

HHS Risk Adjustment Data Validation (HHS-RADV)

Initial Validation Audit (IVA) Results

Submission Process: Package 3

November 14, 2018

HHS-RADV Webinar Series III



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Session Agenda

- Session Guidelines
- Intended Audience
- Session Purpose
- HHS-RADV Timeline
- Announcements & Recommendations
- HHS-RADV Package 3 Submission Process
- Question and Answer (Q&A)
- Next Steps
- Resources
- Closing Remarks

Session Guidelines

- This is a 60-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 provide information on the submission process for Package 3

HHS-RADV Timeline



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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

Announcements

- The IVA Results Submission period opens Monday, December 3, 2018
- The Initial Validation Audit 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-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

Package 3 Overview

Package 3 Overview

- Package 3 will only be requested for a small number of issuers that continue to have insufficient pairwise agreement once the full, initial SVA subsample has been reviewed
- Following the completion of the SVA's review of medical records for a HIOS ID, a pairwise means test is performed to determine if there is sufficient agreement between IVA and SVA findings
- A pairwise means test is a statistical means test, which is a hypothesis-testing procedure 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)

- A new step has been implemented beginning with 2017 benefit year RADV, requiring a Package 3 submission if the pairwise means test of the full SVA subsample is found to show insufficient agreement between the IVA and SVA findings
- Package 3 submission should include all medical records for the additional 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 captured in the *IVA Entity Audit Results Submission XML*
- If Package 3 is required, the IVA Entity must submit and the Issuer SO must sign off within seven (7) calendar days from CMS notification

Package 3 Overview (continued)

- If the final pairwise means test results in sufficient agreement between the 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, as the IVA results will be used for final RADV results
- If the final pairwise means test results in insufficient agreement between the SVA and IVA findings, the IVA Entity **will be required** to submit Package 3, as the SVA results will be used for final RADV results

Package 3 Overview (continued)

- If Package 3 submission is necessary, the IVA Entity will be instructed 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 Claims (NEC) screenshots 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)

- Upon completion of SVA review, issuers will be informed if IVA or SVA findings were used for final HHS-RADV results
- If there is insufficient agreement between the IVA and SVA findings in the pairwise test once the full SVA subsample is reviewed, the SVA results will be used to determine Hierarchical Condition Categories (HCC) failure rates and to estimate risk score adjustments (if applicable)

Package 3 Overview (continued)

- At the completion of the SVA review for all HIOS IDs, a precision analysis will be conducted to determine if the SVA will be required to review an issuer's Package 3 medical records
- Depending on the outcome of the precision analysis, medical records submitted as part of Package 3 may not require SVA review nor be used by CMS for final results

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 whether the SVA will review the 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:

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 7.2.1 (Pairwise Test between SVA and IVA) in the 2017 Benefit Year HHS-RADV Protocols found in the Registration for Technical Assistance Portal (REGTAP) library (https://www.regtap.info/reg_librarye.php?i=2629)

IVA Results Submission Package 3 Process Overview



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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, and review and signoff of reports
 - While file uploads and downloads may be performed by HHS-RADV Coordinators or Senior Officials (SO), signoffs **MUST** be performed by an IVA Entity SO

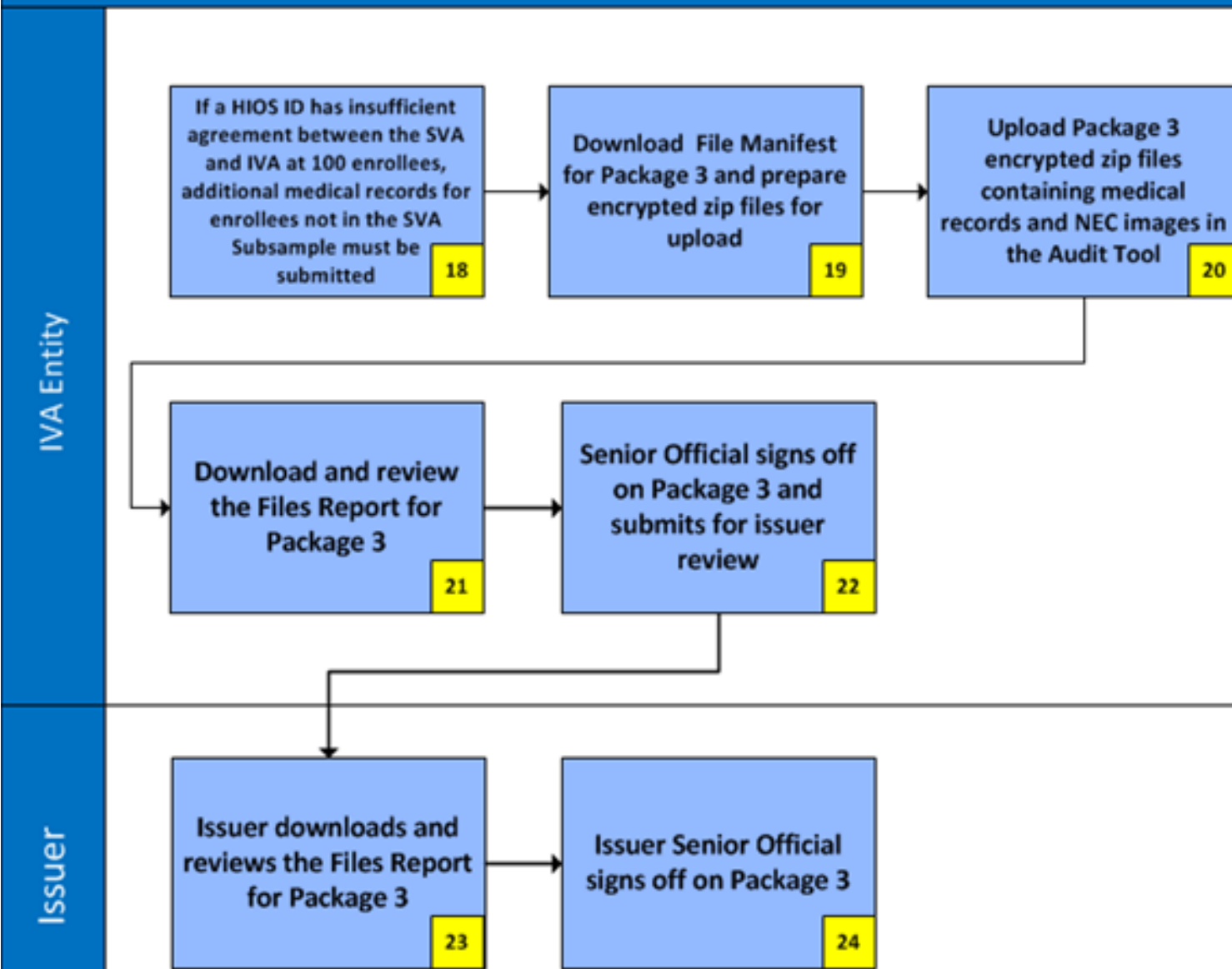
Issuer Submission Roles

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

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 pages contain instructions, direct links for bulk file/report download, and Submission Status tables
 - The Submission Status tables include links to upload or download individual files HIOS ID level, and for SOs to perform signoffs
- IVA Entities and issuers each have dedicated Package 3 Submission Status pages

IVA Results Submission Process – Package 3



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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

- Package 3 files use the same randomly assigned an 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 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

Password Protection and File Encryption Overview (continued)

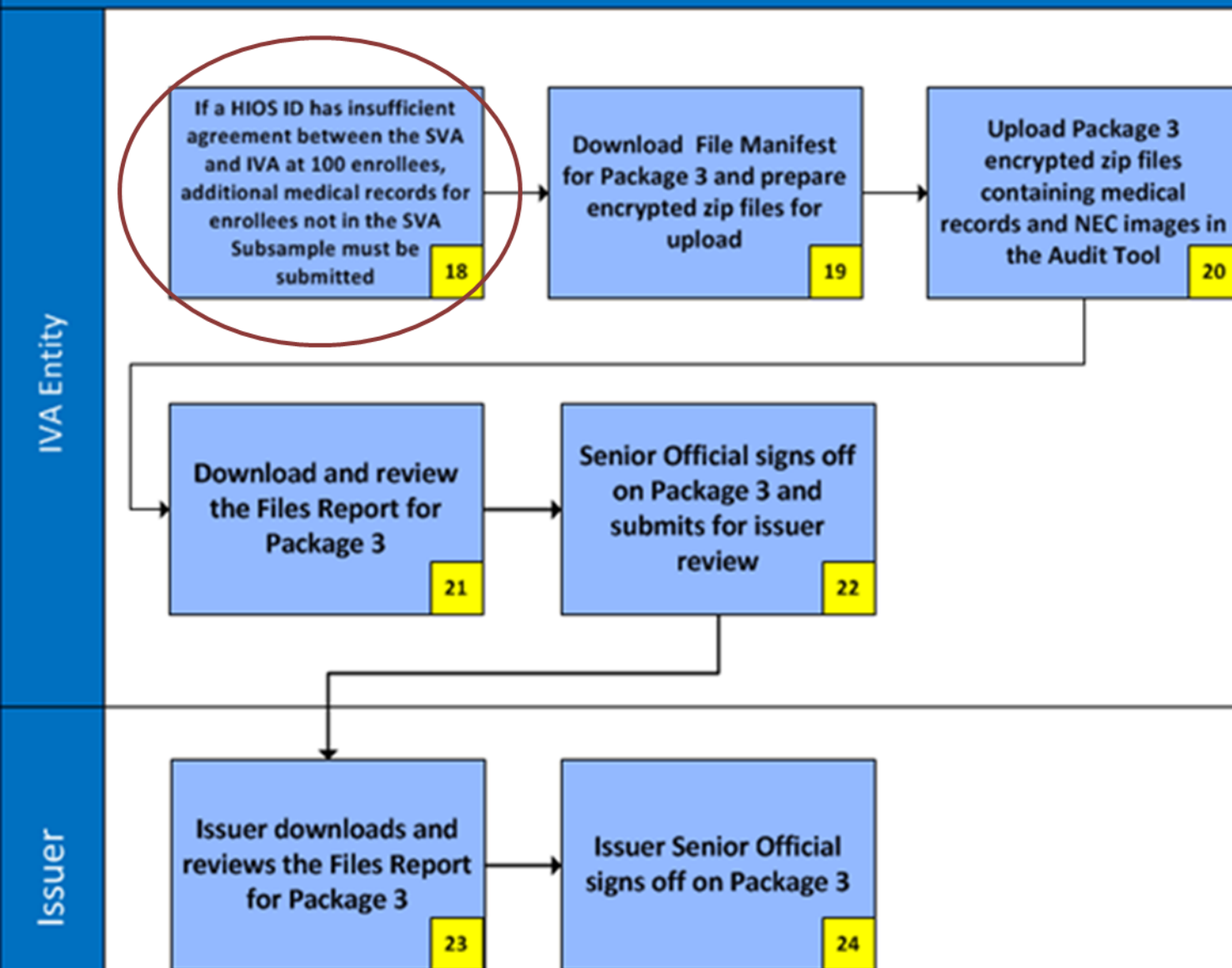
- All files in the Audit Tool, including inbound (uploaded) and outbound (downloaded) files, are required to be encrypted and password protected in zip file format
 - Error Code 0.0.2 is a fatal error that will be returned when the password used to upload a zip file does not match the corresponding password 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 - Step 18



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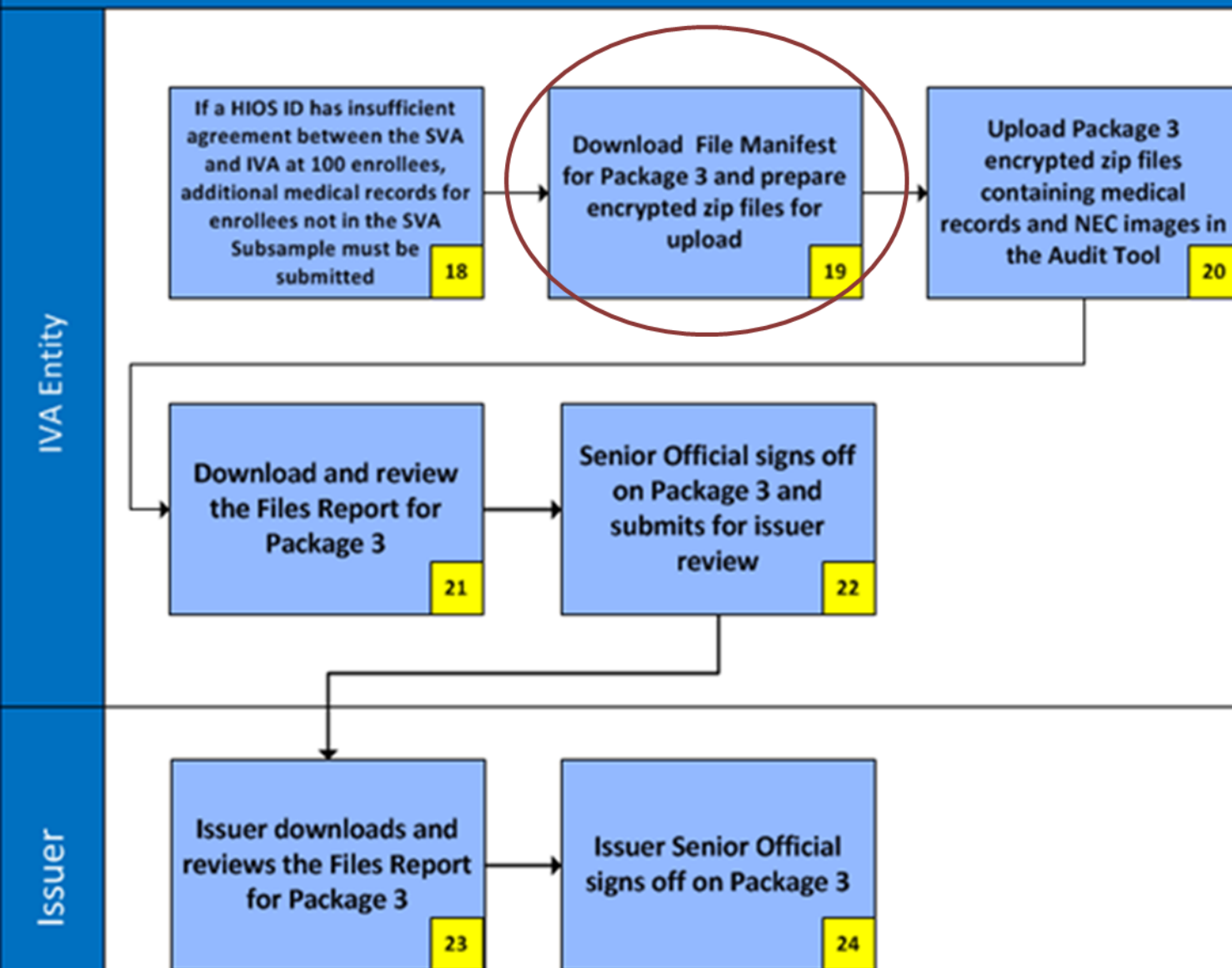
IVA Entity – Package 3 Required – Step 18

- CMS will notify the IVA Entity and the issuer by email that Package 3 submission is required for a specific HIOS ID once a determination has been made that there is insufficient agreement between the IVA and SVA results
- The IVA Entity is required to submit medical records through the Audit Tool for the remaining enrollees in the IVA sample that were not in the SVA subsample for Package 2
- Package 3 should be submitted as soon as possible, **but no later than seven (7) calendar days from the date of the notification email**



NOTE: If CMS does not receive Package 3 as requested then CMS will use the results of the SVA 100 even if the precision is poor

IVA Results Submission Process – Package 3 - Step 19



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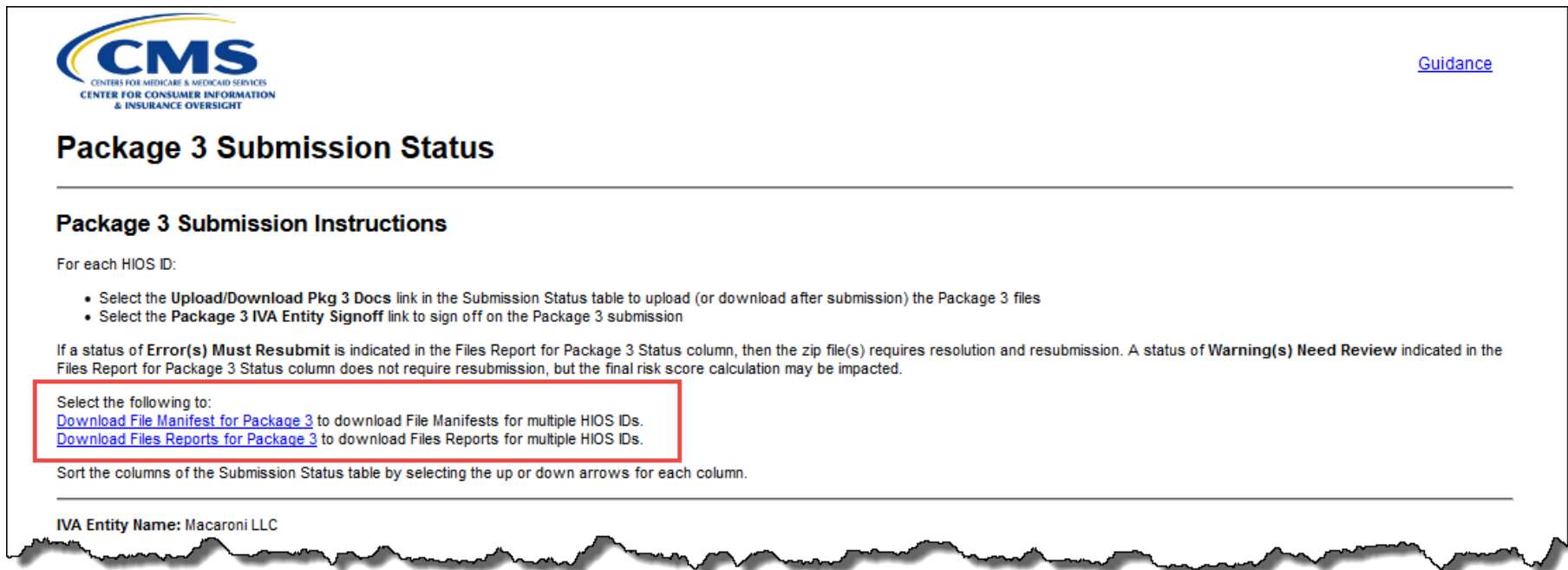
IVA Entity - File Manifest for Package 3

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



The screenshot shows the CMS Package 3 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 for "Guidance". The main heading is "Package 3 Submission Status". Below this is a section titled "Package 3 Submission Instructions". The text reads: "For each HIOS ID:" followed by a bulleted list: "• Select the Upload/Download Pkg 3 Docs link in the Submission Status table to upload (or download after submission) the Package 3 files" and "• Select the Package 3 IVA Entity Signoff link to sign off on the Package 3 submission". Below this is a paragraph: "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." A red box highlights the following text: "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." Below the red box is the text: "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".

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

[Guidance](#)

Package 3 Submission Status

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 ?
Upload/Download Pkg 3 Docs	Cheese Inc	07701 History			
Upload/Download Pkg 3 Docs	Cheese Inc	07702 History	Processed without Errors ✓	10/4/2018 3:41 PM ✓	Approved 10/4/2018 ✓
Upload/Download Pkg 3 Docs	Cheese Inc	07703 History			

[Exit](#) [Refresh page](#)

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 Entity 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
☐	Cheese Inc	07701	New	07701_File Manifest Pk3_20181016171625.csv	N/A	
☐	Cheese Inc	07702	Downloaded	07702_File Manifest Pk3_20181004172332.csv	10/4/2018 3:29 PM	
☐	Cheese Inc	07703	New	07703_File Manifest Pk3_20181016172903.csv	N/A	

Exit

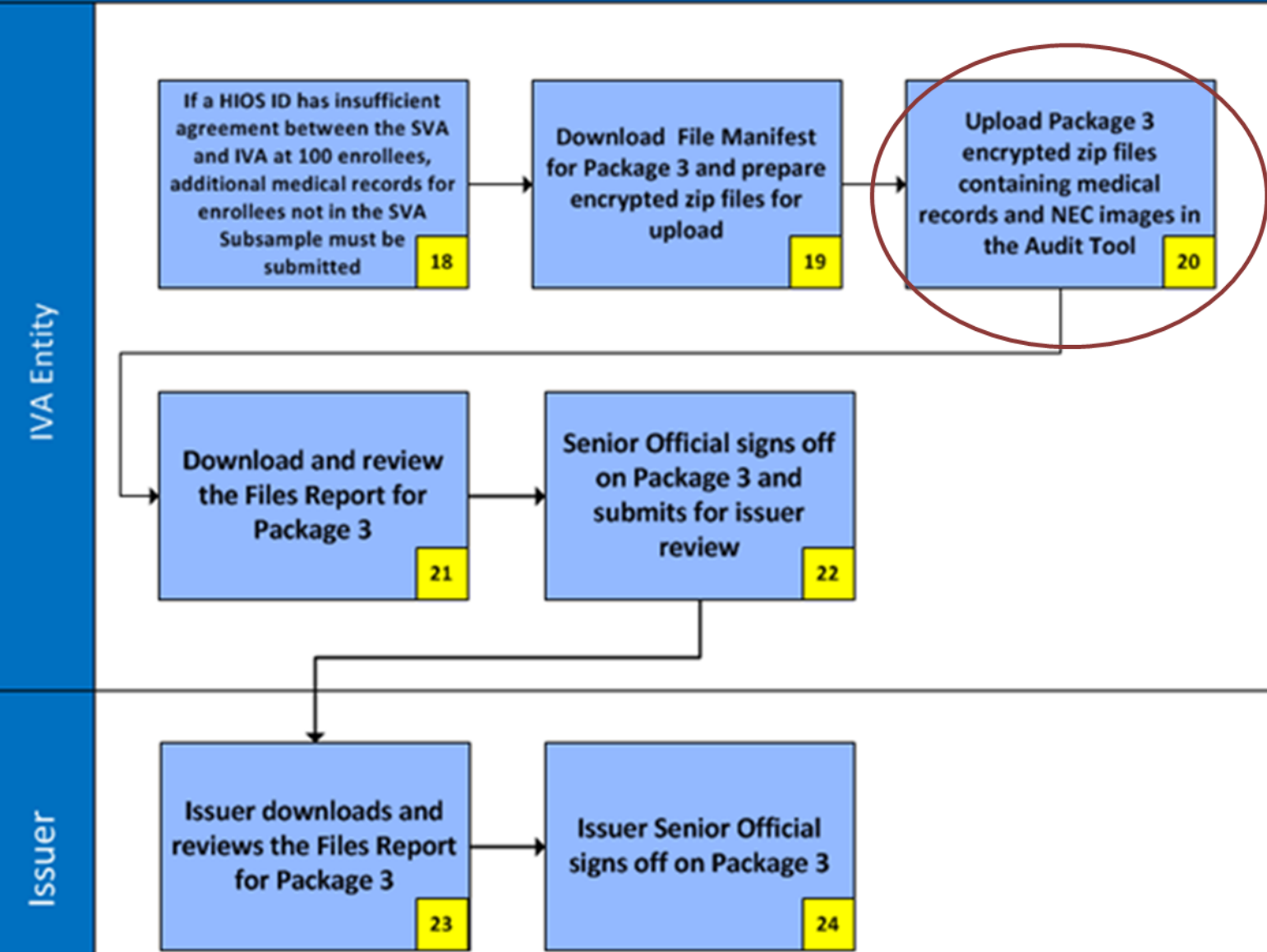
Return to Status page

Download



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IVA Results Submission Process – Package 3 - Step 20



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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 documented 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
Download	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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Package 3 file upload completed

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 (*).

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
Download	07701_File Manifest Pk3_20181016171625.csv	Downloaded

* Upload a File

No file selected.

Maximum file size: 250 MB

Package 3 File(s) ?

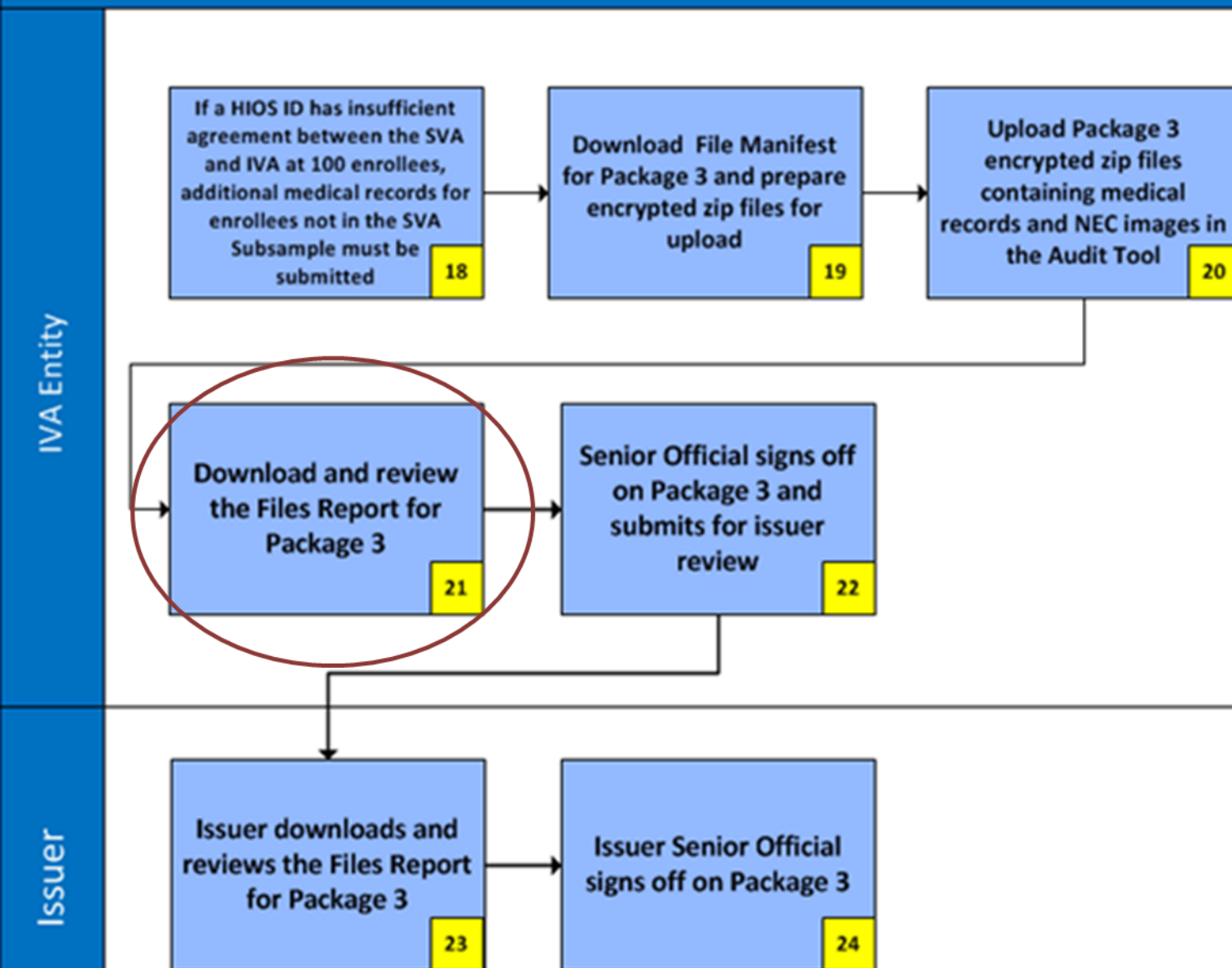
Action	File Name	Uploaded Date/Time ?
Download Delete	Package_3_Submission.zip	10/16/2018 11:27 PM

Package 3 file upload completed

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

IVA Results Submission Process – Package 3 - Step 21



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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
- The submitter of the Package 3 Files and the IVA Entity SOs 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
☐	07701	07701_File Report Pk3_20181017033217.cs v	Processed without Errors ✓	N/A	
☐	07702	07702_File Report Pk3_20181004193852.cs v	Processed without Errors ✓	10/4/2018 3:41 PM	
☐	07703	07703_File Report Pk3_20181017033121.cs v	Warning(s) Need Review ⚠	N/A	

Exit

Return to Status page

Download



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

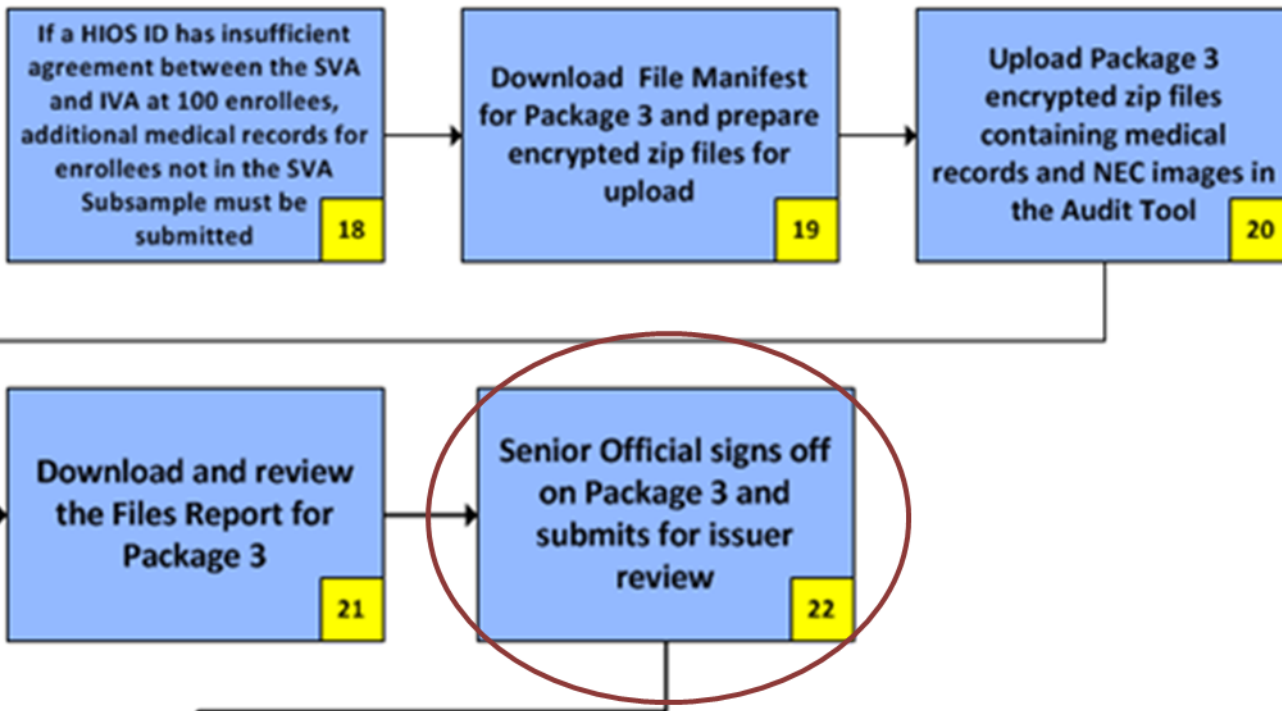
- The Files Report for Package 3 contains Fatal Errors, Critical Errors, and Warnings
 - **Fatal Error(s) or Critical Error(s)**: If these errors occur in the Files Report for Package 3 they must be addressed and corrected and files resubmitted for that Package.
 - **Warning(s)**: Warning messages do 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

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

- A status of **Warning(s) Need Review** does not require file resubmission, but 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

IVA Results Submission Process – Package 3 - Step 22

IVA Entity



Issuer



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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: [REDACTED]

Encryption Type: AES-256 ?

Files Report for Package 3 ?

Action	File Name	Status	Last Downloaded Date/Time ?
Download	07701_File Report Pk3_20181017033217.csv	Processed without Errors ☒	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

Email Address: sampleuser78+iva1@gmail.com

Phone Number:

Last Name: Smith

Job Title:

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 an 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)

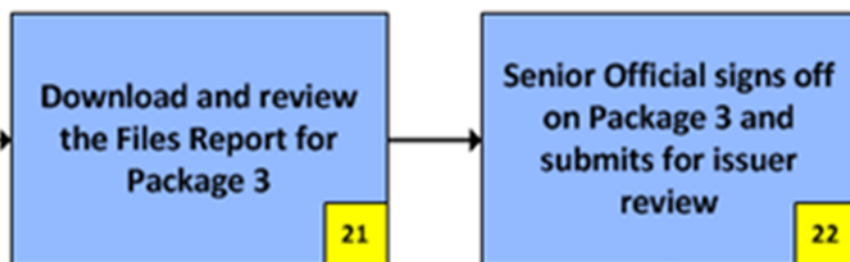
- After reviewing the Package 3 documentation, the Issuer SO **MUST** signoff off on Package 3 by choosing approve or reject
 - Choosing “Reject” requires the IVA Entity to add* or replace Package 3 files as necessary
 - You may enter comments regarding rejection in the “Rejection Comments” field
 -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



NOTE: Issuer rejection of Package 3 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 3 - Step 23

IVA Entity



Issuer



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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 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 or 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 allow you to download files for multiple HIOS IDs

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

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& 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
Download Reports	Macaroni LLC	07702 IVA Entity History Issuer History	Processed without Errors	Approved 10/4/2018

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
☒	07702	07702_File Report Pk3_20181004193852.csv	Processed without Errors ✓	N/A	

Exit

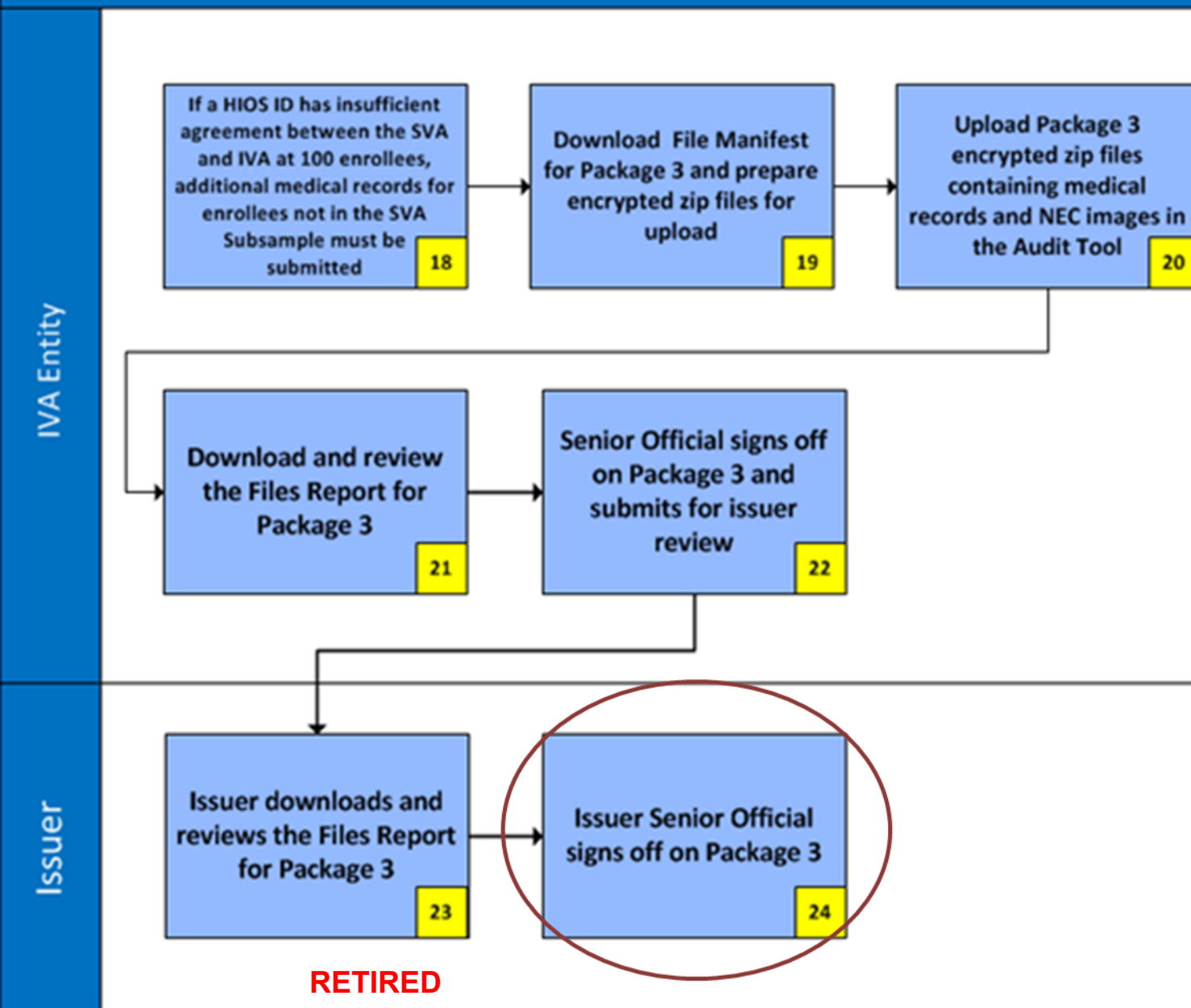
Return to Status page

Download



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IVA Results Submission Process – Package 3 - Step 24



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



NOTE: No additional files may be uploaded after this signoff

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
Download Reports Issuer Signoff --None-- --None-- Approved Rejected	Macaroni LLC	07702 IVA Entity History Issuer History	Processed without Errors	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:



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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. Rejection comments go here. Rejection comments go here. Rejection comments go here. Rejection comments go here.

Maximum 6,000 characters

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:



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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 CCIIOACARADDataValidation@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



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

If the Issuer SO	Then
<u>Approves</u> the Package 3 Submission	IVA Entity SOs and RADV Coordinators will receive a confirmation email.
<u>Rejects</u> the Package 3 Submission	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 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 (continued)

Topic	Date
Issuer Findings Report	November 28, 2018

Resources



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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 options. A red arrow points to the 'HHS-Operated Risk Adjustment Data Validation (RADV)' option. The main table below the dropdown lists various resources, including 'User Fees', 'Supporting Documents', 'Presentation Slides', and 'FAQ', each with a 'Download' button. The 'Training Event' dropdown is also visible, set to 'Training Event'.

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

(continued)

- Email
 - To contact us, please email the RADV team at CCIIOACARADDataValidation@cms.hhs.gov
- Audit Tool
 - To contact us within the HHS-RADV Audit Tool, use the Inquiries tab and select “Submit Inquiry”

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
 - IVA Audit Results Submission Package 1 and 2 (11/7/18) https://www.regtap.info/reg_librarye.php?i=2709

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