

CMS Issuer Technical Work Group

- ***Housekeeping***
 - ✓ ***Webinar Schedule***
 - ✓ ***Cloud Migration Updates***
 - ✓ ***BAR Cancel Carry Forward***
- ***Medicare Periodic Data Matching (PDM)***
- ***Notices & Voluntary Terms for Dually Enrolled***
- ***Enrollment Pre-Audit & Reconciliation-***
- ***ER&R***
- ***Compliance Updates***

Q&A

This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

Sun	Mon	Tues	Wed	Thurs	Fri	Sat
27	28	29	30	31 Data Recon & Inbound 834/BAA Workgroup 12:30-1:30pm	1	2
3	4 CCIIO Enrollment Webinar(Policy Focus) 12:00pm-1:00pm	5 CMS Issuer Technical Workgroup 3:00pm-4:30	6	7 Data Recon & Inbound 834/BAA Workgroup 12:30-1:30pm	8	9
10	11	12 CMS Issuer Technical Workgroup 3:00pm-4:30	13	14 Data Recon & Inbound 834/BAA Workgroup 12:30-1:30pm	15	16
17	18 CCIIO Enrollment Webinar(Policy Focus) 12:00pm-1:00pm	19 CMS Issuer Technical Workgroup 3:00pm-4:30	20	21 Data Recon & Inbound 834/BAA Workgroup 12:30-1:30pm	22	23
24	25	26 CMS Issuer Technical Workgroup 3:00pm-4:30	27	28	29	30



Access to CMSzONE & the Private Issuer Community

User Access Quick Guide

A copy of the comprehensive User Access Quick Guide is posted on zONE @:

<https://zone.cms.gov/document/zone-access-troubleshooting> (pre-log in required to access zONE links)

Three audiences:

1. **New Users** (new to zONE & EIDM)
2. **Existing EIDM Users** (new user to zONE)
3. **Existing zONE Users** (unable to log-in since the EIDM transition)

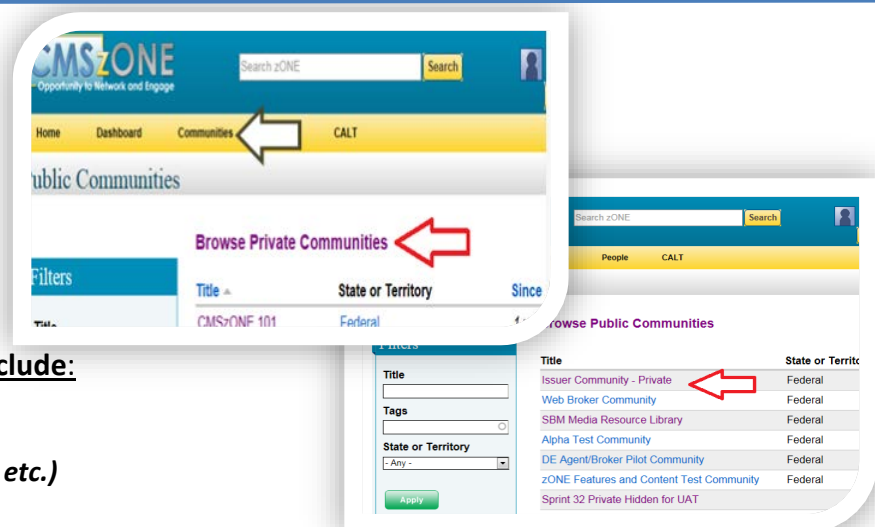
EIDM Registration Process: (Pre-requisite to CMSzONE Access)

1. Register for access at EIDM Enterprise Portal Here: <https://portal.cms.gov/>
2. Log in with your EIDM credentials and click on “Request Access Now”
3. Click on “Request New Access” and choose CMSzONE

CMSzONE Private Issuer Community

Access: (After being granted EIDM access)

1. Log into zONE; click on the **Communities tab**
2. Click **Browse Private Communities**
3. Click **Issuer Community – Private**
4. Click **Join Community**
5. Provide explanation of why you need access to this community; **Include:**
 - name and contact information
 - issuer POC contacts
 - specific work for issuer (i.e. fill out QHP templates, processing 834's, etc.)



Troubleshooting access to CMSzONE

REGISTRATION, PASSWORD RESETS, & FORGOTTEN PASSWORDS

- **New Users:** Registration & community approval are typically completed in 1-3 business days, if not sooner.

If you are unable to access zONE, and/or the issuer community after 3 business days you may email a follow up request to the helpdesk & the issuer communications team (addresses below) for an update. Please include any provided ticket numbers & applicable context for reference.

- **Existing zONE Users :** Password resets are also typically completed in 1-3 business days, if not sooner.

If your request is not completed after 3 business days, you may email a follow up request to the helpdesk & the issuer communications team (addresses below) for an update. Please include any provided ticket numbers & applicable context for reference.

ALL OTHER CMSzONE ACCESS ISSUES

Prerequisite Details

- Capture screenshots of any errors received so our teams can troubleshoot

☐ PC = Ctrl + PrtScn to capture, Ctrl + V to paste / Mac = Command+Shift+4 to capture & send to a desktop file

Email

- Provide screenshots and applicable prerequisite information above, in an email body, as follows:

- ❖ With the subject line: **“zONE Access Issues”**
- ❖ To: CMS_FEPS@cms.hhs.gov
- ❖ Cc: or Bcc: CMS_Issuer_Communications@cms.hhs.gov

Reminder: Supported Browser Versions

- ✓ Internet Explorer Version 9.0
- ✓ Internet Explore Version 10.0
- ✓ Google Chrome
- ✓ Safari

Follow-Up

- If the issue is not resolved within 3 business days, you may email a follow up request:

- ❖ With the subject line: **“zONE Access Issues : 3+day follow up”**
- ❖ To: CMS_FEPS@cms.hhs.gov & CMS_Issuer_Communications@cms.hhs.gov
- ❖ Include (where possible) explanation message, screenshots, ticket #(s) received, and number of days outstanding

Requesting Updates to the CMS Issuer Distribution List

The CMS Issuer Communications Distribution List sends e-mail messages pertaining to :

- ✓ Alerts on Deliveries for Enrollment Pre-Audit files; Enrollment Reconciliation Files; Open Enrollment Activities; IC834 Activities (Specifically processing schedules, delays in processing or reporting), and other alerts.
- ✓ Daily IMP1A status

The CMS Issuer Communications Distribution List sends e-mail alerts:

- ✓ Daily between 10:30 and 11:00 AM EST.

To add yourself to the distribution list:

- ❖ Send an e-mail to CMS_Issuer_Communications@cms.hhs.gov with the subject line:
"Add POC to Distribution List"

To remove yourself from the distribution list:

- ❖ Send an e-mail to CMS_Issuer_Communications@cms.hhs.gov with the subject line:
"Remove POC from Distribution List"

To add multiple contacts to the distribution list:

- ❖ Send an e-mail to CMS_Issuer_Communications@cms.hhs.gov with the subject line:
"Add POC to Distribution List"
- ❖ Include the email addresses of all desired contacts to be added in the body of your message

To remove multiple contacts from the distribution list:

- ❖ Send an e-mail to CMS_Issuer_Communications@cms.hhs.gov with the subject line:
"Remove POC to Distribution List"
- ❖ Include the email addresses of all desired contacts to be removed in the body of your message

**PLEASE NOTE: Any email addresses included in the body of your distribution requests may be subject to the action requested. Please ensure you omit any superfluous addresses not intended for receipt of your requested action (i.e. IT support distributions, alternate personal email, etc.)*

Asking a Question/downloading the Meeting pdf slides in the Web-Ex Platform

To ask a question, please select the raised hand icon at the start of Q&A session. It is the icon to the right of your name (see below).

To download the pdf version of today's deck, open the "File Transfer" box on your screen. If not, please select "File, then "Transfer" and "Download" (as captured below.) The "Download" button will be grey.

The screenshot displays the WebEx interface. At the top, there are icons for 'Participants' and 'Chat'. Below these, the 'Participants' list shows 'Ama Emanuel (me)' and 'Philip Desc...'. To the right of the list, there are icons for a raised hand and a video camera. A large blue arrow points from the text box above to the raised hand icon. Below the participants list, there is a 'Chat' window with a 'Connected' status. To the right, a 'File Transfer' dialog is open, showing a table with file information. A large blue arrow points from the text box above to the 'File Transfer' dialog. Another large blue arrow points from the text box above to the 'Download' button in the 'File Transfer' dialog.

File name	Location	Size	Status
20170104 Recon IC83...	\\CO-ADHOME1\HOME1\E...	304057 bytes	Shared

To download a file, either select it and then click Download, or right-click ...

Housekeeping: Cloud Migration Update: Final Cut-Over This Saturday! (March 23, 2019)



March 19, 2019

Cloud Migration Update:

Final Cut-Over This Saturday! (March 23, 2019)

- As a reminder, we are moving production into the Amazon Web Services (AWS) cloud this weekend.
- We will not be sending outbound 834s on Saturday and Sunday March 23-24; we will resume sending 834s on Monday, March 25th following the normal 6:00 pm Eastern Time aggregation.
- For details on the cloud cut-over and how to connect, please review the e-mail sent from CMS Issuer Communications today with the subject line “CMS-FFM Issuer & DE Partner Reminder: Preparations for Final AWS Cloud Migration Cutover on March 23” (identical e-mail that was sent on March 13th.)
- Reminder for any FFM issuers who have not tested or connected since the February EFT cut-over last month: Please note failure to test before this Saturday may result in your organization no longer being able to access the Hub system to create enrollments and associated 834 transactions.
- We are allowing issuers and partners to test connectivity with our AWS environment to ensure there are no issues with connecting to our new environment from partner systems.
 - FFM issuers will have an opportunity to verify AWS production connectivity on Saturday 03/23/19 between 4:00 AM and 9:00 AM Eastern Time.
 - DE Partners will be able to verify Secure Redirect functionality works on Saturday 03/23/19 between 3:00 and 5:00 PM Eastern Time.
- Hub team will provide an update in this session on the hourly timeframe planned for the migration weekend. If there are any critical changes in timelines that impact issuers/partners or urgent messages regarding either EDT/EDI traffic or overall functionality, we will send a blast e-mail over the weekend.

Housekeeping: Delayed Delivery of BAR Cancel Carry Forward Files to Issuers



March 19, 2019

INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:
This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

Delayed Delivery of BAR Cancel Carry Forward Files to Issuers

- Due to unanticipated system performance issues last Friday, March 15, 2019, most Issuers were delayed in receiving cancel 834s from the FFM for 2019 auto-renewals (policy origin = 11) where the associated 2018 enrollment termed after BAR.
- CMS originally intended to send all files on March 15, but was unable to successfully deliver the full population to applicable Issuers because of system interruption.
- The new delivery date for these files is now scheduled for **Wednesday, March 20**.
- A small subset of Issuers may have received some BAR Cancel transactions on Saturday, March 16. However, the upcoming delivery on March 20 contains a much larger volume of files and Issuers who already received some BAR Cancels this past Saturday could receive additional transactions from the March 20 aggregate
- BAR Cancels are recognized with an AMRC of CANCEL-CARRYFORWARD

Medicare Periodic Data Matching (PDM) Notices & Voluntary Terms for Dually Enrolled



March 19, 2019

INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:
This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

Medicare Periodic Data Matching (PDM) & Dual Terminations

Background:

- Beginning in January 2019, the FFE has the functionality in place to automatically end APTC/CSR for Exchange enrollees that are dually enrolled in Medicare and the Exchange.
- Additionally, the FFE will also end QHP coverage for dual enrollees who permit the FFE to act on their behalf and end their coverage if they are found to be dually enrolled in Medicare and the Exchange at a later date.

Medicare (PDM) & Dual Term Notices

The FFE has begun notifying these enrollees that our records show they are dually enrolled in Medicare and Exchange coverage, and if the consumer doesn't respond to the notice within 30 days, then the FFE will either end APTC/CSRs (45 CFR 155.330(e)) or Exchange coverage if the consumer permitted the Exchange to act on their behalf to end coverage if later found to be dually enrolled in Medicare and the Exchange.

Enrollees will also have the option to either:

- Resubmit their application if they believe they are not enrolled in Medicare; or Consumer(s) who return to their application and resubmit it with an attestation that they do not have Medicare will likely receive a Medicare data matching issue (DMI) and will have 90 days to resolve. After the 90 day window elapses, the FFE will then take action to end APTC/CSRs or QHP coverage, depending on consumer preference, if the consumer does not confirm that s/he is not eligible for MEC Medicare.
- Change their termination attestation response from agree to disagree. For consumer(s) who previously granted but now revoke permission for the FFE to end QHP coverage on their behalf, the FFE will proceed to end APTC/CSR after the 30 days elapses.

Medicare PDM & Dual Term Notices

CMS has posted four example consumer notices in English and Spanish at:

<https://marketplace.cms.gov/applications-and-forms/notices.html>

- “Stop APTC” warning and final notice that financial assistance will end for the dually enrolled
- “Stop QHP” warning and final notice that QHP coverage will end for the dually enrolled

Periodic Data Matching Notices

- Medicare (March 2019)
 - [English](#) | [Spanish](#)
- Medicare (March 2018)
 - [English](#) | [Spanish](#)
- Medicaid and CHIP: final notice/ending financial help (February 2018)
 - [English](#) | [Spanish](#)
- Medicaid and CHIP: initial warning notice (February 2018)
 - [English](#) | [Spanish](#)

Medicare Periodic Data Matching (PDM) Notices

For more information on Medicare Periodic Data Matching (PDM), please reference:

- [https://www.regtap.info/uploads/library/ENR MedicarePDM_5CR_121218.pdf](https://www.regtap.info/uploads/library/ENR_MedicarePDM_5CR_121218.pdf)
- <https://www.cms.gov/CCIIO/Programs-and-Initiatives/Health-Insurance-Marketplaces/Downloads/Medicare-PDM-FAQ.pdf>

Housekeeping: Enrollment Pre-Audit and Reconciliation

*Housekeeping: Enrollment
Pre-Audit & Reconciliation*

March 19, 2019

Housekeeping: Pre-Audit & Reconciliation

- **Prior Plan Years (2014-2018)**
 - The next set of 1095-A Consumer-Initiated Dispute Update (1095Ax) Files are scheduled for distribution tomorrow, Wednesday, March 20th
- **Plan Year 2016**
 - This month's 2016 FFM extract was taken on Friday, March 15th at 6PM EDT
 - Incremental Pre-Audit (ISIPA6) Files based upon that extract are scheduled for delivery to Issuers on Thursday, March 21st
- **Plan Year 2017**
 - This month's 2017 FFM extract was taken on Friday, March 15th at 6PM EDT
 - Incremental Pre-Audit (ISIPA7) Files based upon that extract are scheduled for delivery to Issuers tomorrow, Wednesday, March 20th

Housekeeping: Pre-Audit & Reconciliation

- **Plan Year 2018**

- This month's 2018 FFM extract was taken on Friday, March 15th at 6PM EDT
- Comprehensive Enrollment Pre-Audit (AUD8) Files based upon that extract will be delivered to Issuers today, Tuesday, March 19th
- The RCNI8 submission deadline for the final scheduled Enrollment Reconciliation cycle (Run 16) was last Friday, March 15th at 3PM EDT
 - We received files from 100% of 2018 FFM Issuers by the deadline – ***THANK YOU!***
 - **Please Note:** CMS has decided to apply full field-level updates in this final reconciliation cycle rather than just cancellations and effectuations
 - RCNO8 Files for Run 16 are scheduled for distribution to Issuers on Thursday, March 21st

Housekeeping: Pre-Audit & Reconciliation

- **Plan Year 2019**

- This month's 2019 FFM extract was taken on Friday, March 15th at 6PM EDT
- Comprehensive Enrollment Pre-Audit (AUD9) Files based upon that extract will be delivered to Issuers today, Tuesday, March 19th
 - The first set of Date of Birth Cleanup (MISC9) Files will also be distributed today, Tuesday, March 19th
 - **Please Note:** Due to cloud migration activities, Issuers should expect a higher-than-usual number of records flagged as Missing Outbound 834s on this month's Pre-Audit File; the vast majority of these failed outbounds are from the Carry-Forward Cancel process
 - CMS has already resent approximately 1,000 of these failed outbounds as 834RTs and will attempt to retransmit the remainder from the Carry-Forward Cancel process tomorrow, Wednesday, March 20th
- The RCNI9 submission deadline for March's Run 4 is **this Thursday, March 21st at 3PM EDT**
 - RCNO9 Files for Run 4 are scheduled for distribution to Issuers on Tuesday, March 26th

2016 Policy-Based Payments: Program Integrity

- As part of our program integrity framework, later this year, CMS will begin audits of 2016 policy-based APTC payments
- Prior to audits, CMS will provide an opportunity to compare and improve the alignment of 2016 enrollment data to the enrollment data on the FFE via an **off-cycle reconciliation process**
- This off-cycle recon process is tentatively scheduled for late June 2019
- Although 2016 Issuers will not be required to participate in the off-cycle reconciliation process, all are strongly encouraged to do so to identify outstanding discrepancies that can be resolved via the enrollment dispute process
- CMS aims to improve data and program performance, thereby reducing discrepancies and the number of audits later in 2019 using this off-cycle reconciliation process

2016 Policy-Based Payment Audit

- Issuers must use the prior-year dispute process with the ER&R Contractor to address any discrepancies identified in the off-cycle process that require resolution
 - 2016 disputes will not require AM approval from June 2019, after completion of the off-cycle process, through September 2019
 - All other prior year disputes will still require AM approval
- Another off-cycle reconciliation process will be offered in October 2019 to assess the improvement in data alignment after the disputes have been applied to the FFM
- By taking advantage of these off-cycle recon opportunities, Issuers that have improved their data alignment will also be less likely to be selected for audit
 - CMS will review discrepancy statistics on Issuers' reconciliation data as one risk factor for audit selection

2016 Off-Cycle: How to Participate

- Issuers will submit files for this off-cycle process in the same fashion as typical production Enrollment Reconciliation (RCNI) Files, **using the current format**
- Files will be submitted with the following naming convention:
 - **[Trading Partner ID].RCR.RCNI16.DYYMMDD.THHMMSSmmm.P.IN**
 - Please note the new destination node **RCR** rather than MID that was in use in 2016
 - Issuers must ensure these files are sent to the Production environment for processing rather than any other lower environment; for security purposes, files containing PII/PHI must *never* be sent to lower environments
- CMS will execute full Enrollment Reconciliation processing, using current recon business rules, and produce an outbound RCNO16 file for Issuers that participate in this off-cycle process
- As noted, CMS **will not** make any updates to FFE data during the off-cycle reconciliation process; Issuers **must** address any outstanding discrepancies through the dispute process

Updated Recon Calendar Available on zONE

- This morning, CMS published an updated Enrollment Pre-Audit and Reconciliation Calendar to zONE
 - The updated calendar is available at:
<https://zone.cms.gov/document/pre-audit-and-recon-calendar-and-file-specification>
- Updates made in this version include:
 - Added monthly Pre-Audit, Reconciliation, and Payment activity through the October 2019 extracts
 - Updated the ad hoc function code for Plan Year 2016 from MISC to MISC6
 - Added 2016 Off-Cycle Recon process in June
 - Added 2019 Off-Cycle Recon process in August

ER&R

✓ *ER&R Topics*

- ✓ Customer Support and ServiceNow Tickets Redundancies
- ✓ UIR Report Distribution
- ✓ Subscriber Swap Issue and UIR Impact
- ✓ zONE Publications

✓ *Q&A*

Customer Support and ServiceNow Tickets Redundancies

- ER&R has recently received numerous ServiceNow tickets forwarded from the FEPS service desk that are duplicates of requests that had already been submitted directly to the ER&R Support Center.
- If an issuer submits a request to the ER&R Support Center, the issuer should not also send that request to the FEPS team, as that will create a duplicate ticket.

UIR Report Distribution

- ER&R will deliver the RCNO Run 15 UIR Reports for 2018 policies on Friday, March 15, using the **ERRUIR** function code.
- ER&R will deliver the RCNO Run 3 UIR Reports for 2019 policies on Friday, March 22, using the new **UIR9** function code.
- UIR Reports are only delivered to issuers with UIRs in that RCNO run.
- Issuers requested the new function code to eliminate confusion when RCNO is being processed for two (2) coverage years during the same month.
 - UIR Reports for coverage years prior to 2019 will continue to use the **ERRUIR** function code.
 - ER&R will continue to create a new function code for each future year.
 - For example, in 2020, the new function code will be **UIR0**.

Subscriber Swap Issue and UIR Impact

- As reported on previous Recon calls, CMS discovered unexpected system behavior where after a consumer updated their 2019 application, the original subscriber on the 2019 policy was inadvertently switched with a dependent on the policy.
- On 02/07/2019, CMS performed a data cleanup at the FFE to revert to the original subscribers of the impacted policies.
- On 03/07/2019, ER&R identified a large increase in the Subscriber Change UIR category for RCNO Run 3.
 - Because RCNO cannot match records without the issuer and FFM aligning on Subscriber Indicator, mismatches result in “I” records.
 - An analysis on the 02/07/2019 cleanup file identified over 3,000 impacted UIR records spread across multiple UIR categories.
 - In most scenarios, issuers are submitting extra records using the incorrect subscriber’s information.
- **Resolution:** Issuers must stop submitting the extra records on their RCNI files.

zONE Publications

- FFE Payment Dispute Disposition and Detail Code List v21 is available on CMS zONE and includes new Payment Dispute detail codes.
- Issuers can review the updated documentation on CMS zONE:
 - <https://zone.cms.gov/document/enrollment-resolution-and-reconciliation>

Compliance Team Reminders and Announcements



Tuesday, March 19, 2019

INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW:
This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

Announcement Auditor Training Modules & Planned Publish Dates (Update)

- Auditor Training Modules:** CMS is preparing the following computer-based training (CBT) modules:

Topic	Purpose	Planned Publication Date	Required Year 2 (PY 2020) Modules if Entities/Auditors Completed Year 1 Modules (PY 2019) (see bullet below)*
A. Enhanced Direct Enrollment (EDE) Privacy/Security Standards	To review the required EDE entity privacy and security standards for EDE.	March 8, 2019	Year 2 Version Required
B. Enhanced Direct Enrollment (EDE) Regulatory/Compliance Standards	To review the CMS policy guidance regarding Enhanced Direct Enrollment (EDE). This module will outline how Direct Enrollment (DE) entities should select an auditor and define the scope of the Operational Readiness Report (ORR).	<i>Early April 2019</i>	Year 2 Version Required
C. Enhanced Direct Enrollment (EDE) The Operational Readiness Review (ORR) and CMS Reporting Requirements	To review the ORR and related CMS Reporting Requirements that will assist in completing the ORR.	Mid-March 2019	Year 2 Version Strongly Encouraged
D. Enhanced Direct Enrollment (EDE) Application User Interface (UI) Overview	To review all aspects and features of the Application User Interface (UI) for EDE enrollments available for plan year 2020.	Late March 2019	Year 2 Version Strongly Encouraged
E. Enhanced Direct Enrollment (EDE) Non-Eligibility API Services	To review all User Interface (UI) services offered by CMS.	Late March 2019	Year 2 Version Strongly Encouraged

- Prospective EDE Entities and their Auditors may take the PY 2019 trainings that have existed on REGTAP prior to starting the audit instead of waiting for the updated PY 2020 trainings. Prospective EDE Entities and their Auditors who use this option need to take the updated PY 2020 trainings listed in the final column prior to submitting the audit. For required PY 2020 trainings, EDE Entities and their Auditors will be accountable for any updates in the PY 2020 training if they take this approach (i.e., they take the PY 2019 training first). This applies to existing EDE Entities and Entities with audits in CMS' review queue. CMS will clearly indicate when the modules have been updated.

Announcement: Optional Test Cases Now Available

- A new resource, EDE Partner Test Cases, is available on [CMS zONE](#)
- It is for prospective EDE Entities and includes over 100 test cases that entities can now use when testing their environments
- Document name: ede_partner_test_cases_v1.xlsx
 - Document description: Optional test cases that EDE Partners can use to conduct additional testing.

Announcement: Webinar on Friday, 3/22, is the EDE Regulatory/Compliance Module

- For this session, CMS will:
 - Provide a detailed overview of the Third-party Auditor Operational Readiness Reviews for the EDE Pathway and Related Oversight Requirements plan year (PY) 2020
 - Review EDE timelines and important considerations for those interested in seeking approval to participate
 - Provide an open forum for participant questions

Day	Date	Time
Friday	March 22, 2019	10:30 a.m. – 12:30 p.m. ET

- Please note: Attendance to this webinar will count as completion of the required EDE Regulatory and Compliance Standards training. This presentation will also be converted into a computer-based training (CBT) that will be available on REGTAP after April 1, 2019. Therefore, CMS encourages all Entities and Auditors to participate in this webinar on Friday, March 22, 2019.
- If you would like to attend, please visit www.REGTAP.info and register for the EDE webinar series titled “Enhanced Direct Enrollment (EDE) for PY2020.”
 - Registration will close on Thursday, March 21, 2019 at 3:30p.m. ET.

Reminder: New Auditor Guidelines Released

- New Auditor Guidelines, *Third-party Auditor Operational Readiness Reviews for the Enhanced Direct Enrollment Pathway and Related Oversight Requirements*, were released on February 19, 2019 and are available here: <https://www.cms.gov/CCIIO/Resources/Regulations-and-Guidance/Downloads/Guidelines-for-Third-party-Auditors-EDE-PY19PY20.pdf>
- These guidelines define EDE program requirements and discuss requirements and considerations for prospective EDE Entities' selection of an Auditor, as well as the scope of the operational readiness review (ORR) prospective EDE Entities must undertake to demonstrate they are prepared to provide EDE services through use of the EDE pathway.

Reminder: Enhanced Direct Enrollment (EDE) Timeline Reminders and Upstream Documentation Package

- The **primary audit submission window** for DE Entities interested in implementing EDE in calendar year 2019 for PYs 2019 and 2020 is from **April 1, 2019 to June 30, 2019**. The notice of intent was due by February 28, 2019. Entities that submitted notices of intent should note the following:
 - DE Entities that are already live and intending to implement a new phase must also submit complete audits.
 - If a DE Entity submits an audit, and then resubmits its audit, the resubmitted audit submission is reprioritized at the end of the review queue.
 - CMS does not guarantee any approval timelines.
- **Note:** *This is a summary of information presented previously. For more information, please refer to the [ITWG slides](#) from January 8, 2019 and February 26, 2019 located on CMS zONE.*

Clarification: Instructions for Upstream Entities

- **Upstream Documentation Package:** Upstream Entities did not need to notify CMS of their participation by February 28th. Instead, Upstream Entities will notify CMS of their participation by submitting an upstream documentation package (to be provided by CMS) at the time the primary EDE Entity submits its audits or after.
 - Note: The deadline (March 15, 2019) has passed for prospective upstream EDE Entities that intend to add functionality to the EDE pathway (excluding branding differences) to contact the DE Help Desk to discuss whether an audit may be needed.

Reminder: Request for EDE Auditor Agreement and Audit Kickoff Calls

- **Request for Auditor Agreement**
 - CMS requested a copy of the signed agreement or contract between the Auditor(s) and prospective primary EDE Entity.
 - The contract must describe the Auditor's entire scope of work and meet the requirements in 45 C.F.R. 156.340.
 - The primary EDE Entity may redact information (e.g., pricing) that is not necessary for CMS review.
- **Reminder about Audit Kickoff Calls**
 - The primary EDE Entity must notify the DE Help Desk before its Auditor begins its audit (at least one to two weeks prior). CMS will schedule a kickoff call before the audit is initiated to answer questions, ensure expectations are clear, and ensure the Auditor and prospective EDE Entity are using the correct audit documents.

Reminder: New Baseline Toolkits Available on CMS zONE

- Updated EDE business audit template and toolkits are available on CMS zONE at the following link:
<https://zone.cms.gov/document/enhanced-direct-enrollment-edo-documents-and-materials>.
- The following toolkit documents are included in a zip file labeled “Business_Report_Template_and_Toolkits_3-1-2019.” The updated documents are labeled (in the zip file) as:
 - EDE_Eligibility Results Toolkit_Phase 1_PY2019_FINAL
 - EDE_Eligibility Results Toolkit_Phase 2_PY2019_FINAL
 - EDE_Eligibility Results Toolkit_Phase 3_PY2019_FINAL
 - Application UI Toolkit_PY2019_03012019
 - API_Functional_Integration_Toolkit_PY2019_FINAL
 - EDE Business Audit Instructions and Report Template_PY2019_FINAL
- The Auditor will use these toolkits to verify the DE Entity’s application and enrollment process is compliant with CMS-defined requirements. The Auditor must use the baseline toolkits (i.e., the versions listed above) for audits that will be submitted in the April 1, 2019 – June 30, 2019 audit submission window.
 - The only change between the baseline versions of the toolkits posted on 3/1/2019, and the most recently posted versions (Eligibility Results Toolkit posted 2/6/2019, Application UI Toolkit posted 2/8/2019, API Functional Integration Toolkit posted 1/19/2019) is the Auditor User Guide tab. Therefore, if Auditors have been using the most recently posted versions, listed above, they should be able to transfer their findings to the baseline versions after reviewing the revised Auditor User Guide tabs in each toolkit. Auditors must also review to assess if they need to re-review requirements before transferring their findings.
 - Regarding the EDE Business Audit Instructions and Report Template, CMS has made several changes since the most recent version was posted, so Auditors will need to review the entire document before transferring their findings (i.e., Auditors will need to review the baseline version to ensure no updates to their findings are needed).

Reminder: EDE Audit Office Hours Now Available

- CMS is planning to host office hours each week. During these office hours, CMS will aim to provide targeted, detailed technical assistance to prospective and active EDE Entities and their Auditors.
- These office hours have limited availability and will be assigned on a first-come, first-served basis based on the following categories:
 - Category 1: EDE Entities and Auditors with difficult legal, policy, or technical inquiries as offered by CMS.
 - Category 2: EDE Entities and Auditors who request a walkthrough or explanation of audit or technical documentation with subject matter experts (e.g., technical experts, security and privacy experts, or eligibility experts).
- CMS will not schedule office hours sessions to discuss standard help desk inquiries that can be resolved through DE Support. EDE Entities and Auditors can only request office hours pursuant to category 2 above. Category 1 requests will be offered and assigned in CMS's sole discretion.
- EDE Entities should submit requests for office hours under category 2 above to DE Support (directenrollment@cms.hhs.gov).

Reminder: Maintenance of an Accurate Testing Environment

- Each DE Entity must maintain a testing environment that accurately represents the compliance of the DE Entity's production environment as documented in any CMS-approved or CMS-conducted audits.
- If the testing environment is not appropriately firewalled from the production environment and PII, the testing environment must comply with the privacy and security requirements.
 - DE Entities shall not submit actual PII to the FFE Testing Environments.
- Each DE Entity must provide CMS, via the DE Help Desk, with a set of credentials that CMS can use to access the testing environment.
 - Each DE Entity must ensure that the testing credentials are valid and that all APIs and components of the EDE Pathway in the testing environment, including the remote identity proofing (RIDP) services, are accessible.
- Please refer to the EDE Business Agreement located on [CMS zONE](#) and the *Third-party Auditor Operational Readiness Reviews for the Enhanced Direct Enrollment Pathway and Related Oversight Requirements* located at: <https://www.cms.gov/CCIIO/Resources/Regulations-and-Guidance/Downloads/Guidelines-for-Third-party-Auditors-EDE-PY19PY20.pdf>. Please note, an updated EDE Business Agreement is forthcoming.

Q&A



CMS Issuer Technical Workgroup Call Appendix

To view the full Appendix, please visit CMSzONE at the following url:

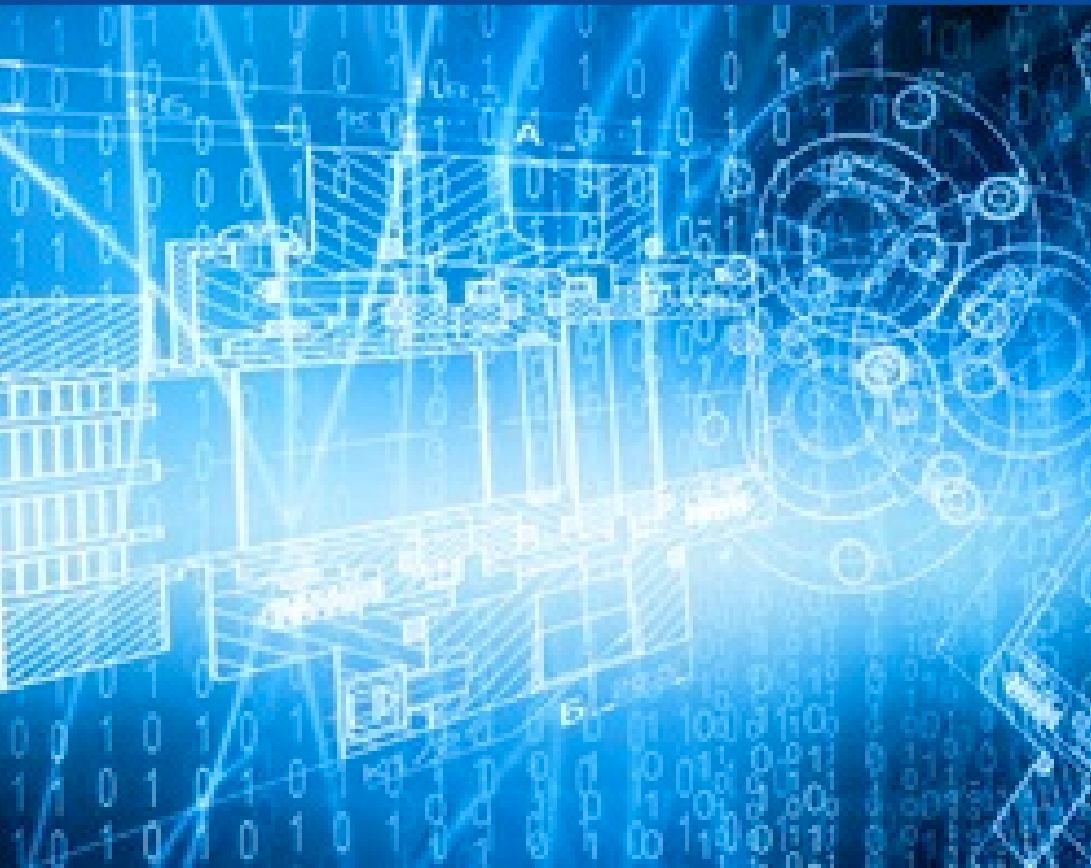
https://zone.cms.gov/system/files/documents/issuer_technical_slides_appendix_a_2018_3_20_v1.pdf

Updating Contact Information for the Marketplace

03/05/2019

confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

Updating Contact Information for Marketplace Issuers

- 
- **Requesting Updates to the CMS Issuer Distribution List**
 - **Issuer Notifications: Updating IC834 Contacts**
 - **2018 Prep: Updated Recon Technical Contacts Needed**
 - **2018 Prep: Updated ER&R Contacts Needed**

December 3, 2018

Issuer Notifications: Updating IC834 Contacts

Inbound834 (IC834) Contacts

- Issuer Organization and Clearinghouse members may be contacted through Inbound834@bah.com with notifications for high volume failure, low success rates, and summary reports based on weekly Inbound 834 submissions
- CMS encourages Issuers to identify key technical POCs to receive both outreach communications and performance reports so any errors received for failed transactions can be corrected and resubmitted for application in the Marketplace
- To update the contact list for your HIOS IDs (add or remove members), please follow one of the two options listed below:
 - Create and send an updated EDI onboarding form or;
 - Send an e-mail to Inbound834@bah.com with the new contact addresses

2019 Prep: Updated Recon Technical Contacts Needed

Enrollment Data Reconciliation Technical Contacts

- Reconciliation Technical Contacts for your organization will be contacted by CMS resources in regard to any technical issues identified in Issuer-submitted Inbound Reconciliation (RCNI) Files
- Please designate a primary and secondary contact or group e-mail address to ensure any issues can be addressed in a timely fashion
- To submit the Enrollment Data Reconciliation Technical Contacts to CMS:
 - Send an e-mail to the Help Desk (cms_feps@cms.hhs.gov) with the subject line “RECONCILIATION – TECHNICAL CONTACTS”
 - Please include the name, e-mail address, and business telephone number for each contact provided

2019 Prep: Updated ER&R Contacts Needed

Enrollment Resolution & Reconciliation (ER&R) Contacts

- Cognosante, the Marketplace Enrollment Resolution & Reconciliation (ER&R) contractor, will be responsible for conducting analysis to resolve discrepancies between data provided by Issuers and FFM data
- As direct contact with the Issuers may often prove to be the most reliable method of resolving issues, CMS is requesting that each Issuer provide a primary and secondary contact with whom the ER&R contractor can have direct communications
- If there are distinct contacts for different lines of business within the Issuer organization, please clearly identify which contacts are appropriate for each HIOS ID and/or QHP ID
- The requested contacts are to be individuals able to assist in resolving conflicts with member information; **these individuals are more likely to be business end-users rather than EDI or IT representatives**
- To submit the Enrollment Resolution & Reconciliation Contacts to CMS:
 - Send an e-mail to the Help Desk (cms_feps@cms.hhs.gov) with the subject line "RECONCILIATION – ERR CONTACTS"
 - Please include the name, e-mail address, and business telephone number for each contact provided

Register for QHP Certification Updates

CMS sends updates and information during the certification period in several ways:

REGTAP

- Register for the [REGTAP portal](#) to get CMS technical assistance related to Marketplace and Stabilization programs that are not a part of the Marketplace Plan Management Group (MPMG). Registered users can access the library training resources, webinars, and the inquiry tracking and management system.
- Registered REGTAP users who are affiliated with an issuer organization and elect to receive notifications will automatically be subscribed to *Issuer Insights*, a bi-weekly e-newsletter that highlights upcoming deadlines, new trainings and webinars, and updates on guidance.

Application Notices

- CMS will send information about your specific application and needed corrections directly to each issuer during the QHP certification period.

HIOS Blasts

- To get QHP Application and certification announcement blasts from HIOS, make sure your contact information in HIOS is current and accurate.

Source - <https://www.qhpcertification.cms.gov/s/Register%20for%20Updates>

Plan Management QHP Certification Updates

Contact Information in HIOS

Add New Contacts

- In order for a contact to receive these notices, they must be assigned to the role of QHPValidator, QHPAttester, or QHPSubmitter in HIOS. For instructions on adding these roles, see section 5 of the Plan Management QHP Modules HIOS Quick Reference Guide.

Remove Contacts

- To remove contacts from the distribution list or from your organization, contact the Marketplace Service Desk (MSD) Help Desk at CMS_FEPS@cms.hhs.gov and use the language specified below.
 - Remove contacts from notice distribution list: Use the subject line “HIOS User Roles” and the following language: “Please remove contact: [Full Name], [Email Address], from the roles of QHPValidator, QHPAttester, and QHPSubmitter for issuer ID [XXXXX].”
 - Remove contacts from issuer organization: Use the following language: “Please remove contact: [Full Name], [Email Address], from all HIOS user roles associated with issuer ID [XXXXX].”

For a list of QHP Application Notices sent during QHP Certification:

<https://www.qhpcertification.cms.gov/s/QHP%20Application%20Notices>

HIOS Quick Reference Guide:

<https://www.cms.gov/CCIIO/Resources/Forms-Reports-and-Other-Resources/Downloads/HIOS-PF-QuickGuideProd-000100.pdf>

Source - <https://www.qhpcertification.cms.gov/s/Register%20for%20Updates>

INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW: This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.