

IVA Results Submission Process

December 6, 2017

**Health Insurance Marketplace Program
Training Series**

Session Agenda

- Session Guidelines
- Intended Audience
- Session Purpose
- HHS-RADV Timeline
- IVA Results Submission Process
 - IVA Results Submission Process Overview
 - IVA Entity File Submission Requirements
 - Package 1 Submission Process: IVA Entity Responsibilities
 - Package 1 Submission Process: Issuer Responsibilities
 - Package 2 Submission Process: IVA Entity Responsibilities
 - Package 2 Submission Process: Issuer Responsibilities
- Resources
- Closing Remarks

Session Guidelines

- This is a 120-minute webinar session.
- For questions regarding logistics and registration, please contact the Registrar at: (800) 257-9520.

Intended Audience

- Issuers of on-Exchange* and off-Exchange individual and small group plans, in states where the Department of Health and Human Services (HHS) operates the Risk Adjustment (RA) program under the Patient Protection and Affordable Care Act (PPACA)
- Prospective and contracted Initial Validation Audit (IVA) Entities
- Third Party Administrators (TPA) and support vendors
- Second Validation Audit (SVA) Entity

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

Session Purpose

- The purpose of this session is to:
 - Review the steps of the IVA submission process for IVA Entities and issuers.
 - Provide guidance on interpreting the IVA submission process outbound reports.

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](#)

IVA Results Submission Process Overview

IVA Entity Submission Roles

- IVA Entity tasks in the Audit Tool include file upload, download, and review in addition to signoff.
- While file uploads and downloads may be performed by HHS-RADV Coordinators or Senior Official (SO), signoffs **MUST** be performed by an IVA Entity SO.

Issuer Submission Roles

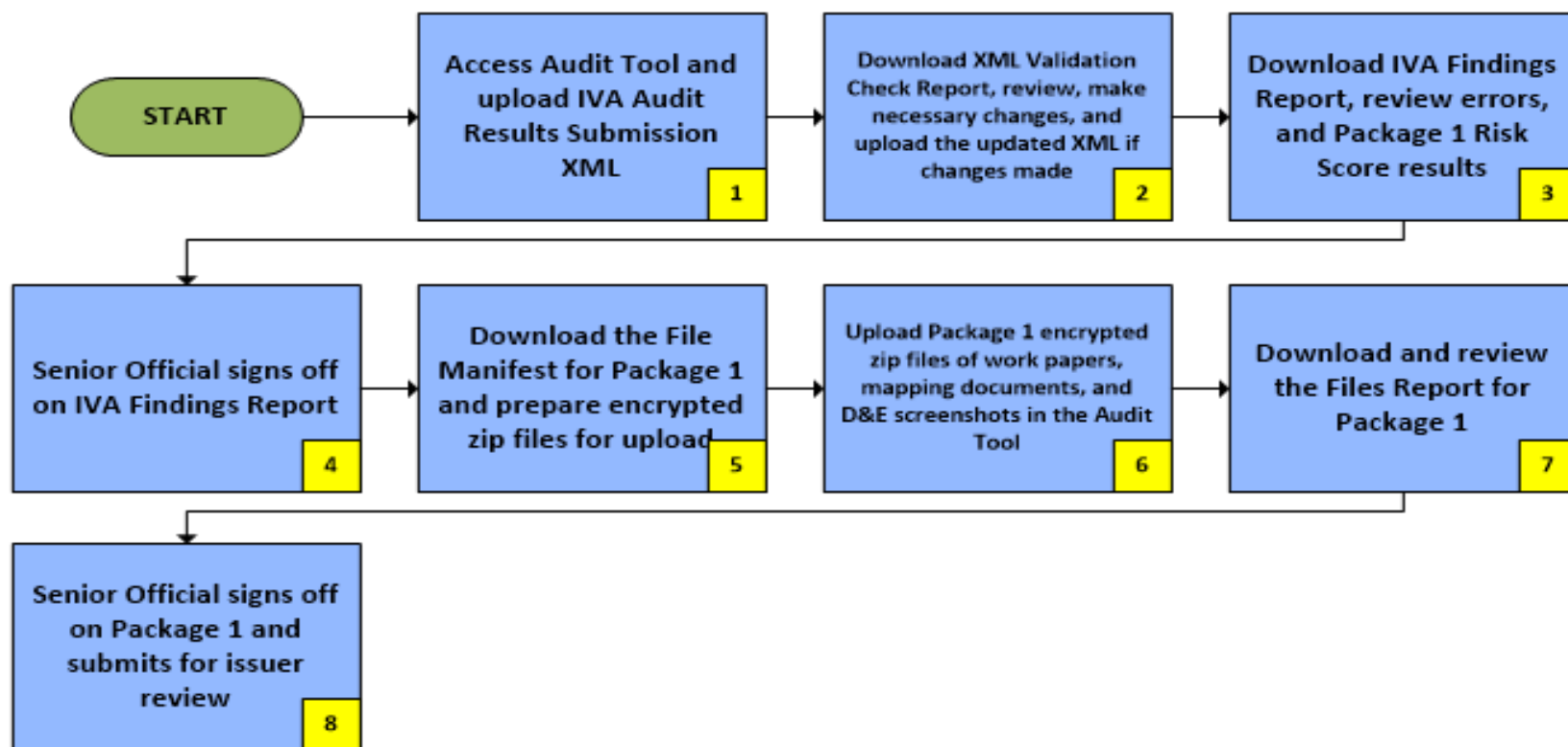
- Issuer tasks in the Audit Tool include file download and review of reports in addition to signoff.
- While file download and review may be performed by RADV Coordinators or SOs, signoffs **MUST** be performed by an Issuer SO.

IVA Results Submission Process Overview

- IVA results submission process occurs through the Submission Status page in the Audit Tool, which provides access to all required Package 1 and Package 2 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/download individual files at the Health Insurance Oversight System (HIOS) ID level, and for SOs to perform signoffs.
- IVA Entities and issuers each have dedicated Package 1 and Package 2 Submission Status pages.

IVA Results Submission Process – Package 1

IVA Entity



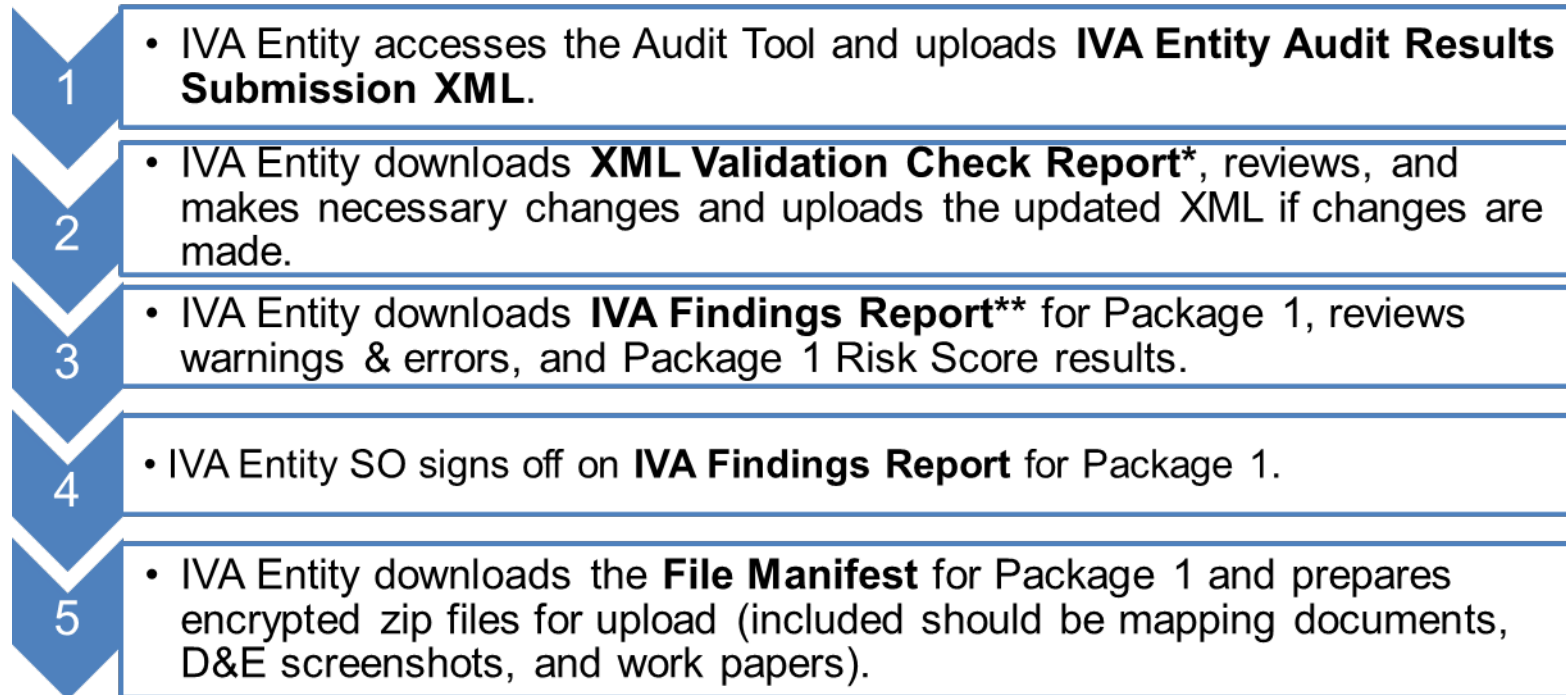
Issuer



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IVA Results Submission Process

- The following process steps outline the activities that occur as they are associated with the files that are exchanged between the IVA Entity and the Audit Tool.



*All errors identified in the XML Validation Check Report and Files Reports for Package 1 require remediation and resubmission.

**All warnings on the IVA Findings Report do not require resubmission, but may impact the final risk score calculation.

IVA Results Submission Process

(continued)

- 6 • IVA Entity uploads Package 1 encrypted zip files containing work papers, mapping documents and D&E screenshots in the Audit Tool.
- 7 • IVA Entity downloads and reviews the **Files Report*** for Package 1. Errors in this report may require additional submissions and a new **Files Report*** for Package 1.
- 8 • IVA Entity SO signs off on Package 1 and submits for issuer review.
- 9 • Issuer downloads and reviews the **Files Report** for Package 1 and **IVA Findings Report** which includes the enrollee Package 1 risk scores determined based on IVA validated Hierarchical Condition Categories (HCCs).
- 10 • Issuer SO signs off on Package 1.

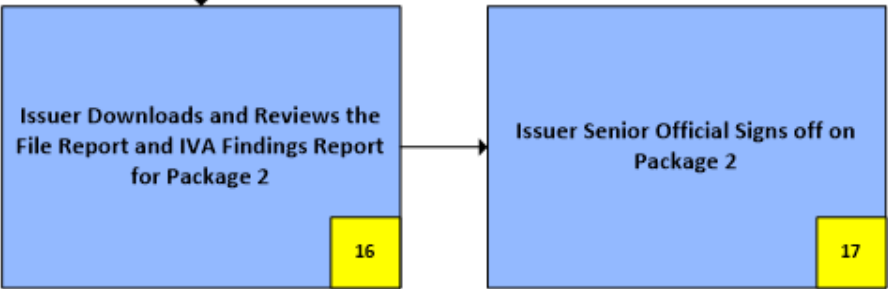
*All errors identified in the XML Validation Check Report and Files Reports for Package 1 require remediation and resubmission.

IVA Results Submission Process – Package 2

IVA Entity



Issuer



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IVA Results Submission Process

(continued)

11

- IVA Entity downloads **SVA Subsample Report** and **File Manifest** for Package 2 and prepares encrypted zip files for upload.

12

- IVA Entity uploads Package 2 encrypted zip files containing medical records and non-EDGE claim (NEC) images in the Audit Tool.

13

- IVA Entity downloads and reviews the **Files Report*** for Package 2.

14

- IVA Entity downloads **IVA Findings Report***, reviews warnings & errors and Package 2 Risk Score results.

15

- IVA Entity SO signs off on Package 2 and submits for issuer review.

16

- Issuer SO reviews **Files Report** for Package 2 and **IVA Findings Report** which includes the enrollee Package 2 Risk Scores determined based on IVA validated HCCs.

17

- Issuer SO signs off on Package 2.

*All errors identified in the XML Validation Check Report and Files Reports for Package 1 require remediation and resubmission.

IVA Entity File Submission Requirements

File Name and Size Requirements

- All files must be uniquely named.
- 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

- 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 resubmit the file.

Password Protection and File Encryption Overview (continued)

- Each HIOS ID has been randomly assigned an encryption password.
- 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.

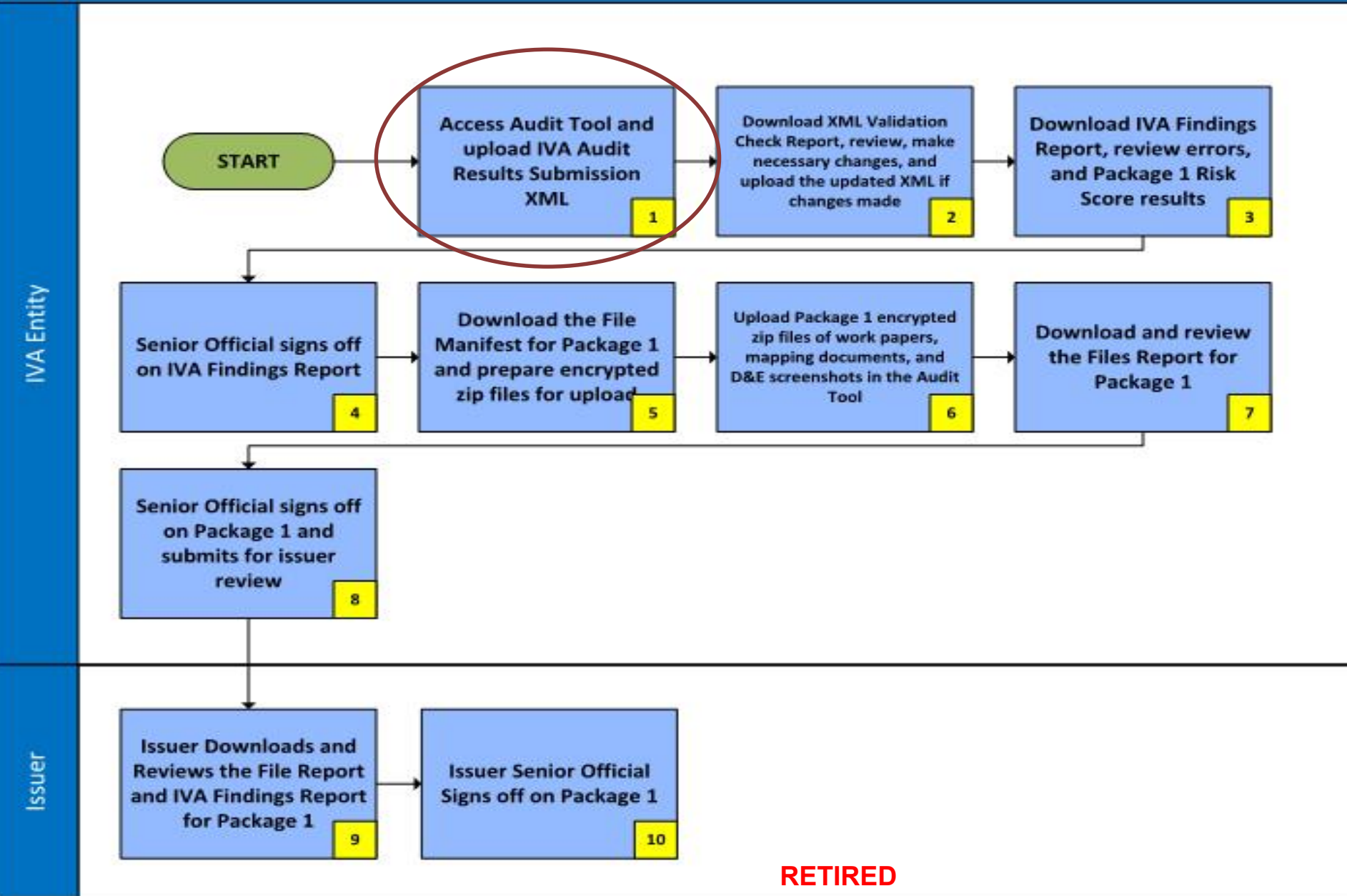


Note: Please refer to the November 15th webinar slides for details on password and encryption located at the following link in the REGTAP Library

https://www.regtap.info/uploads/library/HRADV_AuditTool_slides_111517_5CR_111617.pdf.

Package 1 Submission Process: IVA Entity Responsibilities

IVA Results Submission Process – Package 1 - Step 1



Submission Status Page Package 1

- To access the Submission Status page
 1. Log in to the Audit Tool.
 2. Select the IVA Submission tab on the HHS-RADV Audit Tool Featured Content page.
 3. Select the **2016 Benefit Year HHS-RADV IVA Submission of Package 1 Form** link to navigate to the Package 1 Submission Form Welcome page.

Instructions

Select a link below to open an Audit Tool form.

[2016 Benefit Year HHS-RADV Initial Validation Audit System Generated Passwords](#)

This form provides IVA Entity Senior Officials (SOs) and IVA Entity RADV Coordinators with the encryption passwords for each HIOS ID.

[2016 Benefit Year HHS-RADV IVA Entity IRR Results Submission Form](#)

This form allows IVA Entity Senior Officials (SOs) and IVA Entity RADV Coordinators to upload the Inter-rater Reliability (IRR) Results Template and submit for CMS review.

[2016 Benefit Year HHS-RADV IVA Submission of Package 1 Form](#)

This form allows IVA Entities to upload Package 1 documentation and submit for Issuer review.

[2016 Benefit Year HHS-RADV IVA Submission of Package 2 Form](#)

This form allows IVA Entities to upload Package 2 documentation and submit for Issuer review.

[2016 Benefit Year HHS-RADV IVA Documentation Replacement Form](#)

Access is available from March, 2017.

4. Select the **Continue** button to navigate to the Submission Status page.

Submission Status Page Package 1

(continued)

IVA Entity Package 1 Submission Status page



[Guidance](#)

Package 1 Submission Status

Package 1 Submission Instructions

For each HIOS ID:

- Select the **Upload/Download Audit Files** link in the Submission Status table to upload (or download after submission) the IVA Entity Audit Results Submission XML
- Select the **IVA Findings Report Signoff** link in the Submission Status table to navigate to sign off on the IVA Findings Report for Package 1
- Select the **Upload/Download Pkg 1 Docs** link to upload (or download after submission) the Package 1 files
- Select the **Package 1 IVA Entity Signoff** link to sign off on the Package 1 submission

If a status of **Error(s) Must Resubmit** is indicated in the column(s) for XML Validation Check Report Status, IVA Findings Report for Package 1 Status, or Files Report for Package 1 Status, then the *IVA Audit Results Submission* zip file requires resolution and resubmission. Items with a status of **Warning(s) Need Review** do not require file resubmission, but the final risk score calculation may be impacted.

Select one of the following to:

[Download XML Validation Check Reports](#) to download XML Validation Check Reports.

[Download IVA Findings Reports for Package 1](#) to download IVA Findings Reports for multiple HIOS IDs.

[Download File Manifest for Package 1](#) to download File Manifests for multiple HIOS IDs.

[Download Files Reports for Package 1](#) 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.

The links on this page allow you to download files for multiple HIOS IDs.



Submission Status Page Package 1

(continued)

IVA Entity Package 1 Submission Status page

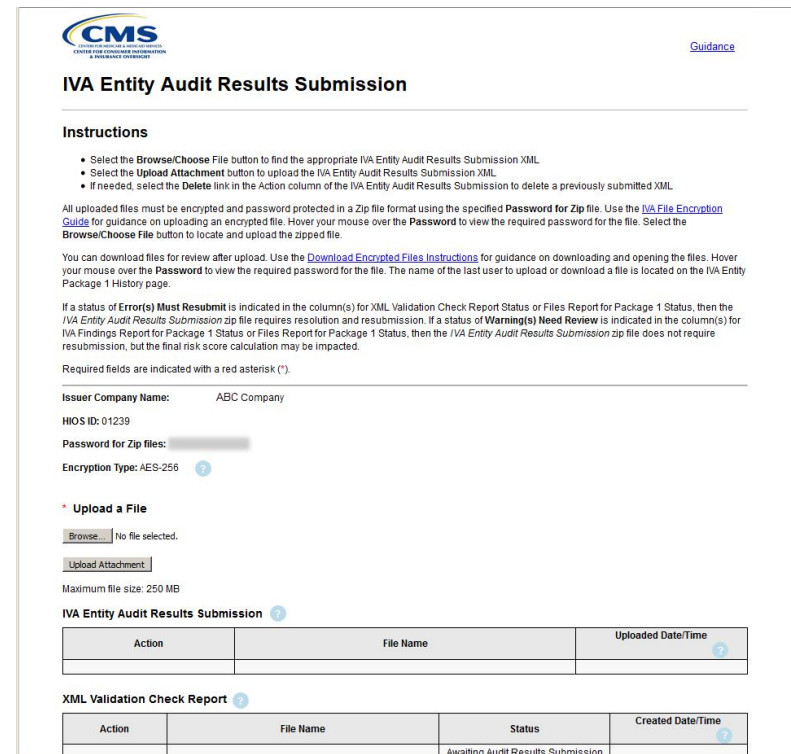
Submission Status

Action	Issuer Company Name	HIOS ID ▲	XML Validation Check Report Status	IVA Findings Report for Package 1 Status	IVA Findings Report for Package 1 Signoff	Files Report for Package 1 Status	Package 1 IVA Entity Signoff	Package 1 Issuer Signoff ?
Upload/Download Audit Files Upload/Download Pkg 1 Docs	ABC Company	01230 History	Processed without Errors ✓	Processed without Errors ✓	11/26/2017 11:08 AM ✓	Processed without Errors ✓		Rejected 11/27/2017 ✗
Upload/Download Audit Files Upload/Download Pkg 1 Docs	ABC Company	01231 History	Processed without Errors ✓	Processed without Errors ✓	11/20/2017 5:06 PM ✓	Processed without Errors ✓	11/22/2017 3:06 PM ✓	Approved 11/22/2017 ✓
Upload/Download Audit Files Upload/Download Pkg 1 Docs	ABC Company	01234 History	Processed without Errors ✓	Processed without Errors ✓	11/26/2017 9:12 AM ✓	Processed without Errors ✓	11/26/2017 9:40 AM ✓	Approved 11/26/2017 ✓

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

IVA Entity - Audit Results Submission XML Upload - Step 1

- The IVA Entity Audit Results Submission begins with the upload of the IVA Entity Audit Results Submission XML.
- The IVA Entity Audit Results Submission XML contains all IVA results and specifies all supporting documentation included in Package 1 and Package 2.
- From the IVA Entity Package 1 Submission Status page:
 1. Select the **Upload/Download Audit Files** link in the Action column of the Submission Status table for the appropriate Company/HIOS ID to navigate to the IVA Entity Audit Results Submission page.
 2. Select the **Browse/Choose File** button to locate the XML file.



The screenshot shows the 'IVA Entity Audit Results Submission' page. At the top is the CMS logo and a 'Guidance' link. The page title is 'IVA Entity Audit Results Submission'. Below this is an 'Instructions' section with bullet points: 'Select the Browse/Choose File button to find the appropriate IVA Entity Audit Results Submission XML', 'Select the Upload Attachment button to upload the IVA Entity Audit Results Submission XML', and 'If needed, select the Delete link in the Action column of the IVA Entity Audit Results Submission to delete a previously submitted XML'. There are also links for 'Iva File Encryption Guide' and 'Download Encrypted Files Instructions'. A paragraph explains that all uploaded files must be encrypted and password-protected in a Zip file format. Another paragraph states that if a status of 'Error(s) Must Resubmit' is indicated, the user must resolve and resubmit the file. A third paragraph notes that if a status of 'Warning(s) Need Review' is indicated, the user must review the findings report. Below the instructions, there are fields for 'Issuer Company Name' (ABC Company), 'HIOS ID' (01239), 'Password for Zip files' (a masked field), and 'Encryption Type' (AES-256). There is a section for 'Upload a File' with a 'Browse...' button (labeled 'No file selected.') and an 'Upload Attachment' button. Below this, it says 'Maximum file size: 250 MB'. The main section is titled 'IVA Entity Audit Results Submission' and contains a table with columns 'Action', 'File Name', and 'Uploaded Date/Time'. Below this table is a section for 'XML Validation Check Report' with a table with columns 'Action', 'File Name', 'Status', and 'Created Date/Time'. The status 'Awaiting Audit Results Submission' is shown in the table.

IVA Entity Audit Results Submission

Instructions

- Select the **Browse/Choose File** button to find the appropriate IVA Entity Audit Results Submission XML.
- Select the **Upload Attachment** button to upload the IVA Entity Audit Results Submission XML.
- If needed, select the **Delete** link in the Action column of the IVA Entity Audit Results Submission to delete a previously submitted XML.

All uploaded files must be encrypted and password protected in a Zip file format using the specified **Password for Zip file**. Use the [Iva File Encryption Guide](#) for guidance on uploading an encrypted file. Hover your mouse over the **Password** to view the required password for the file. Select the **Browse/Choose File** button to locate and upload the zipped file.

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 1 History page.

If a status of **Error(s) Must Resubmit** is indicated in the column(s) for XML Validation Check Report Status or Files Report for Package 1 Status, then the IVA Entity Audit Results Submission zip file requires resolution and resubmission. If a status of **Warning(s) Need Review** is indicated in the column(s) for IVA Findings Report for Package 1 Status or Files Report for Package 1 Status, then the IVA Entity Audit Results Submission zip file does not require resubmission, but the final risk score calculation may be impacted.

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

Issuer Company Name: ABC Company

HIOS ID: 01239

Password for Zip files: [Masked]

Encryption Type: AES-256

*** Upload a File**

Browse... No file selected.

Upload Attachment

Maximum file size: 250 MB

IVA Entity Audit Results Submission

Action	File Name	Uploaded Date/Time

XML Validation Check Report

Action	File Name	Status	Created Date/Time
		Awaiting Audit Results Submission	

IVA Entity - Audit Results Submission

XML Upload - Step 1 (continued)

3. Select the **Upload Attachment** button.
4. Select the **Return to Status** page button to return to the IVA Entity Package 1 Submission Status page.

HIOS ID: 01239


Password for Zip files:

Encryption Type: AES-256 [?](#)

*** Upload a File**

No file selected.

Maximum file size: 250 MB

 [Guidance](#)

IVA Entity Audit Results Submission

Instructions

- Select the **Browse/Choose File** button to find the appropriate IVA Entity Audit Results Submission XML.
- Select the **Upload Attachment** button to upload the IVA Entity Audit Results Submission XML.
- If needed, select the **Delete** link in the Action column of the IVA Entity Audit Results Submission to delete a previously submitted XML.

All uploaded files must be encrypted and password protected in a Zip file format using the specified **Password for Zip file**. Use the [IVA File Encryption Guide](#) for guidance on uploading an encrypted file. Hover your mouse over the **Password** to view the required password for the file. Select the **Browse/Choose File** button to locate and upload the zipped file.

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 1 History page.

If a status of **Error(s) Must Resubmit** is indicated in the column(s) for XML Validation Check Report Status or Files Report for Package 1 Status, then the IVA Entity Audit Results Submission zip file requires resolution and resubmission. If a status of **Warning(s) Need Review** is indicated in the column(s) for IVA Findings Report for Package 1 Status or Files Report for Package 1 Status, then the IVA Entity Audit Results Submission zip file does not require resubmission, but the final risk score calculation may be impacted.

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

Issuer Company Name: ABC Company

HIOS ID: 01239

Password for Zip files:

Encryption Type: AES-256 [?](#)

*** Upload a File**

No file selected.

Maximum file size: 250 MB

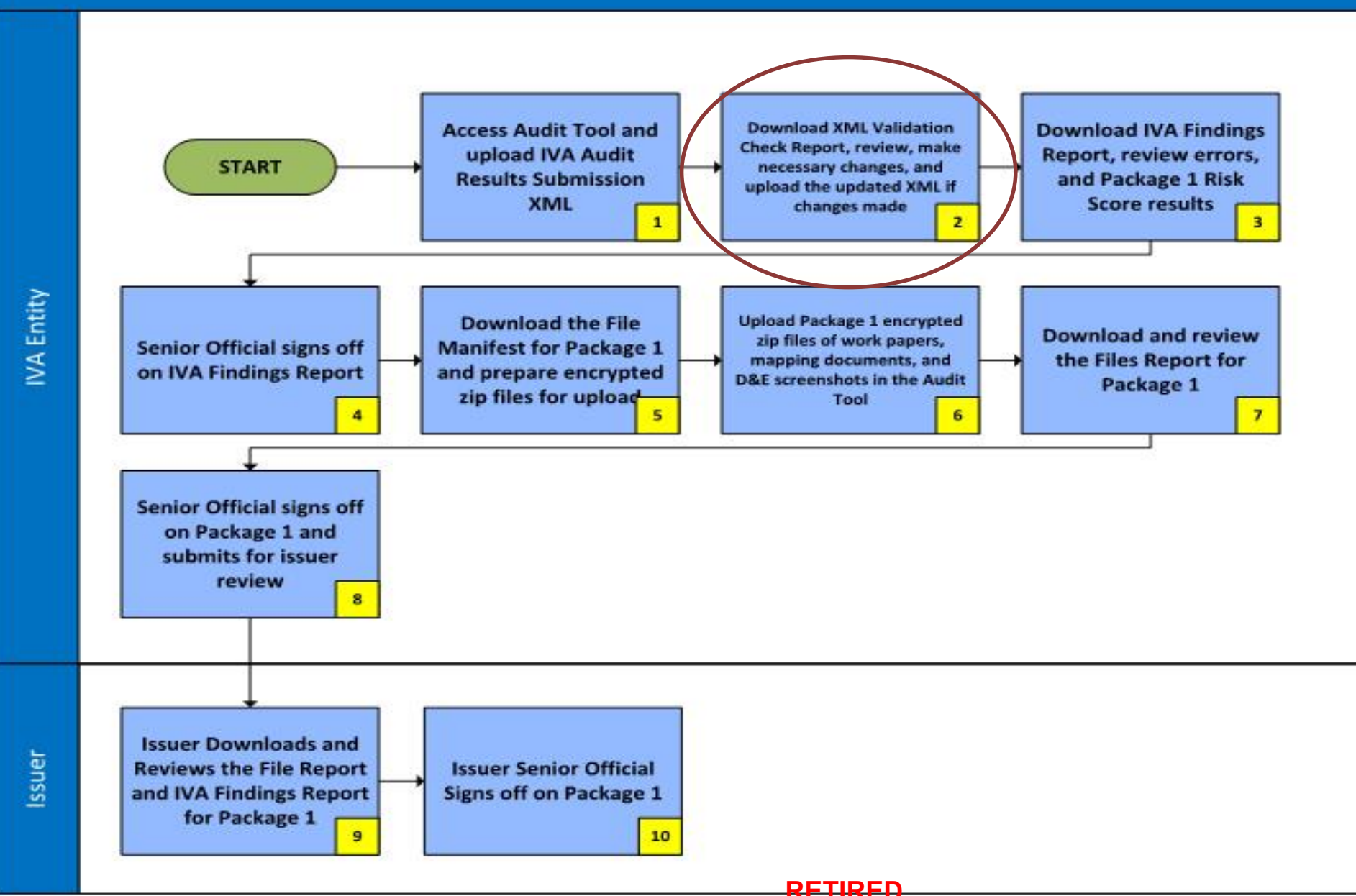
IVA Entity Audit Results Submission [?](#)

Action	File Name	Uploaded Date/Time
		?

XML Validation Check Report [?](#)

Action	File Name	Status	Created Date/Time
		Awaiting Audit Results Submission	?

IVA Results Submission Process – Package 1 - Step 2



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IVA Entity - XML Validation Check Report Overview – Step 2

- The **XML Validation Check Report** contains the results of the following validations performed by the Audit Tool:
 - Validates required fields in the IVA Entity Audit Results Submission (XML) are populated;
 - Validates that fields in the IVA Entity Audit Results Submission (XML) adhere to the CMS-specified formatting guidance;
 - Validates that the fields in the IVA Entity Audit Results Submission (XML) adhere to the rules defined in the ICD; and
 - Validates that the Unique Enrollee ID and the RADVMCE Linked Claim ID match data within the RADV reports.
- The submitter of the IVA Entity Audit Results Submission XML will receive an email notification when the XML Validation Check Report is available.

IVA Entity - XML Validation Check Report Download Process - Step 2

- From the IVA Entity Package 1 Submission Status page:
 1. Select the **Download XML Validation Check Reports** link to navigate to the XML Validation Check Report Download page.
 2. Select the checkbox(es) in the Select column for the requested HIOS ID(s).
 - You can choose to select one 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 1 Submission Status page.

IVA Entity - XML Validation Check Report Download Process - Step 2 (continued)

XML Validation Check Report 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 download a file is located on the IVA Entity Package 1 History page.

A status of **Error(s) Must Resubmit** indicated in the Status column indicates that the zip file requires resolution and resubmission.

XML Validation Reports ?

Select	HIOS ID	File Name	Status	Last Downloaded Date/Time ?	Password
<input type="checkbox"/>	01230	01230_XML Validation Check Report_20171126160651.xml	Processed without Errors	N/A	
<input type="checkbox"/>	01231	01231_XML Validation Check Report_20171120200653.xml	Processed without Errors	N/A	
<input type="checkbox"/>	01234	01234_XML Validation Check Report_20171126140958.xml	Processed without Errors	N/A	
<input type="checkbox"/>	01237	01237_XML Validation Check Report_20171122172919.xml	Processed without Errors	N/A	
<input type="checkbox"/>	01239	01239_XML Validation Check Report_20171128022253.xml	Processed without Errors	N/A	
<input type="checkbox"/>	02346	02346_XML Validation Check Report_20171127153134.xml	Processed without Errors	N/A	

IVA Entity - Interpreting the XML Validation Check Report - Step 2

- If errors are identified, they will be included in error response records nested under the related item or on the related row.
- Error messages are an indication that an error was identified as a result of the executed validation checks on the IVA Entity Audit Results Submission XML.
 - The IVA Entity Audit Results Submission XML may need to be resubmitted multiple times until no errors are returned in the XML Validation Check Report.

IVA Entity - XML Validation Check Report

File Validation Checks - Step 2 (continued)

XML Validation Check Report Errors:

- If errors result from the validation checks performed, the **XML Validation Check Report** will provide an error message: 'Fatal Error' or 'Critical Error'.
 - **Fatal Errors**
 - Generated when a file fails to conform to the specified file layout and data element value restrictions. As a result, the file is either not machine readable or records are not able to be loaded into the database given the data type restrictions indicated in the Interface Control Document (ICD).
 - **Critical Errors**
 - Generated when the data submitted in a file fails to conform to data element restrictions, fails a business or logical validation, or presents a unique ID that is unable to map to RADV Sample Reports data.



NOTE: All Fatal and Critical Errors require remediation and resubmission of the IVA Entity Audit Results Submission (XML).

IVA Entity - Interpreting the XML Validation Check Report – Step 2 (continued)

The ICD contains Response Messages, refer to the last three (3) columns in Table 34-which provides the file level and record level response codes for IVA Entity Audit Results Submission processing.

Action – contains the appropriate action(s) to correct the specific error or warning

Error Type – indicates if the error is a warning, a critical error, or a fatal error

Report(s) – lists the report(s) in which the error may appear

Description	Action	Error Type	Report(s)
Information does not match the information submitted in the file. If the information is incorrect, make the appropriate corrections and resubmit. If the information in the file is correct, no further action is required.	Confirm the information submitted in the file. If the information is incorrect, make the appropriate corrections and resubmit. If the information in the file is correct, no further action is required.	Warning	IVA Findings Report
RecordData has been identified with the identifier. If the identifier is not unique, the submission is rejected.	You must remove the duplicate medicalRecordDataValidation item from the submission and resubmit.	Critical	XML Validation Check Report
Invalid code is not a valid code.	Confirm the information submitted in the file. If the information is incorrect, make the appropriate corrections and resubmit. If the information in the file is correct, no further action is required.	Warning	IVA Findings Report
Invalid code is not a valid code.	Confirm the information submitted in the file. If the information is incorrect, make the appropriate corrections and resubmit. If the information in the file is correct, no further action is required.	Warning	IVA Findings Report

IVA Entity - Interpreting the XML Validation Check Report – Step 2 (continued)

Example of XML Validation Check Report Fatal Error:

- Response code 5.2.3:

```
- <docResponseItem>  
  <responseType>Critical Error</responseType>  
  <dataElement>fileSize</dataElement>  
  <valueProvided>275.00</valueProvided>  
  <responseCode>5.2.3</responseCode>  
  <responseMessage>Incorrect field format.</responseMessage>  
</docResponseItem>
```

Table 34 of the HHS-RADV Interface Control Document (ICD)

XML Data Element	Error Level	Error Type	Unique ID	Response Code	Error Message	Error Description	Action	Error Type	Report(s)
fileSize	5	2	3	5.2.3	Incorrect field format.	This field must contain a number between 0.00 and 250.00.	You must split the file into multiple documents each with an unzipped file size no larger than 250 MB. Update the documentdetailitem sectiondetail item section for the record and resubmit.	Fatal	XML Validation Check Report File Name Revisions Report

IVA Entity - Interpreting the XML Validation Check Report – Step 2 (continued)

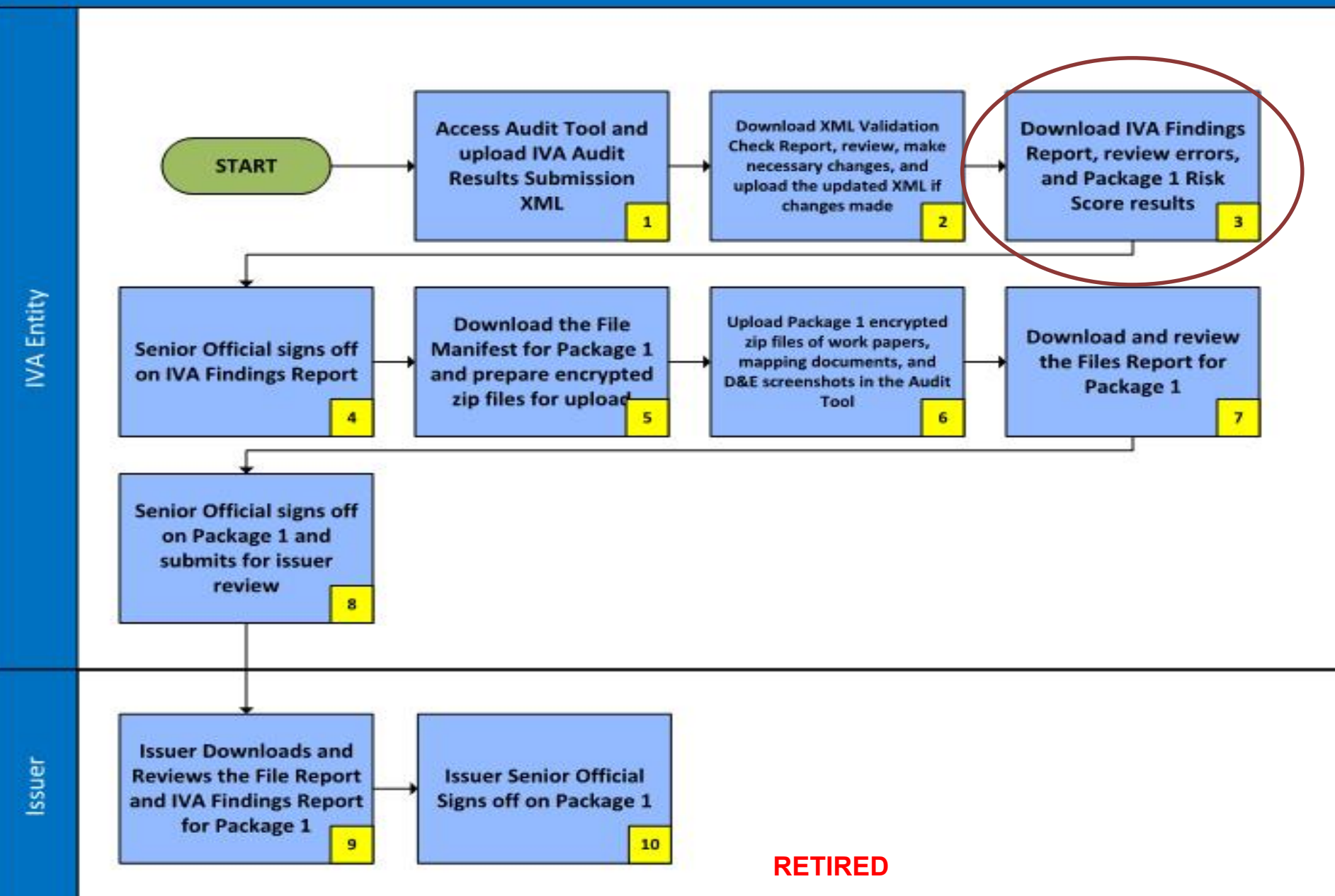
Examples of XML Validation Check Report Fatal Error:

- Response code 0.0.2: The zip file must be encrypted with the password provided for the HIOS ID.

Table 34 of the HHS-RADV Interface Control Document (ICD)

XML Data Element	Error Level	Error Type	Unique ID	Response Code	Error Message	Error Description	Action	Error Type	Report(s)
Any	0	0	2	0.0.2	Invalid password.	The Zip file must be encrypted with the password provided for the HIOS ID.	You must encrypt your Zip file with the password provided for the HIOS ID and resubmit.	Fatal	XML Validation Check Report Files Reports for Package 1 and Package 2 File Name Revisions Report

IVA Results Submission Process – Package 1 - Step 3



IVA Entity - Findings Report for Package 1 Overview – Step 3

- The **IVA Findings Report for Package 1** is generated following the successful submission of the IVA Entity Audit Results Submission (XML) with no Fatal or Critical Errors identified on the **XML Validation Check Report**.
- The **IVA Findings Report** will include warning messages identified during file processing, enrollee level summary counts, and enrollee risk scores based on IVA findings.
- The submitter of the IVA Entity Audit Results Submission XML and the IVA Entity SOs will receive an email notification when the IVA Findings Report for Package 1 is available.

IVA Entity - Findings Report for Package 1 Download Process – Step 3

- From the IVA Entity Package 1 Submission Status Page:
 1. Select the **Download IVA Findings Reports for Package 1** link to navigate to the IVA Findings Reports for Package 1 Download page.
 2. Select the checkbox(es) in the Select column for the requested 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 1 Submission Status page.

IVA Entity - Findings Report for Package 1 Download Process – Step 3 (continued)



[Guidance](#)

IVA Findings Report for Package 1 Download

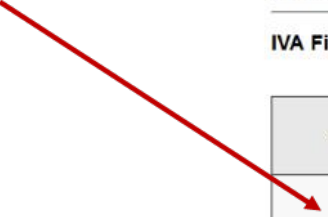
Instructions






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 download a file is located on the IVA Entity Package 1 History page.

A status of **Error(s) Must Resubmit** indicated in the Status column indicates that the zip file requires resolution and resubmission. Items with a status of **Warning(s) Need Review** do not require file resubmission, but the final risk score calculation may be impacted.

IVA Findings Reports for Package 1



Select	HIOS ID	File Name	Status	Last Downloaded Date/Time	Password
<input type="checkbox"/>	01230	01230_IVA Findings Report_20171126160807.xml	Processed without Errors 	11/26/2017 11:56 AM	
<input type="checkbox"/>	01231	01231_IVA Findings Report_20171120200752.xml	Processed without Errors 	11/22/2017 3:48 PM	
<input type="checkbox"/>	01234	01234_IVA Findings Report_20171126141112.xml	Processed without Errors 	11/26/2017 9:43 AM	
<input type="checkbox"/>	01237	01237_IVA Findings Report_20171122173019.xml	Processed without Errors 	11/22/2017 1:05 PM	
<input checked="" type="checkbox"/>	01239	01239_IVA Findings Report_20171128022415.xml	Processed without Errors 	N/A	.(dC_5T2NPs.fm
<input type="checkbox"/>	02346	02346_IVA Findings Report_20171127153454.xml	Processed without Errors 	11/27/2017 2:27 PM	



[Exit](#) [Return to Status page](#) [Download](#)

IVA Entity - Findings Report - Enrollee Response – Step 3

- The Enrollee Response messages are nested at the Enrollee Level and messages include information about the enrollee:
 - Count of unique medical records submitted
 - Count of unique diagnosis codes
 - Count of unique HCCs
 - Risk Scores for each enrollee
 - Risk score for the enrollee from the RADVDE Report
 - IVA Risk Score Package 1
 - Difference between those Risk Score Values

IVA Entity - Interpreting the IVA Findings Report for Package 1 – Step 3

- The <enrlResponseItem> is an example of useful information that is included in the IVA Findings Report, in addition to Warnings.

```
- <includedEnrolleeItem>
  <uniqueEnrolleeId>10374CKT</uniqueEnrolleeId>
  <sourceSystemMemberId>HSF88148</sourceSystemMemberId>
  <firstName>Han</firstName>
  <middleName>ShotFirst</middleName>
  <lastName>Solo</lastName>
  <suffix>Sr.</suffix>
  <dateOfBirth>1952-06-20</dateOfBirth>
  <gender>M</gender>
  <dAndESampleIndicator>Y</dAndESampleIndicator>
- <enrlResponseItem>
  <mrCount>2</mrCount>
  <uniqueDiagCount>5</uniqueDiagCount>
  <uniqueHccCount>3</uniqueHccCount>
  <radvdeRiskScore>3.756</radvdeRiskScore>
  <ivaRiskScorePk1>3.512</ivaRiskScorePk1>
  <deltaRSRadvdeIvaPk1>-0.244</deltaRSRadvdeIvaPk1>
  <ivaRiskScorePk2>0.0</ivaRiskScorePk2>
  <deltaRSRadvdeIvaPk2>0.0</deltaRSRadvdeIvaPk2>
</enrlResponseItem>
```

IVA Findings Report Warnings – Step 3

IVA Findings Report Warnings:

- Provide notification that information provided in the IVA Entity Audit Results Submission (XML) may be incorrect or invalid for a given situation, but warnings do not prevent the IVA Entity or issuer from advancing through the IVA Submission Process.
 - The **IVA Findings Report** may include warning messages which indicate variances between IVA findings and RADV sampling reports or other reference documents.
 - Warnings **do not require remediation and resubmission**. However, **warnings may result in a lower than anticipated Risk Score for one (1) or more enrollees**; therefore, it is recommended that all warnings are reviewed before confirming the submission as final.
 - If the IVA Entity chooses to remediate a warning then the IVA Entity Audit Results Submission (XML) must be corrected and resubmitted.



Note: If the enrollee's risk score is lower, it may be an indication that a medical record specified in the XML was not submitted, resulting in an unsubstantiated HCC.

Interpreting the IVA Findings Report for Package 1 – Step 3 (continued)

Examples of Package 1 Warning:

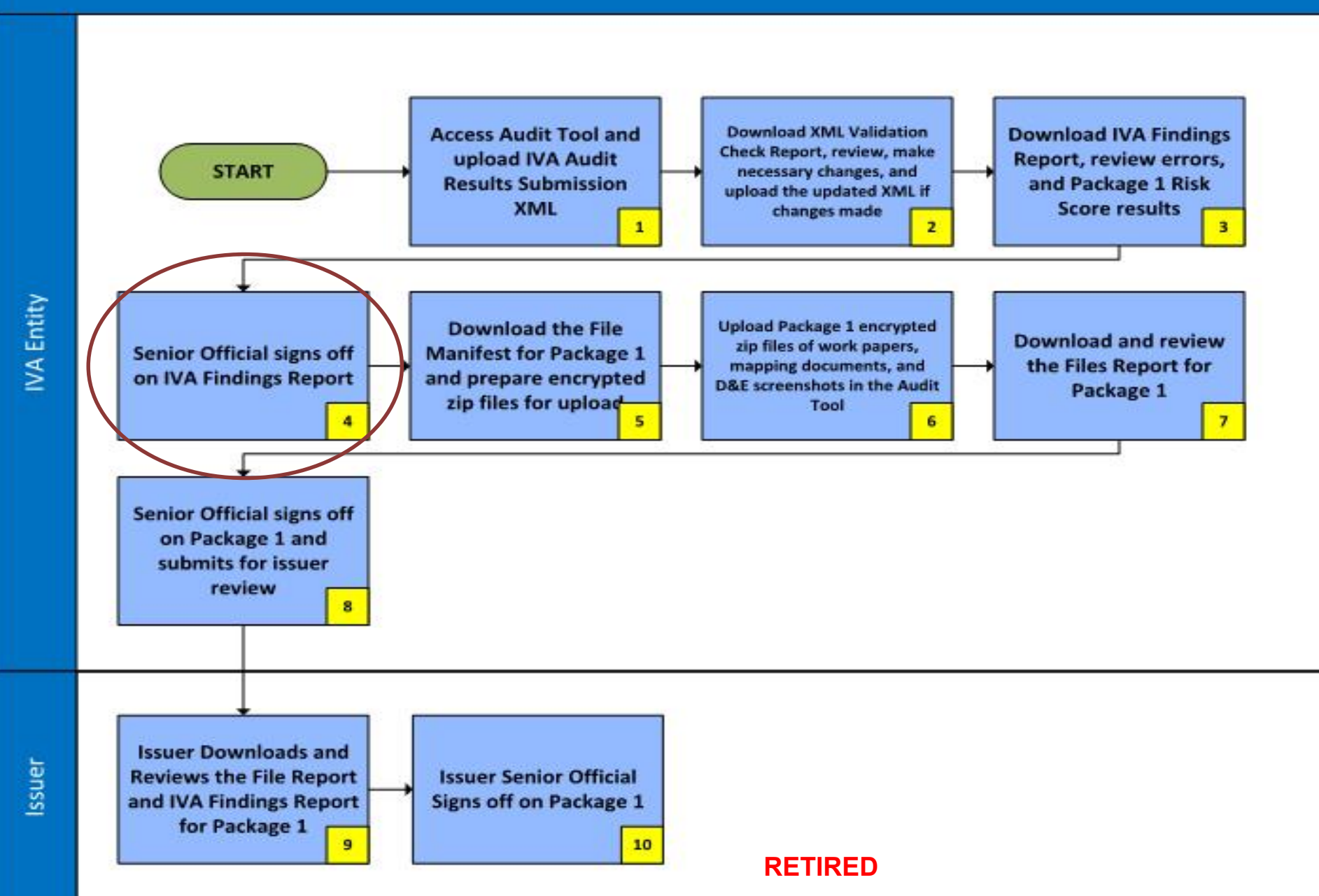
```
- <mrResponseItem>  
  <responseType>Warning</responseType>  
  <dataElement>primaryCoderDiagnosisCode</dataElement>  
  <valueProvided>A038</valueProvided>  
  <responseCode>3.5.2</responseCode>  
  <responseMessage>Not a valid RA Eligible ICD-10 Code.</responseMessage>  
</mrResponseItem>
```

- Response code 3.5.2: An incorrect ICD-10 code is provided.

Table 34 of the HHS-RADV Interface Control Document (ICD)

XML Data Element	Error Level	Error Type	Unique ID	Response Code	Error Message	Error Description	Action	Error Type	Report(s)
primaryCoderDiagnosisCode	3	5	2	3.5.2	Not a valid RA Eligible ICD-10 code.	The diagnosis code provided is not a valid RA eligible ICD-10 code as listed in the HHS-Developed Risk Adjustment Model Algorithm Software .	Confirm the information submitted in the file. If the information is incorrect, make the appropriate corrections and resubmit. If the information in the file is correct, no further action is required.	Warning	IVA Findings Report

IVA Results Submission Process – Package 1 - Step 4



IVA Findings Report for Package 1

IVA Entity Signoff Process – Step 4

- After reviewing the IVA Findings Reports for Package 1, the IVA Entity SO must signoff on the report:
 - By completing the signoff attestation, the IVA Entity SO is certifying that the IVA Findings Report for Package 1 is acceptable and ready for issuer review.

IVA Findings Report for Package 1 IVA Entity Signoff Process – Step 4 (continued)

- From the IVA Entity Package 1 Submission Status Page:
 1. Select the **IVA Findings Report Signoff** link in the Submission Status table to navigate to signoff on the IVA Findings Report for Package 1.
 2. Select the **Attestation** checkbox.
 3. Select the **Submit** button.



Note: Signoff can only be completed by the IVA Entity SO.

IVA Findings Report for Package 1 IVA Entity Signoff Process – Step 4 (continued)



[Guidance](#)

IVA Findings Report for Package 1 Signoff

Instructions

Select the **Download** action link to review the IVA Findings Report for Package 1 for the listed HIOS ID. An IVA Entity Senior Official must select the **Attestation** check box to certify the IVA Findings Report for Package 1 is acceptable and ready for issuer review.

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 download a file is located on the IVA Entity Package 1 History page.

If a status of **Error(s) Must Resubmit** is indicated in the Status column, then the zip file requires resolution and resubmission. A status of **Warning(s) Need Review** does not require file resubmission, but the final risk score calculation may be impacted.

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

Issuer Company Name: Nina Amtmann Company

HIOS ID: 01239

Password for Zip files:

Encryption Type: AES-256

IVA Findings Report for Package 1

Action	File Name	Status	Last Downloaded Date/Time
Download	01239_IVA Findings Report_20171128022415.xml	Processed without Errors	11/27/2017 9:47 PM

Note: All files must be downloaded prior to signoff.

Attestation

☒ I certify that the IVA Findings report is acceptable and ready for issuer review.

Submitter Contact Information

First Name:	Nina	Last Name:	Amtmann
Email Address:	ninatestradv+ivaso@gmail.com	Job Title:	csra
Phone Number:	(111) 111-1111	Phone Extension:	

[Exit](#) [Back](#) [Submit](#)

IVA Findings Report for Package 1 IVA Entity Signoff Process – Step 4 (continued)

Note: All files must be downloaded prior to signoff.

Attestation

☒ * I certify that the IVA Findings report is acceptable and ready for issuer review.

Submitter Contact Information

First Name: Bob

Last Name: Smith

Email Address: bsmith@blue.com

Job Title: Manager

Phone Number: (111) 111-1111

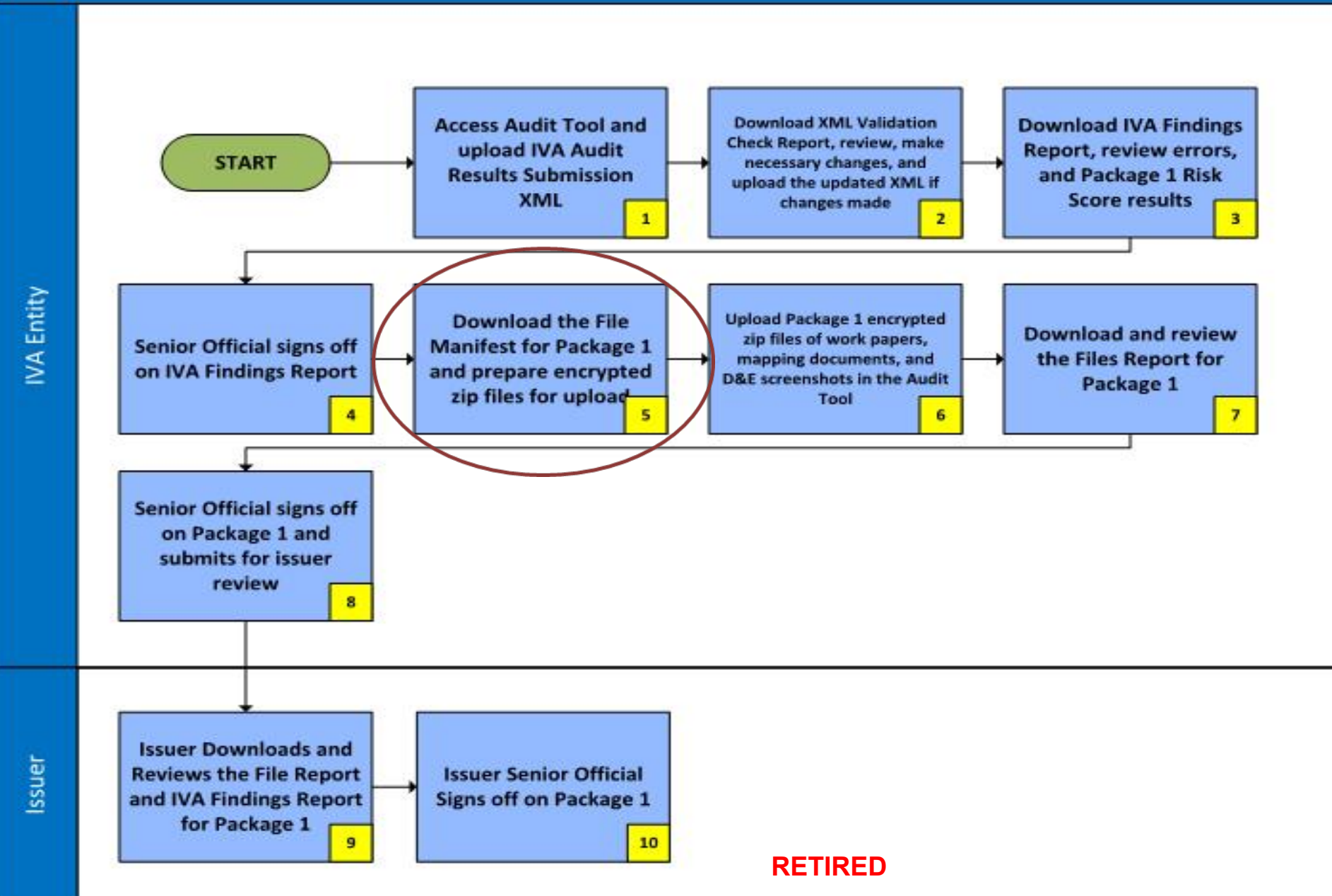
Phone Extension:

Exit

Back

Submit

IVA Results Submission Process – Package 1 - Step 5



IVA Entity - File Manifest for Package 1 Overview – Step 5

- The File Manifest is generated after the IVA Findings Report for Package 1 is signed off.
- The IVA Entity SO who signed off on the IVA Findings Report and the IVA Entity RADV Coordinators will receive an email notification when the File Manifest for Package 1 is available.
- The File Manifest for Package 1 will be provided to assist IVA Entities in identifying exactly which files must be submitted as part of Package 1 submission.

IVA Entity File Manifest for Package 1 Overview – Step 5 (continued)

- Files identified in the File Manifest for Package 1 will directly correspond to the IVA Entity Audit Results Submission (XML).
- Package 1 documentation may contain the following files:
 - Mapping Documentation
 - Screenshots (for enrollees in the D&E Subsample)
 - Workpapers (to support screenshot evidence)
- After review, if additional files should be submitted for Package 1 that are not included on the File Manifest, you should edit the IVA Entity Audit Results Submission XML and resubmit to start the resubmission process.

IVA Entity - File Manifest for Package 1 Download Process – Step 5 (continued)

- From the IVA Entity Package 1 Submission Status Page:
 1. Select the **Download File Manifest for Package 1** link to navigate to the File Manifest for Package 1 Download page.
 2. Select the checkbox(es) in the Select column for the requested 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 1 Submission Status Page.

IVA Entity - File Manifest for Package 1 Download Process – Step 5 (continued)

Files Report for Package 1 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 download a file is located on the IVA Entity Package 1 History page.

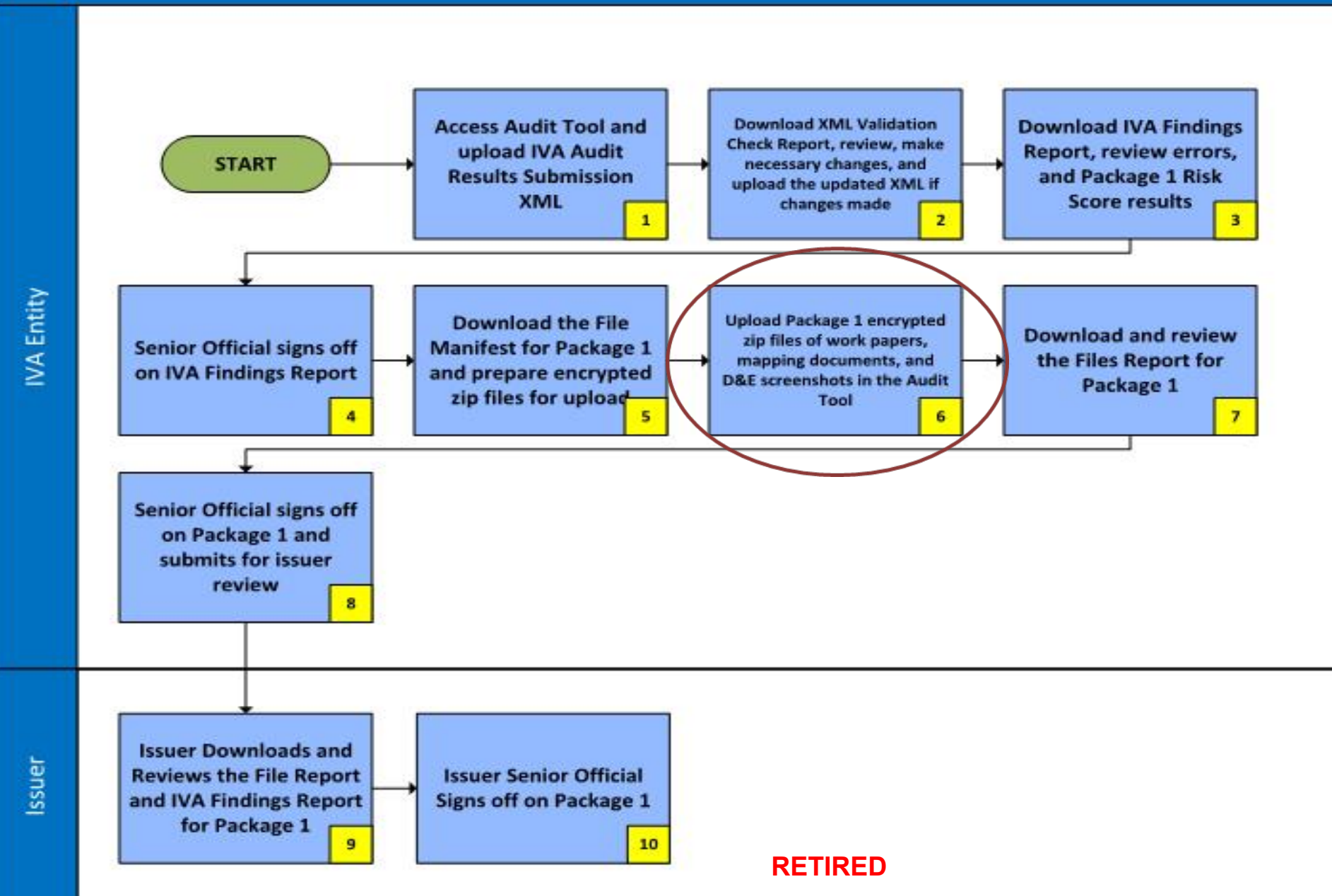
A status of **Error(s) Must Resubmit** indicated in the Status column indicates that the zip file requires resolution and resubmission. Items with a status of **Warning(s) Need Review** do not require file resubmission, but the final risk score calculation may be impacted.

Files Reports for Package 1 ?

Select	HIOS ID	File Name	Status	Last Downloaded Date/Time	Password
<input type="checkbox"/>	01230	01230_File Report Pk1_20171126161724.csv	Processed without Errors	11/26/2017 11:56 AM	
<input type="checkbox"/>	01231	01231_File Report Pk1_20171122200452.csv	Processed without Errors	11/22/2017 3:46 PM	
<input type="checkbox"/>	01234	01234_File Report Pk1_20171126141706.csv	Processed without Errors	11/26/2017 9:43 AM	
<input type="checkbox"/>	01237	01237_File Report Pk1_20171122173512.csv	Processed without Errors	11/22/2017 1:05 PM	
<input type="checkbox"/>	01239	01239_File Report Pk1_20171128031619.csv	Processed without Errors	N/A	
<input type="checkbox"/>	02346	02346_File Report Pk1_20171127184848.csv	Processed without Errors	11/27/2017 2:28 PM	

Exit Return to Status page Download

IVA Results Submission Process – Package 1 - Step 6



IVA Entity - Package 1 Files Upload Process – Step 6

- From the IVA Entity Package 1 Submission Status Page:
 1. Select the **Upload/Download Pkg 1 Docs** link in the Action column of the Submission Status table for the appropriate Company/HIOS ID to navigate to the Package 1 File Upload page.
 2. Select the **Browse/Choose File** button to locate your Package 1 file.
 - All files must be zipped and encrypted with the provided password.
 3. Select the **Upload Attachment** button.
 4. Repeat steps 2 and 3 as needed until all the Package 1 files have been uploaded.
 5. Select the **Package 1 File upload complete** button when the Package 1 file upload has been completed.
 6. Select the **Return to Status page** button to return to the IVA Entity Package 1 Submission Status page.



Note: Uploaded files will be saved but not processed until selecting the **Upload Complete** button.

IVA Entity - Package 1 Files Upload Process – Step 6 (continued)

HIOS ID: 01239

Password for Zip files:

Encryption Type: AES-256 [?](#)

File Manifest for Package 1 [?](#)

Action	File Name	File Manifest for Package 1 Status
Download	01239_File Manifest PK1_20171128022415.csv	Downloaded

* Upload a File

No file selected.

Maximum file size: 250 MB

Package 1 File(s) [?](#)

Action	File Name	Uploaded Date/Time ?
Download Delete	Package 1 TEST FILE - 01239.zip	11/27/2017 10:11 PM

Package 1 file upload completed

Files Report for Package 1 [?](#)

Action	File Name	Status	Created Date/Time ?
		Processing	



File Upload Impacts – Adding Files – Step 6

- Contents of the zip files are cumulative.
- Continue adding unique files by uploading multiple, unique zip files.

Zip 1	Zip 2	Zip 3	
12345ZipA	12345ZipB	12345ZipC	System Stores
File1.pdf			File1.pdf
File2.pdf			File2.pdf
File3.xlsx			File3.xlsx
	File4.pdf		File4.pdf
		File5.pdf	File5.pdf

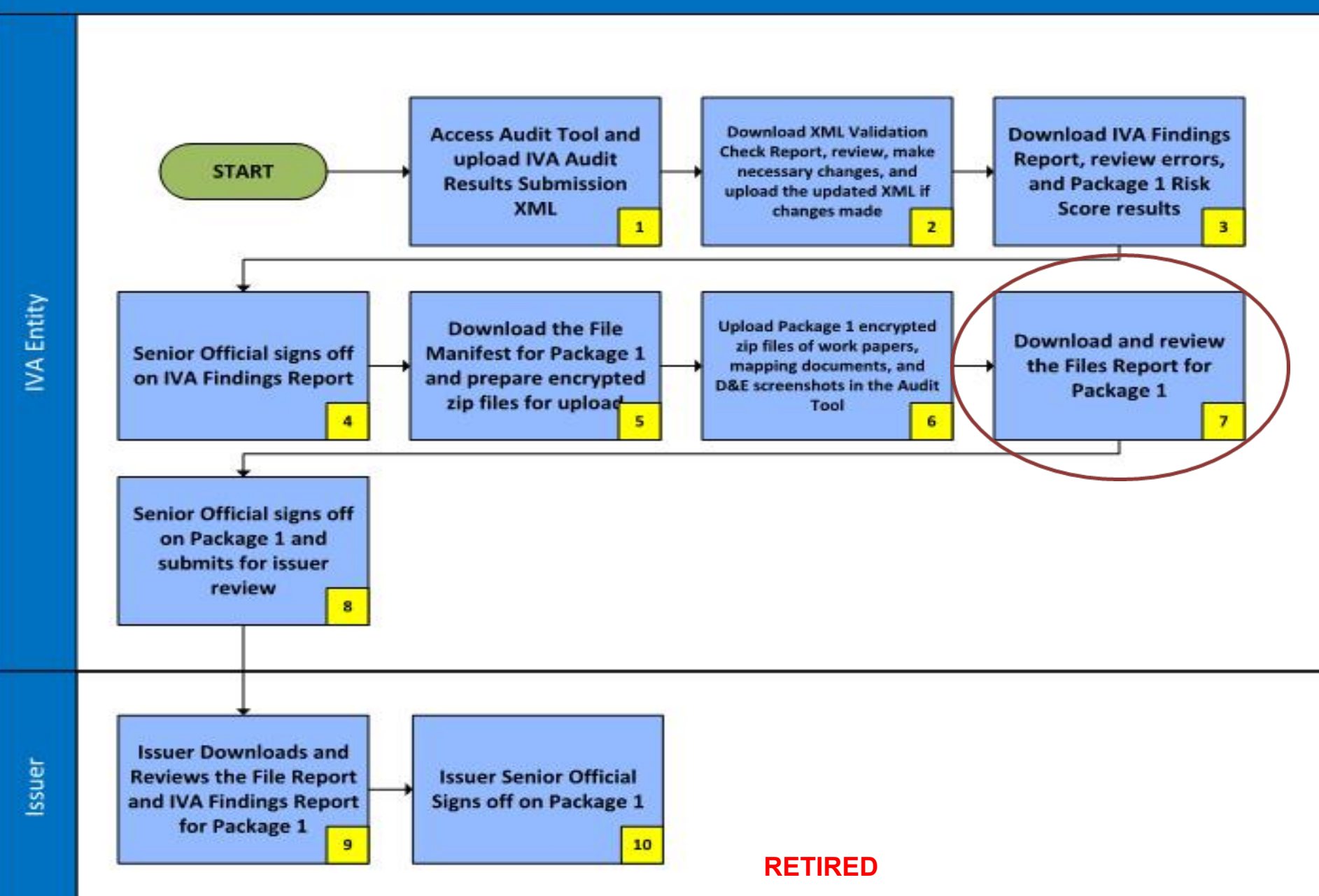


Note: All files being uploaded must have been previously identified in the IVA Entity Audit Results Submission XML.

Delay in Receipt of Files Report – Step 6

- If issuers think that the files were submitted but have not received the Files Report for Package 1, confirm that you selected the **Package 1 file upload complete** button.
- If the upload screen continues to show “Processing”, issuers may have experienced a time out.
 - Navigate back to the Package 1 Files Upload page to see if the file is listed in the Package 1 Files table.

IVA Results Submission Process – Package 1 - Step 7



IVA Entity - Files Report for Package 1 Overview – Step 7

- The **Files Report for Package 1** contains the results of Package 1 File validation, and includes a response record for each file uploaded in Package 1 compared to the File Manifest for Package 1.
 - The File Manifest for Package 1 includes the files listed in the IVA Entity Audit Results Submission XML.
- The submitter of the Package 1 Files and the IVA Entity SOs will receive an email notification when the Files Report for Package 1 is available.

IVA Entity - Files Report for Package 1 Download Process – Step 7

- From the IVA Entity Package 1 Submission Status page:
 1. Select the **Download Files Reports for Package 1** link to navigate to the Files Report for Package 1 Download page.
 2. Select the checkbox(es) in the Select column for the requested HIOS ID(s).
 - You can choose to select one 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 1 Submission Status page.

IVA Entity - Files Report for Package 1 Download Process – Step 7 (continued)

Files Report for Package 1 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 download a file is located on the IVA Entity Package 1 History page.

A status of **Error(s) Must Resubmit** indicated in the Status column indicates that the zip file requires resolution and resubmission. Items with a status of **Warning(s) Need Review** do not require file resubmission, but the final risk score calculation may be impacted.

Files Reports for Package 1 ?

Select	HIOS ID	File Name	Status	Last Downloaded Date/Time	Password
<input type="checkbox"/>	01230	01230_File Report Pk1_20171126161724.csv	Processed without Errors	11/26/2017 11:56 AM	
<input type="checkbox"/>	01231	01231_File Report Pk1_20171122200452.csv	Processed without Errors	11/22/2017 3:46 PM	
<input type="checkbox"/>	01234	01234_File Report Pk1_20171126141706.csv	Processed without Errors	11/26/2017 9:43 AM	
<input type="checkbox"/>	01237	01237_File Report Pk1_20171122173512.csv	Processed without Errors	11/22/2017 1:05 PM	
<input type="checkbox"/>	01239	01239_File Report Pk1_20171128031619.csv	Processed without Errors	11/27/2017 10:20 PM	.&(dC_5T2NPs.fm
<input type="checkbox"/>	02346	02346_File Report Pk1_20171127184848.csv	Processed without Errors	11/27/2017 2:28 PM	

IVA Entity - Interpreting the Files Report for Package 1 – Step 7 (continued)

- The Files Report for Package 1 contains Fatal Errors, Critical Errors, and Warnings.
 - **Fatal Error(s)**: If these errors occur in the Files Report for Package 1 they must be addressed and corrected and files resubmitted for that Package.
 - **Critical Error(s)**: If these errors occur in the Files Report for Package 1 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.
- If you need to split and resubmit file(s) to meet file size limits, you must submit a File Name Revisions XML. Section 7.5 of the ICD describes the File Name Revisions process and requirements in detail.

IVA Entity - Interpreting the Files Report for Package 1 – Step 7 (continued)

Examples of Files Report Errors:

- Response Code 5.5.3: File size too large.

Table 34 of the HHS-RADV Interface Control Document (ICD)

XML Data Element	Error Level	Error Type	Unique ID	Response Code	Error Message	Error Description	Action	Error Type	Report(s)
fileSize	5	5	3	5.5.3	File size too large.	The Audit Tool will not accept files larger than 250MB.	You must split the file into multiple documents each with an unzipped file size no larger than 250 MB. Use the File Name Revisions process to submit the replacement files.	Critical	Files Reports for Package 1 and Package 2

- Response Code 5.3.2: No file name match found.

Table 34 of the HHS-RADV Interface Control Document (ICD)

XML Data Element	Error Level	Error Type	Unique ID	Response Code	Error Message	Error Description	Action	Error Type	Report(s)
fileName	5	3	2	5.3.2	No file name match found.	The file name provided in a Package 1 or Package 2 submission does not match the IVA Entity Audit Results Submission (XML). This file has been deleted.	If the file was named incorrectly, you must update file name and resubmit. If you did not intend to submit the file, no further action is required. The file has been deleted.	Warning	Files Reports for Package 1 and Package 2

IVA Entity - Interpreting the Files Report for Package 1 – Step 7 (continued)

Examples of Files Report Warning:

- Response Code 5.3.3: Expected file missing.

Table 34 of the HHS-RADV Interface Control Document

XML Data Element	Error Level	Error Type	Unique ID	Response Code	Error Message	Error Description	Action	Error Type	Report(s)
fileName	5	3	3	5.3.3	Expected file missing.	A file expected in the IVA Entity Audit Results Submission (XML) was not included in the Package 1 or Package 2 submission.	Confirm the information submitted in the Package 1 or Package 2 submission. If the information is incorrect, make the appropriate corrections and resubmit. If the information in the Package 1 or Package 2 submission is correct, no further action is required.	Warning	Files Reports for Package 1 and Package 2

For more information on adding and replacing files, reference slides 58, 68 and 69.

IVA Entity - Interpreting the Files Report for Package 1 – Step 7 (continued)

Examples of Files Report Errors:

- Response Code 5.3.6 – 5.3.8: Required file missing.

Table 34 of the HHS-RADV Interface Control Document (ICD)

XML Data Element	Error Level	Error Type	Unique ID	Response Code	Error Message	Error Description	Action	Error Type	Report(s)
FileName	5	3	6	5.3.6	Required Mapping Document file missing.	A required Mapping Document specified in the IVA Entity Audit Results Submission (XML) was not included in the Package 1 submission.	You must upload the required Mapping Document file listed in the Files Report for Package 1.	Critical	Files Report for Package 1
FileName	5	3	7	5.3.7	Required D&E file missing.	A required D&E file specified in the IVA Entity Audit Results Submission (XML) was not included in the Package 1 submission.	You must upload the required D&E file listed in the Files Report for Package 1.	Critical	Files Report for Package 1
FileName	5	3	8	5.3.8	Required D&E workpaper file missing.	A required D&E workpaper file specified in the IVA Entity Audit Results Submission (XML) was not included in the Package 1 submission.	When 'Enrollee in Correct Plan is 'N' for an enrollee in the D&E Sub-sample a D&E workpaper is required. You must upload the required D&E workpaper file specified in the Files Report for Package 1.	Critical	Files Report for Package 1

File Upload Impacts – Replacing Files

Correct Process – Step 7

- To replace a file within a zip file, delete the entire zip file and upload a new zip file.

Original Zip	Deleted Zip	Replacement Zip	
12345ZipA	12345ZipA	12345ZipA	System Stores
File1.pdf (Good)	File1.pdf (Good)	File1.pdf (Good)	File1.pdf (Good)
File2.pdf (Bad)	File2.pdf (Bad)	File2.pdf (Good)	File2.pdf (Good)
File3.xlsx (Good)	File3.xlsx (Good)	File3.xlsx (Good)	File3.xlsx (Good)
File4.pdf (Bad)	File4.pdf (Bad)	File4.pdf (Good)	File4.pdf (Good)
File5.pdf (Good)	File5.pdf (Good)	File5.pdf (Good)	File5.pdf (Good)

- The system will not allow you to upload two (2) zip files with the same name.

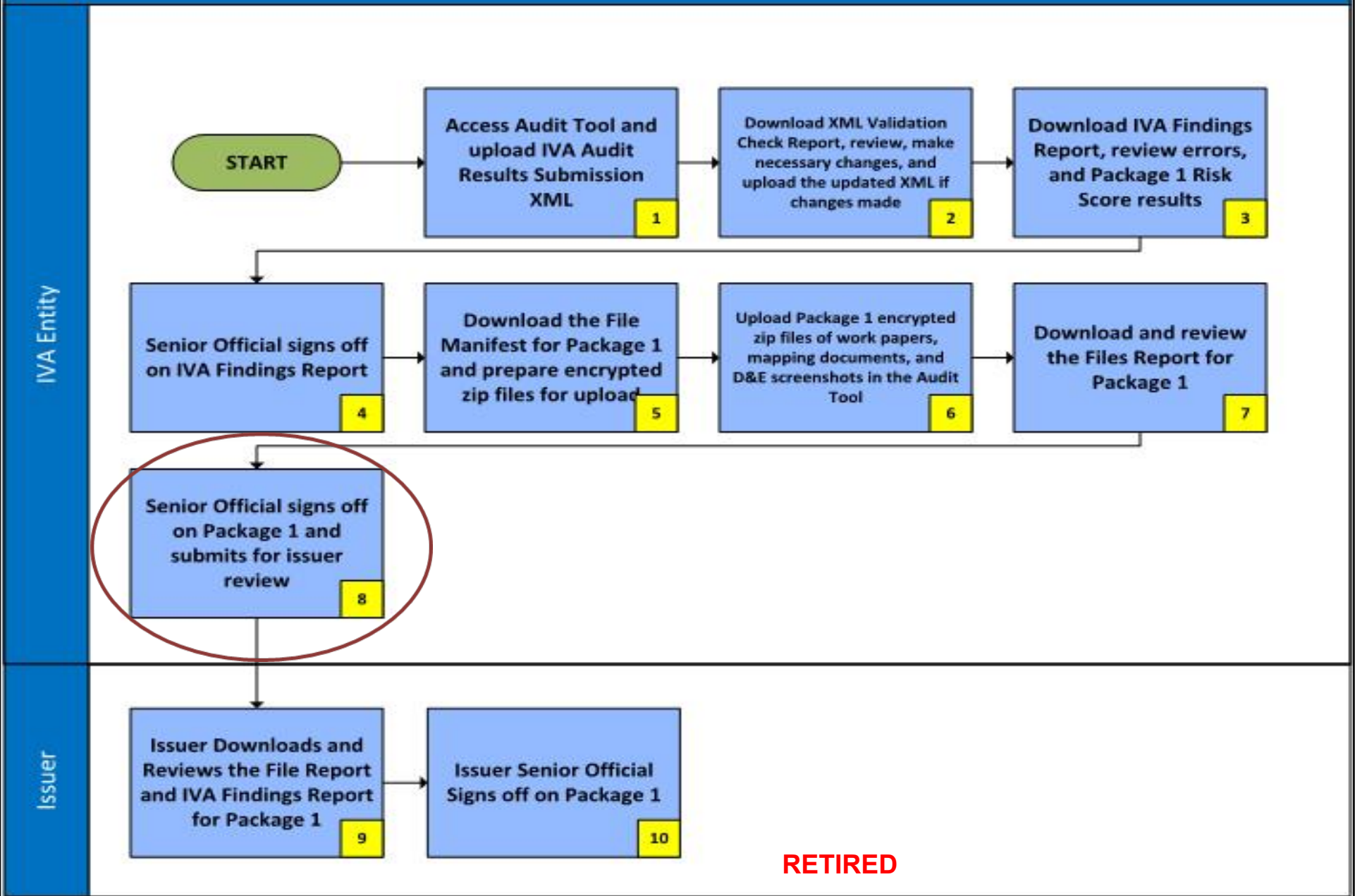
File Upload Impacts – Replacing Files

Incorrect Process – Step 7 (continued)

- **Do Not put the same file in multiple zip files**
 - The Audit Tool does not have control of which version of a file that has been uploaded gets stored, if multiple versions have been uploaded.
 - Reviewers will see all available zip files and will not know which file is the final submission

Original	Second Upload	Third Upload	
12345ZipA	12345ZipB	12345ZipC	System Stores
File1.pdf	File1.pdf	File1.pdf	File1.pdf (from Zip 1)
File2.pdf		File2.pdf	File2.pdf (from Zip 3)
File3.xlsx	File3.xlsx	File3.xlsx	File3.xlsx (from Zip 2)
	File4.pdf		File4.pdf (from Zip 2)
		File5.pdf	File5.pdf (from Zip 3)

IVA Results Submission Process – Package 1 - Step 8



IVA Entity Signoff for Package 1

Overview – Step 8

- After reviewing the IVA Findings Report and Package 1 Files Report, resolving any errors and resubmitting, an IVA Entity SO must signoff on Package 1.
 - By completing the signoff attestation, the IVA Entity SO is certifying that Package 1 is acceptable and ready for issuer review.
 - The issuer is provided with the IVA Findings and Files Reports for Package 1 as well as all zip files that have been uploaded.

IVA Entity Signoff for Package 1

Process – Step 8

From the IVA Entity Package 1 Submission Status page:

1. Select the **Package 1 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 1 Signoff page.
2. Select the **Attestation** checkbox.
3. Select the **Submit** button to navigate to the Confirmation page.
4. Print or save the PDF for your records.

IVA Entity Signoff for Package 1

Process – Step 8 (continued)

Issuer Company Name: ABC Company

HIOS ID: 01239

Password for Zip files:

Encryption Type: AES-256 [?](#)

IVA Findings Report for Package 1 [?](#)

Action	File Name	Status	Last Downloaded Date/Time ?
Download	01239_IVA Findings Report_20171128022415.xml	Processed without Errors <input checked="" type="checkbox"/>	11/27/2017 9:47 PM

Files Report for Package 1 [?](#)

Action	File Name	Status	Last Downloaded Date/Time ?
Download	01239_File Report Pk1_20171128031619.csv	Processed without Errors <input checked="" type="checkbox"/>	11/27/2017 10:20 PM

Note: All files must be downloaded prior to signoff.

Attestation

☒ * I certify that Package 1 is acceptable and ready for issuer signoff.

Submitter Contact Information

First Name: Bob
Email Address: bsmith@blue.com
Phone Number: (111) 111-1111

Last Name: Smith
Job Title: Manager
Phone Extension:

IVA Entity Signoff for Package 1

Process – Step 8 (continued)



Confirmation

Thank you for your submission.

Warning: Please print the PDF for your records before selecting the Exit button.

Print and save the PDF document for your records; it is formal confirmation of the submission of the IVA Entity Package 1 Signoff. If you have any questions please contact CCIIOACARADDataValidation@cms.hhs.gov.

Submission End Time: 11/27/2017 11:22 PM

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



Package 1 Submission Process: Issuer Responsibilities

Issuer Signoff for Package 1 Overview

- The Issuer SOs and RADV Coordinators will receive an email notification when the IVA Results Package 1 is available for review and signoff.
- There are two (2) reports that must be downloaded and reviewed by the Issuer SO or RADV Coordinators.
 - The IVA Findings Report for Package 1
 - The Files Report for Package 1
- While an Issuer SO is required to signoff, the files may be downloaded and reviewed by an Issuer SO or RADV Coordinator.
- Issuer SOs can choose to signoff on an individual or multiple HIOS IDs from the IVA Entity Package 1 Submission Status page.

Issuer Signoff for Package 1

Overview (continued)

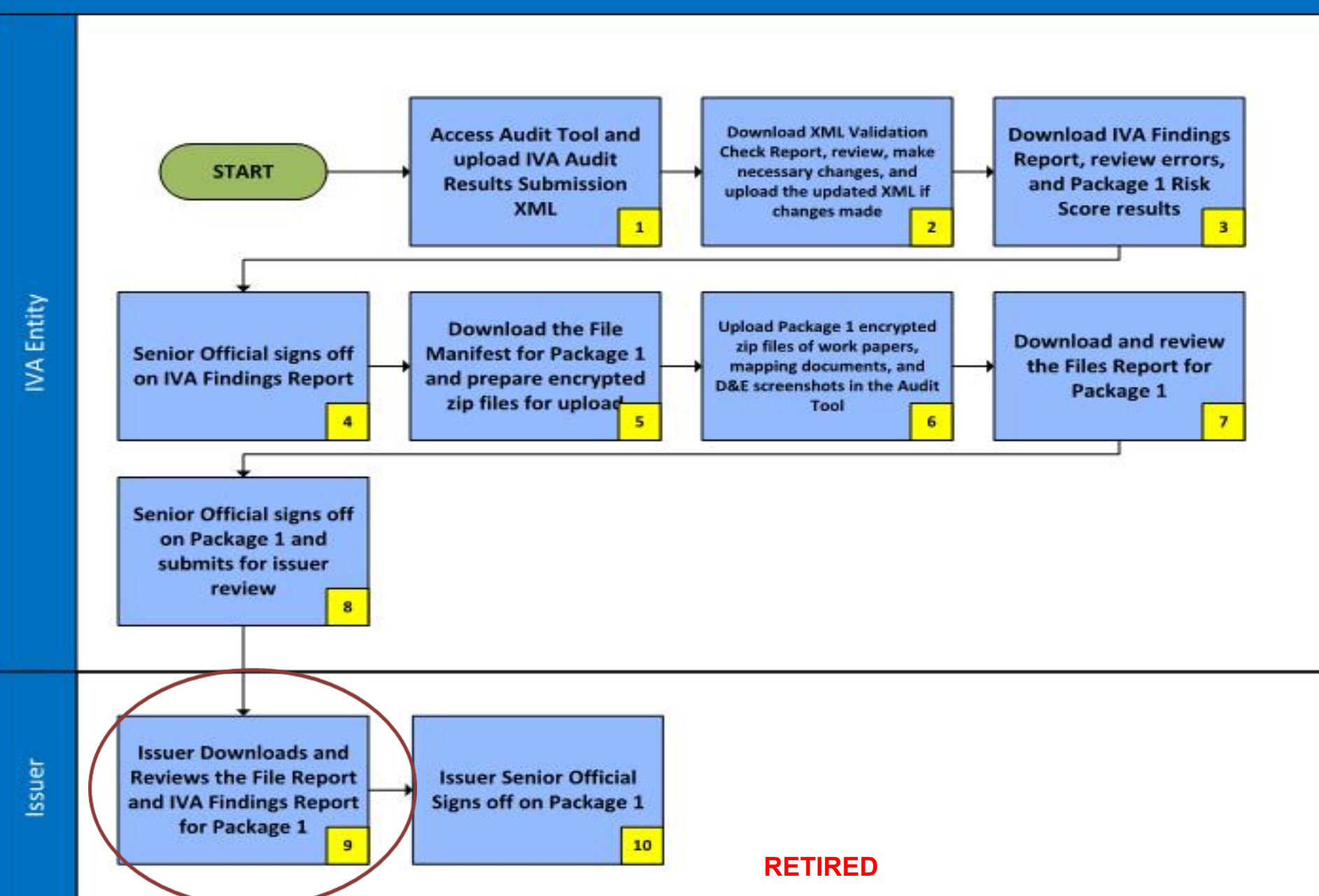
- Issuer signoff of Package 1 completes the IVA Package 1 submission process.
 - It is important to review all warnings in the IVA Findings Report and Files Report for Package 1.
 - The IVA findings report contains the EDGE server generated risk score, the IVA generated risk score and the variance between the two (2).

Issuer Signoff for Package 1

Overview (continued)

- After reviewing the IVA Findings Report for Package 1 and the Files Report for Package 1, an Issuer SO must signoff on Package 1 by choosing approve or reject.
 - Choosing “Reject” requires the IVA Entity to correct any issues using the IVA Submission Process for Package 1. This may include resubmitting the IVA Entity Audit Results Submission XML and all Package 1 files.
 - 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.

IVA Results Submission Process – Package 1 - Step 9



Issuer Submission Status Pages

Package 1 – Step 9 (continued)

Issuer Package 1 Submission Status page

Package 1 Submission Status

Instructions

Select the **Download Reports** link located in the Action column to navigate to the Package 1 Submission Download page for the specified HIOS ID. All Package 1 files must be downloaded and reviewed prior to signoff.

Once all Package 1 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.

Items with a status of **Warning(s) Need Review** in the IVA Findings Report for Package 1 Status and Files Report for Package 1 Status columns may impact the final risk score calculation.

Select one of the following to:

[Download IVA Findings Reports for Package 1](#) to download the IVA Findings Reports for multiple HIOS IDs.

[Download Files Reports for Package 1](#) to download Files Reports for Package 1 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 (*).

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

Access the Issuer Submission Status Pages – Package 1 - Step 9

Issuer Package 1 Submission Status Page

Submission Status

Action*	IVA Entity Name	HIOS ID ▲	IVA Findings Report for Package 1 Status	Files Report for Package 1 Status	Package 1 Issuer Signoff Status
Download Reports	Blue IVA Entity	01231 IVA Entity History Issuer History	Processed without Errors ✔	Processed without Errors ✔	Approved 11/22/2017 ✔
Download Reports	Blue IVA Entity	01234 IVA Entity History Issuer History	Processed without Errors ✔	Processed without Errors ✔	Approved 11/26/2017 ✔
Download Reports	Blue IVA Entity	01237 IVA Entity History Issuer History	Processed without Errors ✔	Processed without Errors ✔	Approved 11/22/2017 ✔
Download Reports --None-- ▼	Blue IVA Entity	01239 IVA Entity History Issuer History	Processed without Errors ✔	Processed without Errors ✔	Pending

Exit Back Continue

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

Issuer - IVA Findings Report for Package 1 Download Process – Step 9

IVA Findings Report -

- From the Issuer Package 1 Submission Status Page:
 1. Select the **Download IVA Findings Reports for Package 1** link to navigate to the IVA Findings Reports for Package 1 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 Issuer Package 1 Submission Status page.

Issuer - IVA Findings Report for Package 1 Download Process – Step 9 (continued)



Guidance

IVA Findings Report for Package 1 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.

Items with a status of **Warning(s) Need Review** in the Status column may impact the final risk score calculation.

IVA Findings Report for Package 1 ?

Select	HIOS ID	File Name	Status	Last Downloaded by Issuer Date/Time ?	Password
<input type="checkbox"/>	01230	01230_IVA Findings Report_20171126160807.xml	Processed without Errors	11/26/2017 11:56 AM	
<input type="checkbox"/>	01231	01231_IVA Findings Report_20171120200752.xml	Processed without Errors	11/22/2017 3:48 PM	
<input type="checkbox"/>	01234	01234_IVA Findings Report_20171126141112.xml	Processed without Errors	11/26/2017 9:43 AM	
<input type="checkbox"/>	01237	01237_IVA Findings Report_20171122173019.xml	Processed without Errors	11/22/2017 1:05 PM	
<input checked="" type="checkbox"/>	01239	01239_IVA Findings Report_20171128022415.xml	Processed without Errors	N/A	

Exit

Return to Status page

Download



Issuer - Files Report for Package 1 Download Process – Step 9

Files Report -

- From the Issuer Package 1 Submission Status Page:
 1. Select the **Download Files Reports for Package 1** link to navigate to the IVA Findings Reports for Package 1 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 Issuer Package 1 Submission Status page.

Issuer - Files Report for Package 1

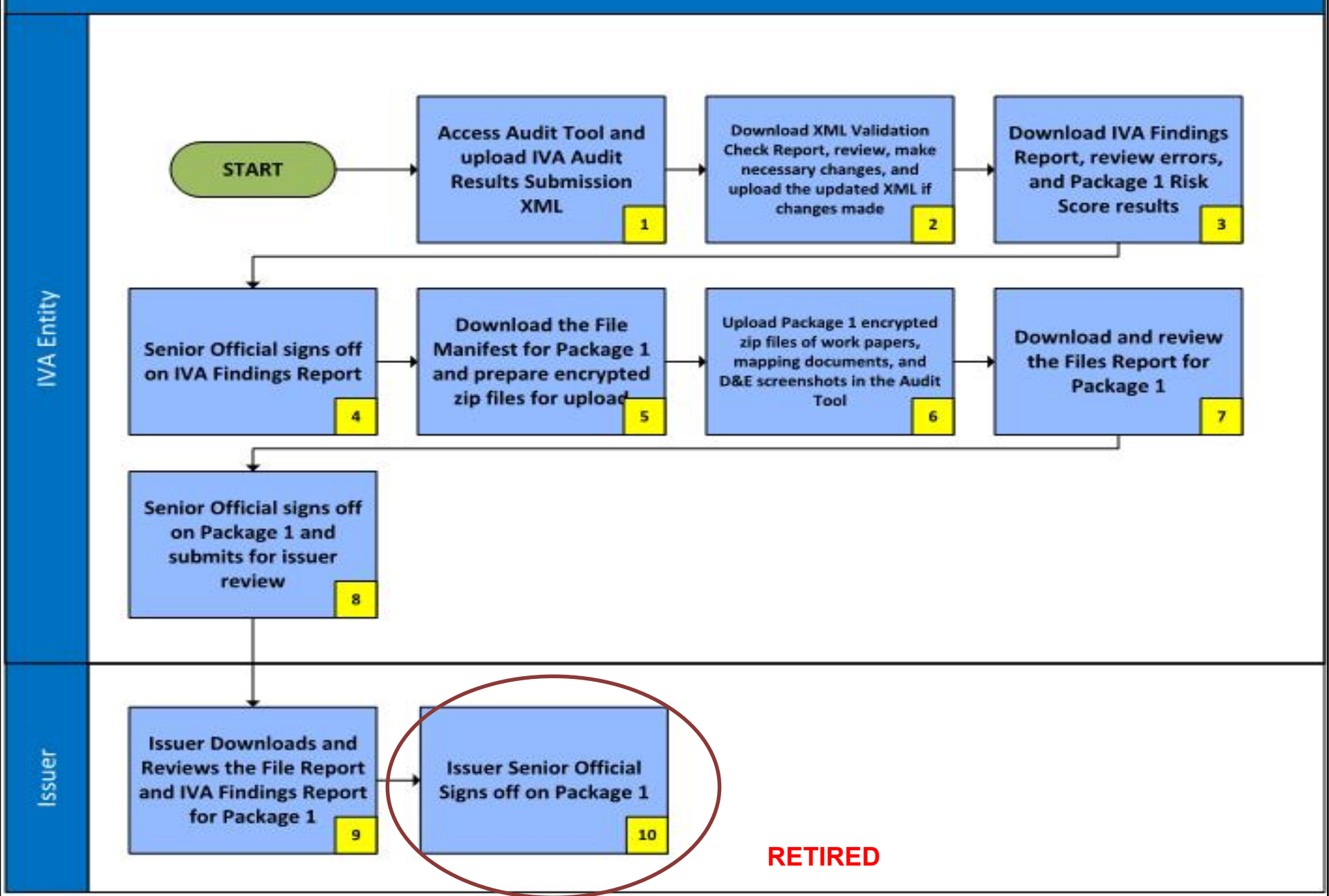
Download Process – Step 9 (continued)

Files Reports for Package 1 ?

Select	HIOS ID	File Name	Status	Last Downloaded Date/Time ?	Password
<input type="checkbox"/>	01230	01230_File Report Pk1_2017112616172 4.csv	Processed without Errors	11/26/2017 11:56 AM	<input type="password"/>
<input type="checkbox"/>	01231	01231_File Report Pk1_2017112220045 2.csv	Processed without Errors	11/22/2017 3:46 PM	<input type="password"/>
<input type="checkbox"/>	01234	01234_File Report Pk1_2017112614170 6.csv	Processed without Errors	11/26/2017 9:43 AM	<input type="password"/>
<input type="checkbox"/>	01237	01237_File Report Pk1_2017112217351 2.csv	Processed without Errors	11/22/2017 1:05 PM	<input type="password"/>
<input type="checkbox"/>	01239	01239_File Report Pk1_2017112803161 9.csv	Processed without Errors	N/A	<input type="password"/>
<input type="checkbox"/>	02346	02346_File Report Pk1_2017112718484 8.csv	Processed without Errors	11/27/2017 2:28 PM	<input type="password"/>

[Exit](#) [Return to Status page](#) [Download](#)

IVA Results Submission Process – Package 1 - Step 10



Issuer - Signoff for Package 1 - Step 10

- After the issuer has reviewed the Files Report and IVA Findings Report for Package 1 the Issuer SO may signoff on Package 1 using one (1) of two (2) methods
 - Signoff for one (1) HIOS ID at a time.
 - Select a “Approve” or “Reject” HIOS IDs in the status table and select the continue button.
 - Signoff for multiple HIOS ID at one (1) time.
 - Select a “Approve” or “Reject” for multiple HIOS IDs in the status table and select the continue button.

Issuer - Signoff for Package 1 – Step 10 (continued)

- From the Issuer Package 1 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(s).
 - The Approve or Reject action will not be available until the IVA Findings and Files Reports for Package 1 have been downloaded.
 2. Select the **Continue** button to navigate to the Issuer Package 1 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 1 – Step 10 (continued)

Submission Status

Action*	IVA Entity Name	HIOS ID	IVA Findings Report for Package 1 Status	Files Report for Package 1 Status	Package 1 Issuer Signoff Status
Download Reports	Blue IVA Entity	01231 IVA Entity History Issuer History	Processed without Errors ✓	Processed without Errors ✓	Approved 11/22/2017 ✓
Download Reports	Blue IVA Entity	01234 IVA Entity History Issuer History	Processed without Errors ✓	Processed without Errors ✓	Approved 11/26/2017 ✓
Download Reports	Blue IVA Entity	01237 IVA Entity History Issuer History	Processed without Errors ✓	Processed without Errors ✓	Approved 11/22/2017 ✓
Download Reports	Blue IVA Entity	01239 IVA Entity History Issuer History	Processed without Errors ✓	Processed without Errors ✓	Pending

Exit

Back

Continue

Issuer - Signoff for Package 1 – Step 10 (continued)

- After Selecting “Approve” or “Reject” for one (1) or more HIOS IDs, the Issuer SO will continue to the Issuer Package 1 Signoff page to verify selection and enter rejection comments as necessary.

Issuer Package 1 Signoff

Instructions

Review the HIOS ID(s) indicated as approved or rejected for Package 1. To change your signoff selection, select the **Back** button. Select the **Submit** button to submit Package 1 signoff for the listed HIOS ID(s).

Package 1 Approved HIOS ID(s)

I/A Entity Name	HIOS ID
Blue I/A Entity	01239

Submitter Contact Information

First Name:	Mary	Last Name:	Jones
Email Address:	mjones@abc.com	Job Title:	Manager
Phone Number:	(111) 111-1111	Phone Extension:	

[Exit](#) [Back](#) [Submit](#)

Issuer - Signoff for Package 1 – Step 10 (continued)



Confirmation

Warning: Please print the PDF for your records before selecting the Exit button.

Thank you for your submission.

Print and save the PDF document for your records; it is formal confirmation of the submission of Package 1 Signoff. If you have any questions please contact CCIOACARADDataValidation@cms.hhs.gov.

Submission End Time: 11/27/2017 11:54 PM

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



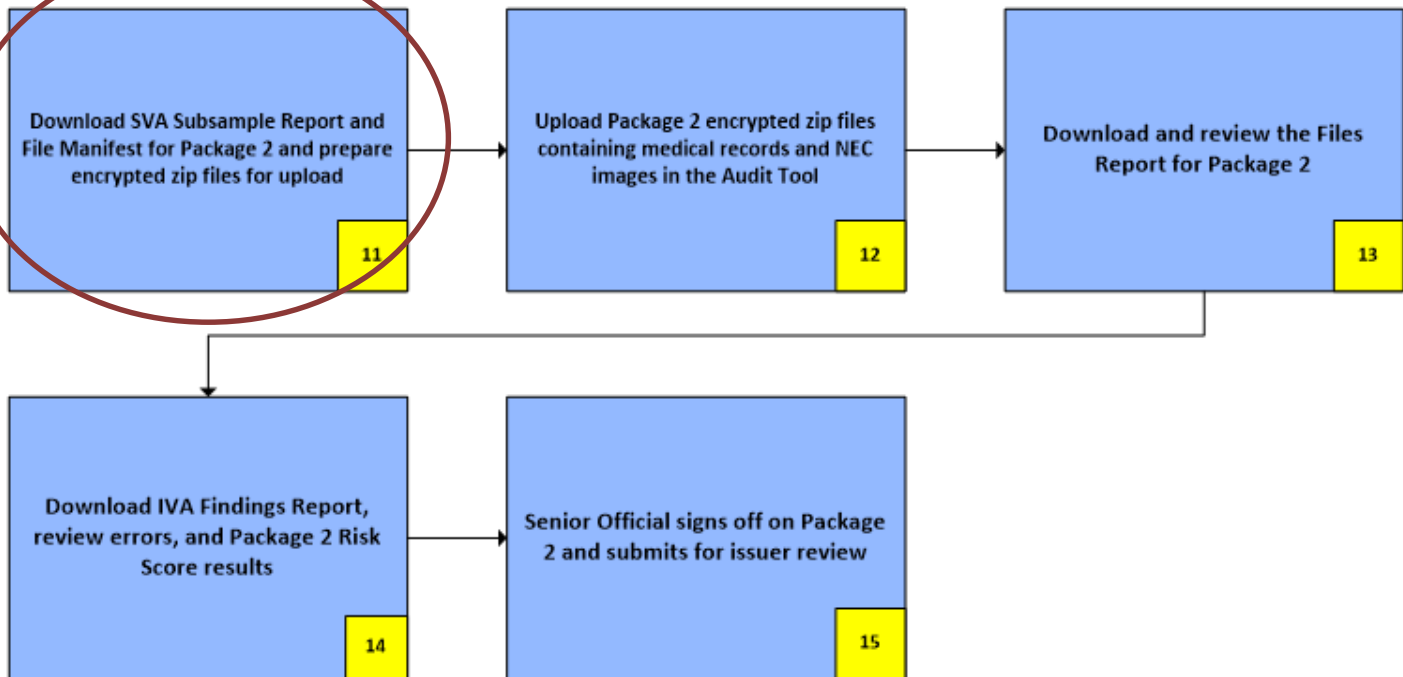
Issuer - IVA Entity Notification of Package 1 Approval/Rejection – Step 10

If	Then
The Issuer SO approves the Package 1 Submission,	IVA Entity SOs and RADV Coordinators will receive a confirmation email which includes notification that the Package 2 Reports are available.
The Issuer SO rejects the Package 1 Submission,	The IVA Entity must review the issuer's rejection notes in the audit tool and correct any issues using the IVA Submission Process for Package 1. This may include resubmitting the IVA Entity Audit Results Submission XML and all Package 1 files.

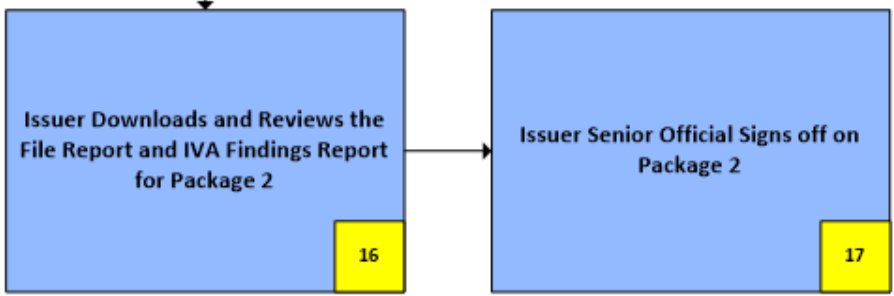
Package 2 Submission Process: IVA Entity Responsibilities

IVA Results Submission Process – Package 2 - Step 11

IVA Entity



Issuer



RETIRED

IVA Entity - SVA Subsample Report and File Manifest for Package 2 Overview – Step 11

- The SVA Subsample Report and the File Manifest for Package 2 will be available following issuer signoff on Package 1.
 - The SVA Subsample report contains the list of enrollees in the SVA subsample for the Package 2 (medical records) submission.
 - The File Manifest for Package 2 contains the list of medical records, NEC screen shots and workpaper files that were reported in the IVA Entity Audit Results Submission XML for the enrollees in the SVA subsample.

IVA Entity - SVA Subsample Report for Package 2 Download Process – Step 11

- From the IVA Entity Package 2 Submission Status Page:
 1. Select the **Download SVA Subsample Reports** link to navigate to the SVA Subsample Reports 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 2 Submission Status page.

Submission Status Pages Package 2

IVA Entity Package 2 Submission Status page



[Guidance](#)

Package 2 Submission Status

Package 2 Submission Instructions

For each HIOS ID:

- Select the **Upload/Download Pkg 2 Docs** link in the Submission Status table to upload (or download after submission) the Package 2 files
- Select the **Package 2 IVA Entity Signoff** link to sign off on the Package 2 submission

If a status of **Error(s) Must Resubmit** is indicated in the Files Report for Package 2 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 2 Status or IVA Findings Report for Package 2 Status columns does not require resubmission, but the final risk score calculation may be impacted.

Select one of the following to:

[Download SVA Sub-sample Reports](#) to download SVA Sub-sample Reports for multiple HIOS IDs.

[Download File Manifest for Package 2](#) to download File Manifests for multiple HIOS IDs.

[Download Files Reports for Package 2](#) to download Files Reports for multiple HIOS IDs.

[Download IVA Findings Reports for Package 2](#) to download Final IVA Findings Reports for multiple HIOS IDs.

Sort the columns of the Submission Status table by selecting the up or down arrows for each column.

The links on the top of the page allow you to download files for multiple HIOS IDs.



Submission Status Pages Package 2

(continued)

IVA Entity Package 2 Submission Status Page

Submission Status

Action	Issuer Company Name	HIOS ID [▲]	Package 1 Issuer Signoff [?]	SVA Sub-sample Status [?]	Files Report for Package 2 Status	IVA Findings Report for Package 2 Status	Package 2 IVA Entity Signoff	Package 2 Issuer Signoff [?]
	ABC Company	01230 History		Not Yet Available				
Upload/Download Pkg 2 Docs	ABC Company	01231 History	Approved 11/22/2017 <input checked="" type="checkbox"/>	Downloaded				
Upload/Download Pkg 2 Docs	ABC Company	01234 History	Approved 11/26/2017 <input checked="" type="checkbox"/>	Downloaded	Processed without Errors <input checked="" type="checkbox"/>	Processing		
	ABC Company	01235 History		Not Yet Available				
Upload/Download Pkg 2 Docs	ABC Company	01237 History	Approved 11/22/2017 <input checked="" type="checkbox"/>	Downloaded	Processed without Errors <input checked="" type="checkbox"/>	Processed without Errors <input checked="" type="checkbox"/>	11/26/2017 10:19 AM <input checked="" type="checkbox"/>	Approved 11/26/2017 <input checked="" type="checkbox"/>
	ABC Company	01239 History	Approved 11/27/2017 <input checked="" type="checkbox"/>	New				
Upload/Download Pkg 2 Docs	123 Company	02346 History	Approved 11/27/2017 <input checked="" type="checkbox"/>	Downloaded	Processed without Errors <input checked="" type="checkbox"/>	Processing		
	123 Company	02348 History		Not Yet Available				

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

IVA Entity – SVA Subsample Download Process – Step 11

- From the IVA Entity Package 2 Submission Status Page:
 1. Select the **Download SVA Subsample** link to navigate to the SVA Sub-sample Download page.
 2. Select the checkbox(es) in the Select column for the specific HIOS ID(s).
 - You can choose to select one 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 2 Submission Status page.

IVA Entity - SVA Subsample Report for Package 2 Download Process – Step 11

SVA Sub-sample Reports ?

Select	Issuer Company Name	HIOS ID	SVA Sub-sample Status	File Name	Last Downloaded Date/Time	Password
<input type="checkbox"/>	ABC Company	01231	Downloaded	01231-RADV_SVA_Subsample.csv.zip	11/22/2017 4:29 PM	
<input type="checkbox"/>	ABC Company	01234	Downloaded	01234-RADV_SVA_Subsample.csv.zip	11/26/2017 9:54 AM	
<input type="checkbox"/>	ABC Company	01237	Downloaded	01237-RADV_SVA_Subsample.csv.zip	11/22/2017 1:31 PM	
<input type="checkbox"/>	123 Company	01239	New	01239-RADV_SVA_Subsample.csv.zip		
<input type="checkbox"/>	123 Company	02346	Downloaded	02346-RADV_SVA_Subsample.csv.zip	11/27/2017 2:32 PM	

Exit

Return to Status page

Download

IVA Entity - File Manifest for Package 2 Download Process – Step 11

- From the IVA Entity Package 2 Submission Status Page:
 1. Select the **Download File Manifest for Package 2** link to navigate to the File Manifest for Package 2 Download page.
 2. Select the checkbox(es) in the Select column for the specific HIOS ID(s).
 - You can choose to select one 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 2 Submission Status page.

File Manifest for Package 2

Download Process – Step 11

File Manifest for Package 2 ?

Select	Issuer Company Name	HIOS ID	File Manifest Status	File Name	Password
<input type="checkbox"/>	ABC Company	01234	New	01234_File Manifest Pk2_20171126144616.csv	
<input type="checkbox"/>	ABC Company	01237	New	01237_File Manifest Pk2_20171122182924.csv	
<input type="checkbox"/>	ABC Company	01239	New	01239_File Manifest Pk2_20171128045455.csv	
<input type="checkbox"/>	123 Company	02346	New	02346_File Manifest Pk2_20171127192818.csv	

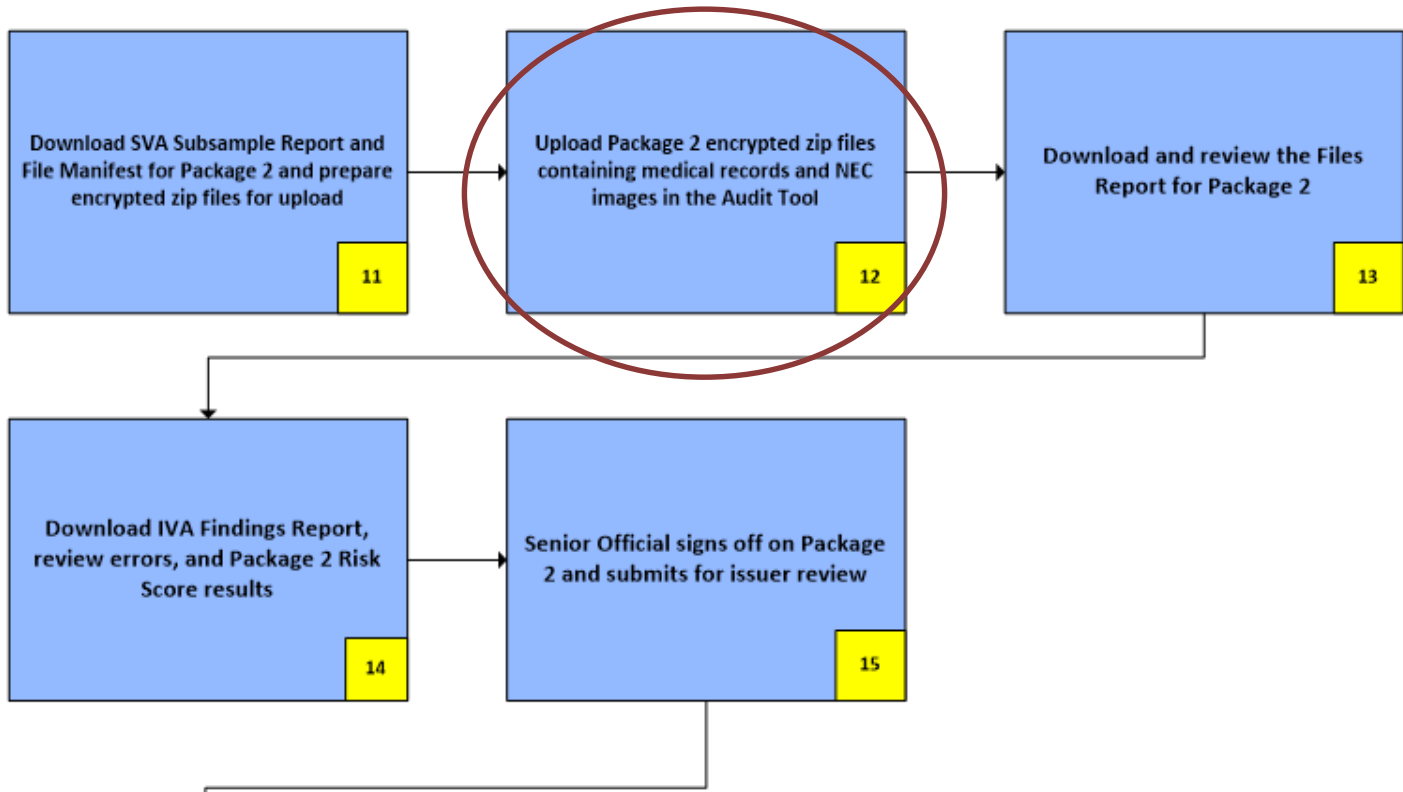
Exit

Return to Status page

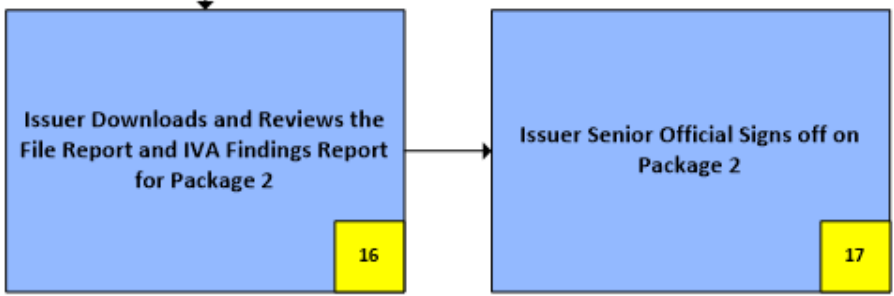
Download

IVA Results Submission Process – Package 2 - Step 12

IVA Entity



Issuer



RETIRED

IVA Entity - Package 2 Files Upload Overview – Step 12 (continued)

- Package 2 contains the following files for the enrollees 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.

IVA Entity - Package 2 Files Upload Process – Step 12

- From the IVA Entity Package 2 Submission Status Page:
 1. Select the **Upload/Download Pkg 2 Docs** link in the Action column of the Submission Status table for the appropriate Company/HIOS ID to navigate to the Package 2 File Upload page.
 2. Select the **Browse/Choose File** button to locate your Package 2 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 2 files have been uploaded.
 5. Select the **Package 2 File upload complete** button when the Package 2 file upload has been completed.
 6. Select the **Return to Status page** button to return to the IVA Entity Package 2 Submission Status page.

IVA Entity - Package 2 Files Upload Process – Step 12 (continued)

HIOS ID: 01239

Password for Zip files:

Encryption Type: AES-256 ?

File Manifest for Package 2 ?

Action	File Name	File Manifest Status
Download	01239_File Manifest Pk2_20171128045455.csv	Downloaded

SVA Subsample ?

Action	File Name	SVA Subsample Status
Download	01239-RADV_SVA_Subsample.csv.zip	Downloaded

* Upload a File

No file selected.

Maximum file size: 250 MB

Package 2 File(s) ?

Action	File Name	Uploaded Date/Time ?
--------	-----------	----------------------

Package 2 file upload completed

Files Report for Package 2 ?

Action	File Name	Status	Created Date/Time ?

IVA Findings Report for Package 2 ?

Action	File Name	Status	Created Date/Time ?

IVA Entity - Package 2 Files Upload Process – Step 12 (continued)

You have uploaded a Package 2 File(s) but have not selected the "Package 2 file upload completed" button. Your files will not be processed until the button is clicked.

Issuer Company Name: ABC Company

HIOS ID: 01239

Password for Zip files:

Encryption Type: AES-256

File Manifest for Package 2

Action	File Name	File Manifest Status
Download	01239_File Manifest PK2_20171130210143.csv	Downloaded

SVA Subsample

Action	File Name	SVA Subsample Status
Download	01239-RADV_SVA_Subsample.csv.zip	Downloaded

* Upload a File

No file selected.

Maximum file size: 250 MB

Package 2 File(s)

Action	File Name	Uploaded Date/Time
Download Delete	Package 2 TEST FILE A - 01239.zip	11/30/2017 4:06 PM
Download Delete	Package 2 TEST FILE B - 01239.zip	11/30/2017 4:06 PM

Files Report for Package 2

Action	File Name	Status	Created Date/Time
		Awaiting Package 2 Upload	

IVA Findings Report for Package 2

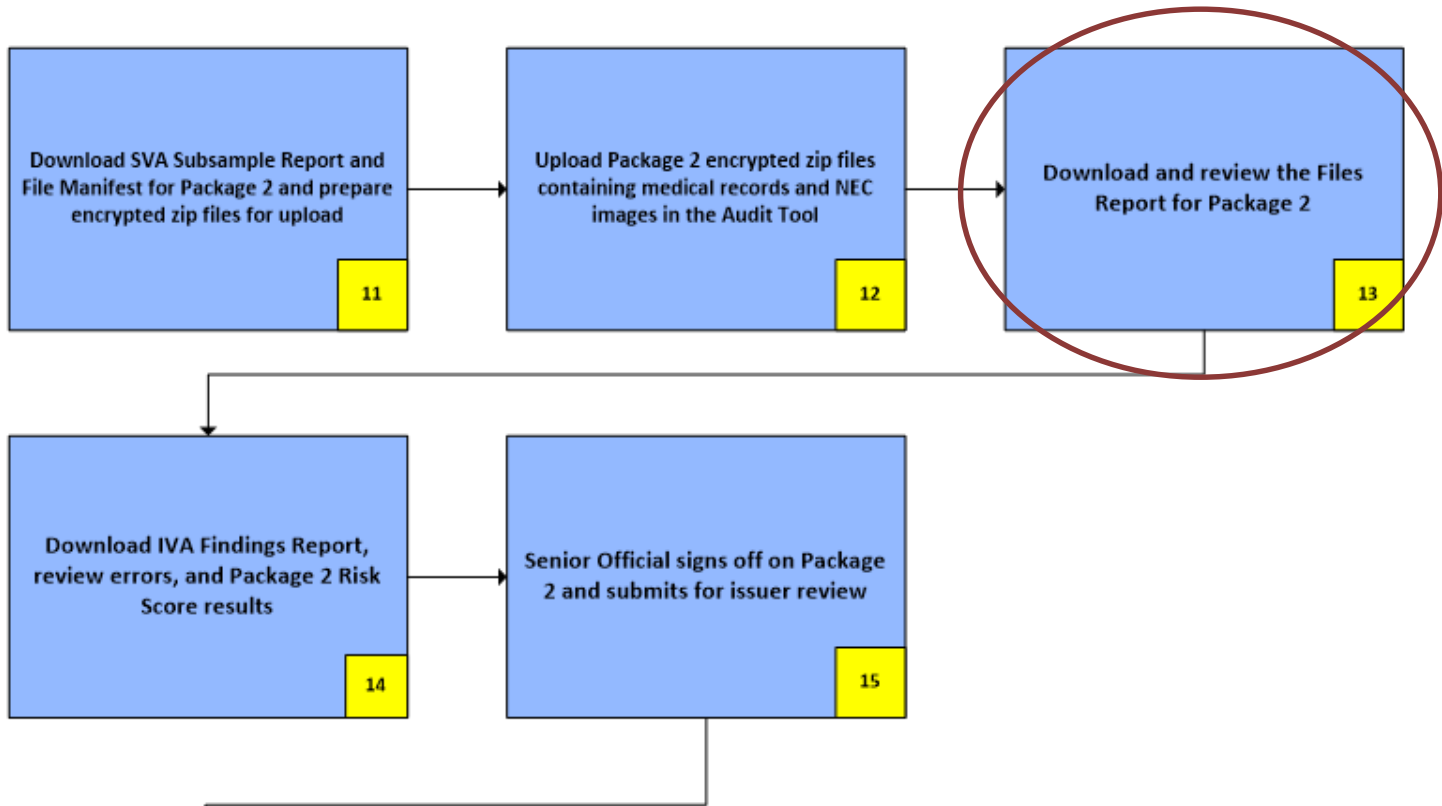
Action	File Name	Status	Created Date/Time
		Awaiting Package 2 Upload	

Delay in Receipt of Files Report – Step 12

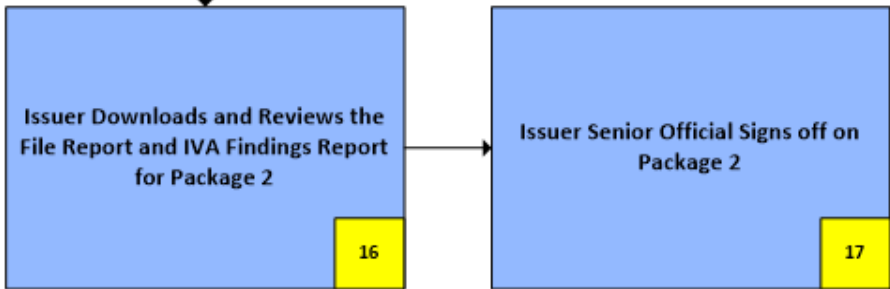
- If you think that the files were submitted but have not received the Files Report for Package 2, confirm that you selected the **Package 2 file upload complete** button.
- If the upload screen continues to show “Processing”, you may have experienced a time out.
 - Navigate back to the Package 2 Files Upload page to see if the file is listed in the Package 2 Files table.

IVA Results Submission Process – Package 2 - Step 13

IVA Entity



Issuer



RETIRED

IVA Entity - Files Report for Package 2 Overview – Step 13 (continued)

- The Files Report for Package 2 contains the results of Package 2 File validation and includes a response record for each file uploaded in Package 2 compared to the File Manifest for Package 2.
 - The file manifest for Package 2 includes the files listed in the IVA Entity Audit Results Submission XML
- The submitter of the Package 2 Files and the IVA Entity SOs will receive an email notification when the Files Report for Package 2 is available.

IVA Entity - Files Report for Package 2 Download Process – Step 13

- From the IVA Entity Package 2 Submission Status page:
 1. Select the **Download Files Reports for Package 2** link to navigate to the Files Report for Package 2 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 2 Submission Status page.

IVA Entity - Files Report for Package 2 Download Process – Step 13 (continued)

Files Report for Package 2 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 2 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 2 ?

Select	HIOS ID	File Name	Status	Last Downloaded Date/Time	Password
<input type="checkbox"/>	01234	01234_File Report Pk2_20171126151502.csv	Processed without Errors		
<input type="checkbox"/>	01237	01237_File Report Pk2_20171122184902.csv	Processed without Errors	11/26/2017 10:23 AM	
<input type="checkbox"/>	01239	01239_File Report Pk2_20171128155047.csv	Processed without Errors		
<input type="checkbox"/>	02346	02346_File Report Pk2_20171127202519.csv	Processed without Errors		

Exit

Return to Status page

Download

IVA Entity - Interpreting the Files Report for Package 2 – Step 13

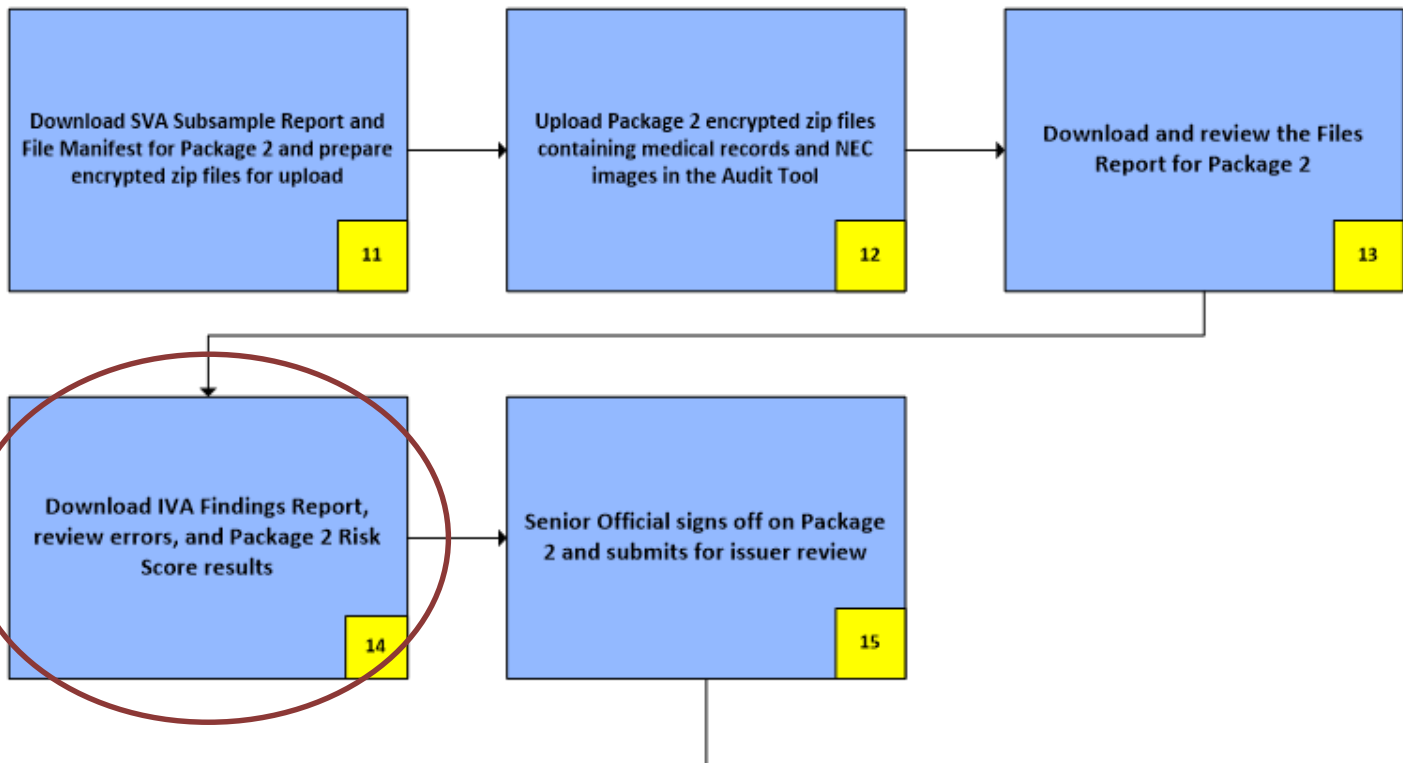
- The Files Report for Package 2 contains Fatal Errors, Critical Errors, and Warnings.
 - **Fatal Error(s)**: If these errors occur in the Files Report for Package 2 they must be addressed and corrected and files resubmitted for that Package.
 - **Critical Error(s)**: If these errors occur in the Files Report for Package 1 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.
- If you need to split and resubmit file(s) to meet file size limits, you must submit a File Name Revisions XML.

IVA Entity - Interpreting the Files Report for Package 2 – Step 13 (continued)

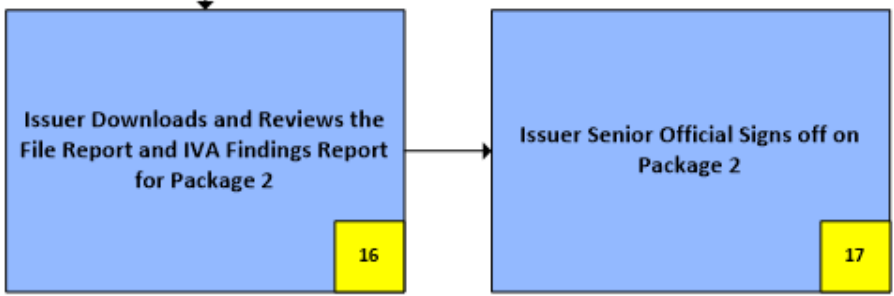
- A status of **Warning(s) Need Review** does not require file resubmission, but may impact the final risk score calculation.
 - Warnings will be included in the Files Report for Package 2, however the impact to the risk score will be included in the IVA Findings Report.
 - If the an enrollee's risk score is lower, it may be an indication that a medical record specified in the IVA Entity Audit Results Submission XML was not submitted, resulting in an unsubstantiated HCC.
- 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 2 - Step 14

IVA Entity



Issuer



RETIRED

IVA Entity - IVA Findings Report for Package 2 Overview – Step 14

- The IVA Findings Report incorporates further validation after the Package 2 file submission and calculates enrollee risk score results using IVA HCC findings.
 - Enrollee risk scores should be the same as in the IVA Findings Report from Package 1, unless a medical record expected to be submitted in Package 2 is not submitted.
 - If an expected medical record is not submitted, the HCCs associated with that medical record will not be used in the risk score calculation.
- The Submitter of the Package 2 files will receive an email notification when the Files Report and the IVA Findings Report for Package 2 are available.

IVA Entity - IVA Findings Report for Package 2 Download Process – Step 14

- From the IVA Entity Package 2 Submission Status Page:
 1. Select the **Download IVA Findings Reports for Package 2** link to navigate to the IVA Findings Reports for Package 2 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 2 Submission Status page.

IVA Entity - IVA Findings Report for Package 2

Download Process – Step 14 (continued)

IVA Findings Report for Package 2 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 2 History page.

A status of **Warning(s) Need Review** in the Status column does not require a file resubmission, but may impact the final risk score calculation.

IVA Findings Reports for Package 2 ?

Select	HIOS ID	File Name	Status	Last Downloaded Date/Time	Password
<input type="checkbox"/>	01237	01237_IVA Findings Report 2_20171122184906.xml	Processed without Errors	11/26/2017 10:23 AM	
<input type="checkbox"/>	01239	01239_IVA Findings Report 2_20171128155119.xml	Processed without Errors		
<input type="checkbox"/>	02346	02346_IVA Findings Report 2_20171127202533.xml	Processing		

Exit

Return to Status page

Download

IVA Entity - Interpreting the IVA Findings Report for Package 2 – Step 14 (continued)

- The IVA Findings Report for Package 2 should be viewed in conjunction with the Files Report for Package 2. A lower risk score may be explained by files that were expected, but not included in the Package 2 submission.

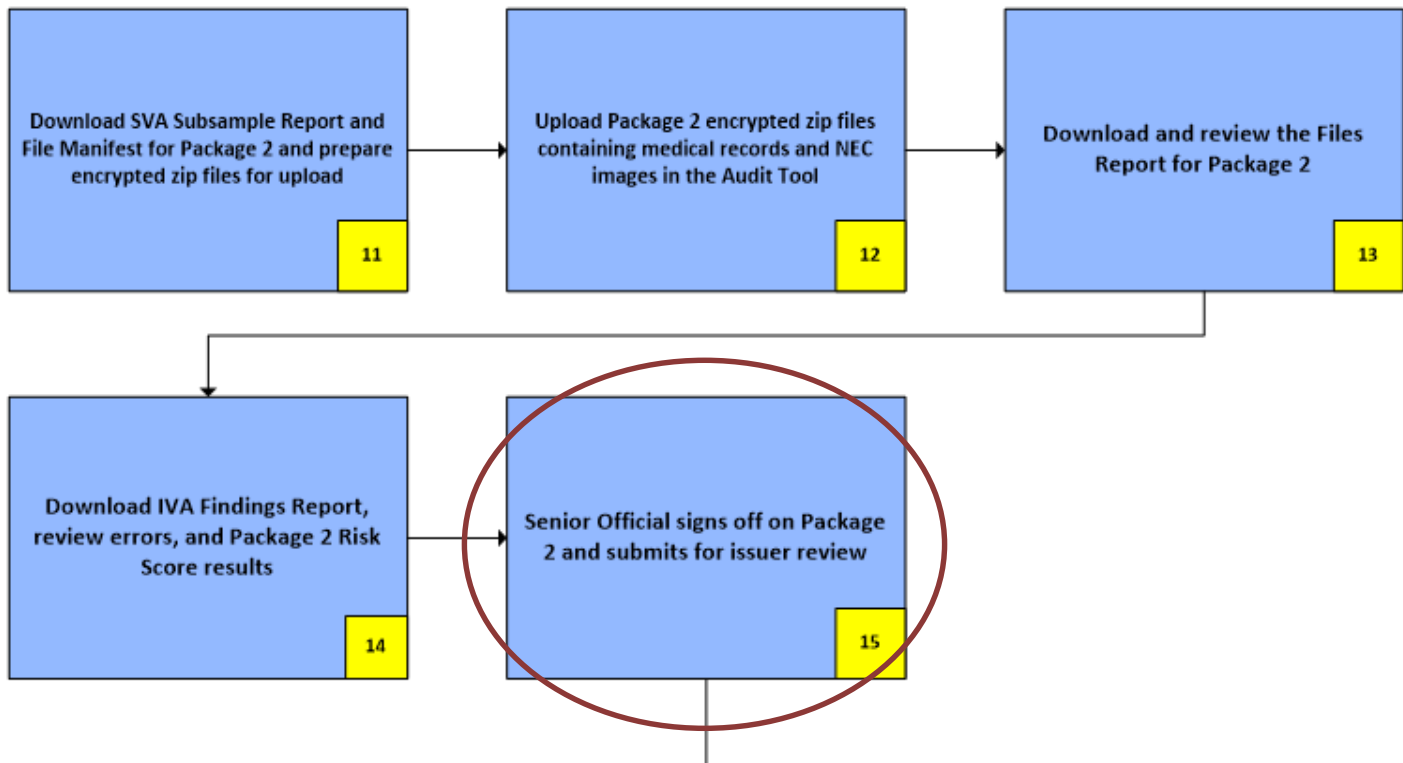
```
- <enrResponseItem>
  <mrCount>2</mrCount>
  <uniqueDiagCount>3</uniqueDiagCount>
  <uniqueHccCount>1</uniqueHccCount>
  <radvdeRiskScore>2.359</radvdeRiskScore>
  <ivaRiskScorePk1>2.541</ivaRiskScorePk1>
  <deltaRSRadvdeIvaPk1>0.182</deltaRSRadvdeIvaPk1>
  <ivaRiskScorePk2>1.320</ivaRiskScorePk2>
  <deltaRSRadvdeIvaPk2>-1.039</deltaRSRadvdeIvaPk2>
</enrResponseItem>
```

issuerIden	uniqueEnrolleed	mrIdentifier	neclIdentifi	fileName	expectedF	receivedFil	responseC	responseMessage
1234	82353ETD	01234MR8235302		MR456785	23.64		5.3.3	Expected file missing.
1234	82353ETD	01234MR8235302		MR456785	75.45		5.3.3	Expected file missing.
1234	82353ETD	01234MR8235302	01234NEC	NEC86753	86.24		5.3.3	Expected file missing.
1234	82353ETD	01234MR8235302	01234NEC	NEC12468	76.14		5.3.3	Expected file missing.
12345				INVALID_FILE.pdf		25	5.3.2	No file name match found.

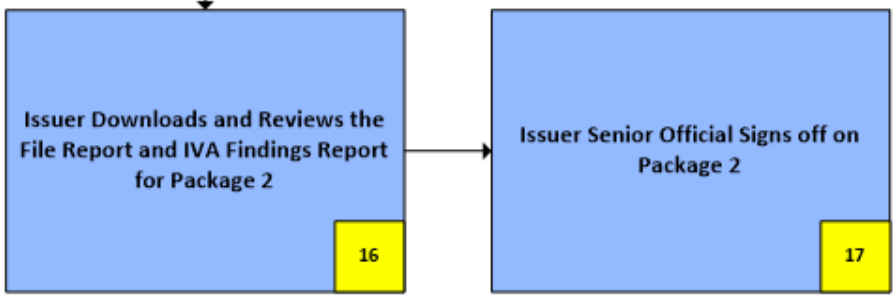
For more information on adding and replacing files, reference slides 58, 68 and 69.

IVA Results Submission Process – Package 2 - Step 15

IVA Entity



Issuer



RETIRED

IVA Entity - Signoff for Package 2 Overview

– Step 15

- After reviewing the Package 2 documentation, an IVA Entity SO must signoff on Package 2.
 - By completing the signoff attestation, the IVA Entity SO is certifying that Package 2 is acceptable and ready for issuer review.
 - The issuer is presented with the IVA Findings and Files Reports for Package 2, as well as all zip files that have been uploaded.

IVA Entity - Signoff for Package 2

Process – Step 15

- From the IVA Entity Package 2 Submission Status Page:
 1. Select the **Package 2 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 2 Signoff page.
 2. Select the **Attestation** checkbox.
 3. Select the **Submit** button.

IVA Entity - Signoff for Package 2

Process – Step 15 (continued)

Issuer Company Name: ABC Company

HIOS ID: 01239

Password for Zip files:

Encryption Type: AES-256 [?](#)

Files Report for Package 2 [?](#)


Action	File Name	Status	Last Downloaded Date/Time ?
Download	01239_File Report Pk2_20171128155047.csv	Processed without Errors <input checked="" type="checkbox"/>	11/28/2017 11:00 AM

IVA Findings Report for Package 2 [?](#)

Action	File Name	Status	Last Downloaded Date/Time ?
Download	01239_IVA Findings Report 2_20171128155119.xml	Processed without Errors <input checked="" type="checkbox"/>	11/28/2017 11:07 AM

Note: All files must be downloaded prior to signoff.

Attestation

 * I certify that Package 2 is acceptable and ready for issuer signoff.

Submitter Contact Information

First Name: Bob

Email Address: bsmith@blue.com

Phone Number: (111) 111-1111

Last Name: Smith

Job Title: Manager

Phone Extension:

Package 2 Submission Process: Issuer Responsibilities

Issuer Signoff for Package 2

Overview

- The Issuer SOs and RADV Coordinators will receive an email notification when the IVA Results Package 2 is available for review and signoff.
- There are two reports that must be downloaded and reviewed by the Issuer SO or RADV Coordinator.
 - The IVA Findings Report for Package 2.
 - The Files Report for Package 2.
- While an Issuer SO is required to signoff, the files may be downloaded and reviewed by an Issuer SO or RADV Coordinator.
- Issuer SOs can choose to signoff on an individual or multiple HIOS IDs from the IVA Entity Package 2 Submission Status page.

Issuer Signoff for Package 2 Overview

- After reviewing the Package 2 documentation, an Issuer SO must signoff on Package 2 by choosing approve or reject.
 - Choosing “Reject” requires the IVA Entity to add* or replace Package 2 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.



*Refer to slide 127 for restrictions information.

Issuer Signoff for Package 2 Overview

(continued)

- Please Note:



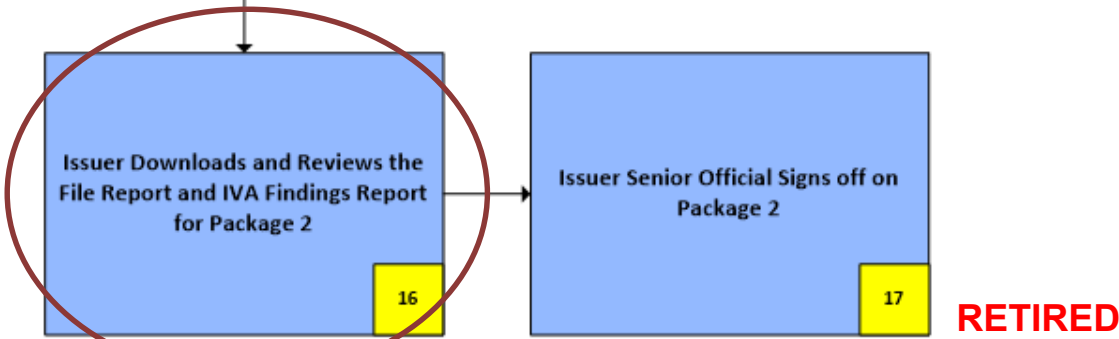
Issuer rejection of Package 2 does not allow the IVA Entity to upload Medical Records not previously identified in the IVA Entity Audit Results Submission XML.

IVA Results Submission Process – Package 2 - Step 16

IVA Entity



Issuer



Issuer - Files Report for Package 2 Download Process – Step 16

- From the Issuer Package 2 Submission Status page:
 1. Select the **Download Files Reports for Package 2** link to navigate to the Files Report for Package 2 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 2 Submission Status page.

Issuer Submission Status Pages

Package 2 – Step 16

Issuer Package 2 Submission Status page



Guidance

Package 2 Submission Status

Instructions

Select the **Download Reports** link located in the Action column to navigate to the Package 2 Submission Download page for the specified HIOS ID. Sort the table by selecting the up or down arrows for each column. All Package 2 files must be downloaded and reviewed prior to signoff.

Once all Package 2 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 2 files. After selecting the **Continue** button, you will be able to 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 2 Status and IVA Findings Report for Package 2 Status columns may impact the final risk score calculation.

Select one of the following to:

[Download SVA Sub-sample Reports](#) to download SVA Sub-sample Reports for multiple HIOS IDs.

[Download Files Reports for Package 2](#) to download Files Reports for multiple HIOS IDs.

[Download IVA Findings Reports for Package 2](#) to download IVA Findings Reports 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 (*).

The links on the top of the page allow you to download files for multiple HIOS IDs.



Issuer Submission Status Pages

Package 2 – Step 16 (continued)

Issuer Package 2 Submission Status Page

Submission Status

Action*	IVA Entity Name	HIOS ID ▲	Files Report for Package 2 Status	IVA Findings Report for Package 2 Status	Package 2 Issuer Signoff Status
Download Reports	Blue IVA Entity	01237 IVA Entity History Issuer History	Processed without Errors ✓	Processed without Errors ✓	Approved 11/26/2017 ✓
Download Reports	Blue IVA Entity	01239 IVA Entity History Issuer History	Processed without Errors ✓	Processed without Errors ✓	Pending

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

Issuer – Files Report for Package 2 Download Process - Step 16

- From the Issuer Package 2 Submission Status Page:
 1. Select the **Download Files Reports for Package 2** link to navigate to the Files Reports for Package 2 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 2 Submission Status page.

Issuer - Files Report for Package 2

Download Process – Step 16 (continued)

Files Report for Package 2 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 2 History pages.

Items with a status of **Warning(s) Need Review** in the Status column may impact the final risk score calculation.

Files Reports for Package 2 ?

Select	HIOS ID	File Name	Status	Last Downloaded by Issuer Date/Time ?	Password
<input type="checkbox"/>	01234	01234_File Report Pk2_20171126151502.csv	Processed without Errors	N/A	
<input type="checkbox"/>	01237	01237_File Report Pk2_20171122184902.csv	Processed without Errors	11/26/2017 10:23 AM	
<input type="checkbox"/>	01239	01239_File Report Pk2_20171128155047.csv	Processed without Errors	N/A	

[Exit](#)[Return to Status page](#)[Download](#)

Issuer - IVA Findings Report for Package 2 Download Process – Step 16 (continued)

- From the Issuer Package 2 Submission Status Page:
 1. Select the **Download IVA Findings Reports for Package 2** link to navigate to the IVA Findings Reports for Package 2 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 2 Submission Status page.

Issuer - IVA Findings Report for Package 2 Download Process – Step 16 (continued)



Guidance

IVA Findings Report for Package 2 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 2 History pages.

Items with a status of **Warning(s) Need Review** in the Status column may impact the final risk score calculation.

IVA Findings Report for Package 2 ?

Select	HIOS ID	File Name	Status	Last Downloaded by Issuer Date/Time ?	Password
<input type="checkbox"/>	01237	01237_IVA Findings Report 2_20171122184906.xml	Processed without Errors	11/26/2017 10:23 AM	
<input type="checkbox"/>	01239	01239_IVA Findings Report 2_20171128155119.xml	Processed without Errors	11/28/2017 12:20 PM	.(dC_5T2NPs.fm

Exit

Return to Status page

Download



Issuer - Interpreting the IVA Findings Report for Package 2 – Step 16

- The IVA Findings Report for Package 2 should be viewed in conjunction with the Files Report for Package 2. A lower risk score may be explained by files that were expected, but not included in the Package 2 submission.

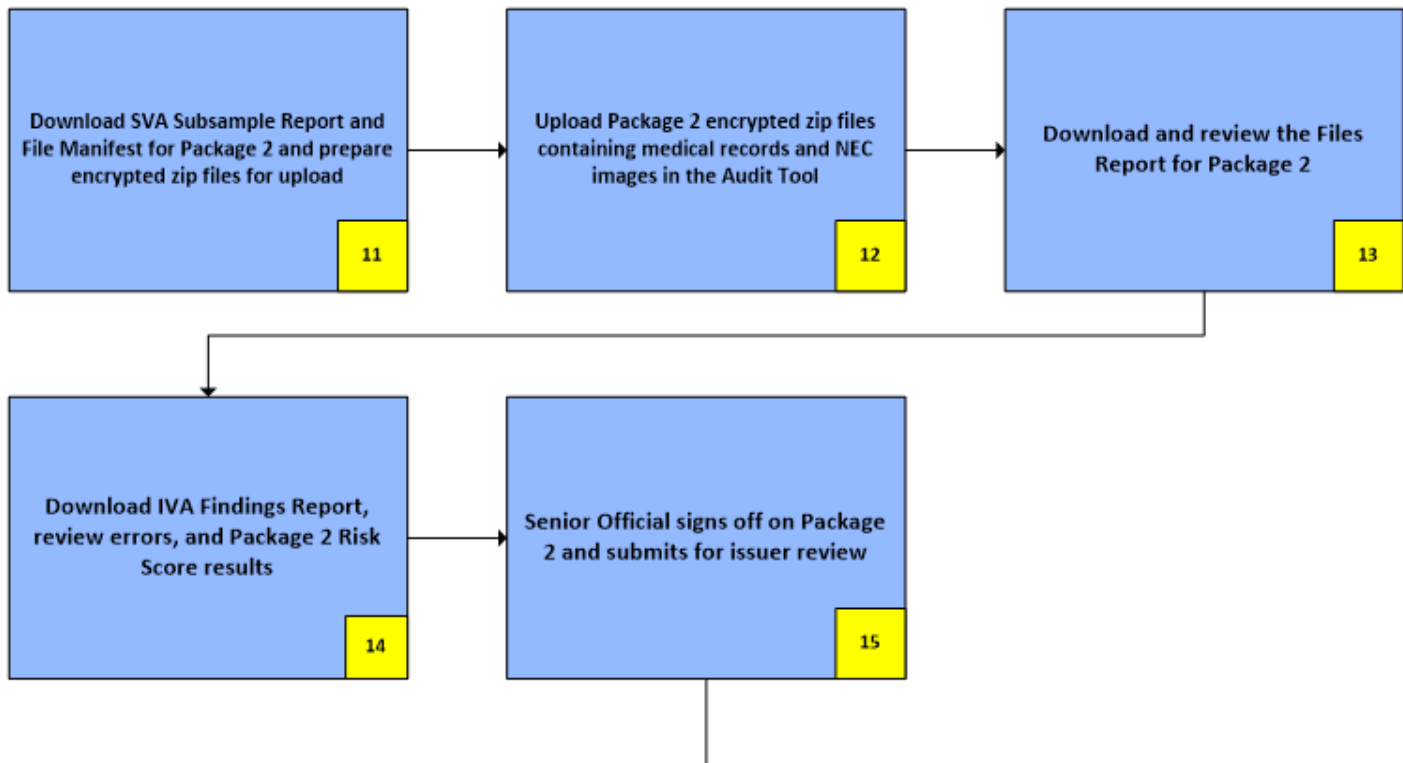
```
- <enrResponseItem>
  <mrCount>2</mrCount>
  <uniqueDiagCount>3</uniqueDiagCount>
  <uniqueHccCount>1</uniqueHccCount>
  <radvdeRiskScore>2.359</radvdeRiskScore>
  <ivaRiskScorePk1>2.541</ivaRiskScorePk1>
  <deltaRSRadvdeIvaPk1>0.182</deltaRSRadvdeIvaPk1>
  <ivaRiskScorePk2>1.320</ivaRiskScorePk2>
  <deltaRSRadvdeIvaPk2>-1.039</deltaRSRadvdeIvaPk2>
</enrResponseItem>
```

issuerIden	uniqueEnrolleeld	mrIdentifier	neclIdentifi	fileName	expectedF	receivedFil	responseC	responseMessage
1234	82353ETD	01234MR8235302		MR456785	23.64		5.3.3	Expected file missing.
1234	82353ETD	01234MR8235302		MR456785	75.45		5.3.3	Expected file missing.
1234	82353ETD	01234MR8235302	01234NEC	NEC86753	86.24		5.3.3	Expected file missing.
1234	82353ETD	01234MR8235302	01234NEC	NEC12468	76.14		5.3.3	Expected file missing.
12345				INVALID_FILE.pdf		25	5.3.2	No file name match found.

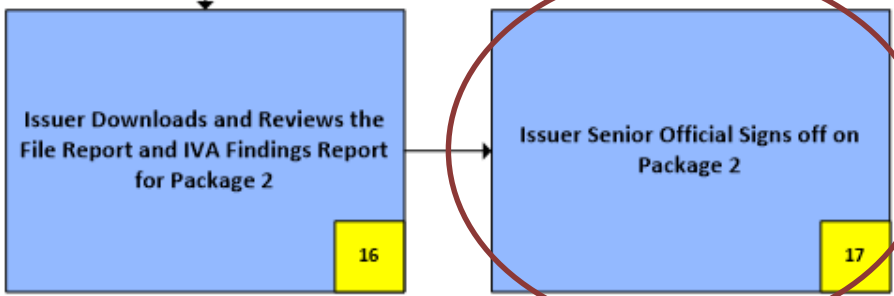
For more information on adding and replacing files, reference slides 58, 68 and 69.

IVA Results Submission Process – Package 2 - Step 17

IVA Entity



Issuer



RETIRED

Issuer Signoff for Package 2 Overview – Step 17

- Issuer signoff of Package 2 completes the IVA submission process.
 - It is important to review all errors and warnings in the IVA Findings Report and Files Report for Package 2.
 - If the an enrollee's risk score is lower, it may be an indication that a medical record specified in the XML was not submitted, resulting in an unsubstantiated HCC.



NOTE: No additional files may be uploaded after this signoff.

Issuer Signoff for Package 2 Process – Step 17 (continued)

- From the Issuer Package 2 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 IVA Findings and Files Reports for Package 2 have been downloaded.
 2. Select the **Continue** button to navigate to the Issuer Package 2 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 2 Process – Step 17 (continued)

Package 2 Submission Status

Instructions

Select the **Download Reports** link located in the Action column to navigate to the Package 2 Submission Download page for the specified HIOS ID. Sort the table by selecting the up or down arrows for each column. All Package 2 files must be downloaded and reviewed prior to signoff.

Once all Package 2 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 2 files. After selecting the **Continue** button, you will be able to 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 2 Status and IVA Findings Report for Package 2 Status columns may impact the final risk score calculation.

Select one of the following to:

[Download SVA Sub-sample Reports](#) to download SVA Sub-sample Reports for multiple HIOS IDs.

[Download Files Reports for Package 2](#) to download Files Reports for multiple HIOS IDs.

[Download IVA Findings Reports for Package 2](#) to download IVA Findings Reports 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: ABC Company

Submission Status

Action*	IVA Entity Name	HIOS ID ▲	Files Report for Package 2 Status	IVA Findings Report for Package 2 Status	Package 2 Issuer Signoff Status
Download Reports	Blue IVA Entity	01237 IVA Entity History Issuer History	Processed without Errors ✓	Processed without Errors ✓	Approved 11/26/2017 ✓
Download Reports --None-- ▼	Blue IVA Entity	01239 IVA Entity History Issuer History	Processed without Errors ✓	Processed without Errors ✓	Pending

Exit Back Continue

Issuer Signoff for Package 2 Process – Step 17 (continued)

Issuer Package 2 Signoff

Instructions

Review the HIOS ID(s) indicated as approved or rejected for Package 2. To change your signoff selection, select the **Back** button. Select the **Submit** button to submit Package 2 signoff for the listed HIOS ID(s).

Package 2 Approved HIOS ID(s)

IVA Entity Name	HIOS ID
Nina Amtmann IVA Entity SO	01239

Submitter Contact Information

First Name: Nina

Email Address: ninatestradv+issuerso@gmail.com

Phone Number:

Last Name: Amtmann Issuer SO

Job Title:

Phone Extension:

Exit

Back

Submit

Issuer Signoff for Package 2 Process – Step 17 (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: 11/28/2017 12:46 PM

An acknowledgment email has been sent to the following contacts:

ninatestradv+issuerso@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



Issuer - IVA Entity Notification of Package 2 Approval/Rejection – Step 17

If	Then
The Issuer SO approves the Package 2 Submission,	IVA Entity SOs and RADV Coordinators will receive a confirmation email.
The Issuer SO rejects the Package 2 Submission,	The IVA Entity must review the issuer's rejection notes in the Audit Tool and replace Package 2 files as necessary or add files identified as missing in the Files Report.

Questions

To contact us, email us at:

CCIOACARADDataValidation@cms.hhs.gov

OR

Contact us within the HHS-RADV Audit Tool using the Inquiries tab and selecting Submit Inquiry

Next Steps

Next Steps: Training Sessions

- CMS will continue to support Stakeholders through the HHS-RADV process by hosting periodic webinars.
- 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
December 13, 2017	11:30 a.m. – 1:30 p.m. ET	Package 1 & Package 2 Submission Question & Answer and Demonstration (Session II)
December 20, 2017	11:30 a.m. – 12:30 p.m. ET	TBD

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 'Filter by:' dropdown menu is open, displaying a list of program areas. A red arrow points to 'HHS-Operated Risk Adjustment Data Validation (RADV)'. The 'Training Event' dropdown is set to 'Training Event'. The 'Search' and 'Remove Filter' buttons are visible. The 'Get Adobe Reader' link is also present. The table below shows the results of the search, with columns for Program Area, Resource Type, and Download.

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/cciiio
Consumer website on Health Reform Registration for Technical Assistance Portal (REGTAP) - presentations, FAQs	http://www.healthcare.gov/ 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 (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