

# 2016 Benefit Year HHS-RADV IVA Entity Election Web Form

**March 2, 2017**

Health Insurance Marketplace Program  
Training Series



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# Session Agenda

- Session Guidelines
- Intended Audience
- Session Purpose
- Review of IVA Entity Regulatory Requirements
- 2016 Benefit Year IVA Entity Election

# Session Guidelines

- This is a 60-minute webinar session
- For questions regarding content, please submit inquiries to REGTAP at <https://www.regtap.info/>.
- For questions regarding logistics and registration, please contact the Registrar at: (800) 257-9520.

# Intended Audience

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

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

# Session Purpose

To provide an overview of the 2016 Benefit Year IVA Entity election process, which includes:

- Review of the IVA Entity regulatory requirements
- Completion of the IVA Entity Election web form
- Identification of IVA Entity Senior Officials

# HHS-RADV Timeline

# HHS-RADV Timeline

- CMS is working very hard to confirm this timeline.
- Please note that this timeline is subject to change.

# Benefit Year 2016 HHS-RADV Timeline

Date	Description
<b>February 15, 2017</b>	HHS-RADV trainings begin
<b>February 2017 – April 24, 2017</b>	Issuers contractually select an IVA Entity
<b>March 7 -28, 2017</b>	IVA Entities elect to participate in RADV within the Audit Tool.
<b>April 14 – 28, 2017</b>	Issuers designate IVA entity selection for CMS review/acceptance via the Audit Tool (drop due date is April 28, 2017)
<b>May 1, 2017</b>	HHS-RADV 2016 Benefit Year Protocols released
<b>May 1, 2017</b>	2016 benefit year risk adjustment EDGE server data submission deadline
<b>May 2017</b>	<ol style="list-style-type: none"> <li>1. CMS pushes RADV sampling command to EDGE servers</li> <li>2. Reports are provided to CMS for validation. Reports are NOT available to issuers</li> <li>3. Sample released to issuers, after CMS validation</li> <li>4. 15 day RADV sample discrepancy window opens</li> </ol>
<b>June 2017 – January 8, 2018</b>	IVA is conducted
<b>January 8, 2018</b>	IVA submits Package 1 audit findings and IRR submissions. This closes the window for the 2016 benefit year HHS-RADV audit submission process
<b>January 8, 2018</b>	CMS releases the SVA subsample to IVA entities
<b>January 18, 2018</b>	IVA entity submits Medical Record to CMS for the SVA subsample process
<b>January 2018 – April 2018</b>	SVA is conducted
<b>May 2018 – June 2018</b>	CMS releases 2016 RADV error rates to issuers



# Key Concepts & Audit Tool



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# Key Concepts

- IVA Entity Selection – Process in which the issuer evaluates the suitability of an IVA Entity.
- IVA Entity Solicitation – Process in which an issuer selects, negotiates, and establishes a contractual relationship with an IVA Entity.
- IVA Entity Election – Process in which an IVA Entity declares their intent to participate as an IVA Entity during the 2016 Benefit Year HHS-RADV.
- IVA Entity Designation – Process in which an issuer designates and informs CMS about an IVA Entity working on their behalf.

# Audit Tool News

- In order to streamline the HHS-RADV audit process, CMS will be transitioning to a new Audit Tool.
- During this transition, you will experience a new process designated to better assist you with your IVA submission findings.
- CMS will continue to support you with trainings and Q&A related to this new tool.

# Review of IVA Entity Regulatory Requirements



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# Review IVA Entity Regulatory Requirements

45 CFR §153.630 states that IVA Entities must meet the following criteria:

1

Capable of performing an IVA according to the standards established by HHS for such audit, and must ensure that the audit is so performed.

2

Free of conflicts of interest, such that it is able to conduct the IVA in an impartial manner and its impartiality is not reasonably open to question.

3

An IVA review of enrollee health status must be conducted by medical coders certified after examination by a nationally recognized accrediting agency for medical coding.



**NOTE**

**CMS may reject an organization's election as an IVA Entity if the organization does not meet regulatory requirements.**

# 2016 Benefit Year IVA Entity Election



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# IVA Entity Election Process



IVA Entity receives a link to the web form in an invitation email or through REGTAP announcement.

IVA Entity accesses the web form, submits election as an IVA Entity, and identifies IVA Entity SOs.

CMS reviews submission and determines if the IVA Entity is on the Office of Inspector General (OIG) exclusion list.



CMS publishes a list of accepted IVA Entities from which issuers may select.

IVA Entity receives an email from CMS indicating whether the election was accepted or not accepted.



# What Issuers Need to Know



- Issuers will only be able to designate an IVA Entity from a list of **CMS-accepted** IVA Entities.
- This designation will occur in a separate web form, which will be presented to issuers in a future webinar.



# 2016 Benefit Year HHS-RADV IVA Entity Election Web Form



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# Web Form Overview

The 2016 Benefit Year HHS-RADV IVA Entity Election web form allows organizations to declare their intent to participate as an IVA Entity and to identify two (2) individuals from their organization, who will serve in the IVA Entity Senior Official (SO) role.



The web form must be completed in a single session, and must only be completed once per organization.

# Web Form Availability

The web form will be available **March 7<sup>th</sup> to March 28<sup>th</sup>**.



**Opens**



**Closes**

# Before You Begin the Web Form

- Understand that your organization will only be allowed to complete the web form once.
- Decide who from your organization will be completing the web form (Submitter Contact).
- Determine who from your organization will be the Alternate Contact.
- Determine the individuals from your organization who will act as IVA Entity Senior Officials (SOs).
  - You must maintain a minimum of two (2) SOs with a current effective date.
- Ensure you have the accurate business name of your organization.



An IVA Entity may only complete the web form **one (1) time.**

# Before You Begin the Web Form

(continued)

Gather the following information before you begin the 2016 Benefit Year HHS-RADV IVA Entity Election web form:

## Contact Information Data

- Contact information for the Submitter and Alternate Contact
  - Name
  - Email Address
  - Job Title
  - Phone Number
  - Phone Extension (optional)

## IVA Entity and IVA Entity SO Data

- IVA Entity Name
- IVA Entity Senior Officials (SO) information
  - Effective Date
  - Name
  - Email Address
  - Job Title
  - Phone Number
  - Phone Extension (optional)

# Completing the Web Form

## Welcome Page

- Review the instructions for electing to act as an IVA Entity and identifying IVA Entity SOs.



[Guidance](#)


### Welcome to the 2016 Benefit Year HHS-RADV Initial Validation Audit (IVA) Entity Election Web Form!

For the HHS-RADV program, issuers are required to engage an independent auditor to perform validation of demographic and enrollment data and health status information for a CMS-defined sample of enrollees.

This web form allows organizations to self-identify as an IVA Entity for the HHS-RADV program for the 2016 benefit year and to identify the individuals from their organization who will serve in the IVA Entity Senior Official (SO) role.

**Note:** This web form must be completed in a single session, and must only be completed once per organization.

If you require assistance or have questions related to the completion of this web form, please send an email to [CCIIOACARADDataValidation@cms.hhs.gov](mailto:CCIIOACARADDataValidation@cms.hhs.gov).

Continue 



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# Contact Information Page

- Enter contact information for the Submitter and an Alternate Contact.
  - Submitter and Alternate Contacts must be different.

## Submitter Contact Information

* First Name:	<input type="text" value="Harry"/>	* Last Name:	<input type="text" value="Potter"/>
* Email Address:	<input type="text" value="hpotter@email.com"/>	* Job Title:	<input type="text" value="Executive Assistant"/>
* Phone Number:	<input type="text" value="(555) 555-5555"/>	Phone Extension:	<input type="text"/>

## Alternate Contact Information

* First Name:	<input type="text" value="Hermoine"/>	* Last Name:	<input type="text" value="Grainger"/>
* Email Address:	<input type="text" value="hgrainger@email.com"/>	* Job Title:	<input type="text" value="CEO"/>
* Phone Number:	<input type="text" value="(555) 555-5555"/>	Phone Extension:	<input type="text"/>

Back

Continue

# IVA Entity and IVA Entity Senior Officials Page

- First, enter organization name to elect as an IVA Entity.



The IVA Entity entered should be the official name of the organization registering as an IVA Entity. Each IVA Entity is only entered through this page one time.

- Second, identify IVA Entity Senior Officials.




It is possible to enter as many IVA Entity Senior Officials as desired.



# IVA Entity and IVA Entity Senior Officials Page (continued)

\* IVA Entity Name:

IVA Entity Senior Officials [Add IVA Entity Senior Official](#)

Action	Effective Date	First Name	Last Name	Email Address	Job Title	Phone Number	Phone Extension
<a href="#">Edit</a> <a href="#">Delete</a>	3/15/2017	Ronald	Weazly	rweazly@email.com	Senior Auditor	(555) 555-5555 	

Exit

Continue

# Add IVA Entity Senior Official Page



[Guidance](#)

## Add IVA Entity Senior Official

### Instructions

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

#### IVA Entity Senior Official

\* **Effective Date:** ?

\* **First Name:**

\* **Email Address:**

\* **Phone Number:**

\* **Last Name:**

\* **Job Title:**

**Phone Extension:**

Cancel

Save & Return



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# Summary Page

- Review the IVA Entity name and IVA Entity Senior Officials information for accuracy.
- Review contact information for accuracy.
- Select Submit button to complete the web form.

# Confirmation Page

- Submission End Time – date and time the IVA Entity and IVA Entity Senior Official election information was submitted.
- An email acknowledgement of submission will be sent to the Submitter, Alternate Contact, and IVA Entity SOs.
- Button to generate a PDF containing the election information submitted.



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

# Web Form Questions

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

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

# Next Steps



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# Next Steps: Training Sessions

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

# Next Steps: Training Sessions (continued)

## Upcoming Webinars:

Date	Time	Topic
March 15, 2017	11:30 a.m. – 12:30 p.m. ET	TBD
March 29, 2017	11:30 a.m. – 12:30 p.m. ET	TBD



# Locating HHS-RADV Documents in REGTAP

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

Under Program Area, select “HHS-Operated Risk Adjustment Data Validation”

The screenshot shows the REGTAP Library interface. At the top, the logo 'REGTAP' is displayed, followed by navigation links: Registration, Technical Assistance Portal, My Dashboard, Training Events, Inquiry Tracking, Library, FAQs, Contact Us, About REGTAP, and Log Out. Below the logo, the word 'Library' is centered, and a button for 'Complete Library Inventory Report' is on the right. A search bar contains 'Training Event' with 'Search' and 'Remove Filter' buttons. A 'View FAO Search' link is on the left. A dropdown menu for 'Filter by: Program Area' is open, listing various categories. The option 'HHS-Operated Risk Adjustment Data Validation (RADV)' is highlighted, and a red arrow points to it. The word 'RETIRED' is written in red at the bottom of the dropdown. Below the dropdown is a table with columns 'Program Area', 'Resource Type', and 'Download'. The table lists several entries, including 'User Fees' (Supporting Documents), 'User Fees' (Presentation Slides), 'User Fees' (FAQ), 'User Fees' (Supporting Documents), 'Distributed Data Collection for RI and RA/Edge Server' (CBT), and 'Distributed Data Collection for RI and RA/Edge Server' (Presentation Slides). A 'Get Adobe Reader' link is also visible.

# Questions?

To submit or withdraw questions by phone:

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

# Resources



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

# Resources: Contact Information

Resource	Contact Information
For RADV policy questions, contact the RADV Team.	<a href="mailto:CCIIIOACARADDataValidation@cms.hhs.gov">CCIIIOACARADDataValidation@cms.hhs.gov</a>
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>

# Resources: Links

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) - presentations, FAQs	<a href="https://www.REGTAP.info">https://www.REGTAP.info</a>
Patient Protection and Affordable Care Act (ACA)	<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>

# Resources: Links (continued)

Resource	Resource Link
Affordable Care Act (ACA) HHS-Operated Risk Adjustment Data Validation (RADV) Process White Paper, June 22, 2013	<a href="https://www.regtap.info/uploads/library/ACA_HHS_OperatedRADVWhitePaper_062213_5CR_062213.pdf">https://www.regtap.info/uploads/library/ACA_HHS_OperatedRADVWhitePaper_062213_5CR_062213.pdf</a>
CCIIO ACA RA Data Validation Email Address	<a href="mailto:CCIIOACARADDataValidation@cms.hhs.gov">CCIIOACARADDataValidation@cms.hhs.gov</a>

# Resources (continued)

Resource	Resource Link
Affordable Care Act (ACA) HHS-Operated Risk Adjustment Data Validation (RADV) Process White Paper, June 22, 2013	<a href="https://www.regtap.info/uploads/library/ACA_HHS_OperatedRADVWhitePaper_062213_5CR_062213.pdf">https://www.regtap.info/uploads/library/ACA_HHS_OperatedRADVWhitePaper_062213_5CR_062213.pdf</a>



# Closing Remarks



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