

2016 Benefit Year HHS-RADV Issuer Senior Official Designation and Introduction to New Audit Tool

March 22, 2017

**Health Insurance Marketplace Program
Training Series**

Session Agenda

- Session Guidelines
- Intended Audience
- Session Purpose
- HHS-RADV Timeline
- Key Concepts & Audit Tool
- 2016 Benefit Year HHS-RADV Issuer Senior Official (SO) Designation Process
- Resources
- Closing Remarks

Session Guidelines

- This is a 60-minute webinar session
- For questions regarding logistics and registration, please contact the Registrar at:
(800) 257-9520

Intended Audience

- Prospective and contracted Initial Validation Audit (IVA) Entities
- Issuers of Marketplace and non-Marketplace individual and small group plans, in states where the Department of Health and Human Services (HHS) operates the Risk Adjustment (RA) program*
- Third Party Administrators (TPA) and support vendors

* This includes state-based, Federally-facilitated, and Small Business Health Options Programs (SHOP).

Session Purpose

This session will include:

- Introduction of the New HHS-RADV Audit Tool
- Review of the Issuer SO Regulatory Requirements
- Completion of the Issuer SO Designation Web Form

HHS-RADV Timeline

HHS-RADV Timeline



To access the most current HHS-RADV Timeline for the 2016 Benefit Year, please refer to the REGTAP Library under the HHS-Operated Risk Adjustment Data Validation (RADV) program:

[HHS-RADV Timeline for the 2016 Benefit Year](#)

Key Concepts & Audit Tool

Key Concepts

Term	Definition
IVA Entity Selection	Process in which the issuer evaluates the suitability of an IVA Entity.
IVA Entity Solicitation	Process in which an issuer selects, negotiates, and establishes a contractual relationship with an IVA Entity.
IVA Entity Election	Process in which an IVA Entity declares their intent to participate as an IVA Entity during the 2016 Benefit Year HHS-RADV (in a web form).
Issuer SO Designation	Process in which an issuer designates their SO (in a web form).
IVA Entity Designation	Process in which an issuer designates their contracted IVA Entity and informs CMS (in HHS-RADV Audit Tool).



- In order to streamline the HHS-RADV audit process, CMS is transitioning to a new Audit Tool.
 - The new HHS-RADV Audit Tool is a Salesforce solution built by CMS.
 - For the purpose of HHS-RADV, it is referred to as the 'Audit Tool.'
 - Functions and processes that take place within the new Audit Tool will be different from last year.
- The new HHS-RADV Audit Tool utilizes both web forms and a Salesforce Community.

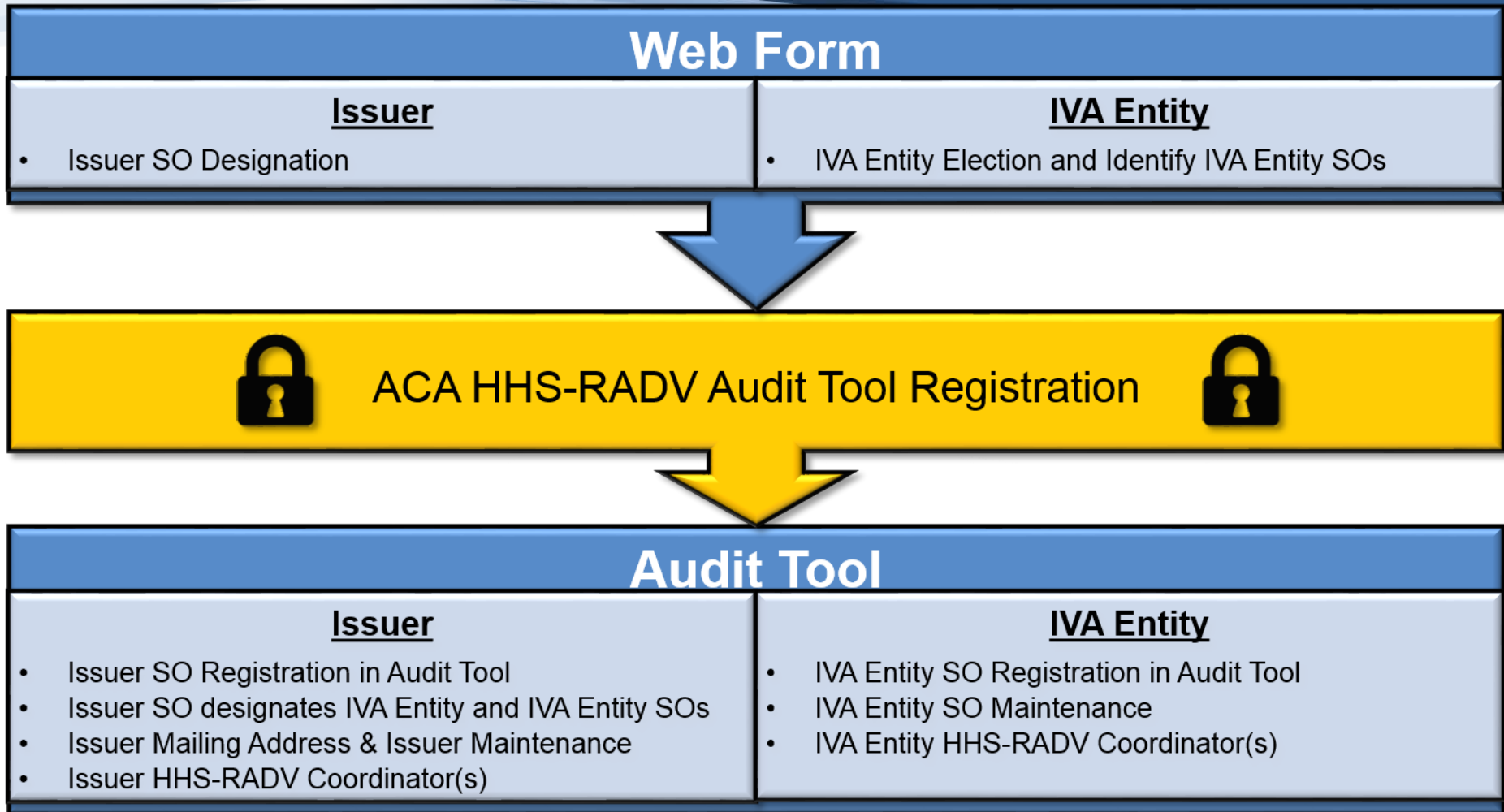


- Web Form Characteristics
 - Available through an external link
 - Submitted in a single session
- Available Web Forms
 - IVA Entity Election
 - Issuer SO Designation (forthcoming)



- **Salesforce Community Characteristics**
 - Requires a User Account (login and password)
 - Invited individuals from issuers and IVA Entities
 - Available following registration in April
- **Salesforce Community Functions**
 - Access to data collection forms
 - Maintenance of information
 - Inquiries
 - Announcements

ACA HHS-RADV Audit Tool Activities



2016 Benefit Year HHS-RADV Issuer SO Designation Process

HHS-RADV Senior Official Requirements

- Issuers must designate an HHS-RADV SO to communicate with CMS regarding HHS-RADV activities. The HHS-RADV SO will be required to:
 - Maintain a current list of the issuer staff who can access the HHS-RADV Audit Tool.
 - Serve as the point of contact for communication with CMS regarding HHS-RADV activities.
 - Complete within the Audit tool the IVA Entity Designation Web Form.
 - Validate issuer RADV Population Summary (RADVPS) and other sampling reports.
 - Resolve any non-compliance issues related to the completion and submission of the IVA.
 - Confirm the completeness of the IVA audit prior to final submission to the Audit Tool.
 - Submit appeals on behalf of the issuer regarding HHS-RADV audit findings.

Issuer SO Designation Web Form Availability

The web form will be available **March 23rd to April 13th**



Available



Due Date

Issuer SO Designation Process



Issuer receives a link to the web form in an invitation email.



CEO Designate or Alternate CEO Designate accesses the web form and designates Issuer SO and Back-Up Issuer SO.



Issuer SO and Back-Up SO information is automatically loaded into the Audit Tool for a future invitation (in April).

Before You Begin the Web Form

- The form must be completed and attested to by the CEO Designate or Alternate CEO Designate.
 - Use the same Access Code as the External Data Gathering Environment (EDGE) Server Contact Database.
 - If you do not have an Access Code, you will be able to create one within the Issuer SO Designation Web Form.
- Determine the individuals from your organization who will act as the Issuer SO and Back-Up Issuer SO for the purpose of HHS-RADV.
 - You must maintain a minimum of one (1) Issuer SO and one (1) Back-Up Issuer SO with a current effective date.

Issuer SO Designation Web Form Overview

- The 2016 Benefit Year HHS-RADV Issuer Senior Official Designation Web Form allows issuers to identify the individuals in their organization who will serve in the Issuer SO and Back-Up Issuer SO roles.
 - Follow the link provided by email to complete this process.



The web form must be completed in a single session. Information cannot be saved in the web form; therefore, we suggest you collect all necessary information before initiating the process.

Web Form: Welcome Page

Have you created
an EDGE Server
Contact Database
Access Code?

YES

Enter the CEO Designate email address in the **Login ID** field and the access code you created.

NO

Select the **Create Access Code** button to create an access code (password) for your company.

Create Access Code



If you forgot your access code, select the **Forgot Access Code** link.

Web Form: Welcome Page (continued)



[Guidance](#)

Welcome to the 2016 Benefit Year HHS-RADV Issuer Senior Official Designation Web Form!

The Risk Adjustment (RA) program is one of three premium stabilization programs established by the Affordable Care Act (ACA). The overall goal of RA is to eliminate premium differences among plans based solely on favorable or unfavorable risk selection in the individual and small group markets both inside and outside of the Marketplace. The U.S. Department of Health & Human Services (HHS) Centers for Medicare & Medicaid Services (CMS) conducts risk adjustment data validation (hereafter referred to as HHS-RADV) audits to ensure the accuracy and integrity of risk adjustment data, and risk adjustment payments and charges.

A critical part of the ACA HHS-RADV program is the use of an automated audit tool that requires registration and use by issuer designated officials. Pursuant to 45 CFR 153.630(b)(1), we request that the CEO Designate or Alternate CEO Designate use this web form to identify an HHS-RADV Issuer Senior Official (SO) and a Back-Up Issuer SO. The Issuer SO is responsible for your organization's accurate completion of the ACA HHS-RADV process and will be granted access within the ACA HHS-RADV Salesforce Community to serve as the primary user and point of contact for communication with CMS regarding HHS-RADV.

If you require assistance, or have questions related to the completion of this web form, please contact us at CCIIOACARADDataValidation@cms.hhs.gov. All emails **must include your organization's HIOS ID(s)** in the subject line.

Instructions

CEO Designate and Alternate CEO Designate:

To designate an Issuer SO and a Back-Up Issuer SO, you **must** be the CEO Designate or Alternate CEO Designate, and you **must** have an EDGE Server Contact Database Access Code.

If you have not accessed the EDGE Server Contact Database, you may create an Access Code by selecting the **Create Access Code** button below.

Select the appropriate scenario below.

I have not created an EDGE Server Contact Database Access Code

Select the **Create Access Code** button to create an Access Code.

Create Access Code

I have an EDGE Server Contact Database Access Code

Enter the CEO Designate or Alternate CEO Designate email address into the **Login ID** field and your EDGE Server Contact Database Access Code into the **Access Code** field, then select the **Login** button.

If you forgot your Access Code, select the **Forgot Access Code** link to reset your Access Code.

Note: If your company's CEO Designate has changed, you **must** ensure the contact information has been updated in the EDGE Server Contact Database web form: <https://acapaymentoperations.secure.force.com/EdgeContactDatabase>. You will not be able to complete the 2016 Benefit Year HHS-RADV Issuer Senior Official Designation process until the CEO Designate is updated.

* Login ID:
* Access Code:

Login

[Forgot Access Code](#)



RETIRED

Web Form: Access Code Pages

Create Access Code Page

1. If you **have not** created an EDGE Server Contact Database Access Code, enter all required fields, as indicated with a red asterisk (*) to create an access code and select two (2) security questions.
2. Select the **Continue** button.

Create Access Code

Access Code Requirements:

- ✓ At least eight (8) characters but no more than 12 characters
- ✓ At least one (1) capital letter
- ✓ At least one (1) lower-case letter
- ✓ At least one (1) number
- ✓ Cannot begin with a number
- ✓ Access Codes must match

* **Email Address:**

* **Create Access Code:**

* **Confirm Access Code:**

Web Form: Access Code Pages

(continued)

Reset Access Code Page

1. If you **have** created an EDGE Server Contact Database access code but forgot your access code, enter the CEO Designate email address.
2. Select the **Send PIN** button to have the PIN sent to the CEO Designate and Alternate Contact email addresses on file.
3. Enter the PIN in the **PIN** field and select the **Continue** button.

Reset Access Code

Access Code Requirements:

- ✗ At least eight (8) characters but no more than 12 characters
- ✗ At least one (1) capital letter
- ✗ At least one (1) lower-case letter
- ✗ At least one (1) number
- ✗ Cannot begin with a number
- ✗ Access Codes must match

* New Access
Code:

* Confirm Access
Code:

Web Form: Issuer SO/Back-Up Issuer SO Contact Information

- Select the **Add Issuer Senior Official** link to navigate to the Add Contact Information page to enter the Issuer SO contact information.
- Select the **Add Back-Up Issuer Senior Official** link to navigate to the Add Contact Information page to enter the Back-Up issuer SO contact information.
- Select the **Edit** or **Delete** link to make corrections or to delete a contact.



NOTE

You **must** maintain a minimum of one (1) Issuer SO and one (1) Back-Up Issuer SO with a current effective date.

Web Form: Issuer SO/Back-Up Issuer SO Contact Information (continued)



Issuer Senior Official/Back-Up Issuer Senior Official Contact Information

Instructions

An issuer must maintain a minimum of one (1) Issuer Senior Official (SO) and one (1) Back-Up SO with a current effective date.

Select the **Add Issuer Senior Official** link to add an issuer SO.

Select the **Add Back-Up Issuer Senior Official** link to add a Back-Up issuer SO.

Select the **Edit** or **Delete** link next to an entry listed in the Issuer Senior Official or Back-Up Issuer Senior Official table to edit or delete the entry.

Contact information updates will be applied to all HIOS IDs listed for your company. If your company requires a different contact for a specific HIOS ID(s), you must email CCIIOACARADaValidation@cms.hhs.gov to make this update.

Company Name: Test Company

HIOS ID(s): 11011, 22022, 33033

Issuer Senior Official [Add Issuer Senior Official](#)

Action	Effective Date	First Name	Last Name	Email Address	Job Title	Phone Number	Phone Extension
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Back-Up Issuer Senior Official [Add Back-Up Issuer Senior Official](#)

Action	Effective Date	First Name	Last Name	Email Address	Job Title	Phone Number	Phone Extension
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Exit

Continue



RETIRED

Web Form: Add Contact Information Page

Add Issuer Senior Official

Effective Date: 3/14/2017

* First Name:		* Last Name:	
* Email Address:		* Job Title:	
* Phone Number:		Phone Extension:	

Cancel

Save & Return

Web Form: Summary Page

- Before submitting, review the following information for accuracy:
 - Issuer SO information;
 - Back-Up Issuer SO information; and
 - Submitter contact information.



If the **Submitter Contact Information** is incorrect, you must exit the web form and make updates in the EDGE Server Contact Database.

Web Form: Summary Page (continued)

Summary

Instructions

Select the **Edit** button to make additional contact information edits.

Company Name: Test Company
HIOS ID(s): 11011, 22022, 33033

Issuer Senior Official:

Effective Date	First Name	Last Name	Email Address	Job Title	Phone Number	Phone Extension
3/16/2017	Howard	Stark	howard.stark@starkenterprise.com	CEO	(410) 555-1212	

Back-Up Issuer Senior Official:

Effective Date	First Name	Last Name	Email Address	Job Title	Phone Number	Phone Extension
3/16/2017	Pepper	Potts	pepper.potts@starkenterprise.com	Administrator	(410) 555-1212	

Edit

Submitter Contact Information

The Submitter Contact Information is populated from the EDGE Server Contact Database according to the email address (CEO Designate or Alternate CEO Designate) used to log into this web form.

First Name: Tony
Email Address: tony.stark@enterprise.com
Phone Number: (231) 231-2344
Last Name: Stark
Job Title:
Phone Extension:

Note: If the **Submitter Contact Information** is incorrect, you must exit the web form and make updates in the EDGE Server Contact Database:
<https://acapaymentoperations.secure.force.com/EdgeContactDatabase>.

Exit

Continue

Web Form: Attestation Page

- Read the attestation statement and select the check box
 - By selecting the check box, the Attester certifies that the Issuer SO designations are true, complete, and accurate

 I hereby attest and certify that the information for all Issuer Senior Official designations provided in this submission is true, complete, and accurate to the best of my knowledge as of today. If the company discovers that the information contained in this designation web form is incorrect, incomplete, or misreported, the company will promptly inform CMS. If CMS identifies an issue or has questions about the information submitted, I agree to be a contact for responding to such questions.'" data-bbox="121 406 834 904"/>


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

Attestation

Instructions

To attest, the submitter must select the check box next to the attestation statement and complete the Attester Details. The individual providing attestation is someone who can legally bind the company such as the CEO Designate or Alternate CEO Designate.

Required fields are indicated by a red asterisk (*).

Attestation

* ☒ I hereby attest and certify that the information for all Issuer Senior Official designations provided in this submission is true, complete, and accurate to the best of my knowledge as of today. If the company discovers that the information contained in this designation web form is incorrect, incomplete, or misreported, the company will promptly inform CMS. If CMS identifies an issue or has questions about the information submitted, I agree to be a contact for responding to such questions.

Web Form: Attestation Page (continued)

- Enter all required **Attester** details
 - The attester must be the CEO Designate or Alternate CEO Designate
- Select the **Submit** button to submit the Issuer SO designation information and attestation

Attester Details ?

* First Name:		* Last Name:	
* Email Address:		* Job Title:	
* Phone Number:		Phone Extension:	

By selecting the **Submit** button, the Issuer Senior Official designation information and attestation are submitted.

Back

Exit

Submit

Web Form: Confirmation Page

- Displays the Submission End Time – date and time the Issuer Senior Official information was submitted.
- An email acknowledgement of submission will be sent to the Submitter, Issuer SO, Back-Up Issuer SO, and Attester.
- Includes a button to generate a PDF containing the information submitted.



It is recommended that you print and save a copy of the PDF for your records, as it is not included in the acknowledgement email.

Web Form: Confirmation Page (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 email addresses provided. Print and save the PDF document for your records; it will serve as your formal confirmation of the attestation and submission of the 2016 Benefit Year HHS-RADV Issuer Senior Official designation information for your company. If you have any questions please contact CCIIOACARADDataValidation@cms.hhs.gov.

Submission End Time: 3/16/2017 2:46 PM

An acknowledgment email has been sent to the following contacts:

tony.stark@starkenterprise.com
howard.stark@starkenterprise.com
pepper.potts@starkenterprise.com

Print/Save

Select the PDF button to generate a PDF confirmation that contains your 2016 Benefit Year HHS-RADV Issuer Senior Official designation(s). It is recommended that you print and save the PDF for your records.

PDF

Exit



Web Form Questions

To contact us with questions about the web form, email us at:

CCIOACARADDataValidation@cms.hhs.gov

Next Steps

Next Steps: Training Sessions

- CMS will continue to support Stakeholders through the HHS-RADV process by hosting periodic webinar.
- There will be an opportunity for stakeholders to ask HHS-RADV related questions during the webinar sessions.

Next Steps: Training Sessions (continued)

Upcoming Webinars

Date	Time	Topic
March 29, 2017	11:30 a.m. – 12:30 p.m. ET	Issuer Participation Requirement for the HHS-RADV 2016 Benefit Year

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”

REGTAP
Registration for Technical Assistance Portal | My Dashboard | Training Events | Inquiry Tracking | Library | FAQs | Contact Us | About REGTAP | Log Out

Library [Complete Library Inventory Report](#)

Filter by: **Program Area**

- ACA Financial Appeals
- Agent Broker
- Distributed Data Collection for RI and RA/Edge Server
- Enrollment and Eligibility
- Event Registration and Logistics
- HHS-Operated Risk Adjustment Data Validation (RADV)**
- Issuer Oversight Branch
- Payments
- Payments-CSR Reconciliation
- Payments-Monthly Payment Cycle
- Payments-Payee Groups
- Payments-Remittance Message (X12 HIX 820)
- Payments-Remitting Amounts Due
- PM-Rx
- Premium Payments
- Qualified Health Plan (QHP)
- Qualified Health Plan (QHP)-APTC & CSR Data
- Reinsurance
- Reinsurance-Contributions
- Risk Adjustment
- Risk Corridors
- SHOP
- User Fees
- Web-Broker Entities
- Other

View FAQ Search

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

Questions?

To submit or withdraw questions by phone:

- *Dial *# (star-pound) on your phone's keypad to submit your question.*
- *Dial *# (star-pound) to withdraw your question.*

Resources

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

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 (ACA)	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 (continued)

Resource	Resource Link
Affordable Care Act (ACA) 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

Closing Remarks