

# Overviews of MA Risk Adjustment and Encounter Data

Author(s)	Title	Year	Citation/Link
MedPAC	Using Encounter Data for Risk Adjustment in MA	April 2016	<a href="http://www.medpac.gov/docs/default-source/meeting-materials/april-2016-meeting-presentation-using-encounter-data-for-risk-adjustment-in-medicare-advantage.pdf?sfvrsn=0">http://www.medpac.gov/docs/default-source/meeting-materials/april-2016-meeting-presentation-using-encounter-data-for-risk-adjustment-in-medicare-advantage.pdf?sfvrsn=0</a>
MedPAC	Medicare Advantage Encounter Data Validation and Potential Uses	April 2018	<a href="http://medpac.gov/docs/default-source/default-document-library/ma-encounter-data-april18-updatec40112adfa9c665e80adff00009edf9c.pdf?sfvrsn=0">http://medpac.gov/docs/default-source/default-document-library/ma-encounter-data-april18-updatec40112adfa9c665e80adff00009edf9c.pdf?sfvrsn=0</a>
Society of Actuaries	Medicare Advantage Risk Adjustment: Past, Present and Future	June 2017	<a href="https://www.soa.org/pd/events/2017/health-meeting/pd-2017-06-health-session-098.pdf">https://www.soa.org/pd/events/2017/health-meeting/pd-2017-06-health-session-098.pdf</a>

# History of Medicare Advantage and Risk Adjustment

Author(s)	Title	Year	Citation/Link
P Neuman and G Jacobson	Medicare Advantage Checkup	Nov 2018	<a href="https://www.nejm.org/doi/full/10.1056/NEJMhpr1804089">https://www.nejm.org/doi/full/10.1056/NEJMhpr1804089</a>
JP Newhouse and TG McGuire	How Successful is Medicare Advantage?	June 2014	<a href="https://www.ncbi.nlm.nih.gov/pubmed/24890251">https://www.ncbi.nlm.nih.gov/pubmed/24890251</a>
TG McGuire, JP Newhouse, AD Sinaiko	An Economic History of Medicare Part C	March 2013	<a href="https://www.ncbi.nlm.nih.gov/pubmed/21676024">https://www.ncbi.nlm.nih.gov/pubmed/21676024</a>
JS Weissman, M Wachterman, D Blumenthal	When methods meet politics: how risk adjustment became part of Medicare managed care	June 2005	<a href="https://www.ncbi.nlm.nih.gov/pubmed/16089113">https://www.ncbi.nlm.nih.gov/pubmed/16089113</a>

# Risk Selection and Coding Intensity in Medicare Advantage

Author(s)	Title	Year	Citation/Link
M Geruso and TJ Layton	Upcoding: Evidence from Medicare on Squishy Risk Adjustment	April 2018	<a href="http://www.nber.org/papers/w21222.pdf">http://www.nber.org/papers/w21222.pdf</a>
EM Goldberg, AN Trivedi, V Mor, HY Jung, M Rahman	Favorable Risk Selection in Medicare Advantage: Trends in Mortality and Plan Exits among Nursing Home Beneficiaries	August 2016	<a href="https://www.ncbi.nlm.nih.gov/pmc/articles/PMC5303571/">https://www.ncbi.nlm.nih.gov/pmc/articles/PMC5303571/</a>
MedPAC	Report to the Congress on Medicare Payment Policy: Status Report on the Medicare Advantage Program	March 2017	<a href="http://www.medpac.gov/docs/default-source/reports/mar17_entirereport.pdf">http://www.medpac.gov/docs/default-source/reports/mar17_entirereport.pdf</a>
A Finkelstein, M Gentzkow, P Hull, and H Williams	Adjusting Risk Adjustment — Accounting for Variation in Diagnostic Intensity	Feb 2017	<a href="https://www.nejm.org/doi/full/10.1056/NEJMp1613238">https://www.nejm.org/doi/full/10.1056/NEJMp1613238</a>
J Chen, RP Ellis, KH Toro, AS Ash	Mispricing in the Medicare Advantage Risk Adjustment Model	May 2015	<a href="http://journals.sagepub.com/doi/pdf/10.1177/0046958015583089">http://journals.sagepub.com/doi/pdf/10.1177/0046958015583089</a>
R Kronick and WP Welsh	Measuring Coding Intensity in the Medicare Advantage Program	July 2014	<a href="https://www.cms.gov/mmrr/Downloads/MMRR2014_004_02_a06.pdf">https://www.cms.gov/mmrr/Downloads/MMRR2014_004_02_a06.pdf</a>
JM McWilliams, J Hsu, JP Newhouse	New Risk-Adjustment System Was Associated with Reduced Favorable Selection in MA	December 2012	<a href="https://www.healthaffairs.org/doi/pdf/10.1377/hlthaff.2011.1344">https://www.healthaffairs.org/doi/pdf/10.1377/hlthaff.2011.1344</a>
J Brown, M Duggan, I Kuziemko, W Woolston	How does risk selection respond to risk adjustment? Evidence from the Medicare Advantage program	April 2011	<a href="http://www.nber.org/papers/w16977.pdf">http://www.nber.org/papers/w16977.pdf</a>

# Technical Aspects of Risk Adjustment and Alternative Approaches

Author(s)	Title	Year	Citation/Link
Centers for Medicare & Medicaid Services	Report to Congress. Risk Adjustment in Medicare Advantage.	December 2018	<a href="https://www.cms.gov/Medicare/Health-Plans/MedicareAdvtgSpecRateStats/Downloads/RTC-Dec2018.pdf">https://www.cms.gov/Medicare/Health-Plans/MedicareAdvtgSpecRateStats/Downloads/RTC-Dec2018.pdf</a>
TG McGuire, S Schillo, RC van Kleef	Reinsurance, Repayments, and Risk Adjustment in Individual Health Insurance: Germany, the Netherlands, and the U.S. Marketplaces	December 2018	<a href="https://www.nber.org/papers/w25374">https://www.nber.org/papers/w25374</a>
M Geruso and TG McGuire	Tradeoffs in the Design of Health Plan Payment Systems: Fit, Power, and Balance	May 2016	<a href="https://www.ncbi.nlm.nih.gov/pubmed/26922122">https://www.ncbi.nlm.nih.gov/pubmed/26922122</a>
GC Pope J Kautter, RP Ellis, AS Ash, JZ Ayanian, LI Lezzoni, MJ Ingber, JM Levy, J Robst	Risk adjustment of Medicare capitation payments using the CMS-HCC model.	Summer 2004	<a href="https://www.ncbi.nlm.nih.gov/pubmed/15493448">https://www.ncbi.nlm.nih.gov/pubmed/15493448</a>

# Medicare Advantage Regulations and Guidance

Citation	Year	Link	Summary
Advanced Notice of Methodological Changes for Calendar Year 2020 for the Medicare Advantage CMS-HCC Risk Adjustment Model	2019	<a href="https://www.cms.gov/Medicare/Health-Plans/MedicareAdvtgSpecRateStats/Downloads/Advance2020Part1.pdf">https://www.cms.gov/Medicare/Health-Plans/MedicareAdvtgSpecRateStats/Downloads/Advance2020Part1.pdf</a>	Encounter data (50%) to be blended with RAPS data (50%) in 2020. Describes other risk adjustment system changes required by the 21 <sup>st</sup> Century Cures Act.
Announcement of Calendar Year 2019 Medicare Advantage Capitation Rates and Medicare Advantage and Part D Payment Policies and Final Call Letter	2018	<a href="https://www.cms.gov/Medicare/Health-Plans/MedicareAdvtgSpecRateStats/Downloads/Announcement2019.pdf">https://www.cms.gov/Medicare/Health-Plans/MedicareAdvtgSpecRateStats/Downloads/Announcement2019.pdf</a>	Encounter data (25%) to be blended with RAPS data (75%) in 2019
Announcement of Calendar Year 2016 Medicare Advantage Capitation Rates and Medicare Advantage and Part D Payment Policies and Final Call Letter	2015	<a href="https://www.cms.gov/Medicare/Health-Plans/MedicareAdvtgSpecRateStats/Downloads/Announcement2016.pdf">https://www.cms.gov/Medicare/Health-Plans/MedicareAdvtgSpecRateStats/Downloads/Announcement2016.pdf</a>	CMS began blending risk scores based on encounter data (10%) and RAPS data (90%)
Announcement of Calendar Year 2015 Medicare Advantage Capitation Rates and Medicare Advantage and Part D Payment Policies and Final Call Letter	2014	<a href="https://www.cms.gov/Medicare/Health-Plans/MedicareAdvtgSpecRateStats/Downloads/Announcement2015.pdf">https://www.cms.gov/Medicare/Health-Plans/MedicareAdvtgSpecRateStats/Downloads/Announcement2015.pdf</a>	CMS began using encounter data as a supplement to the RAPS data in 2015
Announcement of Calendar Year 2012 Medicare Advantage Capitation Rates and Medicare Advantage and Part D Payment Policies and Final Call Letter	2011	<a href="https://www.cms.gov/Medicare/Medicare-Fee-for-Service-Payment/Hospice/Downloads/CY2012-Hospice-Rates-FinalCallLetter.pdf">https://www.cms.gov/Medicare/Medicare-Fee-for-Service-Payment/Hospice/Downloads/CY2012-Hospice-Rates-FinalCallLetter.pdf</a>	Encounter data submission required beginning in 2012
Announcement of Calendar Year 2011 Medicare Advantage Capitation Rates and Medicare Advantage and Part D Payment Policies	2010	<a href="https://www.cms.gov/Medicare/Health-Plans/MedicareAdvtgSpecRateStats/downloads/Announcement2011.pdf">https://www.cms.gov/Medicare/Health-Plans/MedicareAdvtgSpecRateStats/downloads/Announcement2011.pdf</a>	Announced intention to use encounter data for risk adjustment model calibration in the future
42 C.F.R. Part 422	2008/ 2018	<a href="https://www.law.cornell.edu/cfr/text/42/part-422/subpart-G">https://www.law.cornell.edu/cfr/text/42/part-422/subpart-G</a>	Established authority for CMS to collect and use MA encounter data for risk adjustment and other purposes. Purposes were updated in 2018, as were standards for data release.