



Centers for Medicare & Medicaid Services
Center for Consumer Information and
Insurance Oversight

**HHS Risk Adjustment Data
Validation (HHS-RADV)
Issuer and IVA Entity – List of
Required Signoff and/or
Attestation Supporting Document**

August 27, 2019

1. Purpose and How to Use this Supporting Document

Purpose: The purpose of the Issuer and IVA Entity – List of Required Signoff and/or Attestation Supporting Document is to provide a list of the forms or process steps which require the Signoffs and/or Attestations by the Issuer Senior Official (SO) or Issuer Backup SO, the Initial Validation Audit (IVA) Entity SO or IVA Entity Back-up SO, and the Issuer Chief Executive Officer (CEO), Chief Financial Officer (CFO), or someone who can legally and financially bind the company for the applicable HHS-RADV benefit year.

Required Signoffs by Issuer SO or Backup SO and IVA Entity SO or Backup SO:

Document Name	Required Signoff By
HHS-RADV Initial Validation Audit (IVA) Entity Election Web Form	IVA Entity SO or Back-up SO
HHS-RADV IVA Submission of Package 1 Form	IVA Entity SO or Back-up SO
HHS-RADV Package 1 Review and Signoff Form	Issuer SO or Back-up SO
HHS-RADV IVA Submission of Package 2 Form	IVA Entity SO or Back-up SO
HHS-RADV Package 2 Review and Signoff Form	Issuer SO or Back-up SO
HHS-RADV IVA Submission of Package 3 Form	IVA Entity SO or Back-up SO
HHS-RADV Package 3 Review and Signoff Form	Issuer SO or Back-up SO
Note: Issuers should consult the applicable benefit year HHS-RADV Protocols, RADV IVA Submission Files Interface Control Document (ICD) and other HHS-RADV guidance documents for complete instructions on these HHS-RADV submissions. These materials are available in the HHS-RADV Audit Tool library.	

Required Attestation by Issuer:

Document Name	Requires Attestation by
HHS-RADV Issuer SO Designation (for new issuers only)	Issuer – CEO Designate
HHS-RADV Issuer Exemption Request	Issuer – *CEO/CFO
HHS-RADV IVA Entity Designation and Maintenance Form	Issuer – *CEO/CFO
HHS-RADV Conflict of Interest (COI) Attestation	Issuer – *CEO/CFO
HHS-RADV Sampling Attestation and Discrepancy Reporting Form	Issuer – *CEO/CFO
HHS-RADV SVA Findings Report Attestation and Discrepancy Form	Issuer – *CEO/CFO
HHS-RADV Error Rate Attestation and Discrepancy Form	Issuer – *CEO/CFO
HHS-RADV Request for Reconsideration Form	Issuer – *CEO/CFO
Note: Issuers should consult the applicable benefit year HHS-RADV Protocols, RADV IVA Submission Files ICD and other HHS-RADV guidance documents for complete instructions on these HHS-RADV submissions. These materials are available in the HHS-RADV Audit Tool library.	
* The attester must be the CEO, CFO, or other individual who can legally and financially bind the company.	