

HHS-Operated Risk Adjustment Data Validation (HHS-RADV) RADV Reports - Updates

March 28, 2018

Health Insurance Marketplace Program
Training Series

Session Agenda

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- HHS-RADV Timeline
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- Next Steps, Resources and Closing Remarks

Session Guidelines

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

New Webinar Platform

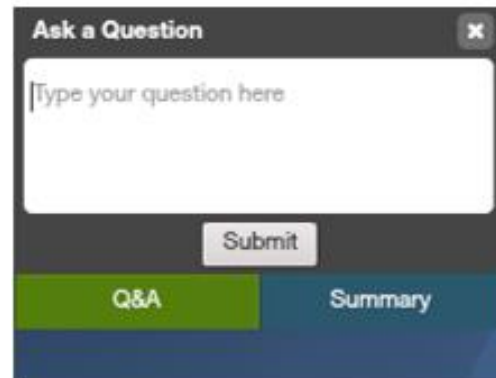
- CMS has implemented a new, user-friendly webinar platform to broadcast Registration for Technical Assistance Portal (REGTAP) training events
- Training events will be seen and heard through your device and are now also accessible on mobile devices

New Webinar Platform (continued)

- Use Internet Explorer (IE) when accessing the new web platform
- Test your system's compatibility, use the following link:
http://engage.vevent.com/microsite/ext/self_test.jsp?eid=140
- If you cannot hear today's audio or having other technical issues, please contact the Registrar Support Team at registrar@regtap.info or 1 (800) 257-9520

New Webinar Platform (continued)

- To submit questions, use the Q&A panel
- CMS Subject Matter Experts will respond to submitted questions during the webinar, as time allows
- If your question does not receive a response, please send your question to CCIIOACARADDataValidation@cms.hhs.gov

A screenshot of a web interface titled "Ask a Question" with a close button (X) in the top right corner. Below the title is a large text input field with the placeholder text "Type your question here". Below the input field is a "Submit" button. At the bottom of the panel are two tabs: "Q&A" (highlighted in green) and "Summary".

New Webinar Platform (continued)

- **Can I still use a landline phone to listen?**

No, the audio for the webcast will stream via your computer or smart device (Apple or Android), so you will need speakers or headphones to listen

- **Can I call from a cell phone to listen?**

No, you may access the event from a smart device, such as an Apple or Android cell phone, using the web browser on your device

- **How do I adjust the volume for the event?**

Please adjust your volume to the desired setting using the volume settings on your device. You may also adjust the volume in the lower right corner of the webcast. Please ensure the volume button is not muted in the platform

- **Can I make the picture larger on my screen?**

Yes, you may maximize your screen by selecting the full-screen icon located in the lower right corner of your screen



Intended Audience

- Issuers subject to the HHS-RADV Audit:
 - Issuers offering non-grandfathered Affordable Care Act-compliant individual and/or small group health plans both inside and outside the Exchange
- Potential Initial Validation Audit (IVA) Entities
- Third Party Administrators (TPA) and support vendors
- Second Validation Audit (SVA) Entities



This includes State-based Exchange (SBE) Issuers, Federally-facilitated Exchange (FFE) Issuers, and Small Business Health Options Programs (SHOP)

Session Purpose

- Provide the 2017 benefit year HHS-RADV timeline
- Provide updates made to the HHS-RADV Reports
- Provide next steps and upcoming trainings

HHS-RADV Timeline

Benefit Year 2017 HHS-RADV Timeline



To access the most current HHS-RADV Timeline for the 2017 Benefit Year, please refer to the REGTAP Library under the HHS-Operated Risk Adjustment Data Validation (RADV) program: [2017 Benefit Year HHS-RADV Timeline](https://www.regtap.info/2017-Benefit-Year-HHS-RADV-Timeline)

Risk Adjustment Data Validation (RADV) Report Updates

Summary of Risk Adjustment Data Validation (RADV) Report Updates

The EDGE 26.0 maintenance release will:

- Update the Risk Adjustment Data Validation Medical Claim Extract Report (RADVMCE) Report logic to include cross-year claims
- Update the Risk Adjustment Data Validation Detailed Enrollee (RADVDE) Reports to include unique RA Diagnosis Codes
- Update the Risk Adjustment Data Validation Population Summary Statistics (RADVPS) Report and Risk Adjustment Data Validation Initial Validation Audit Statistics (RADVIVAS) Report to include payment HCCs

Summary of Risk Adjustment Data Validation (RADV) Report Updates (continued)

The EDGE 26.0 maintenance release will:

- Update the RADV sampling logic to factor in the Risk Pool Market (Individual, Small Group or Catastrophic)
 - New data field added to RADVPS and RADVIVAS
 - New RADV sample report – RADVPSF
- Correct a RADVPS and RADVIVAS Report defect:
 - 'TotalPlanPaidAmount' field was counting the claim amount twice for overlapping enrollment periods

Summary of Risk Adjustment Data Validation (RADV) Report Updates (continued)

- The following resources will be updated to reflect the changes in this release:
 - Interface Control Document (ICD)- Risk Adjustment and Reinsurance Addendum
 - XML/XSD Outbound Files
 - EDGE Server Common Validation Schema Data Model
 - EDGE Server Common Schema Data Dictionary
 - EDGE Server Production and Test Schema Data Dictionary
 - EDGE Server Common Schema Data Model
 - EDGE Server Common Validation Schema Data Model
 - EDGE Server Production Schema Data Model
 - EDGE Server Test Schema Data Model
 - EDGE Server Validation Schema Data Model
 - EDGE Server Validation Schema Data Dictionary

Summary of Risk Adjustment Data Validation (RADV) Report Updates (continued)

- The RADVPS Report updates should be made as soon as possible after the release, but must be completed by May 1, 2018
- The RADVPSF, RADVIVAS, RADVDE and RADVMCE updates must be made by May 1, 2018 for the RADV Reports to generate correctly

RADVDE Report Updates

Risk Adjustment Data Validation Detailed Enrollee (RADVDE) Report

Risk Adjustment Diagnosis Code:

- A new data element will be added to the RADVDE Report to include “Unique RA Diagnosis code” for enrollees in the RADV sample
- Currently, the 'Unique Diagnosis Code' data element includes all unique diagnoses included from the enrollee on any active RA eligible claim, whether the Diagnosis Code is an RA Diagnosis Code or not
- For RADV, we need to provide the RA Diagnosis Codes. Additionally, this update will also make the data element align with the data element 'Total Number of RA Diagnosis Codes' in this same report

RADVDE Report – ICD

Business Data Element	Description	Data Category	Frequency of Occurrence	XML Element Names	Data Type	Restrictions
Unique RA Diagnosis Code	All unique RA eligible Diagnosis Codes included for the enrollee on any active, RA eligible claims and their associated supplemental records for the benefit year. An RA Diagnosis Code is a Diagnosis Code that maps to a condition category (CC) for the enrollee.	Enrollee Detail	1 or more	uniqueRADiagnosisCode	String	minLength = 0; maxLength = 30

RADVMCE Report Updates

Risk Adjustment Data Validation Medical Claim Extract (RADVMCE) Report

Cross-Year Claims

- Issuers are required to link medical claim records used in the RADV audit to claims in the RADVMCE Report
- There was an error in the RADVMCE Report that did not include cross-year claims for enrollees who changed plans
- The report logic is being updated to include cross-year claims for enrollees in the RADV sample that changed plans between years
- The Plan ID description data element in the RADVMCE Insurance Plan Category Data table of the Interface Control Document (ICD) Risk Adjustment and Reinsurance Addendum was updated to include cross-year claims

RADVPS and RADVIVAS Reports Updates

Risk Adjustment Data Validation Population Summary Statistics (RADVPS) Report

- The RADVPS Report data element 'totalNumberOfHCCs' will be updated
 - The total number of HCCs will be deduplicated for each enrollee within the strata *after* the HCC hierarchy is applied
 - Currently, the total number of HCCs are being reported before the HCC hierarchy is applied

Risk Adjustment Data Validation Initial Validation Audit Statistics (RADVIVAS) Report

- The RADVIVAS Report data element 'totalNumberOfHCCs' will be updated.
 - The total number of HCCs will be deduplicated for each enrollee within the strata *after* the HCC hierarchy is applied
 - Currently, the total number of HCCs are being reported before the HCC hierarchy is applied

RADVPS and RADVIVAS –Total # of HCC's Updated ICD

Business Data Element	Description	Data Category	Frequency of Occurrence	XML Element Names	Data Type	Restrictions
Total Number of HCCs	Total number of HCCs de-duplicated for each enrollee within the strata after the HCC hierarchy is applied.	Stratum Type	1	totalNumber OfHCCs	Integer	minInclusive = 0; maxInclusive = 999999999

RADV Sampling Logic Update

Risk Adjustment Data Validation Sampling Logic Update

- The 2019 Proposed Payment Notice described a change to the RADV sampling methodology to account for issuers that are the sole issuer in a risk pool. If finalized, where there is only one (1) issuer in the risk pool, a RADV audit would not be required*
- The RADV sampling logic will be updated to factor in risk pools:
 - Small Group
 - Individual
 - Catastrophic

* If not finalized, then all enrollees from all risk pool markets will be included in the RADV sampling logic

Risk Adjustment Data Validation Sampling Logic Factor in Risk Pool Market

- The **RADVPS** Report and the **RADVIVAS** Report will be updated to add three (3) new fields:
 - Total Enrollees from Individual Risk Pool Market
 - Total Enrollees from Small Group Risk Pool Market
 - Total Enrollees from Catastrophic Risk Pool Market

New RADVPSF Report

New Report: RADV Population Summary Statistics Final (RADVPSF) Report

- RADV Population Summary Statistics Final (RADVPSF) Report
- The RADVPSF Report is a new report with the same data elements as the RAVPS Report
 - The difference is this report is run with the RADV command as opposed to the RA command
- The RADVPSF Report is generated after CMS runs the transfer calculation and the Issuer Reference Table is populated with risk pools eligible for the RADV sample
- The data may vary from the RADVPS report because the RADVPS Report does not factor in risk pools eligible for the RADV sample

New Report: RADV Population Summary Statistics Final (RADVPSF) Report (continued)

- Details of the new RADVPSF Report can be found in the ICD Addendum (See the table of contents)
- The RADVPSF Report is located just before the section covering the RADVIVAS Report
- The RADVPSF Report is not located near the RADVPS Report in the table of contents, since it is generated with the RADV Report Command and as a result, it is located by the RADVIVAS Report

RADV Population Summary Statistics Final (RADVPSF) Report – XML

```
<?xml version="1.0" encoding="UTF-8"?>
```

```
- <radvPopulationSummaryStatisticsFinal xmlns="http://vo.edge.fm.cms.hhs.gov">
```

```
- <includedFileHeader>
```

```
  <outboundFileIdentifier>e4be9874-dcbf-438b-8136-ed8938fa0ab0</outboundFileIdentifier>
```

```
  <cmsBatchIdentifier>RVF-2017-00112</cmsBatchIdentifier>
```

```
  <cmsJobIdentifier>114116</cmsJobIdentifier>
```

```
  <snapshotFileName/>
```

```
  <snapshotFileHash/>
```

```
  <outboundFileGenerationDateTime>2018-02-06T16:31:18</outboundFileGenerationDateTime>
```

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  <interfaceControlReleaseNumber>05.00.12</interfaceControlReleaseNumber>
```

```
  <edgeServerVersion>EDGEServer_26.00_00_b0205</edgeServerVersion>
```

```
  <edgeServerProcessIdentifier>26</edgeServerProcessIdentifier>
```

```
  <outboundFileTypeCode>RADVPSF</outboundFileTypeCode>
```

```
  <edgeServerIdentifier>10500214</edgeServerIdentifier>
```

```
  <issuerIdentifier>93182</issuerIdentifier>
```

```
- </includedFileHeader>
```

RADV Population Summary Statistics Final (RADVPSF) Report – XML (continued)

</includedFileHeader>

<paymentYear>2017</paymentYear>

<preliminaryFinalRun>F</preliminaryFinalRun>

<totalNumberOfPlanIds>2</totalNumberOfPlanIds>

<totalNumberEnrollees>46</totalNumberEnrollees>

<totalIndividualNumberEnrollees>38</totalIndividualNumberEnrollees>

<totalSmallGroupNumberEnrollees>28</totalSmallGroupNumberEnrollees>

<totalCatastrophicNumberEnrollees>0</totalCatastrophicNumberEnrollees>

<includedStratumLevel

Comparing the RADVPSF and the RADVPS Reports

Comparing the RADVPS and RADVPSF Reports

RADVPS REPORT

```
</includedFileHeader>  
<paymentYear>2017</paymentYear>  
<preliminaryFinalRun>F</preliminaryFinalRun>  
<totalNumberOfPlanIds>3</totalNumberOfPlanIds>  
<totalNumberEnrollees>50</totalNumberEnrollees>  
<totalIndividualNumberEnrollees>38</totalIndividualNumberEnrollees>  
<totalSmallGroupNumberEnrollees>28</totalSmallGroupNumberEnrollees>  
<totalCatastrophicNumberEnrollees>24</totalCatastrophicNumberEnrollees>
```

Total number of enrollees in each risk pool market of the issuers' total population

RADVPSF REPORT

```
</includedFileHeader>  
<paymentYear>2017</paymentYear>  
<preliminaryFinalRun>F</preliminaryFinalRun>  
<totalNumberOfPlanIds>2</totalNumberOfPlanIds>  
<totalNumberEnrollees>46</totalNumberEnrollees>  
<totalIndividualNumberEnrollees>38</totalIndividualNumberEnrollees>  
<totalSmallGroupNumberEnrollees>28</totalSmallGroupNumberEnrollees>  
<totalCatastrophicNumberEnrollees>0</totalCatastrophicNumberEnrollees>
```

Total number of enrollees in each risk pool market of the issuers' total population where a RA transfer occurs

Comparing the RADVPS and RADVPSF Reports (continued)

RADVPS REPORT

```
<totalNumberEnrollees>50</totalNumberEnrollees>  
<totalIndividualNumberEnrollees>38</totalIndividualNumberEnrollees>  
<totalSmallGroupNumberEnrollees>28</totalSmallGroupNumberEnrollees>  
<totalCatastrophicNumberEnrollees>24</totalCatastrophicNumberEnrollees>
```

Total number of enrollees in each risk pool market of the issuers' total population

RADVPSF REPORT

```
<totalNumberEnrollees>46</totalNumberEnrollees>  
<totalIndividualNumberEnrollees>38</totalIndividualNumberEnrollees>  
<totalSmallGroupNumberEnrollees>28</totalSmallGroupNumberEnrollees>  
<totalCatastrophicNumberEnrollees>0</totalCatastrophicNumberEnrollees>
```

No RA transfer occurs for the catastrophic market for this issuer. As a result enrollees in Catastrophic market are excluded from RADV sampling

Questions?

To submit questions by computer:

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



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

Next Steps

Next Steps: Training Sessions

- The PPACA HHS-Operated Risk Adjustment Data Validation Webinar Series II is now closed
- To attend future RADV training sessions, Stakeholders **must** register for the new PPACA HHS-Operated Risk Adjustment Data Validation Webinar Series III
- To register, visit <https://www.REGTAP.info>, select Training Events and register for the PPACA HHS-Operated Risk Adjustment Data Validation Webinar Series III



Your registration for Series II will **not** automatically register you for Series III

Next Steps: Training Sessions (continued)

Upcoming Webinars

Date	Time	Topic
Wednesday, April 11, 2018	2:00 p.m. – 3:30 p.m. ET	Issuer Participation Requirement Issuer SO Designation IVA Entity Selection

Resources

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-Operated Risk Adjustment Data Validation”

The screenshot shows the REGTAP Library interface. The 'Program Area' dropdown menu is open, displaying a list of options. The option 'HHS-Operated Risk Adjustment Data Validation (RADV)' is highlighted. The main table below the dropdown lists various documents, including 'User Fees', 'Supporting Documents', 'Presentation Slides', and 'FAQ'. The 'Download' button is visible for each document.

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

Resources: Contact Information

Resource	Contact Information
For RADV policy questions, contact the RADV Team.	CCIIOACARADDataValidation@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

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/cciio
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

Resources: Links (continued)

Resource	Resource Link
Affordable Care Act (PPACA) HHS-Operated Risk Adjustment Data Validation (RADV) Process White Paper, June 22, 2013	https://www.regtap.info/uploads/library/ACA_HHS_OperatedRADVWhitePaper_062213_5CR_062213.pdf
Proposed HHS Notice of Benefit and Payment Parameters for 2019	https://gpo.gov/fdsys/pkg/FR-2017-11-02/pdf/2017-23599.pdf

Closing Remarks