

# HHS Risk Adjustment Data Validation (HHS-RADV) Initial Validation Audit (IVA) Results Submission Process: Package 3

## November 6, 2019

**HHS-RADV Webinar Series IV**

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[WWW.REGTAP.INFO](http://WWW.REGTAP.INFO)



# Session Agenda

- Session Guidelines
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- HHS-RADV Timeline
- Package 3 Overview
- IVA Entity File Submission Requirements
- Package 3 Submission Process
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  - Issuer Responsibilities
- Question & Answer (Q&A)
- Next Steps & Resources
- Closing Remarks

# Session Guidelines

- This is a 60-minute webinar session
- For questions regarding HHS-RADV administrative appeals, please email [CCIIOACARADDataValidation@cms.hhs.gov](mailto:CCIIOACARADDataValidation@cms.hhs.gov)
- For questions regarding logistics and registration, please contact the Registrar at: (800) 257-9520

# Intended Audience

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

# Session Purpose

- Provide guidance on the 2018 benefit year HHS-RADV Package 3 submission process

# HHS-RADV Timeline

# HHS-RADV Timeline



To access the HHS-RADV Timeline, please log into the Registration for Technical Assistance Portal (REGTAP) and visit the HHS-RADV Program Area page:

[www.REGTAP.info/hhsradv.php](http://www.REGTAP.info/hhsradv.php)

# Package 3 Overview

# Package 3 Overview

- Following the completion of the SVA Entity's review of medical records for a Health Insurance Oversight System (HIOS) ID, a pairwise means test is performed to determine if there is sufficient agreement between IVA and Second Validation Audit (SVA) findings
- If the final pairwise means test results in **insufficient** agreement between the SVA and IVA findings, then the SVA results will be used in the calculation of Hierarchical Condition Categories (HCC) failure rates, the calculation of HCC Group Failure Rates, and any applicable adjustments
- Package 3 submission is required when **insufficient agreement** between IVA and SVA findings is determined
  - Not all issuers will have a Package 3 submission
- A statistical means test, titled a pairwise means test, is a hypothesis-testing procedure used to determine if two (2) populations' means are different when there is a one (1) to one (1) correspondence between the values in the two (2) samples

# Package 3 Overview (continued)

- Package 3 submissions are only required if the pairwise means test of the full SVA subsample of 100 is found to show insufficient agreement between IVA and SVA findings
- Package 3 submission should include all medical records for the remaining enrollees in the IVA Sample that were not submitted during Package 2 submission
- Medical records submitted in Package 3 must align with the medical records identified in the *IVA Entity Audit Results Submission XML*
- If Package 3 is required, the IVA Entity must submit and the Issuer Senior Official (SO) must sign off within **seven (7)** calendar days from the Centers for Medicare & Medicaid Services (CMS) notification

# Package 3 Overview (continued)

- If the final pairwise means test results in sufficient agreement between SVA and IVA findings, the IVA Entity and issuer will be notified of the final pairwise result and **will not be required** to submit Package 3
  - Subsequently the IVA results will be used for the calculation of HCC failure rates, the calculation of HCC Group Failure Rates, and any applicable adjustments

# Package 3 Overview (continued)

- If Package 3 submission is necessary, the IVA Entity will be notified by CMS via email to provide the medical records for the remaining enrollees in the IVA sample through the HHS-RADV Audit Tool
  - IVA Entities are required to upload all remaining medical records for those enrollees in the HIOS ID's IVA Entity Audit Results Submission XML, as well as any Non-EDGE Claim (NEC) screenshots and workpapers for these enrollees
  - Issuers will be notified of this request, but will not be required to take action until final Issuer SO signoff of Package 3
  - **IVA Entities are required to submit Package 3 as soon as possible, but no later than seven (7) calendar days from the date of the notification email**



**NOTE:** Issuer SO final signoff is required within the seven (7) calendar days from the date of the notification email

# Package 3 Overview (continued)

- The SVA performs a precision test analysis to evaluate the variability of the **issuer's** error rate derived using the SVA subsample of 100 enrollees **compared with the distribution of error rates for all issuers**
- The outcome of the precision analysis informs the IVA Entity whether the SVA will review Package 3 medical records and use the full 200 enrollees' records for final results
- The precision analysis may result in one (1) of the following outcomes:
  - Good Precision
  - Poor Precision

# Package 3 Overview (continued)

1. **Good Precision** – If the precision test results in a narrow confidence interval (i.e., the estimated error rate has low variability/“good precision”), the SVA will not review the records submitted in Package 3 and will use the original SVA subsample results for error estimation. In this situation, final results will reflect that SVA findings for 100 enrollees were used to calculate HCC failure rates and error rate, as applicable
2. **Poor Precision** – If the precision test results in a wide confidence interval (i.e., the estimated error rate has high variability/“poor precision”), the SVA will review all records submitted in Package 3 and will use SVA results for all 200 enrollees for error estimation. In this situation, final results will reflect that SVA findings for 200 enrollees were used to calculate HCC failure rates and error rate, as applicable

# Package 3 Overview (continued)

- For additional guidance related to the execution of precision analysis and the determination of final SVA findings, please refer to Section 11.2.1 (Pairwise Test between SVA and IVA) in the 2018 Benefit Year HHS-RADV Protocols found in the REGTAP library ([https://www.regtap.info/reg\\_librarye.php?i=2904](https://www.regtap.info/reg_librarye.php?i=2904))

# **IVA Results Submission Package 3 Process Overview**

# IVA Results Submission Process Overview

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

# IVA Entity Submission Roles

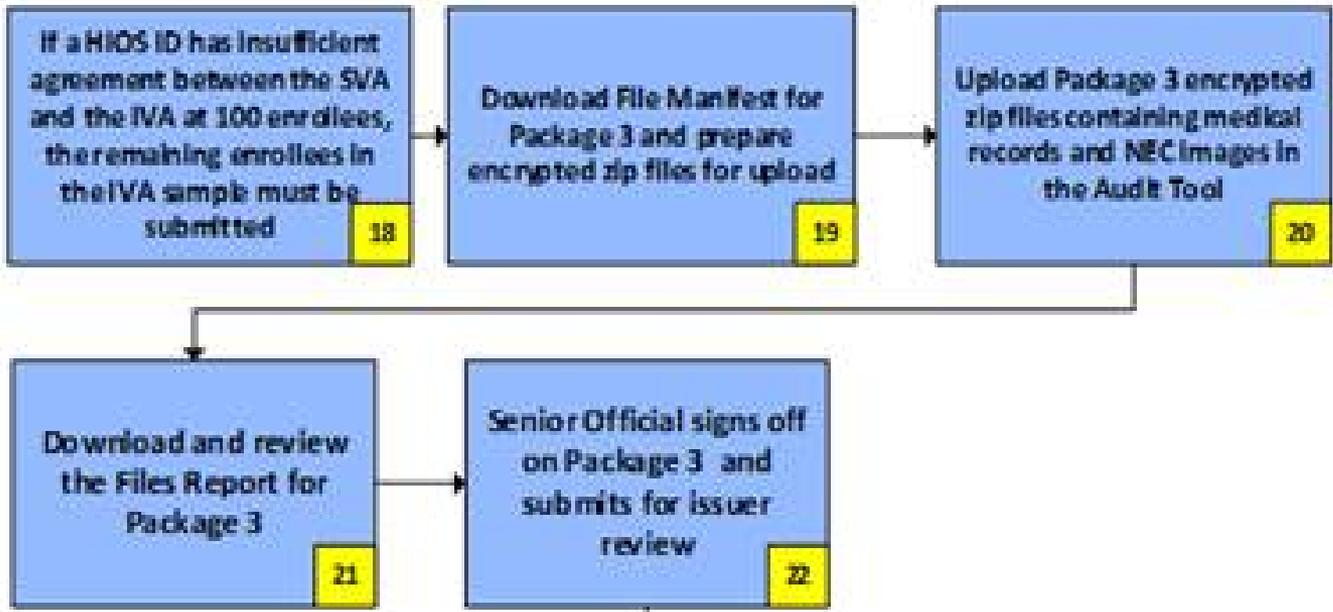
- The IVA Entity role in Package 3 submission is the same as Package 1 and 2:
  - IVA Entity tasks in the Audit Tool include file upload/download, review, and signoff of reports
  - While file uploads and downloads may be performed by IVA Entity HHS-RADV Coordinators, signoff **MUST** be performed by an IVA Entity SO

# Issuer Submission Roles

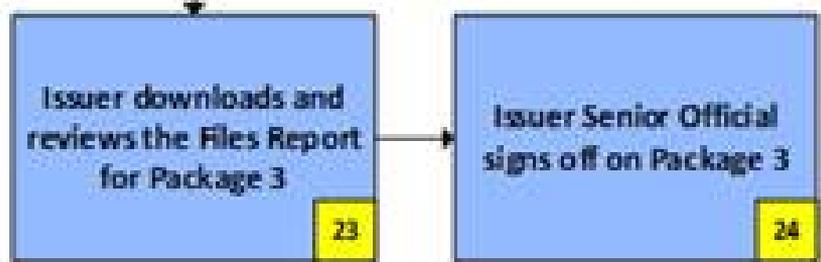
- The issuer role in Package 3 submission is the same as Package 1 and 2:
  - Issuer tasks in the Audit Tool include file download, review, and signoff of reports
  - While file download and review may be performed by issuer RADV Coordinators, signoff **MUST** be performed by an Issuer SO within seven (7) calendar days from the date of CMS notification that Package 3 submission is required

# IVA Results Submission Process – Package 3

IVA Entity



Issuer



# **IVA Entity File Submission Requirements**

# 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 500MB file size limit prior to zip compression
- Files greater than 500MB (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

- Package 3 files use the same randomly assigned encryption password by HIOS ID as Package 1 and 2
- 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 10/23/19 HHS-RADV Series IV Webinar presentation slides in the REGTAP library for details on password and encryption ([https://www.regtap.info/reg\\_librarye.php?i=3047](https://www.regtap.info/reg_librarye.php?i=3047))

# Password Protection and File Encryption

## Overview (continued)

- 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, invalid password or zip file** 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

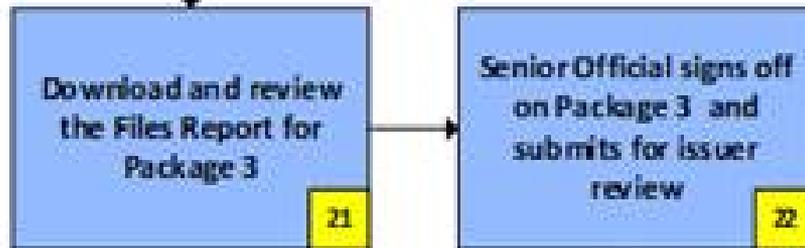
# **Package 3**

## **Submission Process**

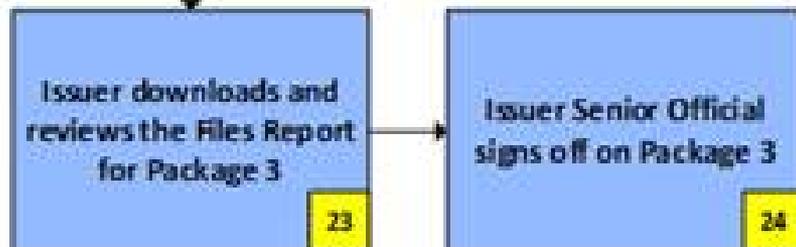
### **IVA Entity Responsibilities**

# IVA Results Submission Process – Package 3

IVA Entity



Issuer

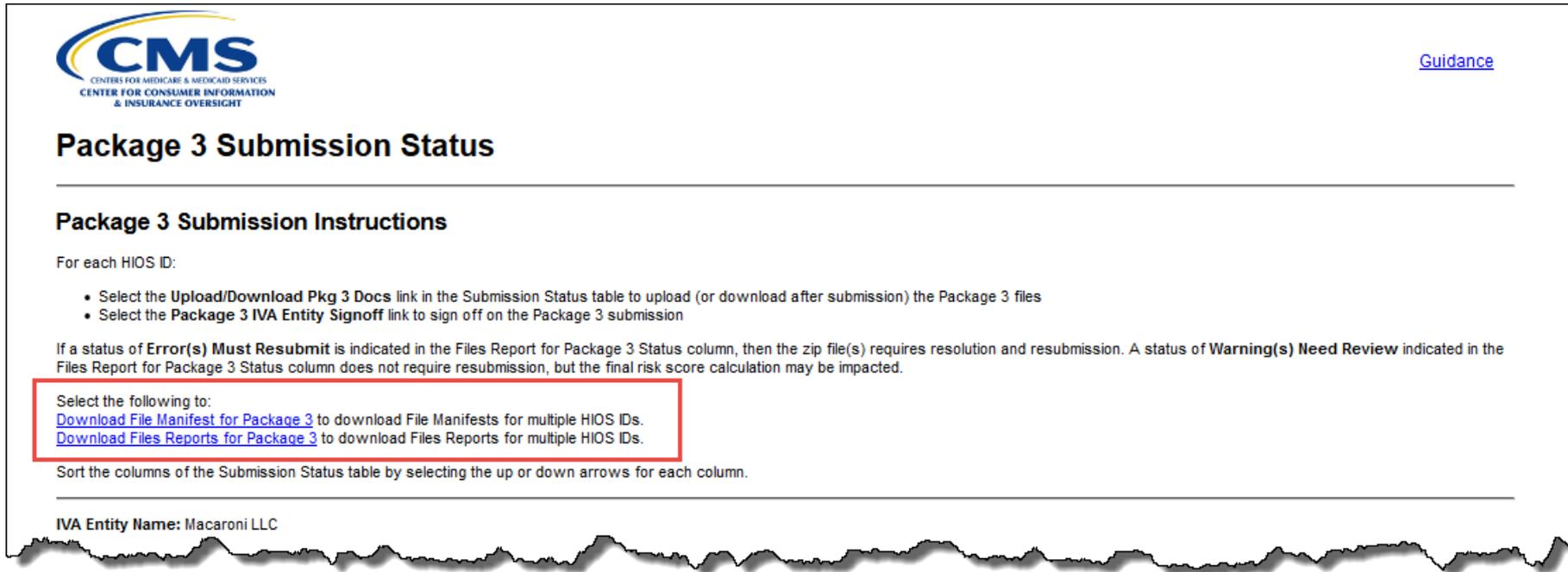


# IVA Entity - File Manifest for Package 3 Download Process – Step 19

- From the IVA Entity Package 3 Submission Status Page:
  1. Select the **Download File Manifest for Package 3** link to navigate to the File Manifest for Package 3 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 3 Submission Status page

# Submission Status Pages Package 3

- IVA Entity Package 3 Submission Status page



 [Guidance](#)

## Package 3 Submission Status

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### Package 3 Submission Instructions

For each HIOS ID:

- Select the [Upload/Download Pkg 3 Docs](#) link in the Submission Status table to upload (or download after submission) the Package 3 files
- Select the [Package 3 IVA Entity Signoff](#) link to sign off on the Package 3 submission

If a status of **Error(s) Must Resubmit** is indicated in the Files Report for Package 3 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 3 Status column does not require resubmission, but the final risk score calculation may be impacted.

Select the following to:

- [Download File Manifest for Package 3](#) to download File Manifests for multiple HIOS IDs.
- [Download Files Reports for Package 3](#) 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.

---

IVA Entity Name: Macaroni LLC

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

# Submission Status Pages Package 3

(continued)

- IVA Entity Package 3 Submission Status Page

Select the following to:

- [Download File Manifest for Package 3](#) to download File Manifests for multiple HIOS IDs.
- [Download Files Reports for Package 3](#) 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.

---

IVA Entity Name: Macaroni LLC

**Submission Status**

Action	Issuer Company Name	HIOS ID	Files Report for Package 3 Status	Package 3 IVA Entity Signoff	Package 3 Issuer Signoff
<a href="#">Upload/Download Pkg 3 Docs</a>	Cheese Inc	07701 <a href="#">History</a>			
<a href="#">Upload/Download Pkg 3 Docs</a>	Cheese Inc	07702 <a href="#">History</a>	Processed without Errors	10/4/2018 3:41 PM	Approved 10/4/2018
<a href="#">Upload/Download Pkg 3 Docs</a>	Cheese Inc	07703 <a href="#">History</a>			

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

# File Manifest for Package 3 Download Process – Step 19



[Guidance](#)

## File Manifest for Package 3 Download

### Instructions

Select the check box next to the file(s) you want to download. Select the **Download** button to download the file(s). The File Manifest is provided in a comma-separated value (.csv) format.

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 Entry Package 3 History page.

### File(s) for Download

IVA Entity Name: Macaroni LLC

### File Manifest for Package 3 ?

Select	Issuer Company Name	HIOS ID	File Manifest Status	File Name	Last Downloaded Date/Time	Password
<input type="checkbox"/>	Cheese Inc	07701	New	07701_File Manifest Pk3_20181016171625.csv	N/A	
<input type="checkbox"/>	Cheese Inc	07702	Downloaded	07702_File Manifest Pk3_20181004172332.csv	10/4/2018 3:29 PM	
<input type="checkbox"/>	Cheese Inc	07703	New	07703_File Manifest Pk3_20181016172903.csv	N/A	

Exit

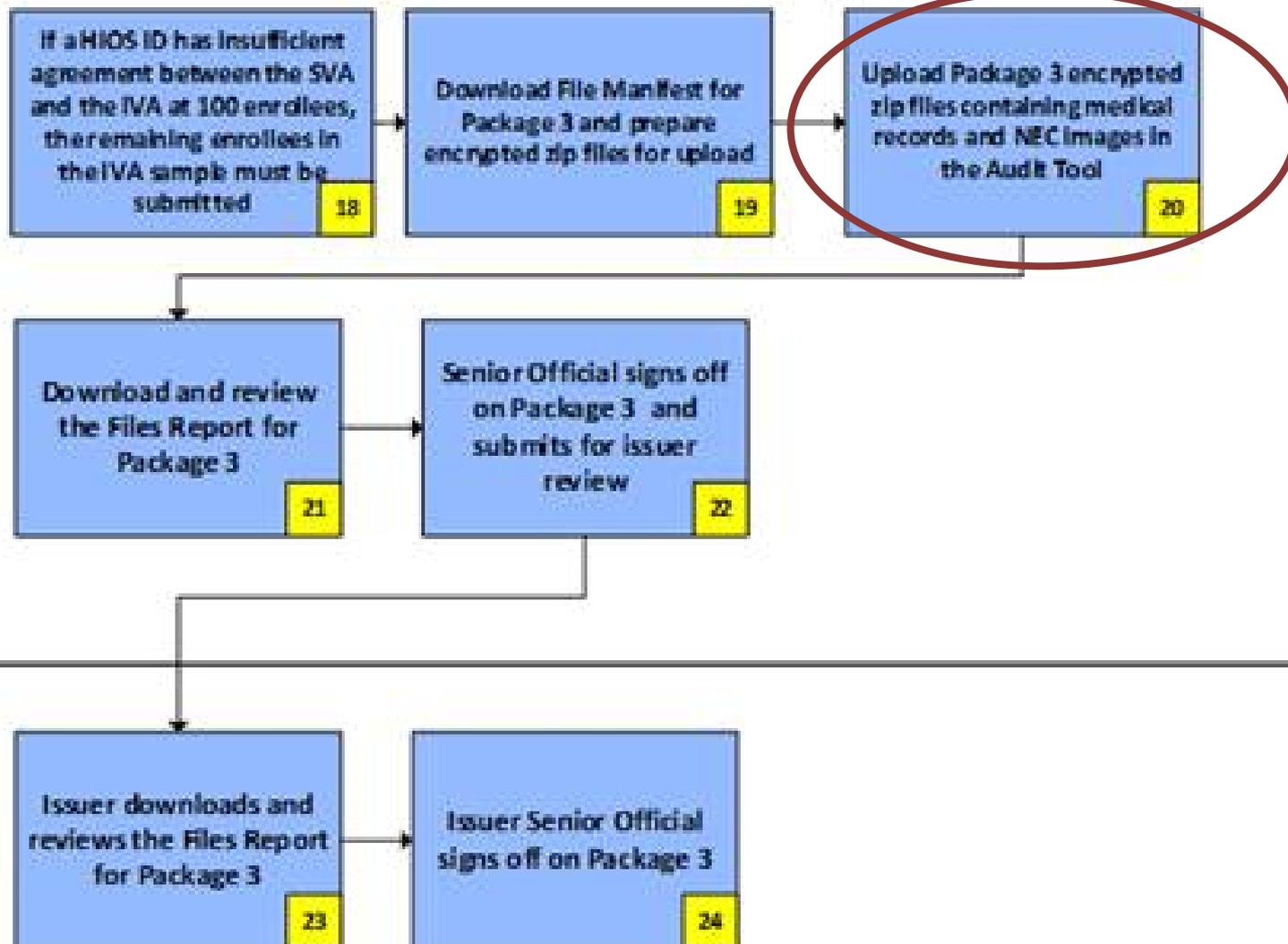
Return to Status page

Download



# IVA Results Submission Process – Package 3

IVA Entity



# IVA Entity - Package 3 Files Upload Overview – Step 20

- Package 3 submission contains the following files for the enrollees **not included** 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
- Package 3 submission is not an opportunity to add additional files for submission – all files must have been identified in the IVA Entity Audit Results Submission XML

# IVA Entity - Package 3 Files Upload Process – Step 20 (continued)

- From the IVA Entity Package 3 Submission Status Page:
  1. Select the **Upload/Download Pkg 3 Docs** link in the Action column of the Submission Status table for the appropriate Company/HIOS ID to navigate to the Package 3 File Upload page
  2. Select the **Browse/Choose File** button to locate your Package 3 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 3 files have been uploaded
  5. Select the **Package 3 File upload complete** button when the Package 3 file upload has been completed
  6. Select the **Return to Status page** button to return to the IVA Entity Package 3 Submission Status page

# IVA Entity - Package 3 Files Upload Process – Step 20 (continued)

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

**Issuer Company Name:** Cheese Inc  
**HIOS ID:** 07701  
**Password for Zip files:**   
**Encryption Type:** AES-256 ?

**File Manifest for Package 3** ?

Action	File Name	File Manifest Status
<a href="#">Download</a>	07701_File Manifest Pk3_20181016171625.csv	Downloaded

**\* Upload a File**

No file selected.

Maximum file size: 250 MB

**Package 3 File(s)** ?

Action	File Name	Uploaded Date/Time
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**Files Report for Package 3** ?

Action	File Name	Status	Created Date/Time
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# IVA Entity - Package 3 Files Upload Process – Step 20 (continued)

In the Files Report for Package 3, if the status of Warning(s) Need Review is indicated in the Status column, then the Zip file requires resubmission. Required fields are indicated with a red asterisk (\*).

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

You have uploaded a Package 3 File(s) but have not selected the "Package 3 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 3 [?](#)

Action	File Name	File Manifest Status
<a href="#">Download</a>	07701_File Manifest Pk3_20181016171625.csv	Downloaded

\* Upload a File

No file selected.

Maximum file size: 250 MB

Package 3 File(s) [?](#)

Action	File Name	Uploaded Date/Time <a href="#">?</a>
<a href="#">Download</a> <a href="#">Delete</a>	Package_3_Submission.zip	10/16/2018 11:27 PM

# Delay in Receipt of Files Report – Step 20

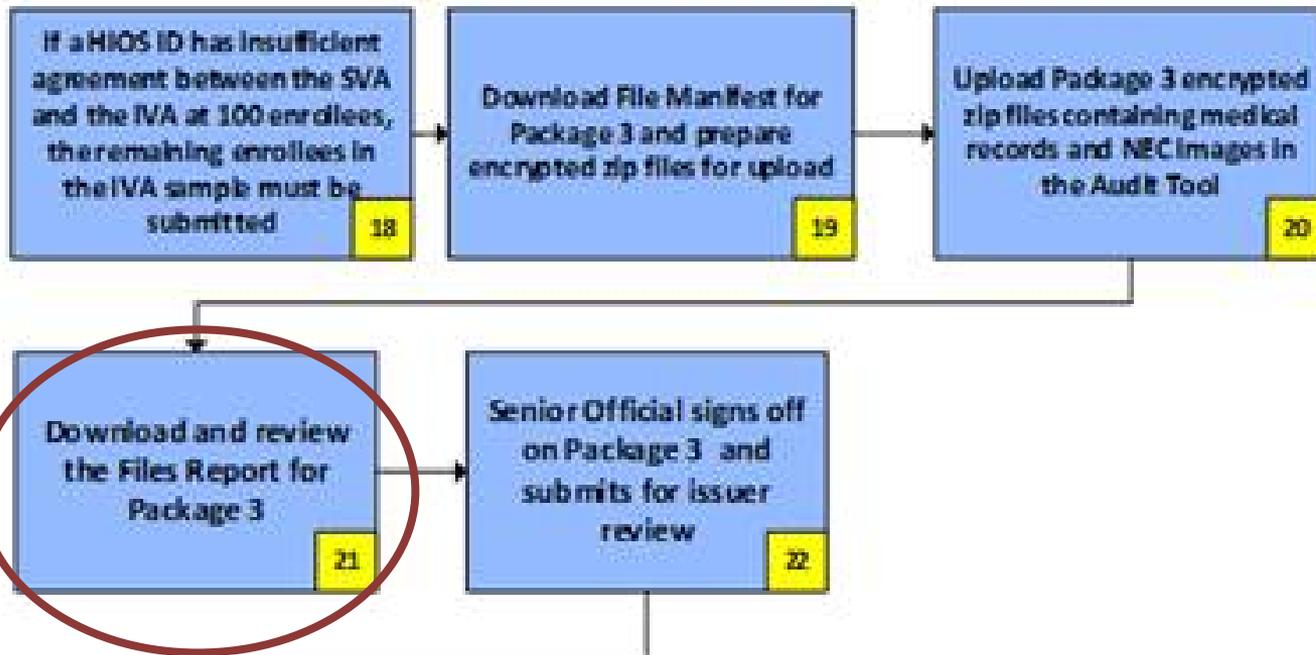
- If you have not received the Files Report for Package 3, confirm that you selected the **Package 3 file upload complete** button
- If the upload screen continues to show “Processing”, you may have experienced a time out
  - Navigate back to the Package 3 Files Upload page to see if the file is listed in the Package 3 Files table



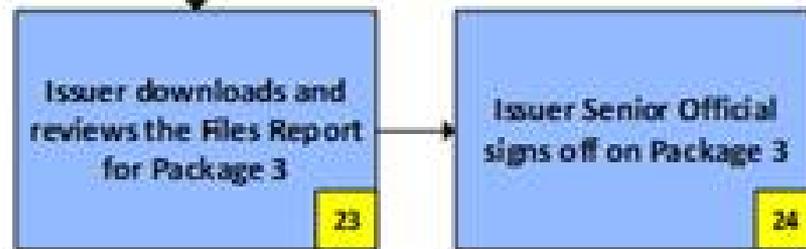
**NOTE:** The Files Report for Package 3 should be returned within 30 minutes. This time may increase based on the volume of submissions received.

# IVA Results Submission Process – Package 3

IVA Entity



Issuer



# IVA Entity - Files Report for Package 3

## Overview – Step 21

- The Files Report for Package 3 contains the results of Package 3 File validation and includes a response record for each file uploaded in Package 3 compared to the File Manifest for Package 3
  - The File Manifest for Package 3 includes the files listed in the IVA Entity Audit Results Submission XML for the enrollees included in Package 3
- The submitter of Package 3 Files along with the IVA Entity SO will receive an email notification when the Files Report for Package 3 is available

# IVA Entity - Files Report for Package 3 Download Process – Step 21

- From the IVA Entity Package 3 Submission Status page:
  1. Select the **Download Files Reports for Package 3** link to navigate to the Files Report for Package 3 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 3 Submission Status page

# IVA Entity - Files Report for Package 3

## Download Process – Step 21 (continued)



[Guidance](#)

### Files Report for Package 3 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 3 History page.

If a status of **Error(s) Must Resubmit** is indicated in the Status column, then the zip file(s) require resolution and resubmission. A status of **Warning(s) Need Review** does not require file resubmission, but may impact the final risk score calculation.

#### Files Reports for Package 3 ?

Select	HIOS ID	File Name	Status	Last Downloaded Date/Time	Password
<input type="checkbox"/>	07701	07701_File Report Pk3_20181017033217.cs v	Processed without Errors ✔	N/A	██████████
<input type="checkbox"/>	07702	07702_File Report Pk3_20181004193852.cs v	Processed without Errors ✔	10/4/2018 3:41 PM	██████████
<input type="checkbox"/>	07703	07703_File Report Pk3_20181017033121.cs v	Warning(s) Need Review ⚠	N/A	██████████

Exit

Return to Status page

Download



# IVA Entity - Interpreting the Files Report for Package 3 – Step 21

- The Files Report for Package 3 contains Fatal Errors, Critical Errors, and Warnings
  - **Fatal Error(s) or Critical Error(s)**: If these errors occur in the Files Report for Package 3 they must be addressed, 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 the warnings may be accepted by the IVA Entity and issuer

# IVA Entity - Interpreting the Files Report for Package 3 – Step 21 (continued)

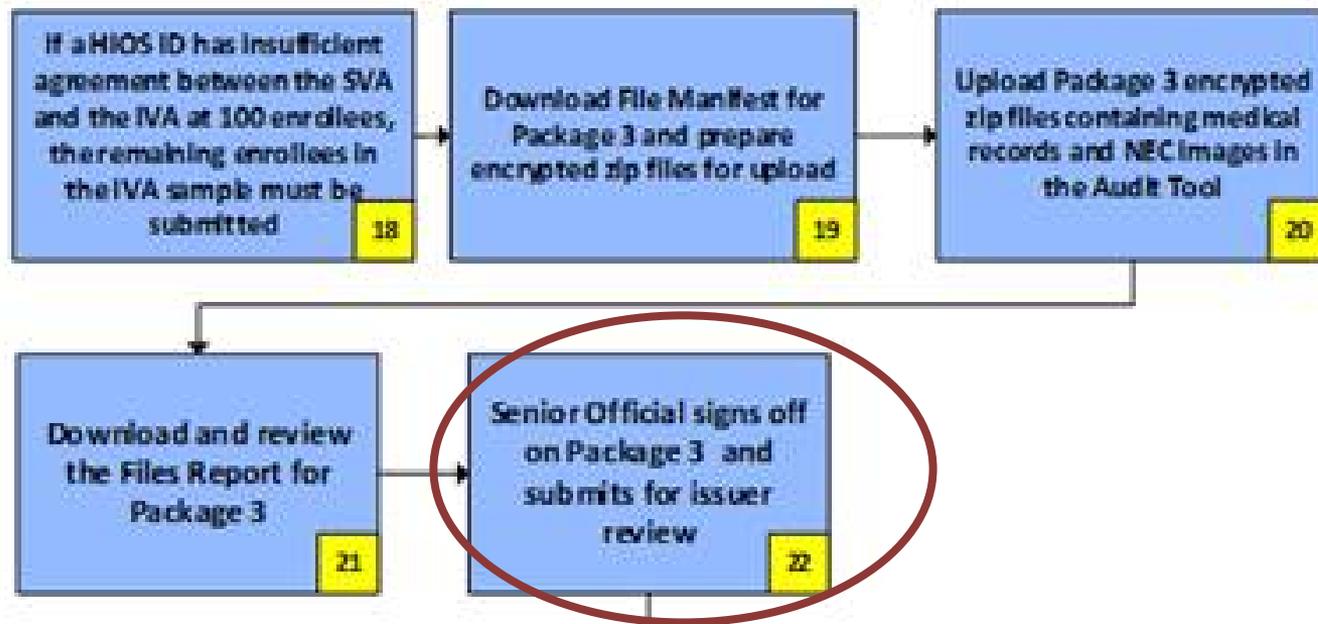
- **Warnings Need Review** but, do not require file resubmission and may impact the final risk score calculation
- If you need to split and resubmit file(s) to meet file size limits, you must submit a File Name Revisions XML File



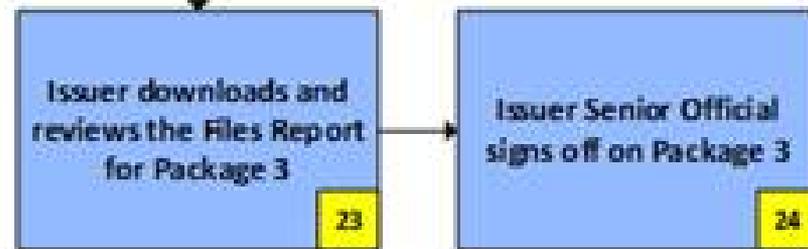
**Note:** Please review the IVA Submission Files ICD Appendix E for a full list of Error codes and Warning messages

# IVA Results Submission Process – Package 3

IVA Entity



Issuer



# IVA Entity - Signoff for Package 3

## Overview – Step 22

- After reviewing Package 3 documentation, the IVA Entity SO **MUST** signoff on Package 3
  - By completing the signoff attestation, the IVA Entity SO is certifying that Package 3 is acceptable and ready for issuer review
  - The issuer is presented with the Files Reports for Package 3, as well as all zip files that have been uploaded



**NOTE:** Package 3 submission, IVA Entity SO signoff and final Issuer SO signoff must all be completed within seven (7) calendar days from the date of the notification email

# IVA Entity - Signoff for Package 3 Process – Step 22

- From the IVA Entity Package 3 Submission Status Page:
  1. Select the **Package 3 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 3 Signoff page
  2. Select the **Attestation** checkbox
  3. Select the **Submit** button

# IVA Entity - Signoff for Package 3

## Process – Step 22 (continued)

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

Issuer Company Name: Cheese Inc

HIOS ID: 07701

Password for Zip files:

Encryption Type: AES-256 [?](#)

Files Report for Package 3 [?](#)

Action	File Name	Status	Last Downloaded Date/Time <a href="#">?</a>
<a href="#">Download</a>	07701_File Report Pk3_20181017033217.csv	Processed without Errors <input checked="" type="checkbox"/>	10/16/2018 11:39 PM

Note: All files must be downloaded prior to signoff.

**Attestation**

\* I certify that Package 3 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

# **Package 3**

## **Submission Process**

### **Issuer Responsibilities**

# Issuer Signoff for Package 3 Overview

- The Issuer SOs and RADV Coordinators will receive an email notification when the IVA Results Package 3 is available for review and signoff
- The Files Report for Package 3 must be downloaded and reviewed by the Issuer SO or RADV Coordinator prior to Package 3 signoff
- While an Issuer SO is required to signoff, the files may be downloaded and reviewed by a RADV Coordinator
- Issuer SOs can choose to signoff on individual or multiple HIOS IDs from the IVA Entity Package 3 Submission Status page



**NOTE:** Package 3 submission, IVA Entity SO signoff and final Issuer SO signoff must all be completed within seven (7) calendar days from the date of the notification email

# Issuer Signoff for Package 3 Overview

(continued)

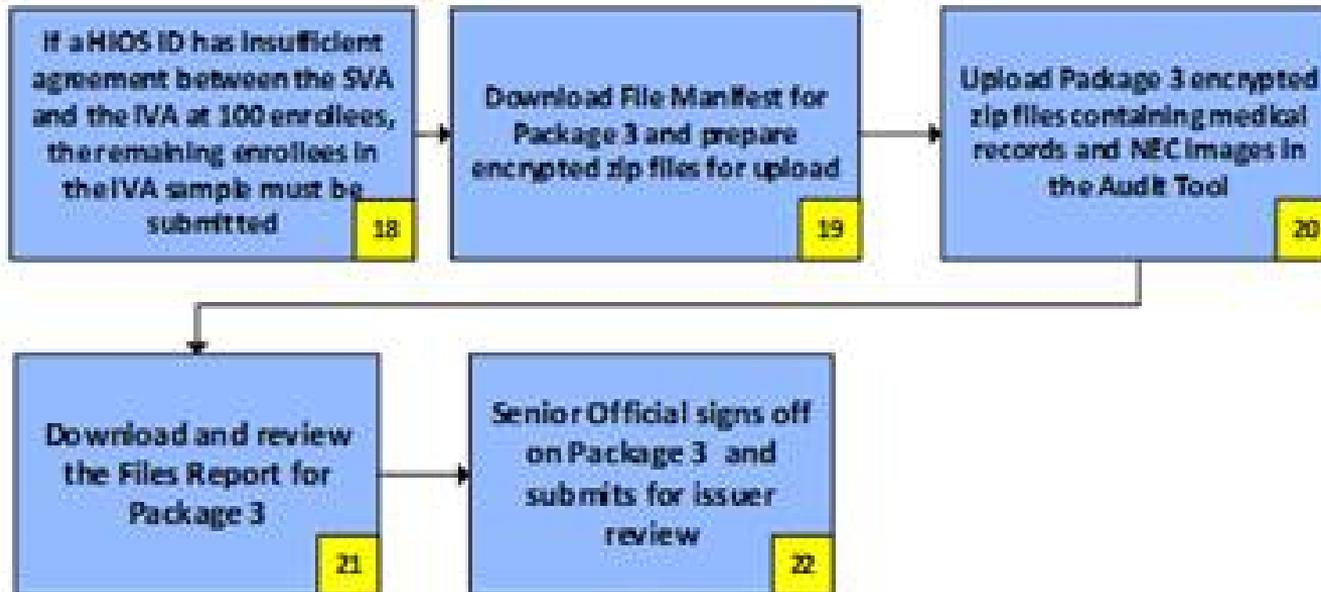
- After reviewing the Package 3 documentation, the Issuer SO **MUST** signoff on Package 3 by choosing approve or reject
  - Choosing “Reject” requires the IVA Entity to add\* or replace Package 3 files as necessary
    - You may enter comments regarding rejection in the “Rejection Comments” field
  - The IVA Entity will be able to review rejection comments through the Audit Tool



**\* Note:** This is not an opportunity to add additional medical records. Medical records submitted in Package 3 must align with the medical records captured in the *IVA Entity Audit Results Submission XML*. **\*Additional medical records not captured on the IVA Entity Audit Results XML are not allowed to be submitted**

# IVA Results Submission Process – Package 3

IVA Entity



Issuer



# Issuer & IVA Entity Recommendations About Signoff

- Issuers' review and signoff of the IVA submission is **time sensitive**
- The issuer is expected to perform a thorough review of Package 3 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 all Packages 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 nor appealable

# Issuer - Files Report for Package 3 Download Process – Step 23

- From the Issuer Package 3 Submission Status page:
  1. Select the **Download Files Reports for Package 3** link to navigate to the Files Report for Package 3 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 3 Submission Status page

# Issuer Submission Status Pages

## Package 3 – Step 23

- Issuer Package 3 Submission Status page

- The link on the top of the page allows you to download files for multiple HIOS IDs

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

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

[Guidance](#)

### Package 3 Submission Status

**Instructions**

Select the **Download Reports** link located in the Action column to navigate to the Package 3 Submission Download page for the specified HIOS ID. Sort the table by selecting the up or down arrows for each column. All Package 3 files must be downloaded and reviewed prior to signoff.

Once all Package 3 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 3 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 3 Status column may impact the final risk score calculation.

**Note:** The Approve or Reject action will not be available until the Files Reports for Package 3 have been downloaded.

Select [Download Files Reports for Package 3](#) to download Files Reports for Package 3 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

**Submission Status**

Action*	IVA Entity Name	HIOS ID	Files Report for Package 3 Status	Package 3 Issuer Signoff Status
<a href="#">Download Reports</a>	Macaroni LLC	07702 <a href="#">IVA Entity History</a> <a href="#">Issuer History</a>	Processed without Errors <input checked="" type="checkbox"/>	Approved 10/4/2018 <input checked="" type="checkbox"/>

# Issuer - Files Report for Package 3 Download Process – Step 23



[Guidance](#)

## Files Report for Package 3 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 3 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 ?

Select	HIOS ID	File Name	Status	Last Downloaded by Issuer Date/Time	Password
<input checked="" type="checkbox"/>	07702	07702_File Report Pk3_20181004193852.csv	Processed without Errors ✔	N/A	

Exit

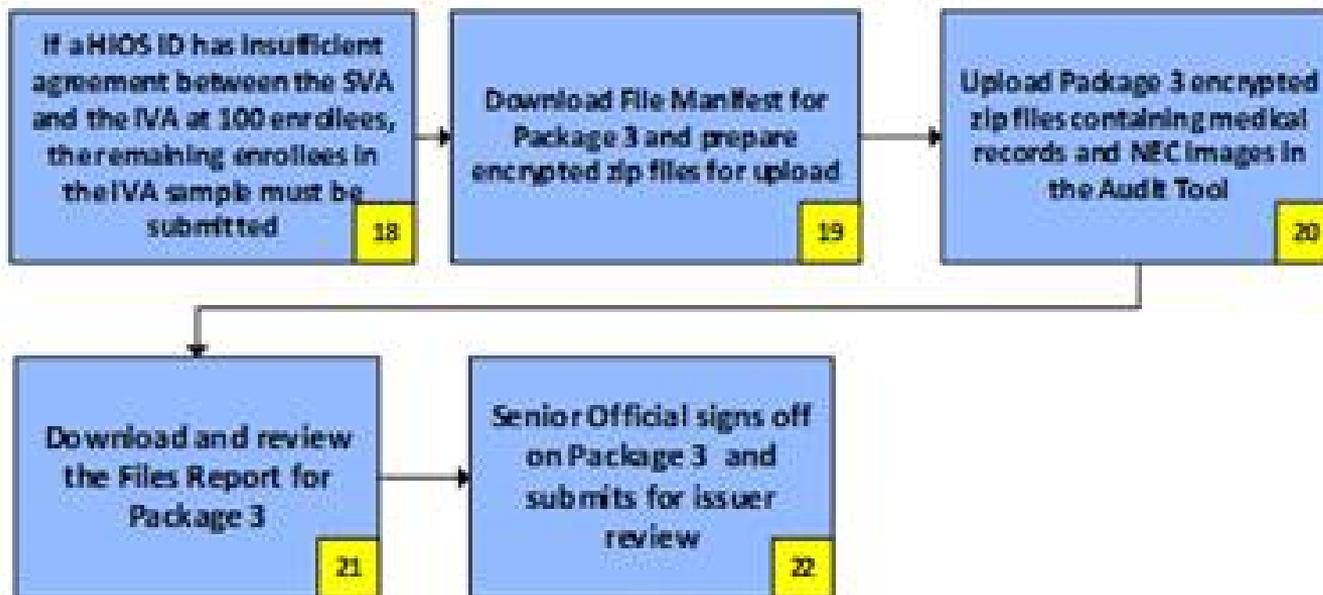
Return to Status page

Download

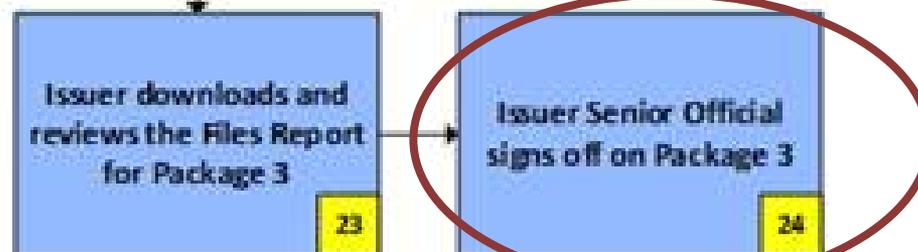


# IVA Results Submission Process – Package 3

IVA Entity



Issuer



# Issuer Signoff for Package 3 Overview – Step 24

- Final Issuer SO signoff of Package 3 completes the IVA submission process
  - It is important to review all errors and warnings in the Files Report for Package 3 as necessary or add files identified as missing in the Files Report



**Upon completion and issuer signoff, additional medical records not captured on the IVA Entity Audit Results XML are not allowed to be submitted**

# Issuer Signoff for Package 3 Process – Step 24

- From the Issuer Package 3 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 Files Report for Package 3 has been downloaded
  2. Select the **Continue** button to navigate to the Issuer Package 3 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 3 Process – Step 24 (continued)

## Submission Status

Action*	IVA Entity Name	HIOS ID	Files Report for Package 3 Status	Package 3 Issuer Signoff Status
<a href="#">Download Reports</a> Issuer Signoff --None-- --None-- Approved Rejected	Macaroni LLC	07702 <a href="#">IVA Entity History</a> <a href="#">Issuer History</a>	Processed without Errors <input checked="" type="checkbox"/>	Pending

Exit

Continue

# Issuer Signoff for Package 3 Process – Step 24 (continued)



[Guidance](#)

## Issuer Package 3 Signoff

### Instructions

Review the HIOS ID(s) indicated as approved or rejected for Package 3. To change your signoff selection, select the **Back** button. Select the **Submit** button to submit Package 3 Signoff for the listed HIOS ID(s).

### Package 3 Approved HIOS ID(s)

IVA Entity Name	HIOS ID
Macaroni LLC	07702

### 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:**



# Issuer Signoff for Package 3 Process – Step 24 (continued)



[Guidance](#)

## Issuer Package 3 Signoff

### Instructions

Select **Approve** or **Reject** to indicate approval or rejection of the Package 3 documentation for the applicable HIOS ID. Choosing to "Reject" will require the IVA Entity to resubmit all Package 3 files. You may enter comments regarding rejection in the **Rejection Comments** field. Select the **Submit** button to submit Package 3 signoff for this HIOS ID.

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

Review the HIOS ID(s) indicated as approved or rejected for Package 3. To change your signoff selection, select the **Back** button. Select the **Submit** button to submit Package 3 signoff for the listed HIOS ID(s).

IVA Entity Name: Macaroni LLC

HIOS ID: 08802

\* Do you want to approve or reject Package 3?

Approve  Reject

### Rejection Comments:

Rejection comments go here. Rejection comments go here.

Maximum 6,000 characters

### Submitter Contact Information

First Name:	Bob	Last Name:	Wills
Email Address:	sampleuser78+iss1@gmail.com	Job Title:	Manager
Phone Number:	(111) 111-1111	Phone Extension:	



# Issuer Signoff for Package 3 Process – Step 24 (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 [CCIIACARADDataValidation@cms.hhs.gov](mailto:CCIIACARADDataValidation@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



# Issuer - IVA Entity Notification of Package 3 Approval/Rejection – Step 24

If the Issuer SO	Then
<b><u>Approves</u> the Package 3 Submission</b>	IVA Entity SOs and RADV Coordinators will receive a confirmation email
<b><u>Rejects</u> the Package 3 Submission</b>	The IVA Entity must review the issuer's rejection notes (if entered) in the Audit Tool and replace Package 3 files as necessary or add files identified as <u>missing in the Files Report</u>

# 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](mailto:CCIIOACARADDataValidation@cms.hhs.gov)

# Next Steps

# Next Steps: Training Sessions

Topic	Date
Interpreting IVA Findings	November 20, 2019

# Resources

# Locating HHS-RADV Documents in REGTAP

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

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

The screenshot shows the REGTAP Library interface. The top navigation bar includes the REGTAP logo and links for Registration for Technical Assistance Portal, My Dashboard, Training Events, Inquiry Tracking, Library, FAQs, Contact Us, About REGTAP, and Log Out. The main content area is titled 'Library' and features a 'Filter by:' dropdown menu set to 'Program Area'. A dropdown menu is open, listing various program areas, with 'HHS-Operated Risk Adjustment Data Validation (RADV)' highlighted. A red arrow points to this option. To the right, there is a 'Training Event' dropdown menu, a search bar, and a 'Remove Filter' button. Below the filter menu is a table with columns for Program Area, Resource Type, and Download. The table lists various documents, including 'User Fees' (Supporting Documents), 'User Fees' (Supporting Documents), 'User Fees' (Presentation Slides), 'User Fees' (FAQ), 'User Fees' (Supporting Documents), 'Distributed Data Collection for RI and RA/Edge Server' (CBT), and 'Distributed Data Collection for RI and RA/Edge Server' (Presentation Slides). A 'Complete Library Inventory Report' button is located in the top right corner of the library section.

# Resources: Links

- ICD, XML, and Job Aids
  - Log in to the Audit Tool
- HHS-RADV Timeline and Protocols
  - HHS-RADV 2018 Benefit Year Timeline [https://www.regtap.info/reg\\_librarye.php?i=2905](https://www.regtap.info/reg_librarye.php?i=2905)
  - HHS-RADV 2018 Benefit Year Protocols [https://www.regtap.info/reg\\_librarye.php?i=2904](https://www.regtap.info/reg_librarye.php?i=2904)
- HHS-RADV Series IV Presentation Slides
  - 2018 Benefit Year HHS-RADV Introduction (3/6/19) [https://www.regtap.info/reg\\_librarye.php?i=2457](https://www.regtap.info/reg_librarye.php?i=2457)
  - HHS-RADV Reports Introduction and Updates, IVA Selection, and Conflict of Interest (3/13/19) [https://www.regtap.info/reg\\_librarye.php?i=2468](https://www.regtap.info/reg_librarye.php?i=2468)
  - Issuer Senior Official Designation (4/3/19) [https://www.regtap.info/reg\\_librarye.php?i=2819](https://www.regtap.info/reg_librarye.php?i=2819)
  - IVA Entity Designation (4/3/19) [https://www.regtap.info/reg\\_librarye.php?i=2820](https://www.regtap.info/reg_librarye.php?i=2820)
  - Issuer Participation Requirements (4/3/19) [https://www.regtap.info/reg\\_librarye.php?i=2821](https://www.regtap.info/reg_librarye.php?i=2821)
  - Validating RXC and NDC (5/1/19) [https://www.regtap.info/reg\\_librarye.php?i=2871](https://www.regtap.info/reg_librarye.php?i=2871)

# Resources: Links (continued)

- HHS-RADV Series IV Presentation Slides
  - 2018 Benefit Year Issuer Exemption & DDVC Web Form (5/8/19)  
[https://www.regtap.info/reg\\_librarye.php?i=2885](https://www.regtap.info/reg_librarye.php?i=2885)
  - Sampling Report Distribution & Discrepancy Reporting Process (5/8/19)  
[https://www.regtap.info/reg\\_librarye.php?i=2886](https://www.regtap.info/reg_librarye.php?i=2886)
  - Validating RXC and NDC (5/1/19) [https://www.regtap.info/reg\\_librarye.php?i=2871](https://www.regtap.info/reg_librarye.php?i=2871)
  - 2018 Benefit Year Issuer Exemption & DDVC Web Form (5/8/19)  
[https://www.regtap.info/reg\\_librarye.php?i=2885](https://www.regtap.info/reg_librarye.php?i=2885)
  - Sampling Report Distribution & Discrepancy Reporting Process (5/8/19)  
[https://www.regtap.info/reg\\_librarye.php?i=2886](https://www.regtap.info/reg_librarye.php?i=2886)
  - 2017 Benefit Year Error Rate Attestation and Discrepancy Reporting (5/15/19)  
[https://www.regtap.info/reg\\_librarye.php?i=2894](https://www.regtap.info/reg_librarye.php?i=2894)
  - 2017 Benefit Year Error Estimation (5/22/19) [https://www.regtap.info/reg\\_librarye.php?i=2909](https://www.regtap.info/reg_librarye.php?i=2909)
  - 2018 Benefit Year Protocols Updates (5/29/19)  
[https://www.regtap.info/reg\\_librarye.php?i=2908](https://www.regtap.info/reg_librarye.php?i=2908)

# Resources: Links (continued)

- HHS-RADV Series IV Presentation Slides
  - IVA Entity Audit Results Submission ICD, XSD, & XML Guidance (6/26/19)  
[https://www.regtap.info/reg\\_librarye.php?i=2934](https://www.regtap.info/reg_librarye.php?i=2934)
  - 2017 Administrative Appeals Process (7/31/19)  
[https://www.regtap.info/reg\\_librarye.php?i=2982](https://www.regtap.info/reg_librarye.php?i=2982)
  - XML, Package 1, 2, & 3 Checks Overview (10/9/19)  
[https://www.regtap.info/reg\\_librarye.php?i=3047](https://www.regtap.info/reg_librarye.php?i=3047)
  - IVA Entity IRR Submission and Validation Process (10/16/19)  
[https://www.regtap.info/reg\\_librarye.php?i=3049](https://www.regtap.info/reg_librarye.php?i=3049)
  - IVA Results Package 1 & 2 Submission Process (10/23/19)  
[https://www.regtap.info/reg\\_librarye.php?i=3066](https://www.regtap.info/reg_librarye.php?i=3066)

# Resources: Links (continued)

Resource	Resource Link
U.S. Department of Health & Human Services (HHS)	<a href="http://www.hhs.gov/">http://www.hhs.gov/</a>
Centers for Medicare & Medicaid Services (CMS)	<a href="http://www.cms.gov/">http://www.cms.gov/</a>
The Center for Consumer Information & Insurance Oversight (CCIIO) web page	<a href="http://www.cms.gov/ccio">http://www.cms.gov/ccio</a>
Consumer website on Health Reform	<a href="http://www.healthcare.gov/">http://www.healthcare.gov/</a>
Registration for Technical Assistance Portal (REGTAP)	<a href="https://www.REGTAP.info">https://www.REGTAP.info</a>
Patient Protection and Affordable Care Act (PPACA)	<a href="http://www.gpo.gov/fdsys/pkg/PLAW-111publ148/content-detail.html">http://www.gpo.gov/fdsys/pkg/PLAW-111publ148/content-detail.html</a>

# Resources: Links (continued)

Resource	Resource Link
HHS Notice of Benefit and Payment Parameters for 2014	<a href="http://www.gpo.gov/fdsys/pkg/FR-2013-03-11/pdf/2013-04902.pdf">http://www.gpo.gov/fdsys/pkg/FR-2013-03-11/pdf/2013-04902.pdf</a>
HHS Notice of Benefit and Payment Parameters for 2015	<a href="http://www.gpo.gov/fdsys/pkg/FR-2014-03-11/pdf/2014-05052.pdf">http://www.gpo.gov/fdsys/pkg/FR-2014-03-11/pdf/2014-05052.pdf</a>
HHS Notice of Benefit and Payment Parameters for 2016	<a href="http://www.gpo.gov/fdsys/pkg/FR-2015-02-27/pdf/2015-03751.pdf">http://www.gpo.gov/fdsys/pkg/FR-2015-02-27/pdf/2015-03751.pdf</a>
HHS Notice of Benefit and Payment Parameters for 2017	<a href="https://www.gpo.gov/fdsys/pkg/FR-2016-03-08/pdf/2016-04439.pdf">https://www.gpo.gov/fdsys/pkg/FR-2016-03-08/pdf/2016-04439.pdf</a>
HHS Notice of Benefit and Payment Parameters for 2018	<a href="https://www.gpo.gov/fdsys/pkg/FR-2016-12-22/pdf/2016-30433.pdf">https://www.gpo.gov/fdsys/pkg/FR-2016-12-22/pdf/2016-30433.pdf</a>
HHS Notice of Benefit and Payment Parameters for 2019	<a href="https://www.govinfo.gov/content/pkg/FR-2018-04-17/pdf/2018-07355.pdf">https://www.govinfo.gov/content/pkg/FR-2018-04-17/pdf/2018-07355.pdf</a>
HHS Notice of Benefit and Payment Parameters for 2020	<a href="https://www.federalregister.gov/public-inspection/2019/04/18#special-filing-health-and-human-services-department">https://www.federalregister.gov/public-inspection/2019/04/18#special-filing-health-and-human-services-department</a>

# Resources: Contact Information

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

# Closing Remarks