



**Centers for Medicare & Medicaid
Services (CMS)**

Job Aid for Validation of RADVPS Reports

**Version 3.0
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Document Version History

Version Number	Date	Author/Owner	Description of Change
1.0	3/15/2017	CCIIO	Initial Version
2.0	5/19/2017	CCIIO	<p>Updated validation notes for four (4) data elements included in the RADVPS Report:</p> <ul style="list-style-type: none"> • Total Claims • Total Plan Paid Amount • Total Number of Unique Diagnosis Codes • Total Number of Unique RA Diagnosis Codes <p>Updated the validation note for the data element 'total claim' to explain the possible deviation of the sum of the claim count for all strata between the RADVPS the RACSS and RACSD Reports.</p> <p>Updated the validation note for the data element 'totalPlanPaidAmountFile' to note a system issue.</p> <p>Updated the validation note for the data element 'totalNumberUniqueDiagnosis' to explain comparison of the element on the RADVPS, RARSS and RARSD Reports.</p> <p>Updated the validation note for the data element 'totalNumberUniqueRADiagnosis' to explain comparison of the element on the RADVPS, RARSS and RARSD Reports.</p>

Document Version History (continued)

Version Number	Date	Author/Owner	Description of Change
3.0	3/21/2018	CCIIO	<p>Added validation notes for three (3) new data elements included in the RADVPS Report:</p> <ul style="list-style-type: none"> • Total Enrollees from the Individual Risk Pool Market • Total Enrollees from the Small Group Risk Pool Market • Total Enrollees from the Catastrophic Risk Pool Market <p>Updated the validation note for the data element 'totalClaims' reflecting the change to the report logic to include RA eligible claims that cross the payment year.</p> <p>Updated the validation note for the data element 'TotalPlanPaidAmount' since the defect in this field was corrected. The defect counted twice for enrollment period overlaps.</p> <p>Updated the validation note for the data element Total Number of HCCs to reflect the count of HCCs is after the hierarchy is imposed.</p> <p>Clarified Validation Notes for the following:</p> <ul style="list-style-type: none"> • paymentYear • preliminaryFinalRun • totalNumberEnrollees • stratumLevel • meanRiskScore • maxDateOfBirth <p>Updated ICD element Description for the following:</p> <ul style="list-style-type: none"> • stratumSize • meanRiskScore • minRiskScore • maxRiskScore • stdDevRiskScore <p>Updated the Appendix to include RADVPSF.</p>

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1 Introduction

This document contains additional details of the Risk Adjustment (RA) Data Validation Population Summary Statistics (RADVPS) Report that is used by the HHS Risk Adjustment Data Validation (HHS-RADV) program. This document contains guidelines to assist issuers when validating the numbers on the report and highlights how the elements can be compared to elements in other External Data Gathering Environment (EDGE) server generated reports.

The complete file layout for the RADVPS Report can be found in the Interface Control Document (ICD) available in the Registration for Technical Assistance Portal (REGTAP): [Interface Control Document - Risk Adjustment and Reinsurance Addendum](#).

2 RADVPS Validation Notes

The below table includes details for how to validate the elements included in the file header category of the RADVPS Report.

Table 1: RADVPS Report Elements

RADVPS Report Category	RADVPS Business Element Name	RADVPS XML Element Name	ICD Element Description	Validation Notes
File Header	Payment Year	paymentYear	For example, 2014 or 2015.	Indicates the payment year for which the report was executed.
File Header	Preliminary/Final Run	preliminaryFinalRun	Designate preliminary or final run.	Indicates if it was a preliminary or final RA execution.
File Header	Total Number of Plan IDs	totalNumberOfPlanIds	Total number of 16-digit Plan IDs for the risk score calculation.	<p>This count of 16-digit plans cannot be directly compared to the number of plans that appear in the Risk Adjustment Risk Score Summary (RARSS) or Risk Adjustment Risk Score Detail (RARSD) Reports as these reports reflect the number of 14-digit plans.</p> <p>In order to validate this field the issuer must identify the number of unique 16-digit plan IDs represented by the enrollment periods included in the RARSD Report.</p> <p>Note that the count of plans in the Enrollee (Without) Claims Summary (ECS) and Enrollee (Without) Claims Detail (ECD) Reports may not match the count of plans in the RADVPS Report as the RADVPS Report will only include plans that were included in the RA calculation. The orphan claim reports will additionally include any plans for which there were claims but no enrollment, as well as any plans that were inactivated and excluded from the RA calculation. In summary, the ECS Report includes:</p> <ol style="list-style-type: none"> 1. Plans with no RA enrollment but orphaned claims. 2. Inactive plans. 3. Cross year Claims.

RADVPS Report Category	RADVPS Business Element Name	RADVPS XML Element Name	ICD Element Description	Validation Notes
File Header	Total Enrollees	totalNumberEnrollees	Total number of unique enrollees selected for the risk score calculation.	<p>The sum of the stratumSize for all strata should match the totalNumberEnrollees. It should also match the total enrollees (totalEnrollees) listed in the file header category of the RARSS Report.</p> <p>To confirm the enrollee count for each stratum, the issuer must follow the RADV stratification logic for each of the enrollees included in the RARSD Report.</p> <p>Note: totalNumberEnrollees may not equal the sum of the totalIndividualNumberEnrollees, totalSmallGroupNumberEnrollees, and totalCatastrophicNumberEnrollees because an enrollee may be in multiple Risk Pool Markets.</p>
File Header	Total Enrollees from the Individual Risk Pool Market	totalIndividualNumberEnrollees	Total number of unique enrollees selected from the Individual Risk Pool Market that were included in the RA calculation.	Indicates how many enrollees of the Issuers population are in the Individual Risk Pool Market
File Header	Total Enrollees from the Small Group Risk Pool Market	totalSmallGroupNumberEnrollees	Total number of unique enrollees selected from the Small Group Risk Pool Market that were included in the RA calculation.	Indicates how many enrollees of the Issuers population are in the Small Group Risk Pool Market.
File Header	Total Enrollees from the Catastrophic Risk Pool Market	totalCatastrophicNumberEnrollees	Total number of unique enrollees selected from the Catastrophic Risk Pool Market that were included in the RA calculation.	Indicates how many enrollees of the Issuers population are in Catastrophic Risk Pool Market.
Stratum Indicator Category	Stratum Indicator	stratumLevel	Strata 1-9 represent low, medium and high-risk enrollees with at least one (1) Hierarchical Condition Category (HCC) for each age model. Stratum 10 includes enrollees with no HCCs.	Indicates the stratum assigned.

RADVPS Report Category	RADVPS Business Element Name	RADVPS XML Element Name	ICD Element Description	Validation Notes
Stratum Indicator Category	Stratum Size	stratumSize	The total number of Enrollee IDs (population) that were selected for this stratum.	The sum of the stratumSize for all strata should match the totalEnrollees at the file header level in the RARSS Report.
Stratum Indicator Category	Mean Risk Score	meanRiskScore	The weighted average of the risk score using member months. This is using the risk score calculated for RADV based on the demographic, Cost-sharing Reduction (CSR), partial year enrollment and HCC factors.	<p>The mean risk score in the RADVPS Report is not directly comparable to any other reports. To be validated, this element must be calculated by the issuer according to the element definition and using the below elements from the enrollment period level in the RARSD Report for all enrollees in the stratum:</p> <ol style="list-style-type: none"> 1. The enrollee risk score (enrolleeRiskScore). 2. The later of the enrollment start date (coverageStartDate) and January 1st of the payment year.* 3. The earlier of the enrollment end date (coverageEndDate) and December 31st of the payment year.* <p>*Days of enrollment outside of the payment year will not be included. Example: If an enrollment period began on 11/1 of the previous payment year, then the coverageStartDate is converted to 1/1 of the payment year.</p>
Stratum Indicator Category	Min Risk Score	minRiskScore	The minimum of the weighted average risk score using member months. This is using the risks score calculated for RADV based on the demographic, CSR, partial year enrollment and HCC factors.	This element must be determined based on the weighted average risk scores (meanRiskScore) for all enrollees in the stratum.

RADVPS Report Category	RADVPS Business Element Name	RADVPS XML Element Name	ICD Element Description	Validation Notes
Stratum Indicator Category	Max Risk Score	maxRiskScore	The maximum of the weighted average risk score using member months. This is using the risks score calculated for RADV based on the demographic, CSR, partial year enrollment and HCC factors.	This element must be determined based on the weighted average risk scores (meanRiskScore) for all enrollees in the stratum.
Stratum Indicator Category	Standard Deviation Risk Score	stdDevRiskScore	The standard deviation of the weighted average risk score using member months. This is using the risks score calculated for RADV based on the demographic, CSR, partial year enrollment and HCC factors.	This element must be calculated using the population standard deviation formula based on the weighted average risk score (meanRiskScore) of each enrollee in the stratum.
Stratum Indicator Category	Minimum Date of Birth	minDateOfBirth	Minimum date of birth of enrollees selected for the risk score calculation.	This element must be determined based on the date of birth (DOBs) submitted by the issuer in the enrollment XML for all enrollees in the stratum.
Stratum Indicator Category	Maximum Date of Birth	maxDateOfBirth	Maximum date of birth of enrollees selected for the risk score calculation.	This element must be determined based on the DOBs submitted by the issuer in the enrollment XML for all enrollees in the stratum.
Stratum Indicator Category	Mean Age	meanAge	Mean Age of enrollees selected for the risk score calculation [age as of the last day of the last enrollment period- Does not include infant age adjustments due to cross year births (adjusted from 1 to 0) or no HCCs (adjusted from 0 to 1)].	This element represents the average age of the enrollees included for RA in the stratum and can be calculated using the risk adjustment age (riskAdjustmentAge) that appears in the detail enrollee category of the RARSD Report.

RADVPS Report Category	RADVPS Business Element Name	RADVPS XML Element Name	ICD Element Description	Validation Notes
Stratum Indicator Category	Average Premium	averagePremium	<p>Weighted average premium, using member months, of enrollees selected for the risk score calculation.</p> <p>This element is calculated by dividing the total premium paid (totalPremiumAmount) by the total number of member months in the payment year of all enrollee's in the stratum.</p> <p>Note: Non-billable member months are included in the denominator when performing the weighted average.</p>	Issuers can use the premium submitted in the enrollment XML, for each enrollment period included in the enrollment period category of the RARSD Report, to calculate the average premium according to the element definition.
Stratum Indicator Category	Total Premium Amount	totalPremiumAmount	<p>Total premium amount paid in the payment year for all enrollment periods in the stratum.</p> <p>The paid amount for each enrollment period is calculated by multiplying the monthly premium by the number of member months of the enrollment period within the payment year.</p> <p>Note: Non-subscriber enrollment periods do not contribute to the total premium amount.</p>	Issuers can use the premium submitted in the enrollment XML, for each enrollment period included in the enrollment period category of the RARSD Report, to calculate the total premium according to the element definition.

RADVPS Report Category	RADVPS Business Element Name	RADVPS XML Element Name	ICD Element Description	Validation Notes
Stratum Indicator Category	Total Claims	totalClaim	Total claims for all enrollees in the defined strata. This includes all active, RA eligible medical claims.	The sum of the claim count for all strata should match the number of RA eligible claims in the RACSS and RACSD Reports. This claim count will not match the claim counts in the ECS (orphan claims) Report or Claim Enrollee Frequency Report (CEFR) as only RA eligible claims are included in the RADVPS claim count.
Stratum Indicator Category	Total Plan Paid Amount	totalPlanPaidAmountFile	Total amount paid for all active, RA eligible claims for all enrollees in the defined strata.	The sum of the total plan paid amount for all strata in the RADVPS Report will match the sum of the paid amount (policyPaidTotalAmount) on the claim header category of the medical claim XML ingest file submitted for all RA eligible claims identified in the RACSD Report. <i>Note: The claim's paid amount being double-counted has been resolved.</i>
Stratum Indicator Category	Total Number of Diagnoses Codes	totalNumberDiagnosisCodes	Total number of Diagnosis Codes for all enrollees in the defined strata contained on RA eligible claims. Duplicate codes are counted for an individual enrollee.	The total Dx Codes (totalDiagnosesAccepted) in the RARSS summary level should match the sum of total Dx codes (totalNumberDiagnosisCodes) for all strata in RADVPS.
Stratum Indicator Category	Total Number of RA Diagnoses Codes	totalNumberRADiagnosisCodes	Total number of RA Diagnosis Codes that map to an HCC for all enrollees in the defined strata contained on RA eligible claims. Duplicate codes are counted for an individual enrollee.	The total RA Dx Codes (totalRADiagnosesAccepted) in the RARSS summary level should match the sum of total RA Dx codes (totalNumberRADiagnosisCodes) for all strata in RADVPS.
Stratum Indicator Category	Total Number of HCCs	totalNumberOfHCCs	Total number of HCCs de-duplicated for each enrollee within the strata after the HCC hierarchy is applied.	The sum of the total number of HCCs (totalNumberOfHCCs) for all stratum should match the Total HCCs in the file header level of the RARSD (totalPaymentConditionCategories) and RARSS (totalPaymentsConditionCategories) Reports.

RADVPS Report Category	RADVPS Business Element Name	RADVPS XML Element Name	ICD Element Description	Validation Notes
Stratum Indicator Category	Total Number of Unique Diagnosis Codes	totalNumberUniqueDiagnosis	<p>Total number of Diagnosis Codes, de-duplicated for enrollee in the defined strata contained on RA eligible claims.</p> <p>Duplicate codes are only counted once for an individual enrollee.</p>	<p>This element is not directly comparable to the total diagnosis code counts in the RARSS or RARSD Reports.</p> <p>However, the count of Diagnosis Codes (diagnosisCode) included for all enrollees in the detailed enrollee category of the RARSD Report should match the sum of total unique Diagnosis Codes (totalNumberUniqueDiagnosis) for all strata in the RADVPS Report.</p>
Stratum Indicator Category	Total Number of Unique RA Diagnosis Codes	totalNumberUniqueRADiagnosis	<p>Total number of RA Diagnosis Codes, de-duplicated for each enrollee, that map to an HCC for all enrollees in the defined strata contained on RA eligible claims.</p> <p>Duplicate codes are only counted once for an individual enrollee.</p>	<p>This element is not directly comparable to the total Diagnosis Code counts in the RARSS or RARSD Reports.</p> <p>However, the count of Diagnosis Codes (diagnosisCode) included for all enrollees in the detailed enrollee category of the RARSD Report, excluding any codes that do not meet the age and gender restrictions to map to a Condition Category (CC), should match the sum of total unique Diagnosis Codes (totalNumberUniqueRADiagnosis) for all strata in the RADVPS Report.</p>

3 Appendix

Table 2: Acronyms

Acronym	Literal Translation
CC	Condition Category
CEFR	Claim and Enrollee Frequency Report
CMS	Centers for Medicare & Medicaid Services
CSR	Cost-sharing Reduction
DOB	Date of Birth
Dx	Diagnosis
ECD	Enrollee (Without) Claims Detail
ECS	Enrollee (Without) Claims Summary
EDGE	External Data Gathering Environment
FFM	Federally-Facilitated Marketplace
HCC	Hierarchical Condition Category
ICD	Interface Control Document
IVA	Initial Validation Audit
RA	Risk Adjustment
RACSD	Risk Adjustment Claim Selection Detail Report
RACSS	Risk Adjustment Claim Selection Summary Report
RADV	Risk Adjustment Data Validation
RADVDE	Risk Adjustment Data Validation Detail Enrollee Report
RADVEE	Risk Adjustment Data Validation Enrollment Extract Report
RADVIVAS	Risk Adjustment Data Validation Initial Validation Audit Statistics Report
RADVMCE	Risk Adjustment Data Validation Medical Claim Extract Report
RADVSE	Risk Adjustment Data Validation Supplemental Extract Report
RADVPS	Risk Adjustment Data Validation Population Summary Statistics Report
RADVPSF	Risk Adjustment Data Validation Population Summary Statistics Final Report
RARSD	Risk Adjustment Risk Score Detail Report
RARSS	Risk Adjustment Risk Score Summary Report
REGTAP	Registration for Technical Assistance Portal
XML	Extensible Markup Language