

# HHS Risk Adjustment Data Validation (HHS-RADV)

## Initial Validation Audit (IVA) Results Submission Process: Package 1 & 2

**October 23, 2019**

**HHS-RADV Webinar Series IV**

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[WWW.REGTAP.INFO](http://WWW.REGTAP.INFO)



# Session Agenda

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- Recommendations
- Package 1 & 2 Submission Process
  - IVA Entity and Issuer Responsibilities
- Question & Answer (Q&A)
- Next Steps & Resources
- Closing Remarks

# Session Guidelines

- This is a 60-minute webinar session
- For questions regarding HHS-RADV administrative appeals, please email [CCIIOACARADDataValidation@cms.hhs.gov](mailto:CCIIOACARADDataValidation@cms.hhs.gov)
- For questions regarding logistics and registration, please contact the Registrar at: (800) 257-9520

# Intended Audience

- Issuers subject to the HHS-RADV Audit requirements under 45 CFR § 153.630
- IVA Entities
- Third Party Administrators (TPA) and Support Vendors

# Session Purpose

- Provide guidance on the 2018 benefit year HHS-RADV Package 1 & 2 submission process

# HHS-RADV Timeline

# HHS-RADV Timeline



To access the HHS-RADV Timeline, please log into the Registration for Technical Assistance Portal (REGTAP) and visit the HHS-RADV Program Area page:

[www.REGTAP.info/hhsradv.php](http://www.REGTAP.info/hhsradv.php)

# Opening of Audit Tool - Testing



# Opening of the Audit Tool - Testing

- The IVA Results Submission period opens Monday, November 4, 2019, for testing and/or submission of IVA findings
- The Centers for Medicare & Medicaid Services (CMS) is offering a Test Mode allowing IVA Entities to submit the IVA Entity Audit Results Submission XML to test for any errors
- CMS strongly encourages IVA Entities to submit the IVA Entity Audit Results Submission XML in Test Mode for at least one (1) Health Insurance Oversight System (HIOS) ID when the window opens, to ensure the XML is formatted correctly and accepted by the Audit Tool

# Opening of the Audit Tool – Testing

## (continued)

- IVA Entities must select **'test'** to submit the XML file in Test Mode to determine if any errors/warnings exist and correct as necessary
- Test Mode only allows submission of the IVA Entity Results Submission XML and only produces the XML Validation Check Report and IVA Findings Report for Package 1
  - IVA Entity signoff on IVA Findings Reports for Package 1 for submissions will not be permitted in test mode
  - Package 1 and 2 files **will not be permitted** for submission if Test Mode is selected
  - Email notifications to issuers will be disabled for submissions in Test Mode
  - The testing window will close **November 22<sup>nd</sup> at 11:59 p.m. Eastern Time (ET)**
  - After November 22<sup>nd</sup> all test files will be removed from the Audit Tool

# Opening of the Audit Tool – Testing

(continued)

- The IVA System Generated Password page is currently available to IVA Entities
  - IVA Entities can begin encrypting and password protecting their IVA Package 1 and 2 files in preparation for upload to the Audit Tool once the IVA Results Submission period opens on November 4, 2019
  - **All uploaded files must be encrypted and password protected in a Zip file format using the specified Password for the Zip file**
- CMS encourages issuers and IVA Entities to ensure that they have access to the Audit Tool by logging in and verifying that their user name and password is working correctly
- If you have a new computer and need to re-establish connectivity to WinAuth for two (2)-factor authentication, email [CCIIOACARADDataValidation@cms.hhs.gov](mailto:CCIIOACARADDataValidation@cms.hhs.gov) and provide a date/time for the help desk to work with you to resolve issues

# Opening of Audit Tool - Submission

# Opening of the Audit Tool - Submission

- The IVA Entity Audit Results Submission XML and Package 1 and Package 2 may be submitted as a 'live submission' starting November 4, 2019
- Please ensure that you are selecting the correct intended action – **Submit**
- **NOTE: If selecting submit - these submissions will be considered final upon submission and signoff**

# **Issuer IVA Findings Summary Report: New Issuer Report for 2018**

# Issuer IVA Findings Summary Report – New Issuer Report for 2018

- In response to issuer feedback, CMS is introducing a **new report** this year titled *Issuer IVA Findings Summary Report*
- This report is comprised of three (3) comma separated value (CSV) files:
  - HIOS ID Summary
  - Enrollee Summary
  - HCC Failure Rate Summary
- The reports will assist the issuer with understanding the data submitted by their IVA Entity when reviewing the IVA Findings Report
- The Issuer IVA Findings Summary Report will be available for review along with the IVA Findings Report after the IVA Entity signs off

# Issuer IVA Findings Summary Report – New Issuer Report for 2018 (continued)

## HIOS ID Summary CSV Report

- The HIOS ID Summary CSV Report contains Health Insurance Oversight System (HIOS) ID level summary data of the IVA Entity’s findings for the HIOS ID:
  - The CSV report displays one (1) row of data
- Table 1 provides a list of data elements included in the Issuer IVA Findings Summary Report: HIOS ID Summary - Package 1 and Package 2 CSV report

Data Element	Description
issuerIdentifier	HIOS ID
radvBenefitYear	RADV Benefit Year
numberOfEnrollees	Number of enrollees included in the IVA Sample
mrExpected	Number of Medical Records expected based on submitted IVA Audit Results Submission XML file
mrSubmitted	Number of Medical Records submitted
numberOfWarnings	Number of warnings
enrolleesWithWarnings	Number of enrollees with warnings
necSubmitted	Number of Non EDGE Claims submitted



# Issuer IVA Findings Summary Report – New Issuer Report for 2018 (continued)

## Enrollee Summary CSV Report

- The Enrollee Summary CSV Report contains enrollee level summary data based on HHS-RADV Sampling Report data and the IVA Entity’s findings. The CSV report contains one row for each enrollee included in the IVA Sample for the HIOS ID
- Table 2 provides a list of data elements included in the Issuer IVA Findings Summary Report: Enrollee Summary – Package 1 and Package 2 CSV report

Data Element	Description
issuerIdentifier	HIOS ID
radvBenefitYear	RADV Benefit Year
uniqueEnrolleeId	Unique Enrollee ID
enrolleeStratumLevel	Enrollee Stratum Level as reported on the RADVDE Report.
uniqueEdgeRADiagnosisCodes	Enrollee RA eligible Diagnosis Codes recorded in EDGE as reported on the RADVDE Report.
uniqueIvaDiagnosisCodes	All Enrollee Diagnosis Codes submitted by the IVA Entity.
uniqueRAIvaDiagnosisCodes	All Enrollee RA eligible Diagnosis Codes submitted by the IVA Entity.
edgeHccs	Enrollee HCCs recorded in EDGE as reported on the RADVDE Report
ivaHccs	Enrollee HCCs associated with RA eligible diagnoses submitted by the IVA Entity
edgeHccsNotSubstantiated	EDGE HCCs as reported on the RADVDE Report that are not found by the IVA Entity
ivaNewHccsSubmitted	HCCs associated with RA eligible diagnoses submitted by the IVA Entity that were not recorded in EDGE.
edgeRxcs	Enrollee RXCs recorded in EDGE as reported on the RADVDE Report.
ivaRxcs	Enrollee RXCs validated by the IVA Entity.
edgeRxcsNotSubstantiated	EDGE RXCs as reported in the RADVDE Report for the enrollee that were not submitted the IVA Entity.
radvdeRiskScore	Risk score for enrollee from RADVDE Report. The RADVDE risk score is calculated based on the demographic, CSR, enrollment duration, RXC (and interaction), and HCC (and interaction) factors of the enrollee. HCC factors are derived based on RA Model using the diagnosis codes submitted to the issuer’s EDGE Server for the enrollee.
ivaRiskScore	IVA risk score calculated for the enrollee. The IVA risk score is calculated based on the demographic, CSR, enrollment duration, EDGE RXC Data (and interaction), and HCC (and interaction) factors of the enrollee. HCC factors are derived based on RA Model using the diagnosis codes in the IVA Entity Audit Results Submission (XML) for the enrollee. For 2018 benefit year, RXC data in EDGE will be used for an enrollee’s IVA Risk Score calculation. RXC data submitted (or not submitted) shall not affect an Enrollee’s IVA Risk Score.

# Issuer IVA Findings Summary Report – New Issuer Report for 2018 (continued)

## HCC Failure Rate Summary CSV

- The HCC Failure Rate Summary CSV Report contains HCC failure rates calculated at the HIOS ID level for HCCs recorded in RADVDE report compared to HCCs recorded in the IVA Audit Results Submission XML. The report contains one row for each HCC in the RA Model for the benefit year. Each row contains the number of times the HCC was recorded in the RADVDE report for all issuer enrollees, the number of times the HCC was recorded in the IVA Entity Audit Results Submission XML, and the corresponding failure rate calculated using the following formula:

$$failureRate_{HCC} = \frac{edgeFrequency_{HCC} - ivaFrequency_{HCC}}{edgeFrequency_{HCC}}$$

Data Element	Description
issuerIdentifier	HIOS ID
radvBenefitYear	RADV Benefit Year
hcc	HCC
edgeFrequency	EDGE Frequency
ivaFrequency	IVA Frequency
failureRate	Failure Rate

# Recommendations

# Issuer Review and Signoff of IVA Findings

- Prior to final Issuer Senior Official (SO) signoff, it is important to review the IVA Findings Report in a timely manner
- Issuers and their respective IVA Entities are responsible for working together to gather the information necessary for a complete risk adjustment data validation audit
- Given the contractual relationship between the issuer and IVA Entity, IVA Entity findings are not disputable through the CMS discrepancy reporting processes set forth in 45 CFR 153.630(d)(2) or appealable under 45 CFR 153.630(d)(3) and 45 CFR 156.1220
  - If the Second Validation Audit (SVA) Entity finds sufficient pairwise agreement between the SVA and IVA findings, then the IVA findings upon which the error rate calculation will be based are not disputable or appealable

# Submit Early

## SUBMIT EARLY!

- Plan ahead and avoid the rush to make medical record requests of providers, as providers are inundated with medical record requests during this time of the year
- Final Issuer SO signoff on Package 1 (IVA Findings) deadline is January 9, 2020 by 11:59 p.m. ET
- Final Issuer SO signoff on Package 2 (SVA Subsample Medical Records) deadline is January 16, 2020 by 11:59 p.m. ET
- No extensions will be provided
- Early submission benefits:
  - Receipt of pairwise results in a timely manner, especially if there are substantial differences between SVA and IVA findings
  - Greater support from CMS to address submission issues earlier to meet your submission goals
  - Time for issuers and IVA Entities to address any issues during the submission and signoff process

# Avoid the Risks of a Last Minute Submission

- Working with your IVA Entity early in the submission process can minimize technical problems
- Several IVA Entities may be submitting a large volume of records to the Audit Tool at the same time, potentially causing slowdowns in IVA Entity submissions
- Streamline the review and signoff from Issuer SO by communicating with the IVA Entity about the submission progress regularly
- Utilize the new Issuer IVA Findings Summary Report for 2018 to support review and sign off of the IVA Findings Report

# **IVA Results Submission Process Overview**

# IVA Entity Submission Roles

- IVA Entity tasks in the Audit Tool include file upload/download, report review, and signoff
- While file uploads and downloads may be performed by HHS-RADV Coordinators or SOs, sign offs **MUST** be performed by an IVA Entity SO



# Issuer Submission Roles

- Issuer tasks in the Audit Tool include file download, report review, and signoff
- While file download and report 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, Package 2, and Package 3 (if requested by CMS) 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 HIOS ID level and for SOs to perform signoffs
- IVA Entities and issuers each have dedicated Package 1 and Package 2 Submission Status pages



**Note:** Once CMS notifies the Issuer SO and IVA Entity SO of the requirement to submit Package 3, IVA Entities will have seven (7) calendar days to complete the submission process, inclusive of IVA SO and Issuer SO signoff of the package.

# IVA Results Submission Process – Package 1

IVA Entity

START

Access Audit Tool and upload IVA Entity Audit Results Submission XML

1

Download XML Validation Check Report, review, make necessary changes, and upload the updated XML if changes made

2

Download IVA Findings Report, review errors, and Package 1 Risk Score results

3

Senior Official signs off on IVA Findings Report

4

Download the File Manifest for Package 1 and prepare encrypted zip files for upload

5

Upload Package 1 encrypted zip files of workpapers, mapping documents, D&E screenshots, and RXC screenshots in the Audit Tool

6

Download and review the Files Report for Package 1

7

Senior Official signs off on Package 1 and submits for issuer review

8

Issuer downloads and reviews the Files Report IVA Findings Report and Issuer IVA Findings Summary Reports for Package 1

9

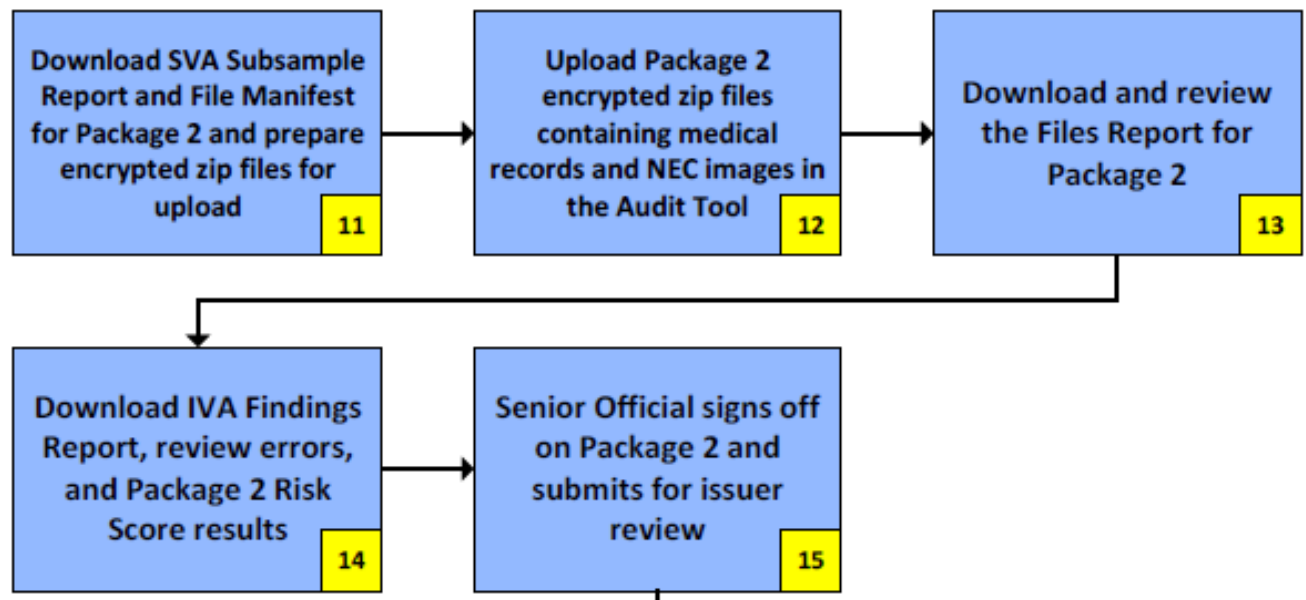
Issuer Senior Official signs off on Package 1

10

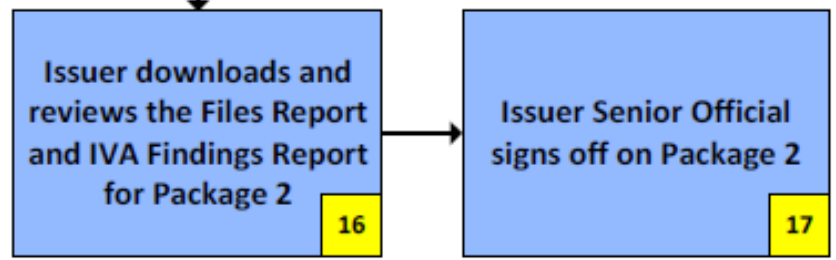
Issuer

# IVA Results Submission Process – Package 2

IVA Entity



Issuer



# **IVA Entity File Submission Requirements**

# File Name and Size Requirements

- All files must be uniquely named
- File names may **NOT** include these special characters ~ # % & \* { } \ : < > ? / + | " [ ] @
- File names should not contain Protected Health Information (PHI)/Personally Identifiable Information (PII) or the issuer's name
- All files submitted must adhere to the 1GB file size limit prior to zip compression
- Files greater than 500MB (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 the file must be resubmitted

# 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 10/23/19 HHS-RADV Webinar presentation slides in the REGTAP library for details on password and encryption ([https://www.regtap.info/reg\\_librarye.php?i=3047](https://www.regtap.info/reg_librarye.php?i=3047))



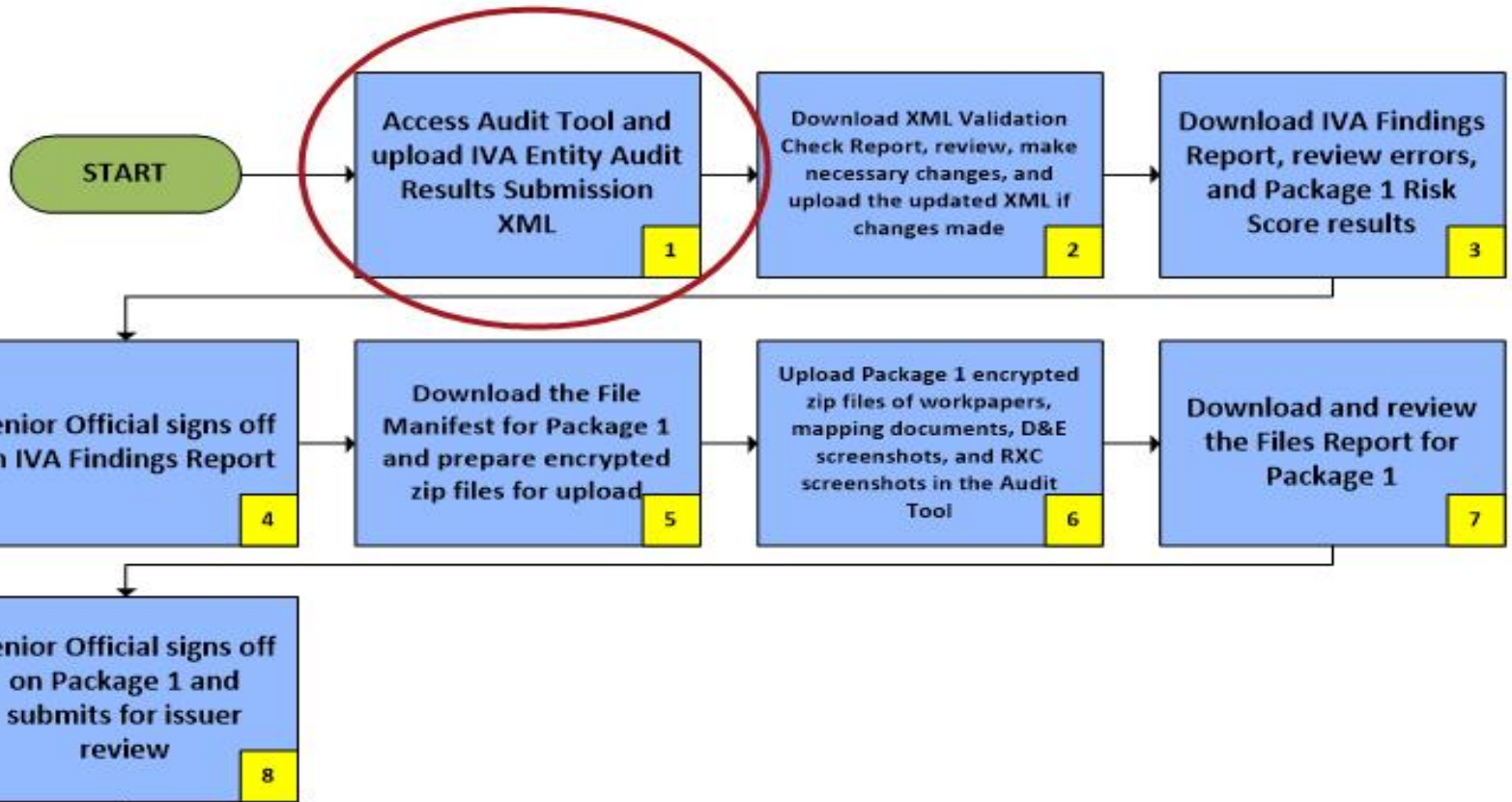
# **Package 1**

## **Submission Process**

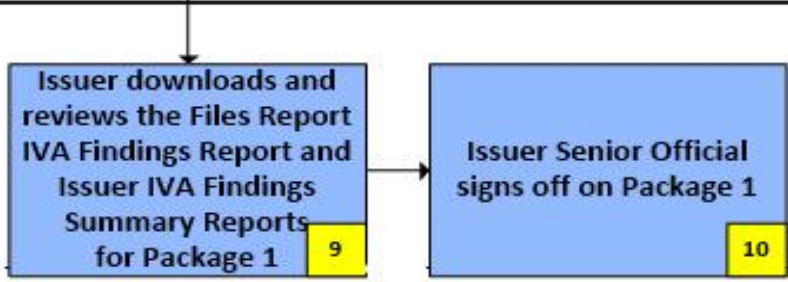
### **IVA Entity Responsibilities**

# IVA Results Submission Process – Package 1 - Step 1

IVA Entity



Issuer



# 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 **HHS-RADV IVA Submission of Package 1 Form** link to navigate to the Package 1 Submission Form Welcome page

## HHS-RADV IVA Results Submission Process Forms

### Instructions

Select a link below to open an Audit Tool form.

#### [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.*

#### [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.*

#### [HHS-RADV IVA Entity IVA Documentation Replacement Form](#)

*This form allows IVA Entities to resubmit requested IVA documentation for SVA review.*

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

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

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

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

#### [HHS-RADV IVA Submission of Package 3 Form](#)


*This form allows IVA Entities to upload Package 3 documentation and submit for Issuer review.*

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

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### 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 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.

**Note:** Do not use the browser refresh button to refresh this page. Select the **Refresh Page** button to refresh this page as needed.

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 Issuer IVA Findings Summary Reports for Package 1](#) to download Issuer IVA Findings Summary 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

IVA Entity Name: Drifting Cowboys

## 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
<a href="#">Upload/Download Audit Files</a>	Foggy Mountain Company	03450 (Test Mode) <a href="#">History</a>	Processed without Errors ✔	Processed without Errors ✔				
<a href="#">Upload/Download Audit Files</a>	Foggy Mountain Company	03451 (Test Mode) <a href="#">History</a>	Error(s) Must Resubmit ❌	Awaiting Audit Results Submission Upload				
<a href="#">Upload/Download Audit Files</a> <a href="#">Upload/Download Pkg 1 Docs</a>	Foggy Mountain Company	03456 <a href="#">History</a>	Processed without Errors ✔	Warning(s) Need Review ⚠	10/20/2019 8:45 PM ✔	Warning(s) Need Review ⚠	10/20/2019 8:45 PM ✔	Pending

- 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

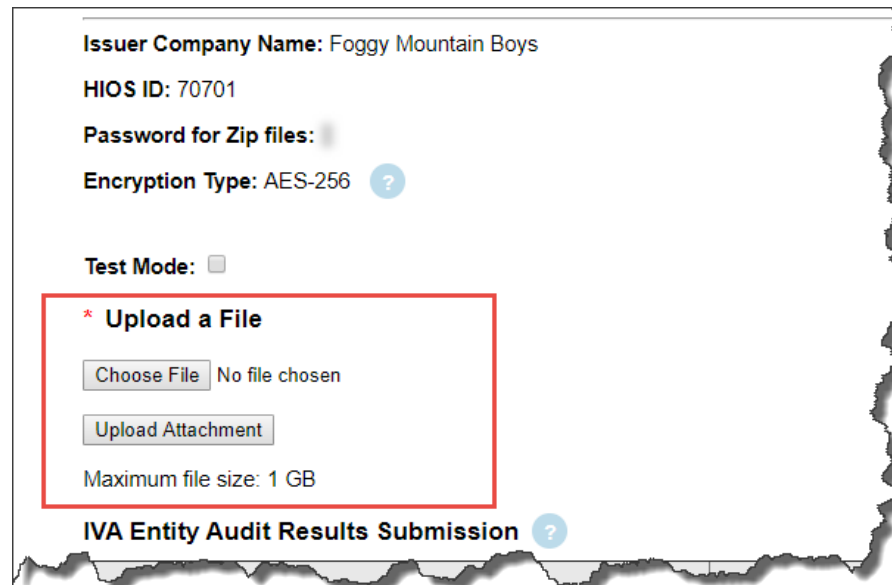
- The IVA Entity Audit Results Submission begins with the upload of the IVA Entity Audit Results Submission XML
- The IVA Entity Audit Results Submission XML contains all IVA results and specifies all supporting documentation included in Package 1 and Package 2
- From the IVA Entity Package 1 Submission 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. To submit a file in Test Mode, select the Test Mode checkbox. Leaving the box unchecked indicates a real submission

Issuer Company Name: Foggy Mountain Boys  
HIOS ID: 70701  
Password for Zip files:   
Encryption Type: AES-256 ?  
**Test Mode:**   
\* Upload a File  
Choose File No file chosen  
Upload Attachment  
Maximum file size: 1 GB  
IVA Entity Audit Results Submission ?

# IVA Entity - Audit Results Submission

## XML Upload: Step 1 (continued)

3. Select the **Browse/Choose File** button to locate the XML file
4. Select the **Upload Attachment** button
5. Select the **Return to Status** page button to return to the IVA Entity Package 1 Submission Status page



Issuer Company Name: Foggy Mountain Boys

HIOS ID: 70701

Password for Zip files:

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

Test Mode:

**\* Upload a File**

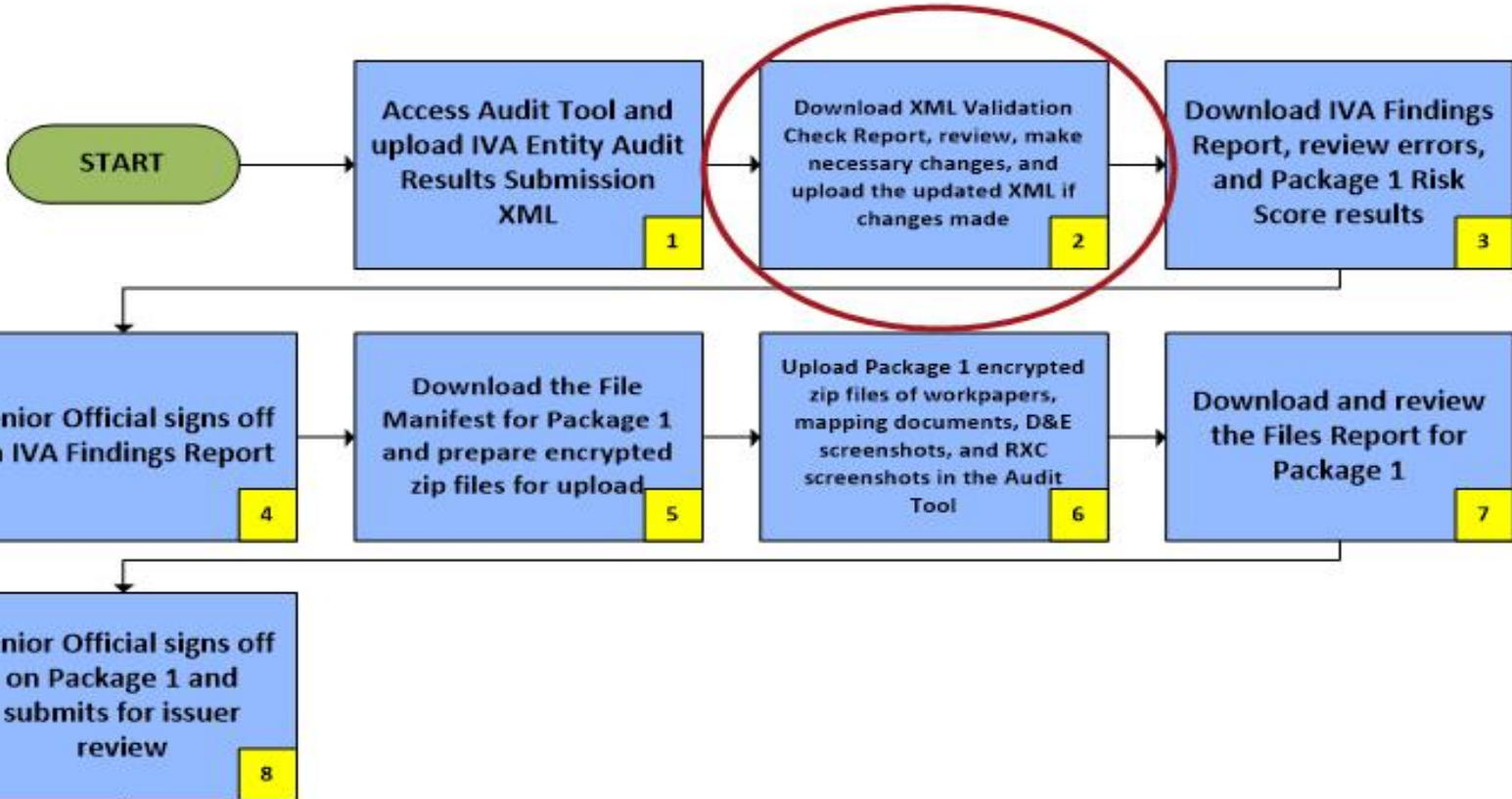
No file chosen

Maximum file size: 1 GB

IVA Entity Audit Results Submission [?](#)

# IVA Results Submission Process – Package 1 - Step 2

IVA Entity



Issuer





# 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 Interface Control Document (ICD)
  - Validates that the Unique Enrollee ID and the RADVMCE and RADVPCE Linked Claim IDs 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 (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 - XML Validation Check Report Download Process: Step 2 (continued)



[Guidance](#)

## 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 upload or 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"/>	07701	07701_XML Validation Check Report_20181001140801.xml	Processed without Errors	10/2/2018 11:56 AM	
<input type="checkbox"/>	07702	07702_XML Validation Check Report_20181001140748.xml	Processed without Errors	10/2/2018 11:56 AM	
<input type="checkbox"/>	07703	07703_XML Validation Check Report_20181003161455.xml	Processed without Errors	10/3/2018 12:22 PM	



# 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 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 47, 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)
Element missing	You must update your submission to include the specified element and corresponding value and resubmit.	Critical	<ul style="list-style-type: none"> <li>• XML Validation Check Report</li> <li>• File Name Revisions Report</li> </ul>
Fatal error your to	You must update your submission file by using the correct format and resubmit.	Fatal	<ul style="list-style-type: none"> <li>• XML Validation Check Report</li> <li>• File Name Revisions Report</li> </ul>
must be with the provided ID or Zip file it is	You must encrypt your Zip file with the password provided for the HIOS ID or recreate the Zip file to fix corruption and resubmit.	Fatal	<ul style="list-style-type: none"> <li>• XML Validation Check Report</li> <li>• Files Reports for Package 1, Package 2, and Package 3</li> <li>• File Name Revisions Report</li> </ul>

# 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>Fatal Error</responseType>
  <dataElement>fileSize</dataElement>
  <valueProvided>ads</valueProvided>
  <responseCode>5.2.3</responseCode>
  <responseMessage>Incorrect field format.</responseMessage>
</docResponseItem>
    
```

Table 47 of the HHS-RADV 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 0.0000000000 and 500.0000000000.	You must split the file into multiple documents each with an unzipped file size no larger than 500 MB. Update the document detail item section for the record and resubmit.	Fatal	<ul style="list-style-type: none"> <li>• XML Validation Check Report</li> <li>• File Name Revisions Report</li> </ul>

# 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

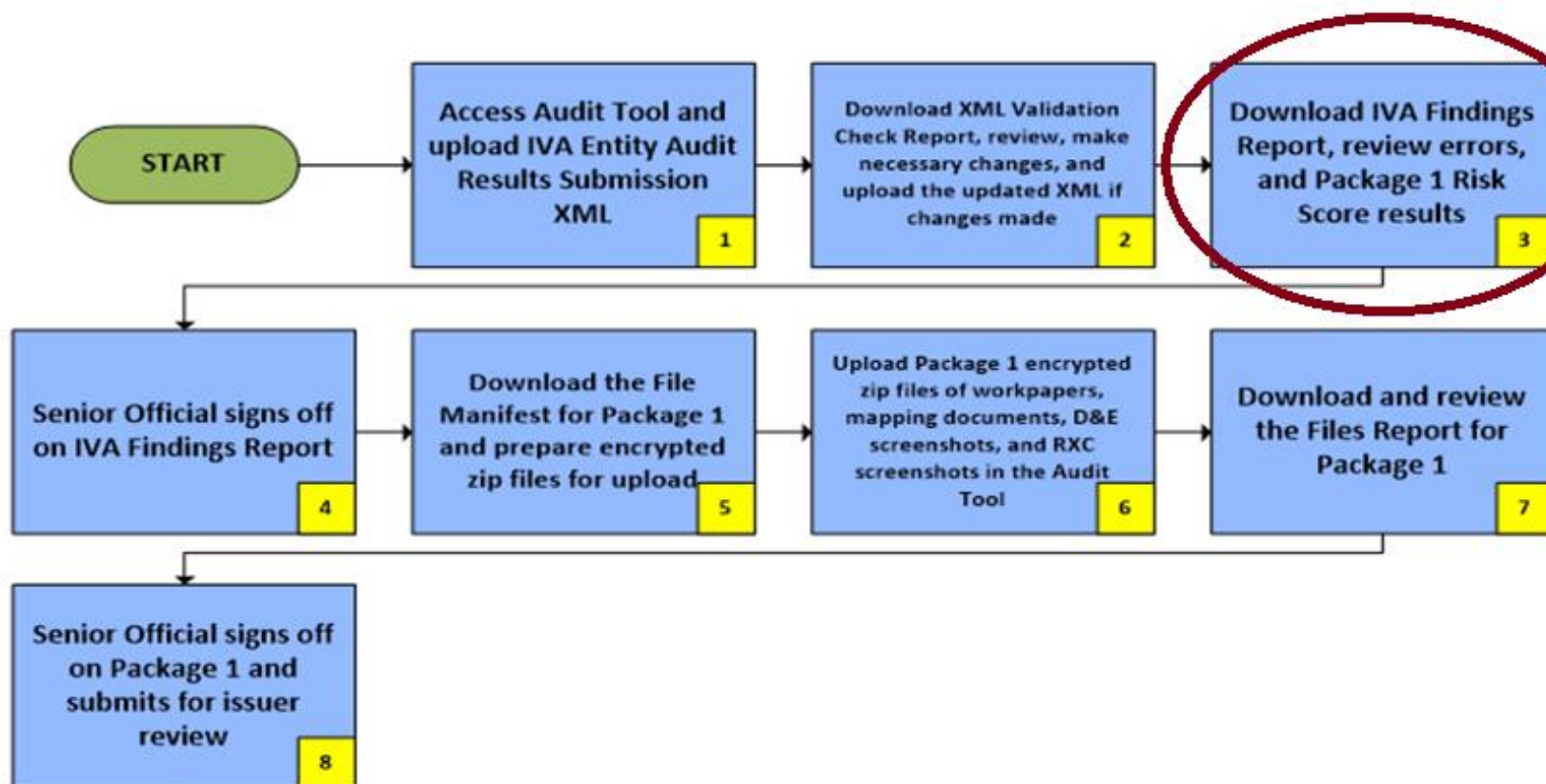
Table 47 of the HHS-RADV ICD

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 or zip file.	The Zip file must be encrypted with the password provided for the HIOS ID or review the Zip file to make sure it is not corrupted.	You must encrypt your Zip file with the password provided for the HIOS ID or recreate the Zip file to fix corruption and resubmit.	Fatal	<ul style="list-style-type: none"> <li>• XML Validation Check Report</li> <li>• Files Reports for Package 1, Package 2, and Package 3</li> <li>• File Name Revisions Report</li> </ul>

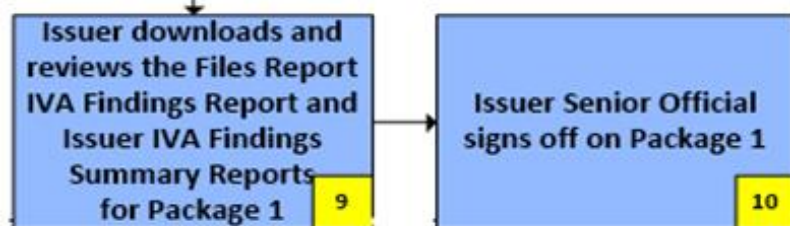


# IVA Results Submission Process – Package 1 - Step 3

IVA Entity



Issuer



# 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



**Note:** IVA Entities cannot signoff on the IVA Findings Report for Package 1 for XML submissions done using Test Mode.

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

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"/>	07701	07701_IVA Findings Report_20181001140930.xml	Processed without Errors <input checked="" type="checkbox"/>	10/9/2018 4:41 PM	
<input type="checkbox"/>	07702	07702_IVA Findings Report_20181001140943.xml	Processed without Errors <input checked="" type="checkbox"/>	10/2/2018 3:00 PM	
<input type="checkbox"/>	07703	07703_IVA Findings Report_20181003161650.xml	Processed without Errors <input checked="" type="checkbox"/>	10/3/2018 12:17 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 Hierarchical Condition Categories (HCCs)
  - Count of unique Risk Adjustment Prescription Drug Categories (RXC's)
  - Count of unique Healthcare Common Procedure Codes (HCPCs) or National Drug Codes (NDCs)
  - Risk scores for each enrollee:
    - Risk score for the enrollee from the RADV Detailed Enrollee (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 <enrResponseItem> is an example of useful information that is included in the IVA Findings Report, in addition to Warnings

```
<gender>M</gender>
<dAndESampleIndicator>N</dAndESampleIndicator>
<rxcsSampleIndicator>Y</rxcsSampleIndicator>
- <enrResponseItem>
  <mrCount>2</mrCount>
  <uniqueDiagCount>3</uniqueDiagCount>
  <uniqueHccCount>3</uniqueHccCount>
  <uniqueIVAHccs>12, 42, 217</uniqueIVAHccs>
  <uniqueEDGEHccs>12, 42, 217</uniqueEDGEHccs>
  <uniqueRaNdcCodeCount>1</uniqueRaNdcCodeCount>
  <uniqueRaHcpcsCount>0</uniqueRaHcpcsCount>
  <uniqueIVARxcCount>1</uniqueIVARxcCount>
  <uniqueIVARxcs>1</uniqueIVARxcs>
  <uniqueEDGERxcs>1, 3</uniqueEDGERxcs>
  <radvdeRiskScore>22.71296</radvdeRiskScore>
  <ivaRiskScorePk1>22.71296</ivaRiskScorePk1>
  <deltaRSRadvdeIvaPk1>0.0</deltaRSRadvdeIvaPk1>
  <ivaRiskScorePk2>0.0</ivaRiskScorePk2>
  <deltaRSRadvdeIvaPk2>0.0</deltaRSRadvdeIvaPk2>
</enrResponseItem>
```

# 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

# Interpreting the IVA Findings Report for Package 1: Step 3

- **Examples of Package 1 Warning**

```
- <mrResponseItem>
  <responseType>Warning</responseType>
  <dataElement>diagnosisCode</dataElement>
  <valueProvided>XX38</valueProvided>
  <responseCode>3.5.3</responseCode>
  <responseMessage>Not a valid ICD-10 code.</responseMessage>
</mrResponseItem>
```

- Response code 3.5.3: An incorrect ICD-10 code is provided

Table 47 of the HHS-RADV ICD

XML Data Element	Error Level	Error Type	Unique ID	Response Code	Error Message	Error Description	Action	Error Type	Report(s)
diagnosis Code	3	5	3	3.5.3	Not a valid ICD-10 code.	The diagnosis code provided is not a valid ICD-10 code as listed in the HHS-Developed Risk Adjustment Model Algorithm "Do It Yourself (DIY)" Software for the appropriate benefit year.	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 Entity

START

Access Audit Tool and upload IVA Entity Audit Results Submission XML 1

Download XML Validation Check Report, review, make necessary changes, and upload the updated XML if changes made 2

Download IVA Findings Report, review errors, and Package 1 Risk Score results 3

Senior Official signs off on IVA Findings Report 4

Download the File Manifest for Package 1 and prepare encrypted zip files for upload 5

Upload Package 1 encrypted zip files of workpapers, mapping documents, D&E screenshots, and RXC screenshots in the Audit Tool 6

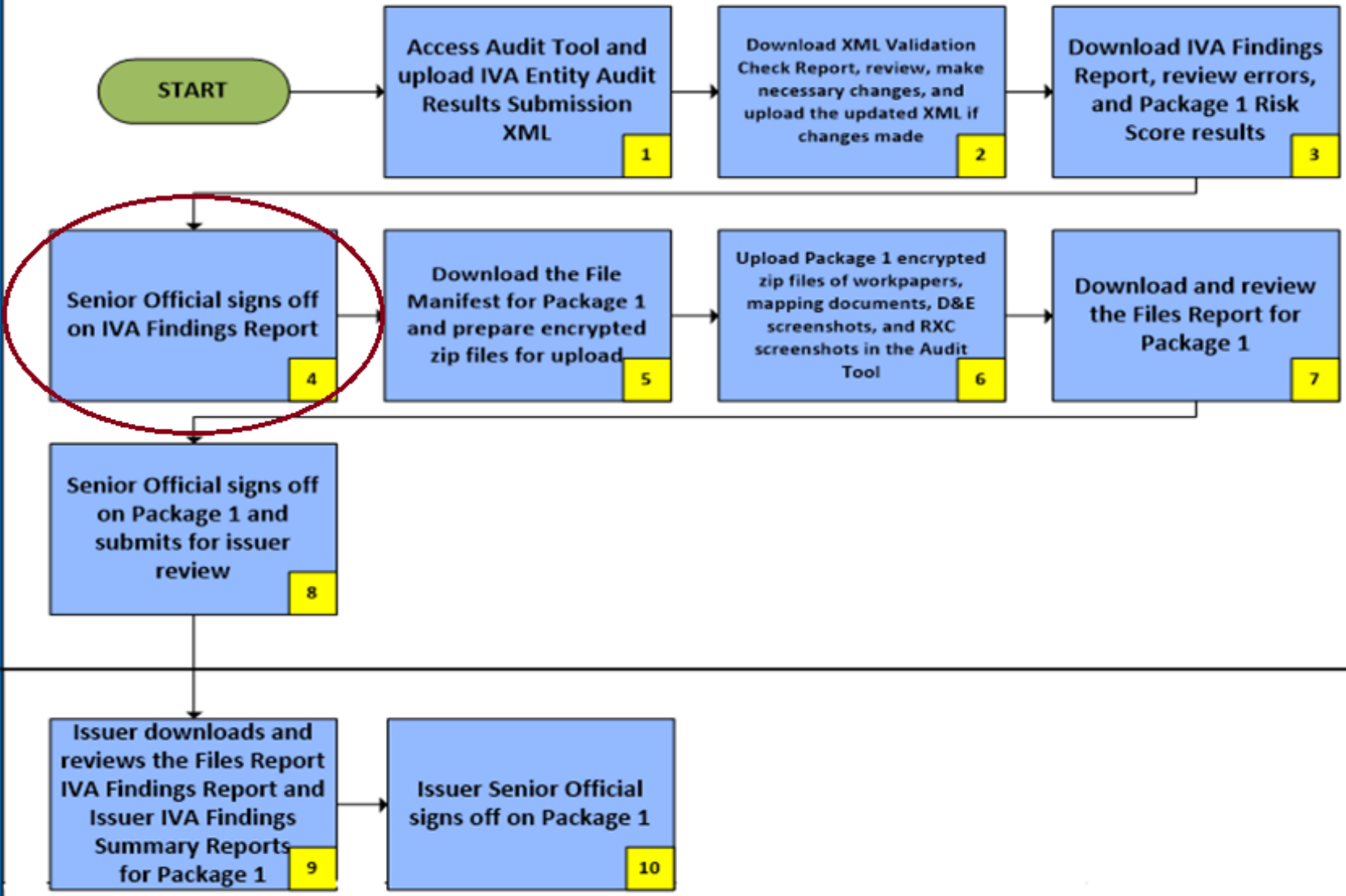
Download and review the Files Report for Package 1 7

Senior Official signs off on Package 1 and submits for issuer review 8

Issuer

Issuer downloads and reviews the Files Report IVA Findings Report and Issuer IVA Findings Summary Reports for Package 1 9

Issuer Senior Official signs off on Package 1 10



# 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 sign off 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



**Note:** Signing off on the IVA Findings Report for Package 1 will generate the Issuer IVA Findings Summary Report and a notification email to be sent to the issuer informing them of its availability

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

If a status of **Warning(s) Need Review** is indicated in the Status column, then the 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: Cheese Inc

HIOS ID: 08802

Password for Zip files:

Encryption Type: AES-256

#### IVA Findings Report for Package 1

Action	File Name	Status	Last Downloaded Date/Time <input data-bbox="1425 856 1445 870" type="button" value="?"/>
<a href="#">Download</a>	08802_IVA Findings Report_20181018164137.xml	Processed without Errors <input checked="" type="checkbox"/>	10/18/2018 12:42 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: John Last Name: Smith  
Email Address: sampleuser78+iva1@gmail.com Job Title:  
Phone Number: Phone Extension:



# IVA Findings Report for Package 1

## IVA Entity Signoff Process: Step 4 (continued)

[Down](#) [Report\\_20](#) [164137](#)

**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**

<b>First Name:</b>	John	<b>Last Name:</b>	Smith
<b>Email Address:</b>	sampleuser78+iva1@gmail.com	<b>Job Title:</b>	
<b>Phone Number:</b>		<b>Phone Extension:</b>	

# Issuer IVA Findings Summary Report for Package 1

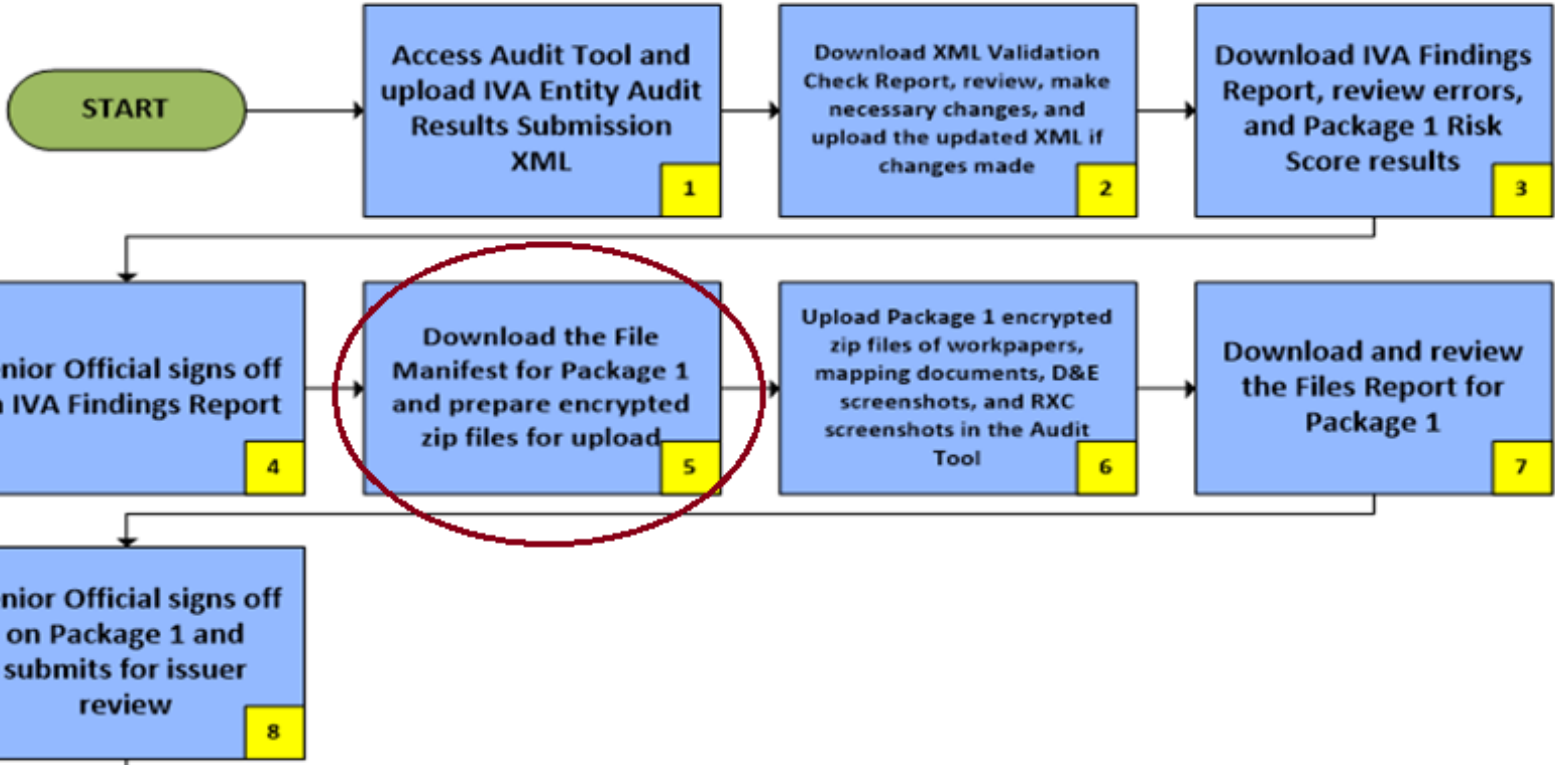
- Upon IVA Entity signoff the issuer is provided with IVA Findings and Files Reports for Package 1 and the Issuer IVA Findings Summary Report, as well as all zip files that have been uploaded, which have been discussed in proceeding slides
- To download a copy of the report, from the IVA Entity Package 1 Submission Status Page:
  1. Select the **Download Issuer IVA Findings Summary Reports 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



**Note:** Issuers and IVA Entities are not required to download the Issuer IVA Findings Summary Report. This is an optional report designed to aid in the understanding of the IVA Findings Report

# IVA Results Submission Process – Package 1 - Step 5

IVA Entity



Issuer



# IVA Entity - File Manifest for Package 1

## Overview: Step 5

- The File Manifest is generated after the signoff for IVA Findings Report for Package 1 is complete
- 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 Demographic and Enrollment [D&E] and RXC subsamples)
  - Workpapers (to support screenshot evidence for D&E and RXC validation)
    - Refer to 2018 Protocols Section A & B of the Appendices for guidance on data that should be included in the workpapers and mapping documentation for D&E and section 9.7.3.3 RXC Workpaper Documentation
- 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

- 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)



[Guidance](#)

### 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 upload or 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"/>	07701	07701_File Report Pk1_20181002161228 .csv	Processed without Errors	10/9/2018 4:40 PM	
<input type="checkbox"/>	07702	07702_File Report Pk1_20181002161315 .csv	Processed without Errors	10/2/2018 3:15 PM	
<input type="checkbox"/>	07703	07703_File Report Pk1_20181003162305 .csv	Processed without Errors	10/3/2018 12:23 PM	



# IVA Results Submission Process – Package 1 - Step 6

IVA Entity

START

Access Audit Tool and upload IVA Entity Audit Results Submission XML **1**

Download XML Validation Check Report, review, make necessary changes, and upload the updated XML if changes made **2**

Download IVA Findings Report, review errors, and Package 1 Risk Score results **3**

Senior Official signs off on IVA Findings Report **4**

Download the File Manifest for Package 1 and prepare encrypted zip files for upload **5**

Upload Package 1 encrypted zip files of workpapers, mapping documents, D&E screenshots, and RXC screenshots in the Audit Tool **6**

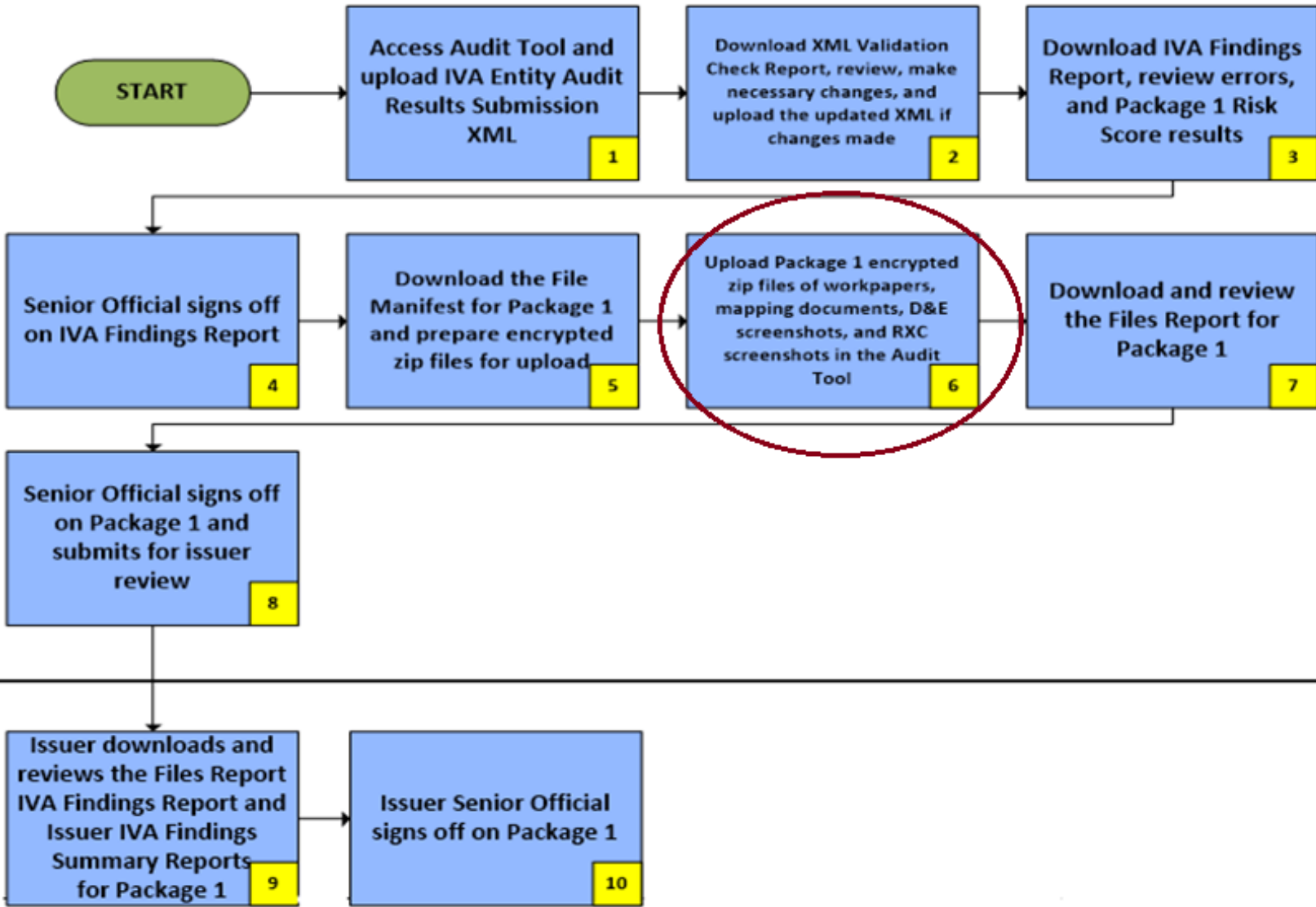
Download and review the Files Report for Package 1 **7**

Senior Official signs off on Package 1 and submits for issuer review **8**

Issuer

Issuer downloads and reviews the Files Report IVA Findings Report and Issuer IVA Findings Summary Reports for Package 1 **9**

Issuer Senior Official signs off on Package 1 **10**



# 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)

Issuer Company Name: Cheese Inc  
HIOS ID: 07701  
Password for Zip files:   
Encryption Type: AES-256 ?

**File Manifest for Package 1** ?

Action	File Name	File Manifest for Package 1 Status
<a href="#">Download</a>	07701_File Manifest Pk1_20181001140930.csv	Downloaded

**Upload a File**

No file selected.

Maximum file size: 1 GB

**Package 1 File(s)** ?

Action	File Name	Uploaded Date/Time
<a href="#">Download</a>	Package_1_Submission.zip	10/2/2018 12:06 PM

**Files Report for Package 1** ?

Action	File Name	Status	Created Date/Time
		Processing	



**NOTE:** All screenshots included in this presentation were captured in a test system environment and do not reflect the required HHS-RADV submission dates

# 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	System Stores
12345ZipA	12345ZipB	12345ZipC	
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 IVA Entities 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

START

Access Audit Tool and upload IVA Entity Audit Results Submission XML **1**

Download XML Validation Check Report, review, make necessary changes, and upload the updated XML if changes made **2**

Download IVA Findings Report, review errors, and Package 1 Risk Score results **3**

Senior Official signs off on IVA Findings Report **4**

Download the File Manifest for Package 1 and prepare encrypted zip files for upload **5**

Upload Package 1 encrypted zip files of workpapers, mapping documents, D&E screenshots, and RXC screenshots in the Audit Tool **6**

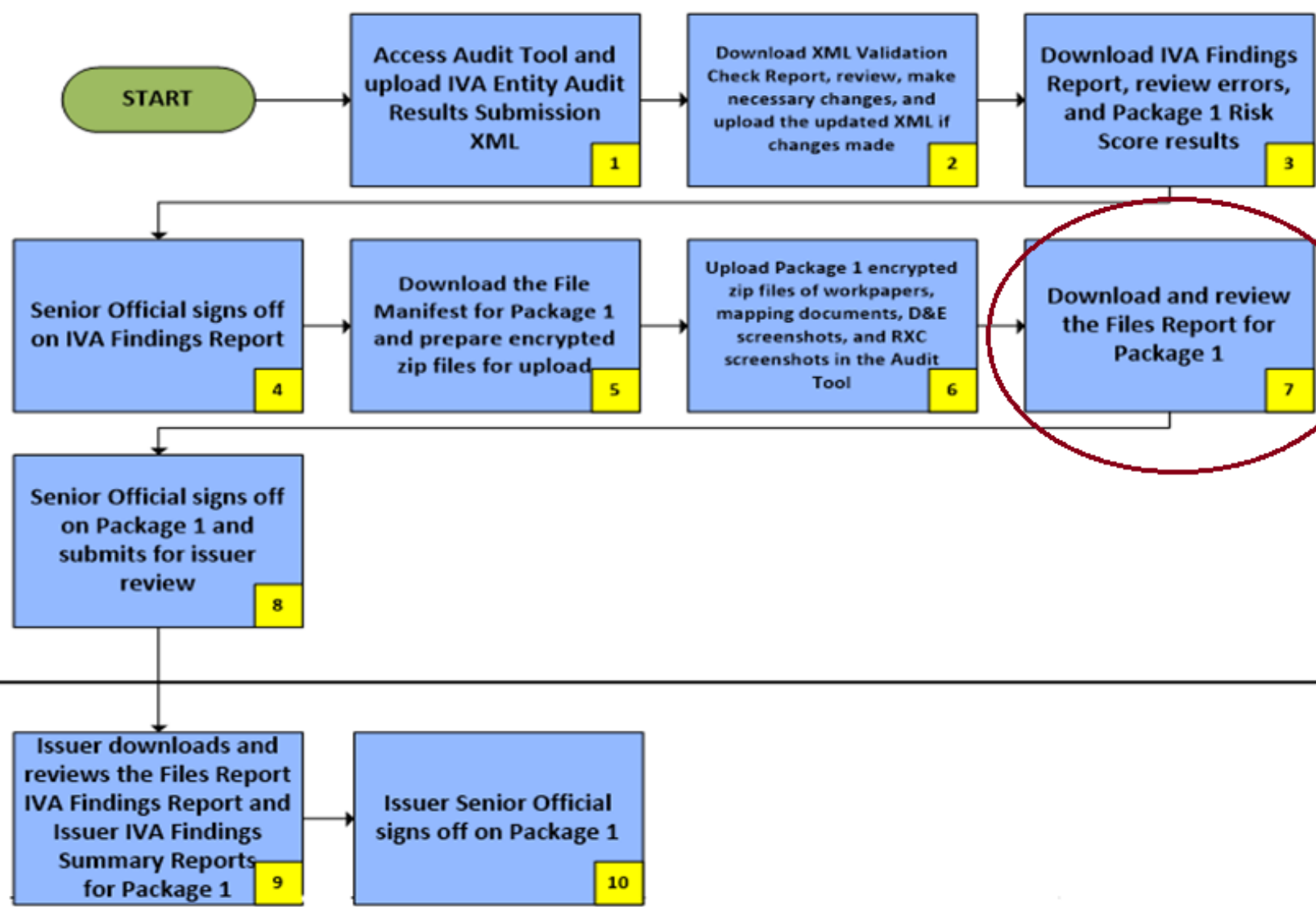
Download and review the Files Report for Package 1 **7**

Senior Official signs off on Package 1 and submits for issuer review **8**

Issuer downloads and reviews the Files Report IVA Findings Report and Issuer IVA Findings Summary Reports for Package 1 **9**

Issuer Senior Official signs off on Package 1 **10**

Issuer



# 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 (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 - Files Report for Package 1

## Download Process: Step 7 (continued)



[Guidance](#)

### 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 upload or 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"/>	07701	07701_File Report Pk1_20181002161228.csv	Processed without Errors <input checked="" type="checkbox"/>	10/9/2018 4:40 PM	
<input type="checkbox"/>	07702	07702_File Report Pk1_20181002161315.csv	Processed without Errors <input checked="" type="checkbox"/>	10/2/2018 3:15 PM	
<input type="checkbox"/>	07703	07703_File Report Pk1_20181003162305.csv	Processed without Errors <input checked="" type="checkbox"/>	10/3/2018 12:23 PM	

Exit

Return to Status page

Download



# IVA Entity - Interpreting the Files Report for Package 1: Step 7

- The Files Report for Package 1 contains Fatal Errors, Critical Errors, and Warnings
  - **Fatal Error(s) or Critical Error(s)**: If these errors occur in the Files Report for Package 1, they must be addressed, 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)

- **Example of Files Report Errors**
  - Response Code 5.5.3: File size too large

**Table 47 of the HHS-RADV 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 500 MB.	You must split the file into multiple documents each with an unzipped file size no larger than 500 MB. Use the File Name Revisions process to submit the replacement files.	Critical	Files Reports for Package 1, Package 2, and Package 3

- **Example of Files Report Warning**
  - Response Code 5.3.2: No file name match found

**Table 47 of the HHS-RADV 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, Package 2 or Package 3 submission does not match the <b>IVA Entity Audit Results Submission (XML)</b> . 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, Package 2 and Package 3



For more information on adding and replacing files, reference slides 71, 81 and 82

[WWW.REGTAP.INFO](http://WWW.REGTAP.INFO)

# 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 47 of the HHS-RADV 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

For more information on adding and replacing files, reference slides 71, 81 and 82

# 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 47 of the HHS-RADV ICD

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 <b>IVA Entity Audit Results Submission (XML)</b> was not included in the Package 1, Package 2, or Package 3 submission.	Confirm the information submitted in the Package 1, Package 2 or Package 3 submission. If the information is incorrect, make the appropriate corrections and resubmit. If the information in the Package 1, Package 2 or Package 3 submission is correct, no further action is required.	Warning	Files Reports for Package 1, Package 2, and Package 3

For more information on adding and replacing files, reference slides 71, 81 and 82



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

- **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	System Stores
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

START

Access Audit Tool and upload IVA Entity Audit Results Submission XML **1**

Download XML Validation Check Report, review, make necessary changes, and upload the updated XML if changes made **2**

Download IVA Findings Report, review errors, and Package 1 Risk Score results **3**

Senior Official signs off on IVA Findings Report **4**

Download the File Manifest for Package 1 and prepare encrypted zip files for upload **5**

Upload Package 1 encrypted zip files of workpapers, mapping documents, D&E screenshots, and RXC screenshots in the Audit Tool **6**

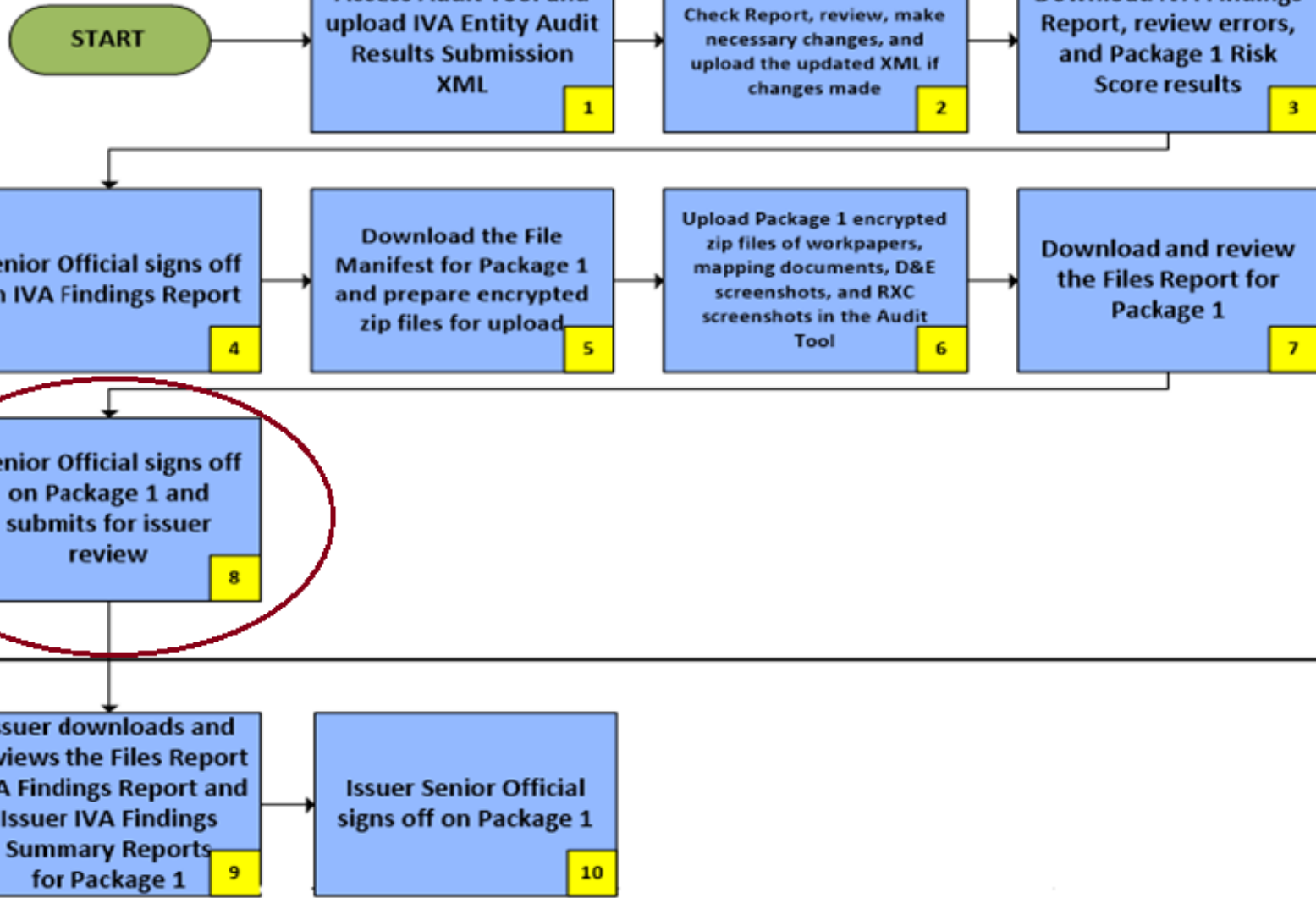
Download and review the Files Report for Package 1 **7**

Senior Official signs off on Package 1 and submits for issuer review **8**

Issuer

Issuer downloads and reviews the Files Report IVA Findings Report and Issuer IVA Findings Summary Reports for Package 1 **9**

Issuer Senior Official signs off on Package 1 **10**



# 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, the IVA Entity SO must sign off on Package 1
  - By completing the signoff attestation, the IVA Entity SO is certifying that Package 1 is acceptable and ready for issuer review
  - It is recommended that IVA Entities notify the issuer as soon as Package 1 is available for the issuer's review and signoff in order to keep the process moving

# 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: Cheese Inc

HIOS ID: 07702

Password for Zip files:

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

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

Action	File Name	Status	Last Downloaded Date/Time <a href="#">?</a>
<a href="#">Download</a>	07702_IVA Findings Report_20181024213814.xml	Processed without Errors <input checked="" type="checkbox"/>	10/24/2018 5:53 PM

### Files Report for Package 1 [?](#)

Action	File Name	Status	Last Downloaded Date/Time <a href="#">?</a>
<a href="#">Download</a>	07702_File Report Pk1_20181026152240.csv	Processed without Errors <input checked="" type="checkbox"/>	10/26/2018 12:03 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: John Last Name: Smith  
Email Address: sampleuser78+iva1@gmail.com Job Title:  
Phone Number: Phone Extension:

Exit

Back

Submit

# 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 [CCII/OACARADDataValidation@cms.hhs.gov](mailto:CCII/OACARADDataValidation@cms.hhs.gov).

Submission End Time: 10/3/2018 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 & IVA Entity Recommendations for Signoff

- Final Issuer SO signoff deadline on Package 1 (IVA Findings) is January 9, 2020 by 11:59 p.m. ET
  - It is strongly encouraged that issuers review and signoff on Package 1 as soon as possible rather than waiting until the deadline to avoid last minute errors
- It is important to be aware that issuer's review and signoff of the IVA submission is time sensitive
- The issuer is expected to perform a thorough review of the submission as it is the issuer's responsibility to verify that the content submitted is correct
- Issuers and IVA Entities should allow time for this review process so that if the issuer finds issues with the IVA submission, there is time allocated for corrections to be made
- CMS recommends that issuers communicate closely with the IVA Entity to allow time for review of Package 1 and any corrections that may need to be made by the IVA Entity before the issuer signoff deadline



**Note: IVA Entity findings are not disputable through the CMS discrepancy reporting processes or appealable**

# 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
- **New for 2018** Issuer IVA Findings Summary Report to aid in interpreting and reviewing the IVA Findings Report
- There are two (2) reports that **must be downloaded** and reviewed by the Issuer SO or RADV Coordinators:
  - IVA Findings Report for Package 1
  - Files Report for Package 1
- While an Issuer SO is required to sign off, the files may be downloaded and reviewed by an Issuer SO or RADV Coordinator
- Issuer SOs can choose to sign off on 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) risk scores
  - The Issuer IVA Findings Summary Report contains HIOS ID Summary, Enrollee Summary, and HCC Failure Rate Summary CSV reports to assist the issuer with interpreting IVA findings



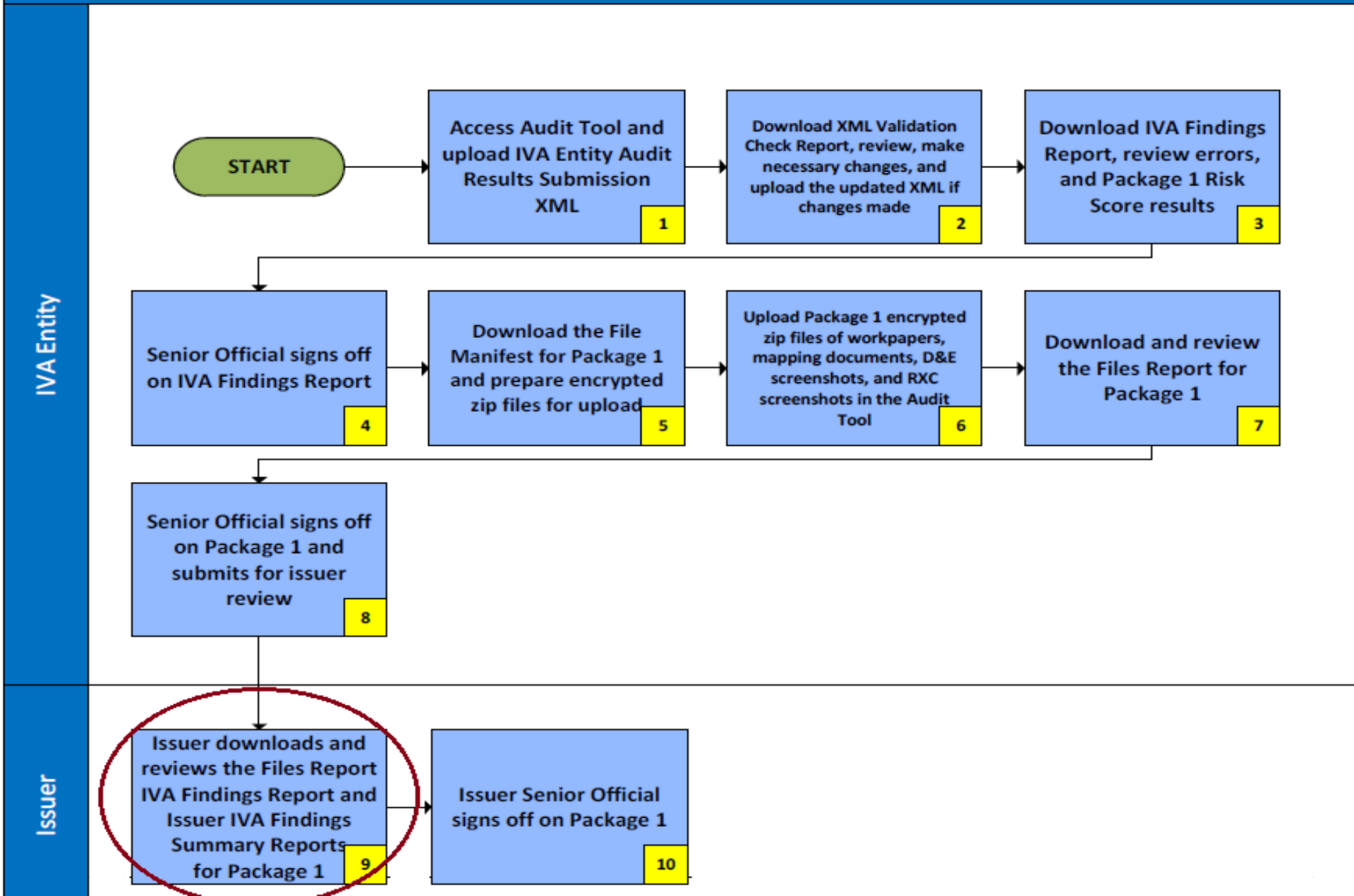
**Note:** Though it is recommended, the issuer **is not required** to download the Issuer IVA Findings Summary Report

# 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 sign off 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 must enter comments regarding rejection in the Rejection Comments field
    - Rejection will not allow for any extension to the submission window process
  - The IVA Entity will be able to review rejection comments through the Audit Tool

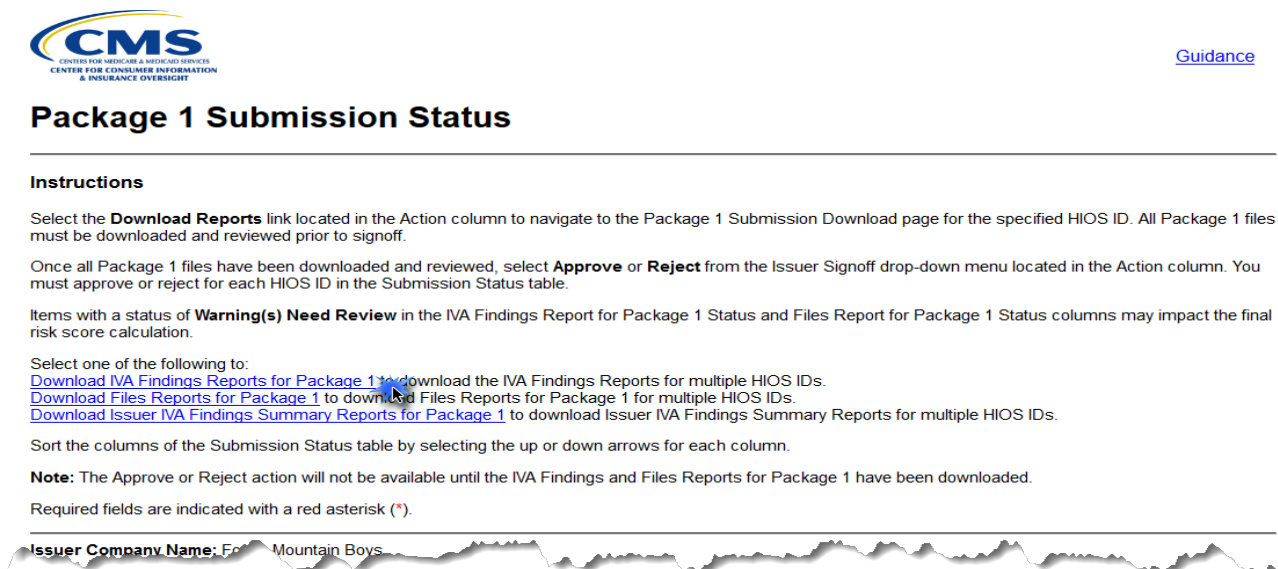
# IVA Results Submission Process – Package 1 - Step 9



# Issuer Submission Status Pages

## Package 1: Step 9

- Issuer Package 1 Submission Status page



The screenshot shows the CMS website interface for the Package 1 Submission Status page. At the top left is the CMS logo (Centers for Medicare & Medicaid Services, Center for Consumer Information & Insurance Oversight). At the top right is a link for [Guidance](#). The main heading is **Package 1 Submission Status**. Below this is an **Instructions** section containing several paragraphs of text. The first paragraph states that users should select the **Download Reports** link in the Action column to navigate to the Package 1 Submission Download page for a specific HIOS ID. The second paragraph explains that after downloading and reviewing files, users should select **Approve** or **Reject** from the Issuer Signoff drop-down menu. The third paragraph notes that items with a status of **Warning(s) Need Review** may impact the final risk score calculation. The fourth paragraph lists three download links: [Download IVA Findings Reports for Package 1](#), [Download Files Reports for Package 1](#), and [Download Issuer IVA Findings Summary Reports for Package 1](#). The fifth paragraph instructs users to sort the Submission Status table columns using up or down arrows. A **Note** states that the Approve or Reject action will not be available until the IVA Findings and Files Reports for Package 1 have been downloaded. The final paragraph indicates that required fields are marked with a red asterisk (\*). At the bottom of the screenshot, a form field is visible with the text "Issuer Company Name: F... Mountain Boys".

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

# Access the Issuer Submission Status Pages – Package 1: Step 9

- Issuer Package 1 Submission Status Page

Issuer Company Name: Cheese Inc

**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
<a href="#">Download Reports</a>	Macaroni LLC	07701 <a href="#">IVA Entity History</a> <a href="#">Issuer History</a>	Processed without Errors ✓	Processed without Errors ✓	Pending
<a href="#">Download Reports</a>	Macaroni LLC	07702 <a href="#">IVA Entity History</a> <a href="#">Issuer History</a>	Processed without Errors ✓	Processed without Errors ✓	Pending
<a href="#">Download Reports</a>	Macaroni LLC	07703 <a href="#">IVA Entity History</a> <a href="#">Issuer History</a>	Processed without Errors ✓	Warning(s) Need Review ⚠	Pending

Exit 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)

### IVA Findings Report for Package 1 ?

Select	HIOS ID	File Name	Status	Last Downloaded by Issuer Date/Time <span>?</span>	Password
<input checked="" type="checkbox"/>	07701	07701_IVA Findings Report_20181001140930.xml	Processed without Errors <input checked="" type="checkbox"/>	10/2/2018 2:52 PM	
<input checked="" type="checkbox"/>	07702	07702_IVA Findings Report_20181001140943.xml	Processed without Errors <input checked="" type="checkbox"/>	N/A	
<input type="checkbox"/>	07703	07703_IVA Findings Report_20181001140947.xml	Processed without Errors <input checked="" type="checkbox"/>	N/A	

# 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)



[Guidance](#)

## 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).

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 1 History pages.

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

### Files Reports for Package ?

Select	HIOS ID	File Name	Status	Last Downloaded by Issuer Date/Time	Password
<input type="checkbox"/>	07701	07701_File Report Pk1_20181002161228.c sv	Processed without Errors <input checked="" type="checkbox"/>	10/2/2018 2:53 PM	
<input checked="" type="checkbox"/>	07702	07702_File Report Pk1_20181002161315.c sv	Processed without Errors <input checked="" type="checkbox"/>	N/A	
<input type="checkbox"/>	07703	07703_File Report Pk1_20181002161359.c sv	Warning(s) Need Review <input type="checkbox"/>	N/A	

Exit

Return to Status page

Download



# Issuer Access – Issuer IVA Findings Summary Report for Package 1

- Accessing the Issuer IVA Findings Summary Report for Package 1
  - From the Issuer Package 1 Submission Status Page:
    1. Select the **Download Issuer IVA Findings Summary 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 access - Issuer IVA Findings Summary Report for Package 1 Download Process (continued)



[Guidance](#)

## Issuer IVA Findings Summary 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.

### Issuer IVA Findings Summary Report for Package 1

Select	HIOS ID	File Name	Last Downloaded by Issuer Date/Time	Password
<input checked="" type="checkbox"/>	03451	03451_Issuer IVA Findings Summary Report Pkg1_20191014173218.zip	N/A	
	03456	03456_Issuer IVA Findings Summary Report Pkg1_20191014171521.zip	N/A	

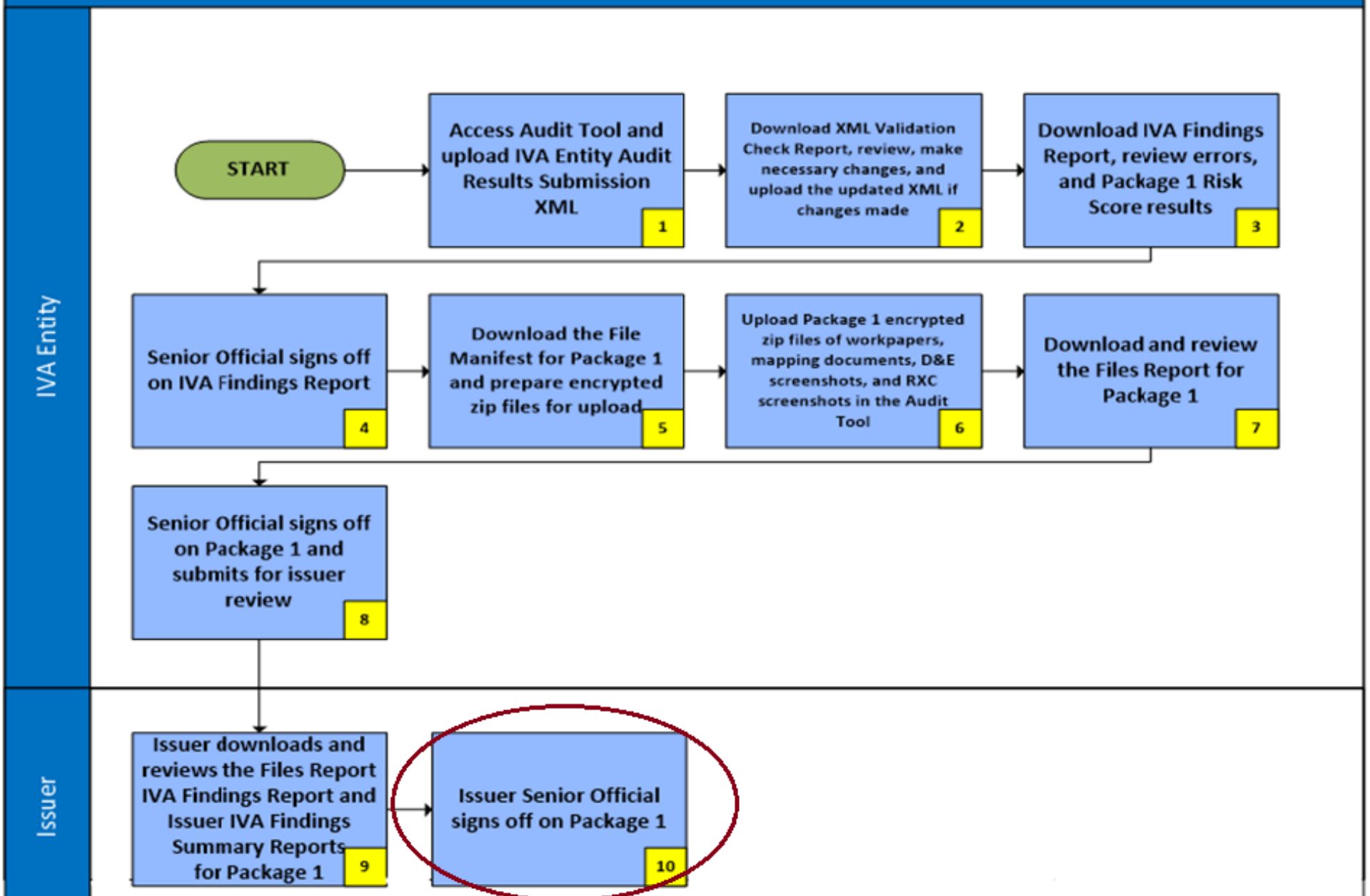
Exit

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 sign off on Package 1 using one (1) of two (2) methods
  - Sign off for one (1) HIOS ID at a time
    - From the *Package 1 Submission Download* page
  - Sign off for multiple HIOS ID at one (1) time
    - From the *Package 1 Submission Status* page



**NOTE:** Rejecting Package 1 requires that the IVA Entity 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. It is strongly recommended that issuers communicate closely with the IVA Entity to meet the Package 1 signoff deadline

# 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
<a href="#">Download Reports</a> Issuer Signoff --None--	Macaroni LLC	07701 <a href="#">IVA Entity History</a> <a href="#">Issuer History</a>	Processed without Errors ✓	Processed without Errors ✓	Pending
<a href="#">Download Reports</a> Issuer Signoff --None--	Macaroni LLC	07702 <a href="#">IVA Entity History</a> <a href="#">Issuer History</a>	Processed without Errors ✓	Processed without Errors ✓	Pending
<a href="#">Download Reports</a> Issuer Signoff --None-- Approved Rejected	Macaroni LLC	07703 <a href="#">IVA Entity History</a> <a href="#">Issuer History</a>	Processed without Errors ✓	Warning(s) Need Review ⚠	Approved 10/2/2018 ✓

Exit Continue

# Issuer - Signoff for Package 1 Approve: Step 10

- 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 the mandatory rejection comments

## Approve:

 [Guidance](#)

### 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)**

IVA Entity Name	HIOS ID
Macaroni LLC	07701

---

**Submitter Contact Information**

**First Name:** Bob  
**Email Address:** sampleuser78+hiss1@gmail.com  
**Phone Number:** (111) 111-1111

**Last Name:** Wills  
**Job Title:** Manager  
**Phone Extension:**

# Issuer - Signoff for Package 1 Reject: Step 10

Reject:



## Issuer Package 1 Signoff

### Instructions

Review the HIOS ID(s) indicated as approved or rejected for Package 1.

For the Package 1 Approved HIOS ID(s), selecting the **Submit** button indicates that you, the Issuer Senior Official, attest to the initial validation audit (IVA) findings and account Validation Audit (SVA) Entity for the HIOS ID(s) listed below. If the pairwise means test results conclude there is sufficient agreement between the IVA and SVA findings, the error rate calculation for the applicable benefit year. As such, no subsequent discrepancy or appeal right (set forth in 45 C.F.R. 153.630(d)(2) or (d)(3)) will follow unless it is

For the Package 1 Rejected HIOS ID(s), selecting the **Submit** button will require the IVA Entity to resubmit the IVA Entity Audit Results Submission XML and all Package 1 IVA. You must enter comments regarding rejection in the **Rejection Comments** field.

To change your signoff selection, select the **Back** button. Select the Submit button to **submit** your Package 1 signoff determination(s) for the listed HIOS ID(s).

### Package 1 Rejected HIOS ID(s)

IVA Entity Name	HIOS ID	* Rejection Comments
Drifting Cowboys	03456	Mandatory rejection comment

# 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](mailto:CCIOACARADDataValidation@cms.hhs.gov).

**Submission End Time:** 10/02/2018 04:19 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 the Issuer SO	Then
<b><u>Approves</u> the Package 1 Submission</b>	<ul style="list-style-type: none"><li>• IVA Entity SOs and RADV Coordinators will receive a confirmation email which includes notification that the Package 2 Reports are available</li></ul>
<b><u>Rejects</u> the Package 1 Submission</b>	<ul style="list-style-type: none"><li>• 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<ul style="list-style-type: none"><li>– This may include resubmitting the IVA Entity Audit Results Submission XML and all Package 1 files</li></ul></li></ul>

# **Package 2 Submission Process IVA Entity Responsibilities**

# IVA Results Submission Process – Package 2 - Step 11

IVA Entity

Download SVA Subsample Report and File Manifest for Package 2 and prepare encrypted zip files for upload

11

Upload Package 2 encrypted zip files containing medical records and NEC images in the Audit Tool

12

Download and review the Files Report for Package 2

13

Download IVA Findings Report, review errors, and Package 2 Risk Score results

14

Senior Official signs off on Package 2 and submits for issuer review

15

Issuer downloads and reviews the Files Report and IVA Findings Report for Package 2

16

Issuer Senior Official signs off on Package 2

17

Issuer

# 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
- **The final day for IVA Entity to submit medical records to CMS for the SVA subsample and receive final signoff from issuer is January 16, 2020 by 11:59 p.m. ET**



# 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.

**Note:** Do not use the browser refresh button to refresh this page. Select the **Refresh Page** button to refresh this page as needed.

Select one of the following to:

- [Download SVA Subsample Reports](#) to download SVA Subsample 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 <sup>▲</sup>	Package 1 Issuer Signoff <sup>?</sup>	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 <sup>?</sup>
	Cheese Inc	07701 <a href="#">History</a>	Approved 10/9/2018 ✔	New				
<a href="#">Upload/Download Pkg 2 Docs</a>	Cheese Inc	07702 <a href="#">History</a>	Approved 10/2/2018 ✔	Downloaded	Processed without Errors ✔	Processed without Errors ✔	10/3/2018 11:53 AM ✔	Approved 10/4/2018 ✔
<a href="#">Upload/Download Pkg 2 Docs</a>	Cheese Inc	07703 <a href="#">History</a>	Approved 10/3/2018 ✔	Downloaded	Warning(s) Need Review ⚠	Warning(s) Need Review ⚠	10/3/2018 12:53 PM ✔	Pending
	Cheese Inc	08801 <a href="#">History</a>		Not Yet Available				
	Cheese Inc	08802 <a href="#">History</a>		Not Yet Available				
	Cheese Inc	08803 <a href="#">History</a>		Not Yet Available				

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




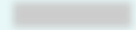

# IVA Entity – SVA Subsample Download Process: Step 11

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


## Process: Step 11 (continued)

### SVA Sub-sample Reports

Select	Issuer Company Name 	HIOS ID	SVA Sub-sample Status	File Name	Last Downloaded Date/Time 	Password
<input type="checkbox"/>	Cheese Inc	07701	New	07701- RADV_SVA_Subsample.cs v.zip	N/A	
<input type="checkbox"/>	Cheese Inc	07702	Downloaded	07702- RADV_SVA_Subsample.cs v.zip	10/3/2018 12:28 PM	
<input type="checkbox"/>	Cheese Inc	07703	Downloaded	07703- RADV_SVA_Subsample.cs v.zip	10/3/2018 12:32 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 (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 - File Manifest for Package 2

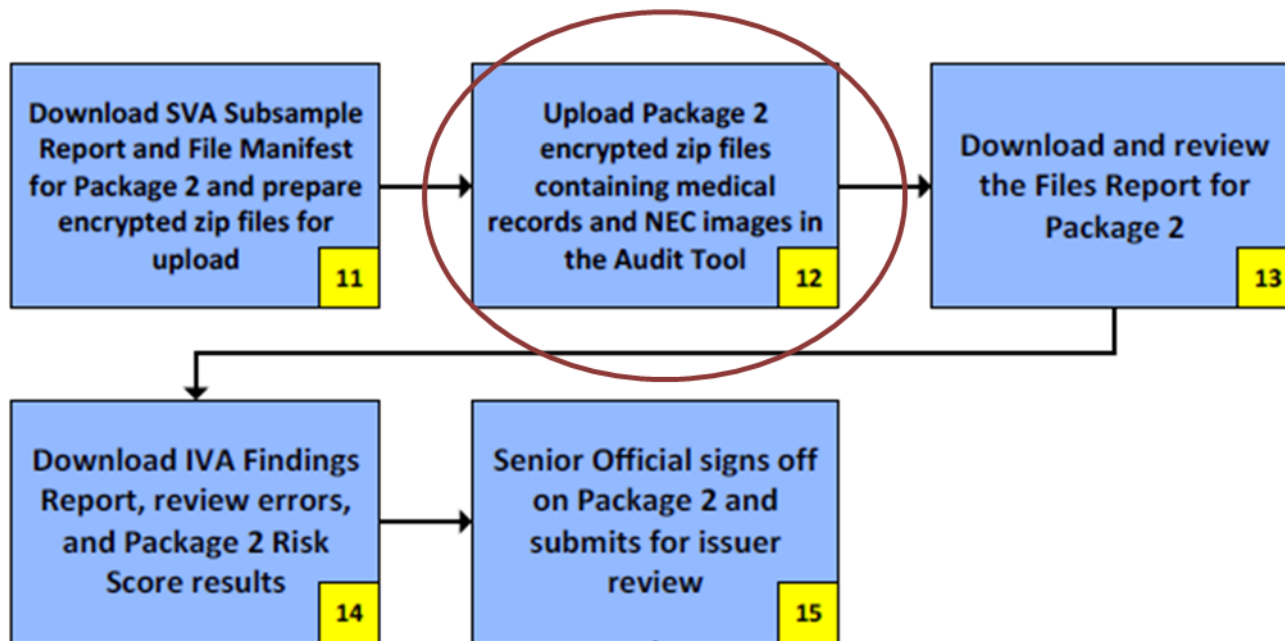
## Download Process: Step 11 (continued)

### File Manifest for Package 2 ?

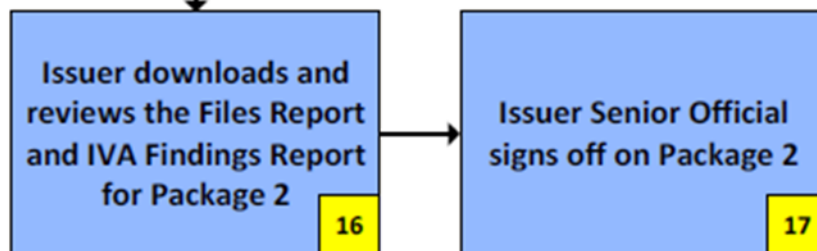
Select	Issuer Company Name	HIOS ID	File Manifest Status	File Name	Last Downloaded Date/Time	Password
<input type="checkbox"/>	Cheese Inc	07701	New	07701_File Manifest Pk2_20181009204230.csv	N/A	
<input type="checkbox"/>	Cheese Inc	07702	Downloaded	07702_File Manifest Pk2_20181002201909.csv	10/3/2018 12:27 PM	
<input type="checkbox"/>	Cheese Inc	07703	Downloaded	07703_File Manifest Pk2_20181003162423.csv	10/3/2018 12:32 PM	

# IVA Results Submission Process – Package 2 - Step 12

IVA Entity



Issuer





# IVA Entity - Package 2

## Files Upload Overview: Step 12

- 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)

Issuer Company Name: [Redacted] Inc

HIOS ID: 07701

Password for Zip files: [Redacted]

Encryption Type: AES-256

**File Manifest for Package 2**

Action	File Name	File Manifest Status
<a href="#">Download</a>	07701_File Manifest PK2_20181009204230.csv	New

**SVA Subsample**

Action	File Name	SVA Subsample Status
<a href="#">Download</a>	07701-RADV_SVA_Subsample.csv.zip	Downloaded

**\* Upload a File**

No file selected.

Maximum file size: 1 GB

**Package 2 File(s)**

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

**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	

# 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: Cheese Inc  
HIOS ID: 07701  
Password for Zip files:   
Encryption Type: AES-256 

File Manifest for Package 2 

Action	File Name	File Manifest Status
<a href="#">Download</a>	07701_File Manifest Pk2_20181009204230.csv	New


SVA Subsample 


Action	File Name	SVA Subsample Status
<a href="#">Download</a>	07701-RADV_SVA_Subsample.csv.zip	Downloaded


\* Upload a File


No file selected.

Maximum file size: 1 GB

Package 2 File(s) 

Action	File Name	Uploaded Date/Time
<a href="#">Download</a> <a href="#">Delete</a>	Package_2_Submission.zip	10/18/2018 6:32 PM 



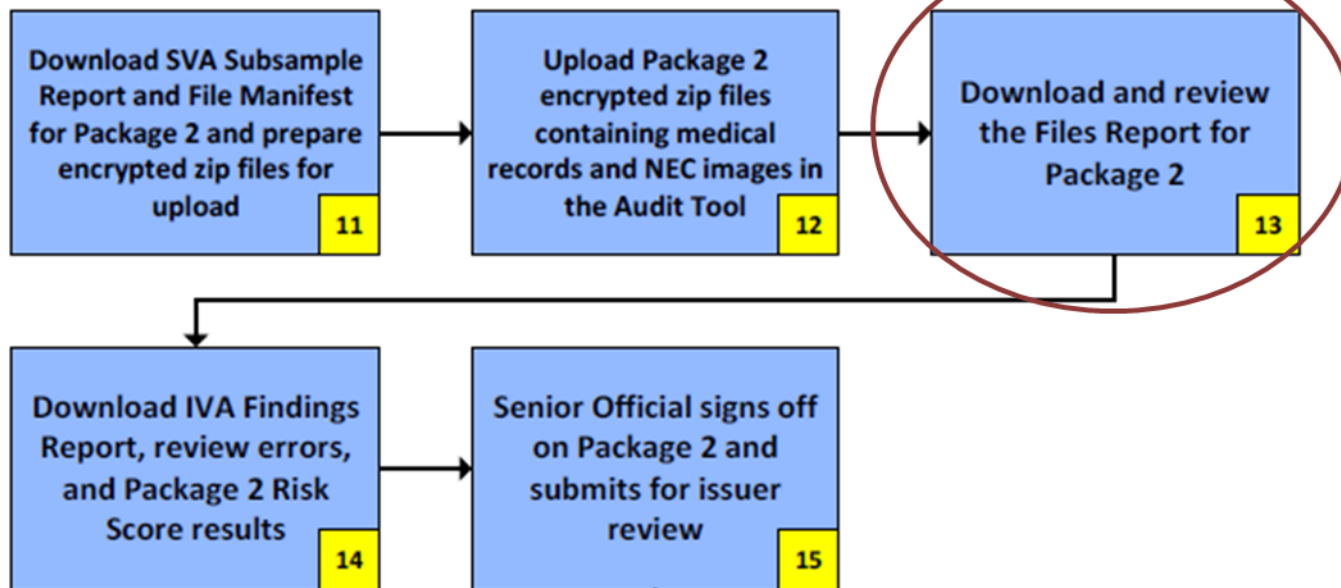
Files Report for Package 2 

# Delay in Receipt of Files Report: Step 12

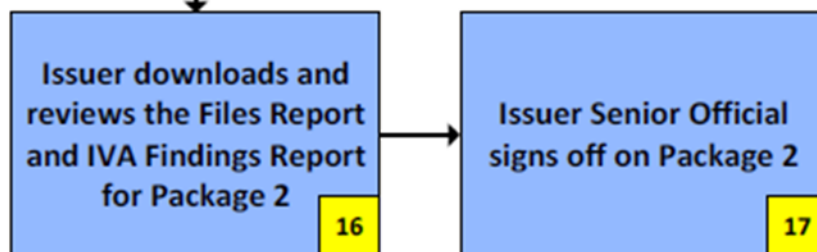
- If you submitted files but have not received the Files Report for Package 2, confirm that you selected the **Package 2 file upload complete** button
- If the upload screen continues to show “Processing”, you may have experienced a time out
  - Navigate back to the Package 2 Files Upload page to see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

# IVA Results Submission Process – Package 2 - Step 13

IVA Entity



Issuer



# IVA Entity - Files Report for Package 2

## Overview: Step 13

- 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




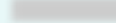
- From the IVA Entity Package 2 Submission Status page:
  1. Select the **Download Files Reports for Package 2** link to navigate to the Files Report for Package 2 Download page
  2. Select the checkbox(es) in the Select column for the specific HIOS ID(s)
    - You can choose to select one (1) or multiple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

Select	HIOS ID	File Name	Status	Last Downloaded Date/Time	Password
<input type="checkbox"/>	07702	07702_File Report Pk2_20181003151424.csv	Processed without Errors 	10/3/2018 11:53 AM	
<input type="checkbox"/>	07703	07703_File Report Pk2_20181003163345.csv	Warning(s) Need Review 	10/3/2018 12:52 PM	

Exit

Return to Status page

Download

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

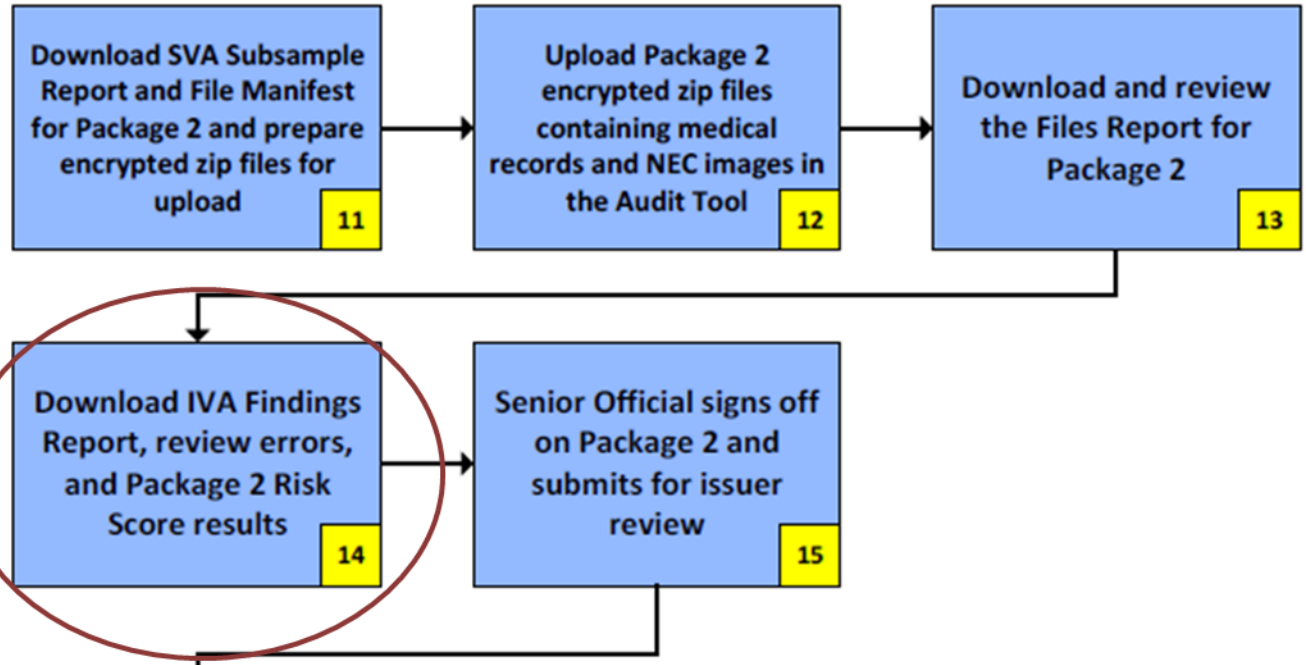
- The Files Report for Package 2 contains Fatal Errors, Critical Errors, and Warnings
  - **Fatal Error(s) and Critical Error(s)**: If these errors occur in the Files Report for Package 2 they must be addressed and corrected, and files must be resubmitted for Package 2
  - **Warning(s)**: Warning messages do not prevent the IVA Entity and issuer from advancing through the IVA Submission Process, as the warnings may be accepted by the IVA Entity and issuer
- If you need to split and resubmit file(s) because the original file exceeded the maximum file size (500 MB unzipped), you must submit a File Name Revisions XML

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

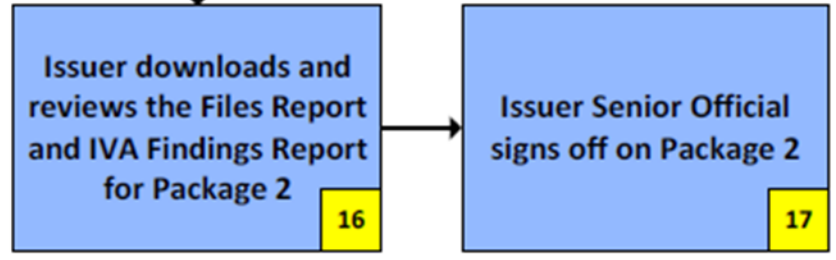
- A status of **Warning(s) Need Review** does not require file resubmission, but may impact the final risk score calculation
  - Warnings will be included in the Files Report for Package 2 however, the impact to the risk score will be included in the IVA Findings Report
  - If a medical record listed in the file manifest was not submitted in the Package 2 submission, this warning will show in the Files Report
    - This may result in an unsubstantiated HCC, resulting in a lower risk score, which will be reflected in the IVA Findings Report
- 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



# 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 final IVA Findings Report 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



**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

# 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 Reports for Package 2 ?

Select	HIOS ID	File Name	Status	Last Downloaded Date/Time	Password
<input type="checkbox"/>	07702	07702_IVA Findings Report 2_20181003151536.xml	Processed without Errors	10/3/2018 11:53 AM	
<input type="checkbox"/>	07703	07703_IVA Findings Report 2_20181003164053.xml	Warning(s) Need Review	10/3/2018 12:53 PM	

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

# IVA Entity - Interpreting the IVA Findings Report for Package 2: Step 14

- 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

```

- <enrIResponseItem>
  <mrCount>2</mrCount>
  <uniqueDiagCount>3</uniqueDiagCount>
  <uniqueHccCount>3</uniqueHccCount>
  <uniqueIVAHccs>12, 42, 217</uniqueIVAHccs>
  <uniqueEDGEHccs>12, 42, 217</uniqueEDGEHccs>
  <uniqueRaNdcCodeCount>1</uniqueRaNdcCodeCount>
  <uniqueRaHcpcsCount>0</uniqueRaHcpcsCount>
  <uniqueIVARxcCount>1</uniqueIVARxcCount>
  <uniqueIVARxcs>1</uniqueIVARxcs>
  <uniqueEDGERxcs>1, 3</uniqueEDGERxcs>
  <radvdeRiskScore>22.71296</radvdeRiskScore>
  <ivaRiskScorePk1>22.71296</ivaRiskScorePk1>
  <deltaRSRadvdeIvaPk1>22.71296</deltaRSRadvdeIvaPk1>
  <ivaRiskScorePk2>0.0</ivaRiskScorePk2>
  <deltaRSRadvdeIvaPk2>0.0</deltaRSRadvdeIvaPk2>
</enrIResponseItem>
    
```

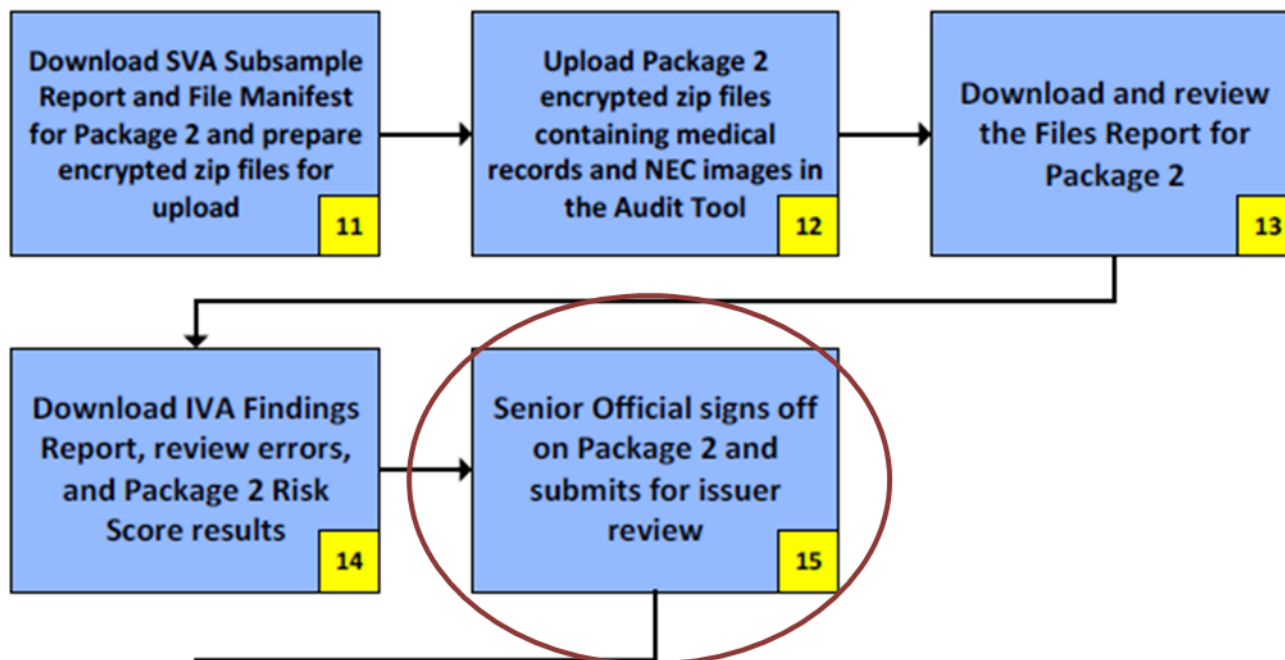
issuerIden	uniqueEnrolleId	mrIdentifier	neIdentifier	fileName	expectedF	receivedFil	responseC	responseMessage
1234	82353ETD	01234MR8235302		MR456785	23.64		5.3.3	Expected file missing.
1234	82353ETD	01234MR8235302		MR456785	75.45		5.3.3	Expected file missing.
1234	82353ETD	01234MR8235302	01234NEC	NEC86753	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 71, 81 and 82

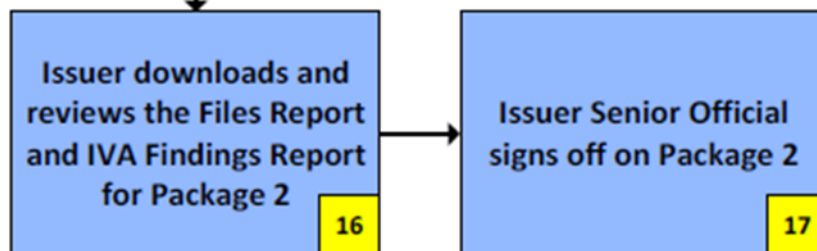


# IVA Results Submission Process – Package 2 - Step 15

IVA Entity



Issuer



# IVA Entity - Signoff for Package 2

## Overview: Step 15

- After reviewing the Package 2 documentation, an IVA Entity SO must sign off on Package 2
  - By completing the signoff attestation, the IVA Entity SO is certifying that Package 2 is acceptable and ready for issuer review
- 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

Required fields are indicated by a question mark.

**Issuer Company Name:** Cheese Inc  
**HIOS ID:** 08803  
**Password for Zip files:**   
**Encryption Type:** AES-256 ?

**Files Report for Package 2 ?**

Action	File Name	Status	Last Downloaded Date/Time ?
<a href="#">Download</a>	08803_File Report Pk2_20181018164709.csv	Warning(s) Need Review ⚠	10/18/2018 6:39 PM

**IVA Findings Report for Package 2 ?**

Action	File Name	Status	Last Downloaded Date/Time ?
<a href="#">Download</a>	08803_IVA Findings Report 2_20181018164722.xml	Processed without Errors ✓	10/18/2018 6:39 PM

**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**

<b>First Name:</b>	John	<b>Last Name:</b>	Smith
<b>Email Address:</b>	sampleuser78+iva1@gmail.com	<b>Job Title:</b>	
<b>Phone Number:</b>		<b>Phone Extension:</b>	

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

# IVA Entity - Issuer IVA Findings Summary Report for Package 2

- Upon IVA Entity signoff of Package 2, the issuer has access to the IVA Findings Files Reports for Package 2, the Issuer IVA Findings Summary Report, as well as all zip files that have been uploaded
  - To download a copy of the report, from the IVA Entity Package 2 Submission Status Page:
    1. Select the **Download Issuer IVA Findings Summary Reports 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 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 2 Submission Status Page



**Note:** Issuers and IVA Entities are not required to download the Issuer IVA Findings Summary Report

# **Package 2 Submission Process: Issuer Responsibilities**

# Issuer Signoff for Package 2 Overview

- Issuer SOs and RADV Coordinators can download Package 2 reports and both will receive an email notification when the IVA Results Package 2 is available for review and signoff
- There are two (2) reports that must be downloaded and reviewed by the Issuer SO or RADV Coordinator:
  - IVA Findings Report for Package 2
  - Files Report for Package 2
- There are two (2) reports that the issuers are not required to download:
  - SVA Subsample Report
  - Issuer IVA Findings Summary Report for Package 2
- Issuer SOs can choose to sign off on an individual or multiple HIOS IDs from the IVA Entity Package 2 Submission Status page

# Issuer Signoff for Package 2 Overview

(continued)

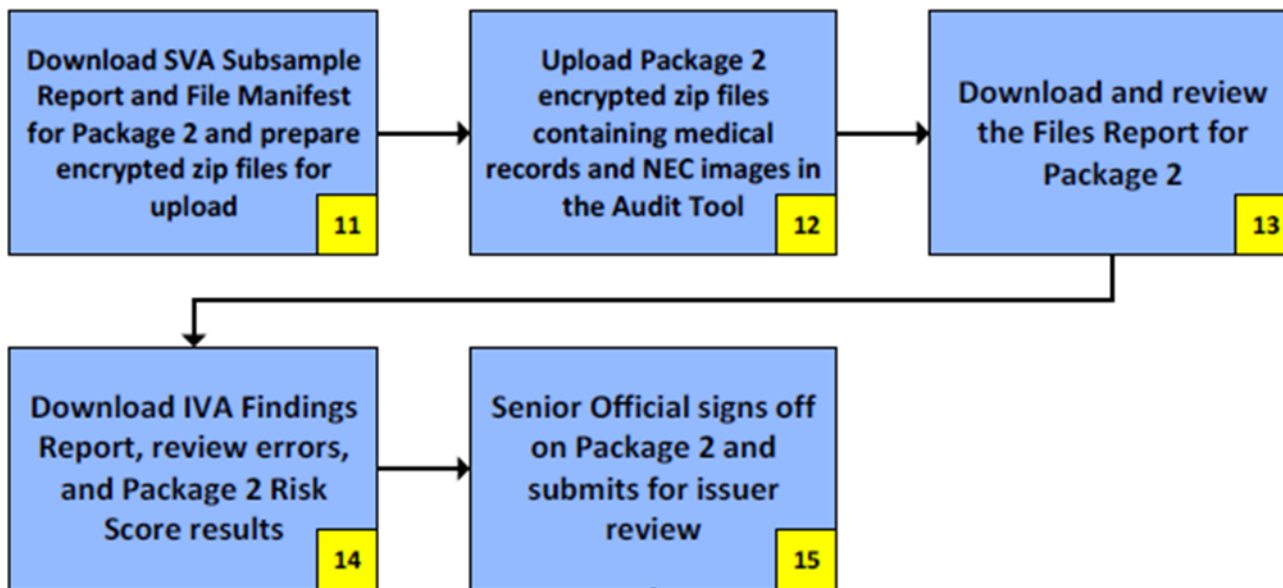
- After reviewing the Package 2 documentation, an Issuer SO must sign off on Package 2 by choosing approve or reject
  - When rejecting a package, the Issuer SO is required to enter Rejection Comments
  - Choosing “Reject” requires the IVA Entity to add\* or replace Package 2 files as necessary
  - The IVA Entity will be able to review rejection comments through the Audit Tool



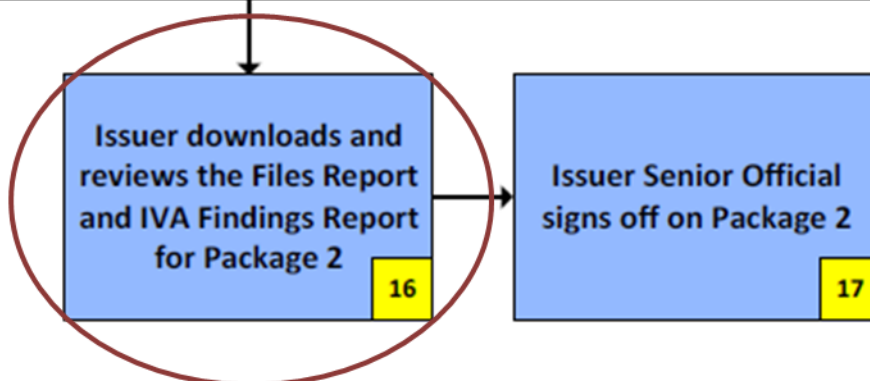
**NOTE:** Issuer rejection of Package 2 does not allow the IVA Entity to upload Medical Records not previously identified in the IVA Entity Audit Results Submission XML

# 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

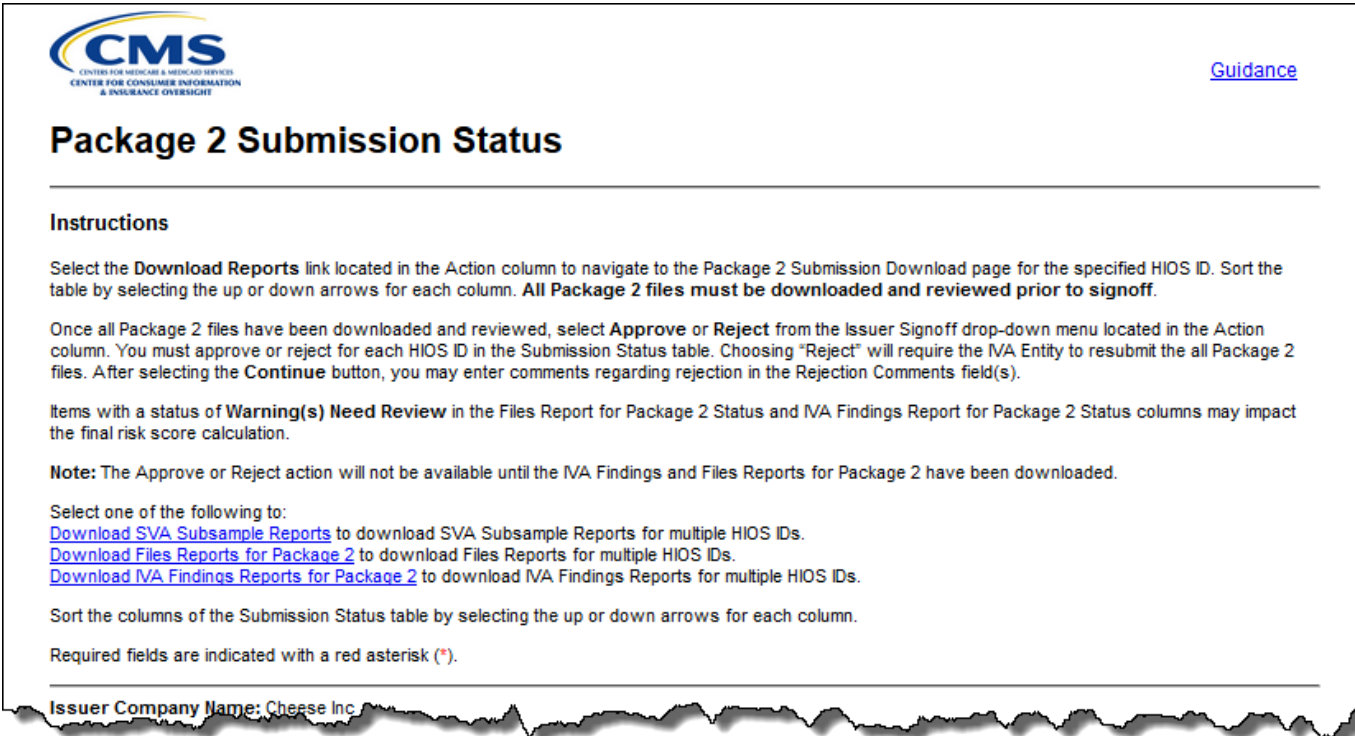



**NOTE:** The Files Report for Package 2 and the IVA Findings Report for Package 2 **MUST** be downloaded prior to issuer signoff

# 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 may 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.

**Note:** The Approve or Reject action will not be available until the IVA Findings and Files Reports for Package 2 have been downloaded.

Select one of the following to:

- [Download SVA Subsample Reports](#) to download SVA Subsample 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: Cheese Inc.

- 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

Note: The Approve or Reject action will not be available until the IVA Findings and Files Reports for Package 2 have been downloaded.

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

**Issuer Company Name:** Cheese Inc

**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
<a href="#">Download Reports</a>	Macaroni LLC	07702 <a href="#">IVA Entity History</a> <a href="#">Issuer History</a>	Processed without Errors <input checked="" type="checkbox"/>	Processed without Errors <input checked="" type="checkbox"/>	Pending
<a href="#">Download Reports</a>	Macaroni LLC	07703 <a href="#">IVA Entity History</a> <a href="#">Issuer History</a>	Warning(s) Need Review <input type="checkbox"/>	Warning(s) Need Review <input type="checkbox"/>	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

### 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 checked="" type="checkbox"/>	07702	07702_File Report Pk2_20181003151424.c sv	Processed without Errors ✓	N/A	
<input type="checkbox"/>	07703	07703_File Report Pk2_20181003163345.c sv	Warning(s) Need Review ⚠	N/A	

Exit    Return to Status page    Download



# Issuer - IVA Findings Report for Package 2 Download Process: Step 16

- 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



**NOTE:** The Files Report for Package 2 and the IVA Findings Report for Package 2 must be downloaded prior to issuer signoff

# 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 checked="" type="checkbox"/>	07702	07702_IVA Findings Report 2_20181003151536.xml	Processed without Errors <input checked="" type="checkbox"/>	N/A	
<input type="checkbox"/>	07703	07703_IVA Findings Report 2_20181003164053.xml	Warning(s) Need Review <input type="checkbox"/>	N/A	

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 and the Issuer IVA Findings Summary Report
- 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>3</uniqueHccCount>
  <uniqueIVAHccs>12, 42, 217</uniqueIVAHccs>
  <uniqueEDGEHccs>12, 42, 217</uniqueEDGEHccs>
  <uniqueRaNdcCodeCount>1</uniqueRaNdcCodeCount>
  <uniqueRaHcpcsCount>0</uniqueRaHcpcsCount>
  <uniqueIVARxcCount>1</uniqueIVARxcCount>
  <uniqueIVARxcs>1</uniqueIVARxcs>
  <uniqueEDGERxcs>1, 3</uniqueEDGERxcs>
  <radvdeRiskScore>22.71296</radvdeRiskScore>
  <ivaRiskScorePk1>22.71296</ivaRiskScorePk1>
  <deltaRSRadvdeIvaPk1>22.71296</deltaRSRadvdeIvaPk1>
  <ivaRiskScorePk2>0.0</ivaRiskScorePk2>
  <deltaRSRadvdeIvaPk2>0.0</deltaRSRadvdeIvaPk2>
</enrResponseItem>
```

issuerIden	uniqueEnrolleId	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 71, 81 and 82

# Issuer Access - IVA Findings Summary Report for Package 2

- Issuer IVA Findings Summary Report for Package 2
  - From the Issuer Package 2 Submission Status Page:
    1. Select the **Download Issuer IVA Findings Summary 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 Issuer Package 2 Submission Status page



# Issuer IVA Findings Summary Report for Package 2 Download Process



[Guidance](#)

## Issuer IVA Findings Summary 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 files.

### Issuer IVA Findings Summary Reports for Package 2

Select	HIOS ID	File Name	Issuer Last Downloaded Date/Time	Password
<input checked="" type="checkbox"/>	03450	03450_Issuer IVA Findings Summary Report Pkg2_20191016204205.zip	N/A	

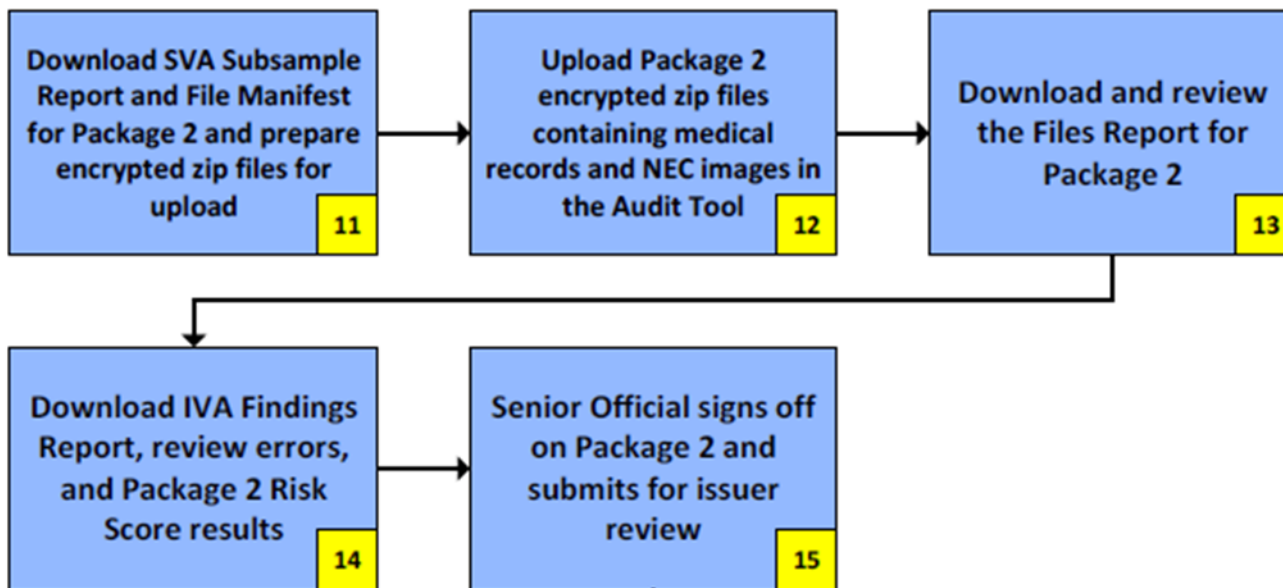
Exit

Return to Status page

Download

# IVA Results Submission Process – Package 2 - Step 17

IVA Entity



Issuer



# 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 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:** After signoff, CMS may request a Package 3 submission for remaining Medical Records. No other files will be accepted at this time only if CMS requires Medical Records during Package 3 may be uploaded, otherwise no other files will be accepted

# Issuer Signoff for Package 2 Process: Step 17

- 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)

## 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
<a href="#">Download Reports</a> Issuer Signoff --None-- --None-- Approved Rejected Issuer Signoff --None--	Macaroni LLC	07702 <a href="#">IVA Entity History</a> <a href="#">Issuer History</a>	Processed without Errors ✓	Processed without Errors ✓	Pending
<a href="#">Download Reports</a> Issuer Signoff --None-- --None-- Approved Rejected Issuer Signoff --None--	Macaroni LLC	07703 <a href="#">IVA Entity History</a> <a href="#">Issuer History</a>	Warning(s) Need Review ⚠	Warning(s) Need Review ⚠	Pending

Exit Continue

# Issuer Signoff for Package 2 Process: Step 17 (continued)



[Guidance](#)

## 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
Macaroni LLC	07702
Macaroni LLC	07703

### Submitter Contact Information

**First Name:** Bob  
**Email Address:** sampleuser78+iss1@gmail.com  
**Phone Number:** (111) 111-1111

**Last Name:** Wills  
**Job Title:** Manager  
**Phone Extension:**



# 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 [CCIOACARADDataValidation@cms.hhs.gov](mailto:CCIOACARADDataValidation@cms.hhs.gov).

**Submission End Time:** 10/04/2018 12:27 PM

### An acknowledgment email has been sent to the following contacts:

sampleuser78+iss1@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 the Issuer SO	Then
<b><u>Approves</u> the Package 2 Submission</b>	<ul style="list-style-type: none"><li>• IVA Entity SOs and RADV Coordinators will receive a confirmation email</li></ul>
<b><u>Rejects</u> the Package 2 Submission</b>	<ul style="list-style-type: none"><li>• 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</li></ul>



# Q&A

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



If your question does not receive a response during this webinar session, please submit your question to the HHS-RADV team at [CCIIOACARADDataValidation@cms.hhs.gov](mailto:CCIIOACARADDataValidation@cms.hhs.gov)

# Next Steps

# Next Steps: Training Sessions

Topic	Date
<b>2018 Benefit Year HHS-RADV Package 3 Submission Process</b>	<b>November 6, 2019</b>

# Resources

# Locating HHS-RADV Documents in REGTAP

Stakeholders can access additional documents at <https://www.REGTAP.info> in the REGTAP Library.

Under Program Area, select “HHS Risk Adjustment Data Validation (HHS-RADV)”

The screenshot shows the REGTAP Library interface. At the top, the REGTAP logo is displayed, followed by navigation links: Registration for Technical Assistance Portal, My Dashboard, Training Events, Inquiry Tracking, Library, FAQs, Contact Us, About REGTAP, and Log Out. Below the navigation, the 'Library' section is active, featuring a 'Complete Library Inventory Report' button and a 'Filter by:' dropdown menu. The dropdown menu is open, showing a list of program areas. A red arrow points to the selected option, 'HHS-Operated Risk Adjustment Data Validation (RADV)'. Other options in the list include ACA Financial Appeals, Agent Broker, Distributed Data Collection for RI and RA/Edge Server, Enrollment and Eligibility, Event Registration and Logistics, Issuer Oversight Branch, Payments, Payments-CSR Reconciliation, Payments-Monthly Payment Cycle, Payments-Payee Groups, Payments-Remittance Message (X12 HIX 820), Payments-Remitting Amounts Due, PM-Rx, Premium Payments, Qualified Health Plan (QHP), Qualified Health Plan (QHP)-APTC & CSR Data, Reinsurance, Reinsurance-Contributions, Risk Adjustment, Risk Corridors, SHOP, User Fees, Web-Broker Entities, and Other. To the right of the dropdown, there is a 'Training Event' dropdown menu, a search box, and a 'Remove Filter' button. Below these elements, there is a 'Get Adobe Reader' link and a table with columns for Program Area, Resource Type, and Download. The table contains several rows of data, including 'User Fees' with 'Supporting Documents' and 'Presentation Slides' as resource types, and 'Distributed Data Collection for RI and RA/Edge Server' with 'CBT' as a resource type.

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

# Resources: Links

- ICD, XML, and Job Aids
  - Log in to the Audit Tool
- HHS-RADV Timeline and Protocols
  - HHS-RADV 2018 Benefit Year Timeline  
[https://www.regtap.info/reg\\_librarye.php?i=2905](https://www.regtap.info/reg_librarye.php?i=2905)
  - HHS-RADV 2018 Benefit Year Protocols  
[https://www.regtap.info/reg\\_librarye.php?i=2904](https://www.regtap.info/reg_librarye.php?i=2904)
- HHS-RADV Series IV Presentation Slides
  - 2018 Benefit Year HHS-RADV Introduction (3/6/19) [https://www.regtap.info/reg\\_librarye.php?i=2457](https://www.regtap.info/reg_librarye.php?i=2457)
  - HHS-RADV Reports Introduction and Updates, IVA Selection, and Conflict of Interest (3/13/19) [https://www.regtap.info/reg\\_librarye.php?i=2468](https://www.regtap.info/reg_librarye.php?i=2468)
  - Issuer Senior Official Designation (4/3/19) [https://www.regtap.info/reg\\_librarye.php?i=2819](https://www.regtap.info/reg_librarye.php?i=2819)

# Resources: Links (continued)

- HHS-RADV Series IV Presentation Slides
  - IVA Entity Designation (4/3/19) [https://www.regtap.info/reg\\_librarye.php?i=2820](https://www.regtap.info/reg_librarye.php?i=2820)
  - Issuer Participation Requirements (4/3/19) [https://www.regtap.info/reg\\_librarye.php?i=2821](https://www.regtap.info/reg_librarye.php?i=2821)
  - Validating RXC and NDC (5/1/19) [https://www.regtap.info/reg\\_librarye.php?i=2871](https://www.regtap.info/reg_librarye.php?i=2871)
  - 2018 Benefit Year Issuer Exemption & DDVC Web Form (5/8/19) [https://www.regtap.info/reg\\_librarye.php?i=2885](https://www.regtap.info/reg_librarye.php?i=2885)
  - Sampling Report Distribution & Discrepancy Reporting Process (5/8/19) [https://www.regtap.info/reg\\_librarye.php?i=2886](https://www.regtap.info/reg_librarye.php?i=2886)
  - Validating RXC and NDC (5/1/19) [https://www.regtap.info/reg\\_librarye.php?i=2871](https://www.regtap.info/reg_librarye.php?i=2871)
  - 2018 Benefit Year Issuer Exemption & DDVC Web Form (5/8/19) [https://www.regtap.info/reg\\_librarye.php?i=2885](https://www.regtap.info/reg_librarye.php?i=2885)
  - Sampling Report Distribution & Discrepancy Reporting Process (5/8/19) [https://www.regtap.info/reg\\_librarye.php?i=2886](https://www.regtap.info/reg_librarye.php?i=2886)

# Resources: Links (continued)

- HHS-RADV Series IV Presentation Slides
  - 2017 Benefit Year Error Rate Attestation and Discrepancy Reporting (5/15/19)  
[https://www.regtap.info/reg\\_librarye.php?i=2894](https://www.regtap.info/reg_librarye.php?i=2894)
  - 2017 Benefit Year Error Estimation (5/22/19)  
[https://www.regtap.info/reg\\_librarye.php?i=2909](https://www.regtap.info/reg_librarye.php?i=2909)
  - 2018 Benefit Year Protocols Updates (5/29/19)  
[https://www.regtap.info/reg\\_librarye.php?i=2908](https://www.regtap.info/reg_librarye.php?i=2908)
  - IVA Entity Audit Results Submission ICD, XSD, & XML Guidance (6/26/19)  
[https://www.regtap.info/reg\\_librarye.php?i=2934](https://www.regtap.info/reg_librarye.php?i=2934)
  - 2017 Administrative Appeals Process (7/31/19)  
[https://www.regtap.info/reg\\_librarye.php?i=2982](https://www.regtap.info/reg_librarye.php?i=2982)
  - XML, Package 1, 2, & 3 Checks Overview (10/9/19)  
[https://www.regtap.info/reg\\_librarye.php?i=3047](https://www.regtap.info/reg_librarye.php?i=3047)
  - IVA Entity IRR Submission and Validation Process (10/16/19)  
[https://www.regtap.info/reg\\_librarye.php?i=3049](https://www.regtap.info/reg_librarye.php?i=3049)



# Resources: Links (continued)

Resource	Resource Link
U.S. Department of Health & Human Services (HHS)	<a href="http://www.hhs.gov/">http://www.hhs.gov/</a>
Centers for Medicare & Medicaid Services (CMS)	<a href="http://www.cms.gov/">http://www.cms.gov/</a>
The Center for Consumer Information & Insurance Oversight (CCIIO) web page	<a href="http://www.cms.gov/ccio">http://www.cms.gov/ccio</a>
Consumer website on Health Reform	<a href="http://www.healthcare.gov/">http://www.healthcare.gov/</a>
Registration for Technical Assistance Portal (REGTAP)	<a href="https://www.REGTAP.info">https://www.REGTAP.info</a>
Patient Protection and Affordable Care Act (PPACA)	<a href="http://www.gpo.gov/fdsys/pkg/PLAW-111publ148/content-detail.html">http://www.gpo.gov/fdsys/pkg/PLAW-111publ148/content-detail.html</a>

# Resources: Links (continued)

Resource	Resource Link
HHS Notice of Benefit and Payment Parameters for 2014	<a href="http://www.gpo.gov/fdsys/pkg/FR-2013-03-11/pdf/2013-04902.pdf">http://www.gpo.gov/fdsys/pkg/FR-2013-03-11/pdf/2013-04902.pdf</a>
HHS Notice of Benefit and Payment Parameters for 2015	<a href="http://www.gpo.gov/fdsys/pkg/FR-2014-03-11/pdf/2014-05052.pdf">http://www.gpo.gov/fdsys/pkg/FR-2014-03-11/pdf/2014-05052.pdf</a>
HHS Notice of Benefit and Payment Parameters for 2016	<a href="http://www.gpo.gov/fdsys/pkg/FR-2015-02-27/pdf/2015-03751.pdf">http://www.gpo.gov/fdsys/pkg/FR-2015-02-27/pdf/2015-03751.pdf</a>
HHS Notice of Benefit and Payment Parameters for 2017	<a href="https://www.gpo.gov/fdsys/pkg/FR-2016-03-08/pdf/2016-04439.pdf">https://www.gpo.gov/fdsys/pkg/FR-2016-03-08/pdf/2016-04439.pdf</a>
HHS Notice of Benefit and Payment Parameters for 2018	<a href="https://www.gpo.gov/fdsys/pkg/FR-2016-12-22/pdf/2016-30433.pdf">https://www.gpo.gov/fdsys/pkg/FR-2016-12-22/pdf/2016-30433.pdf</a>
HHS Notice of Benefit and Payment Parameters for 2019	<a href="https://www.govinfo.gov/content/pkg/FR-2018-04-17/pdf/2018-07355.pdf">https://www.govinfo.gov/content/pkg/FR-2018-04-17/pdf/2018-07355.pdf</a>
HHS Notice of Benefit and Payment Parameters for 2020	<a href="https://www.federalregister.gov/public-inspection/2019/04/18#special-filing-health-and-human-services-department">https://www.federalregister.gov/public-inspection/2019/04/18#special-filing-health-and-human-services-department</a>

# Resources: Contact Information

Resource	Contact Information
For RADV policy questions, contact the RADV Team.	<a href="mailto:CCIIOACARADDataValidation@cms.hhs.gov">CCIIOACARADDataValidation@cms.hhs.gov</a>
For EDGE server questions, please contact your Financial Management (FM) Service Representative directly and copy the Centers for Medicare & Medicaid Services (CMS) Help Desk.	<a href="mailto:EDGE_server_data@cms.hhs.gov">EDGE_server_data@cms.hhs.gov</a> and copy <a href="mailto:CMS_FEPS@cms.hhs.gov">CMS_FEPS@cms.hhs.gov</a>
HHS-RADV Audit Tool	To contact us within the HHS-RADV Audit Tool, use the Inquiries tab and select “Submit Inquiry”

# Closing Remarks