note: All files must be downloaded prior to signoff.

Attestation

☒ I certify that Package 2 is acceptable and ready for issuer signoff.

Submitter Contact Information

First Name: John
Email Address: sampleuser78+iva1@gmail.com
Phone Number:

Last Name: Smith
Job Title:
Phone Extension:

Package 2

Submission Process:

Issuer Responsibilities

Issuer Signoff for Package 2 Overview

- The Issuer SOs and RADV Coordinators will receive an email notification when the IVA Results Package 2 is available for review and signoff
- There are two (2) reports that must be downloaded and reviewed by the Issuer SO or RADV Coordinator:
 - IVA Findings Report for Package 2
 - Files Report for Package 2
- While an Issuer SO is required to sign off, the IVA Findings Report for Package 2 and the Files Report for Package 2 may be downloaded and reviewed by an Issuer SO or RADV Coordinator
- Issuer SOs can choose to sign off on an individual or multiple HIOS IDs from the IVA Entity Package 2 Submission Status page

Issuer Signoff for Package 2 Overview

(continued)

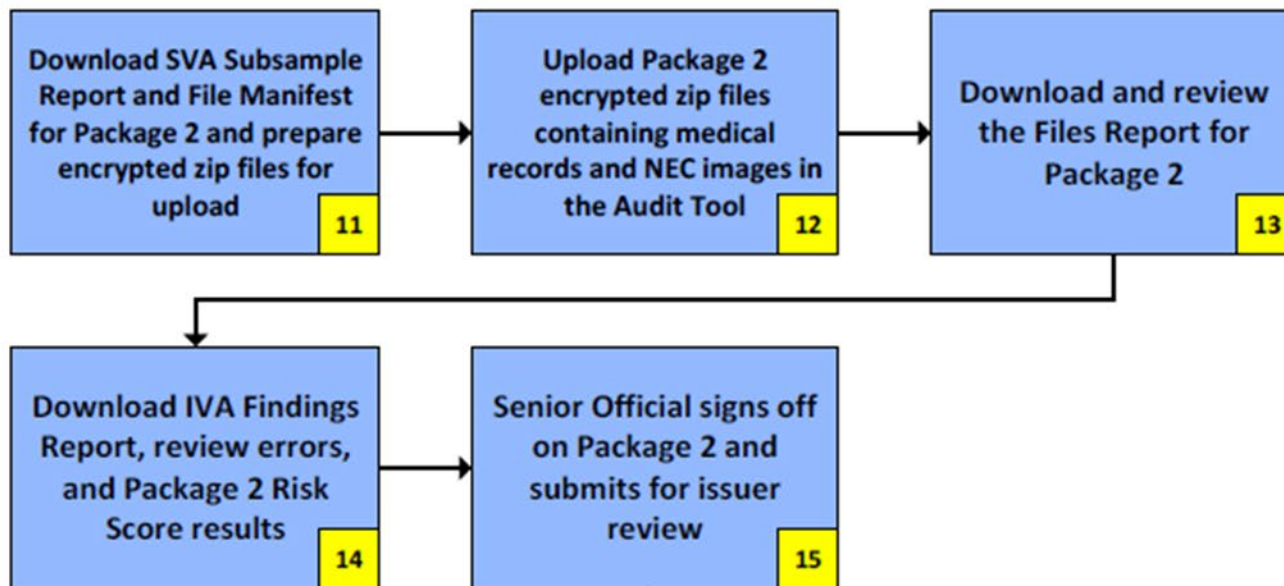
- After reviewing the Package 2 documentation, an Issuer SO must sign off on Package 2 by choosing approve or reject
 - Choosing “Reject” requires the IVA Entity to add* or replace Package 2 files as necessary
 - It is strongly encouraged that issuers enter comments regarding rejection in the Rejection Comments field
 - The IVA Entity will be able to review rejection comments through the Audit Tool



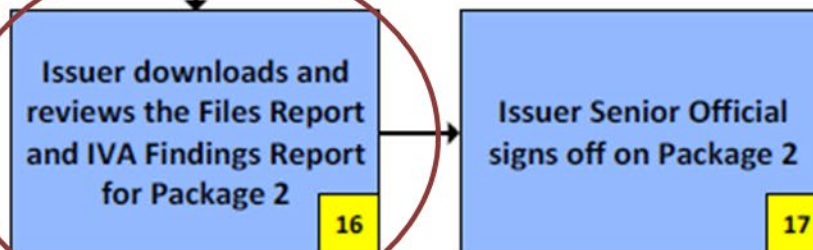
NOTE: Issuer rejection of Package 2 does not allow the IVA Entity to upload Medical Records not previously identified in the IVA Entity Audit Results Submission XML

IVA Results Submission Process – Package 2 - Step 16

IVA Entity



Issuer



RETIRED

Issuer - Files Report for Package 2

Download Process: Step 16

- From the Issuer Package 2 Submission Status page:
 1. Select the **Download Files Reports for Package 2** link to navigate to the Files Report for Package 2 Download page
 2. Select the checkbox(es) in the Select column for the specific HIOS ID(s)
 3. Select the **Download** button to download the file(s)
 4. Select the **Return to Status page** button to return to the Issuer Package 2 Submission Status page



NOTE: The Files Report for Package 2 and the IVA Findings Report for Package 2 **MUST** be downloaded prior to issuer signoff

Issuer Submission Status Pages

Package 2: Step 16

- Issuer Package 2 Submission Status page

[Guidance](#)

Package 2 Submission Status

Instructions

Select the **Download Reports** link located in the Action column to navigate to the Package 2 Submission Download page for the specified HIOS ID. Sort the table by selecting the up or down arrows for each column. **All Package 2 files must be downloaded and reviewed prior to signoff.**

Once all Package 2 files have been downloaded and reviewed, select **Approve** or **Reject** from the Issuer Signoff drop-down menu located in the Action column. You must approve or reject for each HIOS ID in the Submission Status table. Choosing "Reject" will require the IVA Entity to resubmit the all Package 2 files. After selecting the **Continue** button, you may enter comments regarding rejection in the Rejection Comments field(s).

Items with a status of **Warning(s) Need Review** in the Files Report for Package 2 Status and IVA Findings Report for Package 2 Status columns may impact the final risk score calculation.

Note: The Approve or Reject action will not be available until the IVA Findings and Files Reports for Package 2 have been downloaded.

Select one of the following to:

- [Download SVA Subsample Reports](#) to download SVA Subsample Reports for multiple HIOS IDs.
- [Download Files Reports for Package 2](#) to download Files Reports for multiple HIOS IDs.
- [Download IVA Findings Reports for Package 2](#) to download IVA Findings Reports for multiple HIOS IDs.

Sort the columns of the Submission Status table by selecting the up or down arrows for each column.

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

Issuer Company Name: Cheese Inc

- The links on the top of the page allow you to download files for multiple HIOS IDs

Issuer Submission Status Pages

Package 2: Step 16 (continued)

- Issuer Package 2 Submission Status Page

Note: The Approve or Reject action will not be available until the IVA Findings and Files Reports for Package 2 have been downloaded.

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

Issuer Company Name: Cheese Inc

Submission Status

Action*	IVA Entity Name	HIOS ID	Files Report for Package 2 Status	IVA Findings Report for Package 2 Status	Package 2 Issuer Signoff Status
Download Reports	Macaroni LLC	07702 IVA Entity History Issuer History	Processed without Errors	Processed without Errors	Pending
Download Reports	Macaroni LLC	07703 IVA Entity History Issuer History	Warning(s) Need Review	Warning(s) Need Review	Pending

- The links in the action column allow you to take action for a single HIOS ID

Issuer - Files Report for Package 2

Download Process: Step 16

Files Report for Package 2 Download

Instructions

Select the check box next to the file(s) you want to download. Select the **Download** button to download the file(s).

Use the [Download Encrypted Files Instructions](#) for guidance on downloading and opening the files. Hover your mouse over the **Password** to view the required password for the file. The name of the last user to upload or download a file is located on the Package 2 History pages.

Items with a status of **Warning(s) Need Review** in the Status column may impact the final risk score calculation.

Files Reports for Package 2 ?

Select	HIOS ID	File Name	Status	Last Downloaded by Issuer Date/Time ?	Password
☒	07702	07702_File Report Pk2_20181003151424.c sv	Processed without Errors ✓	N/A	
☐	07703	07703_File Report Pk2_20181003163345.c sv	Warning(s) Need Review ⚠	N/A	

Exit

Return to Status page

Download

Issuer - IVA Findings Report for Package 2 Download Process: Step 16

- From the Issuer Package 2 Submission Status Page:
 1. Select the **Download IVA Findings Reports for Package 2** link to navigate to the IVA Findings Reports for Package 2 Download page
 2. Select the checkbox(es) in the Select column for the specific HIOS ID(s)
 3. Select the **Download** button to download the file(s)
 4. Select the **Return to Status page** button to return to the Issuer Package 2 Submission Status page



NOTE: The Files Report for Package 2 and the IVA Findings Report for Package 2 must be downloaded prior to issuer signoff

Issuer - IVA Findings Report for Package 2 Download Process: Step 16 (continued)



[Guidance](#)

IVA Findings Report for Package 2 Download

Instructions

Select the check box next to the file(s) you want to download. Select the **Download** button to download the file(s).

Use the [Download Encrypted Files Instructions](#) for guidance on downloading and opening the files. Hover your mouse over the **Password** to view the required password for the file. The name of the last user to upload or download a file is located on the Package 2 History pages.

Items with a status of **Warning(s) Need Review** in the Status column may impact the final risk score calculation.

IVA Findings Report for Package 2 ?

Select	HIOS ID	File Name	Status	Last Downloaded by Issuer Date/Time ?	Password
☒	07702	07702_IVA Findings Report 2_20181003151536.xml	Processed without Errors	N/A	
☐	07703	07703_IVA Findings Report 2_20181003164053.xml	Warning(s) Need Review	N/A	

Exit

Return to Status page

Download



RETIRED

Issuer - Interpreting the IVA Findings Report for Package 2: Step 16

- The IVA Findings Report for Package 2 should be viewed in conjunction with the Files Report for Package 2. A lower risk score may be explained by files that were expected, but not included in the Package 2 submission

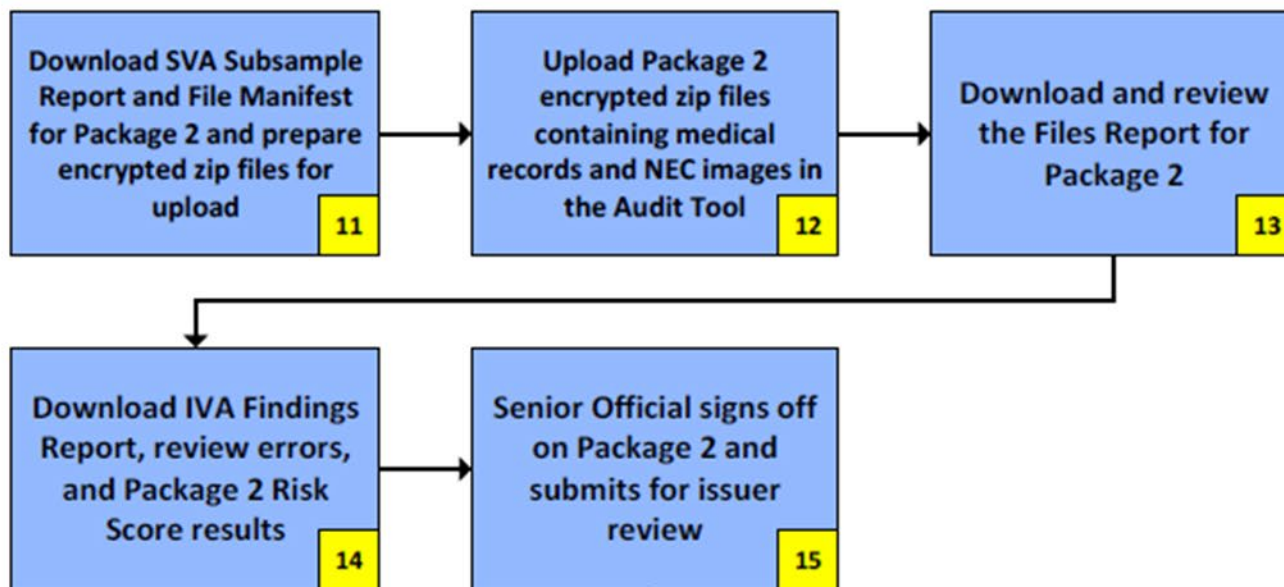
```
- <enrlResponseItem>
  <mrCount>2.0</mrCount>
  <uniqueDiagCount>3.0</uniqueDiagCount>
  <uniqueHccCount>2.0</uniqueHccCount>
  <uniqueIVAHccs>55,11</uniqueIVAHccs>
  <uniqueEDGEHccs>11,55,163</uniqueEDGEHccs>
  <radvdeRiskScore>21.237</radvdeRiskScore>
  <ivaRiskScorePk1>21.237</ivaRiskScorePk1>
  <deltaRSRadvdeIvaPk1>0.0</deltaRSRadvdeIvaPk1>
  <ivaRiskScorePk2>10.142</ivaRiskScorePk2>
  <deltaRSRadvdeIvaPk2>11.095</deltaRSRadvdeIvaPk2>
</enrlResponseItem>
.. ..
```

issuerIden	uniqueEnrolleeld	mrIdentifier	neclidentifi	fileName	expectedF	receivedFil	responseC	responseMessage
1234	82353ETD	01234MR8235302		MR456785	23.64		5.3.3	Expected file missing.
1234	82353ETD	01234MR8235302		MR456785	75.45		5.3.3	Expected file missing.
1234	82353ETD	01234MR8235302	01234NEC	NEC86753	86.24		5.3.3	Expected file missing.
1234	82353ETD	01234MR8235302	01234NEC	NEC12468	76.14		5.3.3	Expected file missing.
12345				INVALID_FILE.pdf		25	5.3.2	No file name match found.

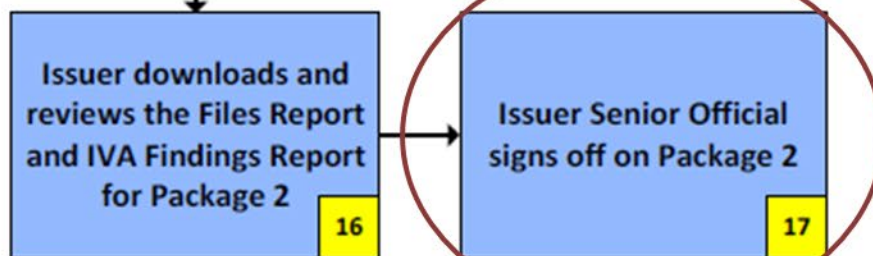
For more information on adding and replacing files, reference slides 63, 73 and 74

IVA Results Submission Process – Package 2 - Step 17

IVA Entity



Issuer



RETIRED

Issuer Signoff for Package 2 Overview: Step 17

- Issuer signoff of Package 2 completes the IVA submission process
 - It is important to review all errors and warnings in the IVA Findings Report and Files Report for Package 2
 - If the an enrollee's risk score is lower, it may be an indication that a medical record specified in the XML was not submitted, resulting in an unsubstantiated HCC



NOTE: After signoff, CMS may request a Package 3 submission for remaining Medical Records. No other files will be accepted at this time only if CMS requires Medical Records during Package 3 may be uploaded, otherwise no other files will be accepted

Issuer Signoff for Package 2 Process: Step 17

- From the Issuer Package 2 Submission Status Page:
 1. Select **Approve** or **Reject** from the drop down in the Action column of the Submission Status table for the appropriate HIOS ID
 - The **Approve** or **Reject** action will not be available until the IVA Findings and Files Reports for Package 2 have been downloaded
 2. Select the **Continue** button to navigate to the Issuer Package 2 Signoff page
 3. Verify that the correct HIOS IDs have been selected for approval/rejection
 - If **Reject** is selected, enter **Rejection Comments** as needed
 4. Select the **Submit** button to navigate to the Confirmation page

Issuer Signoff for Package 2 Process: Step 17 (continued)

Submission Status

Action*	IVA Entity Name	HIOS ID	Files Report for Package 2 Status	IVA Findings Report for Package 2 Status	Package 2 Issuer Signoff Status
Download Reports Issuer Signoff --None-- --None-- Approved Rejected Issuer Signoff --None--	Macaroni LLC	07702 IVA Entity History Issuer History	Processed without Errors ✓	Processed without Errors ✓	Pending
Download Reports	Macaroni LLC	07703 IVA Entity History Issuer History	Warning(s) Need Review ⚠	Warning(s) Need Review ⚠	Pending

Exit

Continue

Issuer Signoff for Package 2 Process: Step 17 (continued)



[Guidance](#)

Issuer Package 2 Signoff

Instructions

Review the HIOS ID(s) indicated as approved or rejected for Package 2. To change your signoff selection, select the **Back** button. Select the **Submit** button to submit Package 2 signoff for the listed HIOS ID(s).

Package 2 Approved HIOS ID(s)

IVA Entity Name	HIOS ID
Macaroni LLC	07702
Macaroni LLC	07703

Submitter Contact Information

First Name: Bob
Email Address: sampleuser78+iss1@gmail.com
Phone Number: (111) 111-1111

Last Name: Wills
Job Title: Manager
Phone Extension:

Exit

Back

Submit



RETIRED

Issuer Signoff for Package 2 Process: Step 17 (continued)



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 contact listed below.

Print and save the PDF document for your records; it is formal confirmation of the submission of Package 2 Signoff. If you have any questions please contact CCIIQACARADDataValidation@cms.hhs.gov.

Submission End Time: 10/04/2018 12:27 PM

An acknowledgment email has been sent to the following contacts:
sampleuser78+iss1@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.

PDF

Exit

Return to Status Page



RETIRED

Issuer - IVA Entity Notification of Package 2 Approval/Rejection: Step 17

If the Issuer SO	Then
<u>Approves</u> the Package 2 Submission	IVA Entity SOs and RADV Coordinators will receive a confirmation email
<u>Rejects</u> the Package 2 Submission	The IVA Entity must review the issuer's rejection notes in the Audit Tool and replace Package 2 files as necessary or add files identified as missing in the Files Report

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

Next Steps

Next Steps: Training Sessions

Upcoming Webinar Topic	Scheduled Event Date
Package 3 Submission Process	November 14, 2018

Resources



RETIRED

WWW.REGTAP.INFO

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 'Program Area' dropdown menu is open, displaying a list of categories. A red arrow points to 'HHS-Operated Risk Adjustment Data Validation (RADV)'. The main table lists resources under various program areas, including User Fees, Training Events, and Distributed Data Collection for RI and RA/Edge Server.

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: Contact Information

Resource	Contact Information
For RADV policy questions, contact the RADV Team.	CCIIIOACARADDataValidation@cms.hhs.gov
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

Resources: Links

- ICD, XML & Job Aids
 - Log in to the Audit Tool
- HHS-RADV Timeline
 - 2017 Benefit Year HHS-RADV Timeline https://www.regtap.info/reg_librarye.php?i=2456
- HHS-RADV Protocols
 - HHS-RADV 2017 Benefit Year Protocols V.2 (8/10/18) https://www.regtap.info/reg_librarye.php?i=2629
 - HHS-RADV 2017 Benefit Year Protocols Log of Updates V.2 (8/10/18) https://www.regtap.info/reg_librarye.php?i=2630

Resources: Links (continued)

- HHS-RADV Presentation Slides
 - 2017 Benefit Year HHS-RADV Introduction https://www.regtap.info/reg_librarye.php?i=2457
 - HHS-RADV Report Updates (3/28/18) https://www.regtap.info/reg_librarye.php?i=2468
 - IVA Entity Selection and Conflict of Interest (3/28/18) https://www.regtap.info/reg_librarye.php?i=2467
 - HHS-RADV Issuer Participation Requirement (4/11/18) https://www.regtap.info/reg_librarye.php?i=2498
 - Issuer Senior Official Designation (4/11/18) https://www.regtap.info/reg_librarye.php?i=2499
 - IVA Entity Designation (4/11/18) https://www.regtap.info/reg_librarye.php?i=2501
 - HHS-RADV Reports (4/25/18) https://www.regtap.info/reg_librarye.php?i=2521
 - HHS-RADV Sampling Report Distribution and Discrepancy Reporting Process (5/9/18) https://www.regtap.info/reg_librarye.php?i=2531

Resources: Links (continued)

- HHS-RADV Presentation Slides (continued)
 - Error Estimation (5/23/18) https://www.regtap.info/reg_librarye.php?i=2557
 - HHS-RADV 2017 Benefit Year Protocols Updates (5/30/17) https://www.regtap.info/reg_librarye.php?i=2562
 - IVA Entity Audit Results Submission ICD, XSD & XML Guidance (7/11/18) https://www.regtap.info/reg_librarye.php?i=2601
 - HHS-RADV XML, Package 1, 2, 3 Checks Overview (10/17/18) https://www.regtap.info/reg_librarye.php?i=2687
 - IVA Entity IRR Submission Process (10/24/18) https://www.regtap.info/reg_librarye.php?i=2696

Resources: Links (continued)

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) - presentations, FAQs	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
HHS Notice of Benefit and Payment Parameters for 2019	https://www.gpo.gov/fdsys/pkg/FR-2018-04-17/pdf/2018-07355.pdf

Closing Remarks