Health Insurance Oversight System (HIOS) Issuer Product Data Collection Excel Data Submission Tool - Issuers

Technical Instructions

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Health Insurance Oversight System – Excel Data Submission Tool Technical Instructions

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Health Insurance Oversight System – Excel Data Submission Tool Technical Instructions

1 Introduction

The Center for Consumer Information and Insurance Oversight (CCIIO), a division of the Department of Health and Human Services (HHS), is charged with helping implement many provisions of the Affordable Care Act. CCIIO oversees the implementation of the provisions related to private health insurance including providing oversight for the issuer-based data exchanges that populate http://www.Healthcare.gov.

To facilitate this charge, the Health Insurance Oversight System (HIOS) allows the government to collect data from states/territories as well as individual and small group market issuers. The collected data is aggregated with other data sources and made public on a consumer-facing website. One initial mechanism for the issuers to submit their data is through the use of the HIOS Excel template. These technical instructions explain the special features and other technical aspects related to the use of the HIOS Issuer Data Submission Form.

The Issuer Data Submission Form consists of threewo worksheets within the same spreadsheet that must be completed prior to submission:

- Issuer General Info: Supports the data entry for the issuer's general information, primary and validation contacts.
- Products Offering Info: Supports the data entry for a listing of the issuer's products and coverage areas of each product.

The Issuer Data Submission Form employs two versions of the workbook that serve different purposes throughout the process:

- Working files – are read-write enabled files that allow users to enter data in specified input fields. Users may edit, save, name, and re-name working versions of these files.
- Finalized files – are read-only files created by a process called finalization, which modifies the format of working files to prepare them for submission to CMS. These files have specific naming conventions that must be followed in order to be successfully submitted.

2 References

The information contained within this manual utilized materials from the following sources.

Table 1: References

Name	Location or	Issuance Date
CCIIO Website	http://cciio.cms.gov	Extracted 7/14/2011
HIOS Website	http://insuranceoversight.hhs.gov	

3 Overview

These technical instructions explain the special features and other technical aspects related to the use of the HIOS Issuer Data Submission Form.

Please Note: The Office of Consumer Information & Insurance Oversight (CCIIO) strongly recommends that users read this document thoroughly before using the tool. Failure to precisely follow the technical instructions may result in:

- Submission Error
- Loss of data
- Rejected file submission

3.1 Conventions

This document provides screenshots and corresponding narrative to describe how to complete submission within the Health Insurance Oversight System using:

- Issuer Data Submission Form
- XSD template
- Web-entry user interfaces

Each action that is required on the part of the reader is indicated via step by step bullets. If an action requires the user to click or select a specific button or link on the screen, the name of the item to look for will be in ***bold italics***. For example:

1. Click on ***OK.***

Note: The term 'user' is used throughout this document to refer to a person who requires and/or has acquired access to complete submissions within the Health Insurance Oversight System.

3.2 Cautions and Warnings

3.2.1 Excel Macro Security Level Setting

The Issuer Data Entry Form uses macros to perform the built-in functions including the validation and finalization processes. It is imperative that the application's macro security level settings are set in accordance to the version of Excel being used.

- **Excel 2003**: Macro security level should be "**Medium**". Instructions for setting the level once the spreadsheet is open will be covered in section *4.1: Set-up*

Considerations. This will allow the user to pick and choose which macros to work with versus which to not enable.

- **Excel 2007 or Excel 2010:** Macros should be set to "**Disable all macros with notification**". Instructions will be provided in section *4.1: Set-up Considerations*.

3.2.2 Excel Validation Resolution

Upon triggering the validation process within the Excel submission template, a red circle will surround cells that do not pass validation rules. Once the entry is corrected, the red circle will disappear.

It is strongly recommended to use the validation process and correct **ALL** red circle validations prior to finalizing the workbook. Although not all red circle validations are checked in the finalization process, data errors will be caught when the file is being processed and will be returned for correction.

3.2.3 Web-editing Validation Resolution

Upon clicking the ***Submit*** button on the web entry user interface, the validation process within the system will display an error message if a field contains an invalid value or a mandatory field is blank. We recommend correcting the information within the identified fields before clicking the ***Submit*** button again.

4 Getting Started

4.1 Set-up Considerations for Excel Templates

For the Issuer Data Entry Form to work properly, configuration on the computer must be set to satisfy the following requirements:

- Have Microsoft Excel 2003, 2007 or 2010 installed on the user's machine.

- Enable the Excel standard toolbar.

- For Excel 2003, set Excel macro security settings to "***Medium (recommended)***".
  1. Select ***Tools*** from the menu bar.
  2. Select ***Macro*** on the dropdown menu.
  3. Select ***Security***.
  4. Select ***Medium (recommended)***.
  5. Click on ***OK***.
  6. When the workbook is opened, the workbook will fully function.

- For Excel 2007 or Excel 2010, set Excel macro security settings to "***Disable all macros with notifications***."
  1. Click on the ***Office Button*** in the upper left corner of the window.
  2. Click on the ***Excel Options*** button at the bottom of the menu.
  3. Select ***Trust Center*** on the left navigation pane.
  4. Select ***Trust Center Settings***.
  5. Select ***Macro Settings*** on the left navigation pane.
  6. Click the radio button in front of Disable ***all macros with notification***.
  7. Click on ***OK***.
  8. When the workbook is opened, click the ***Options*** button and select ***Enable this content*** then click ***OK***.

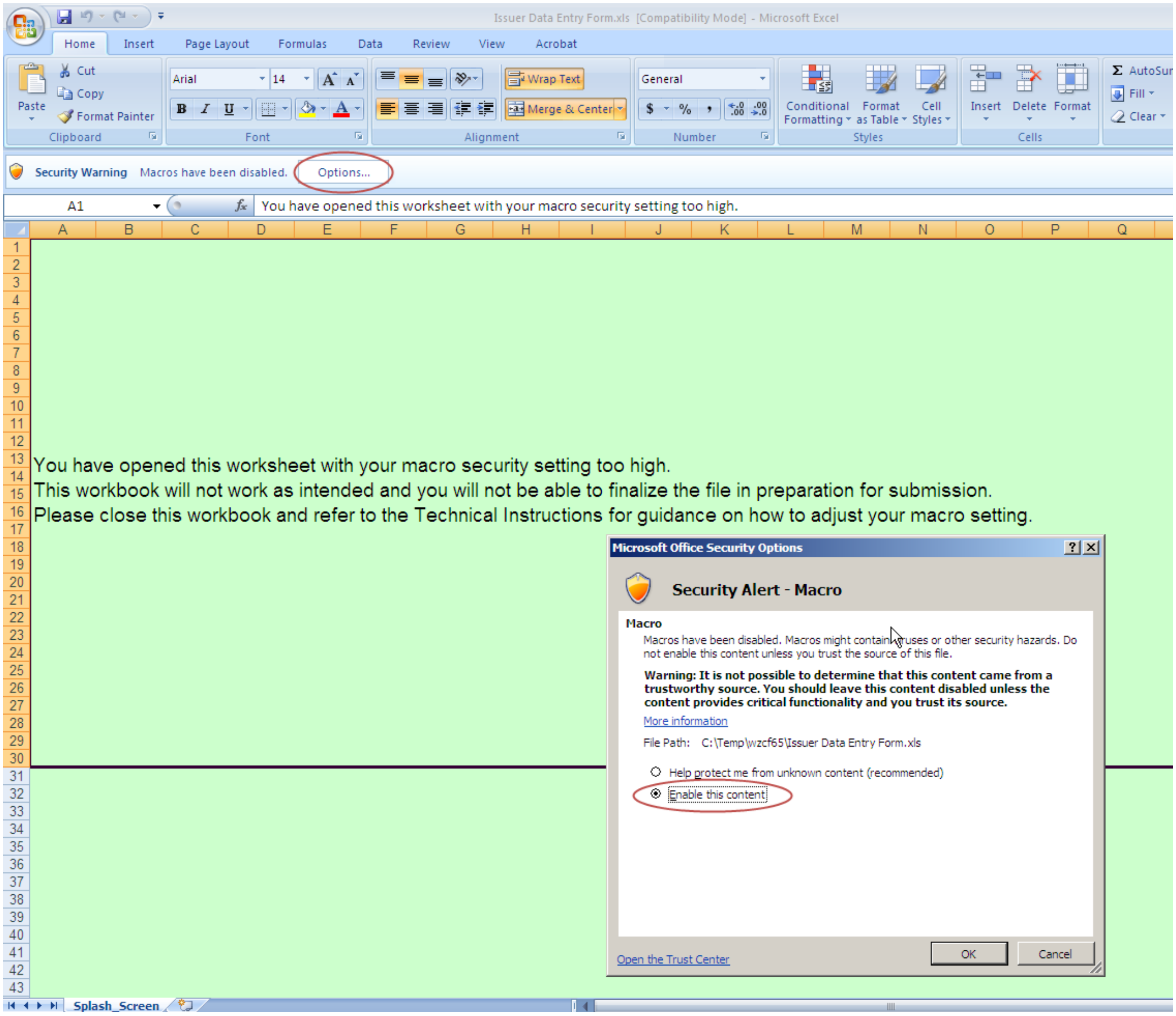


Figure 1: Enable Content message

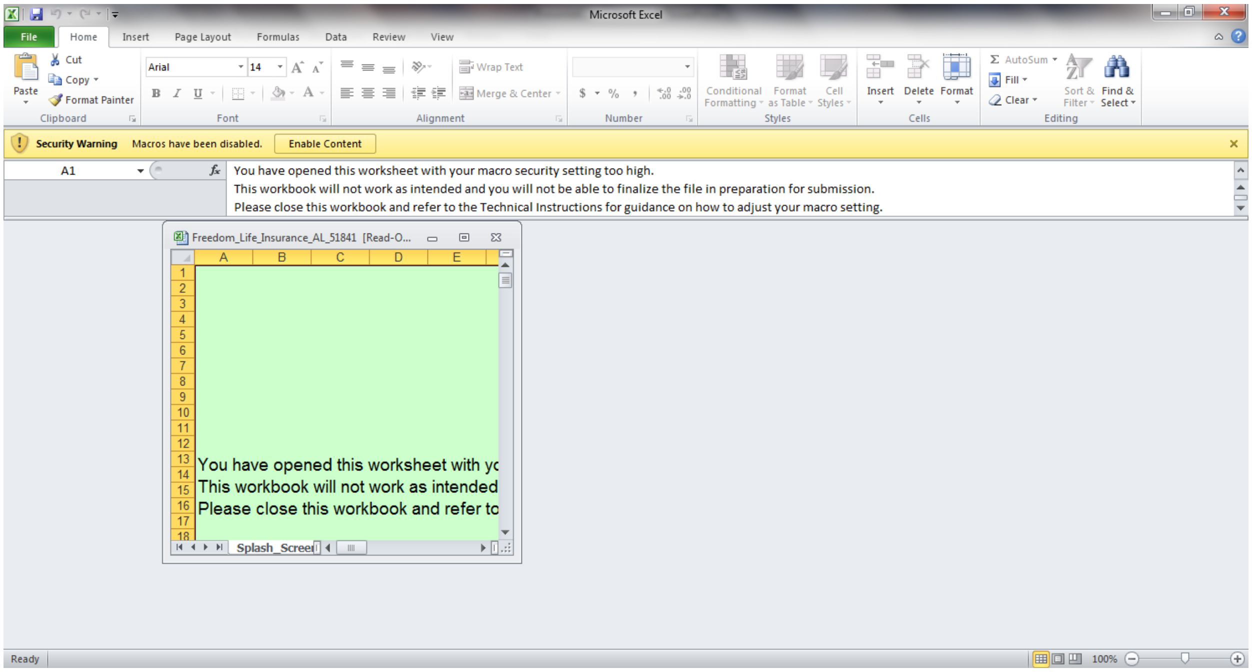


Figure 2: Excel 2010 Enabling Content

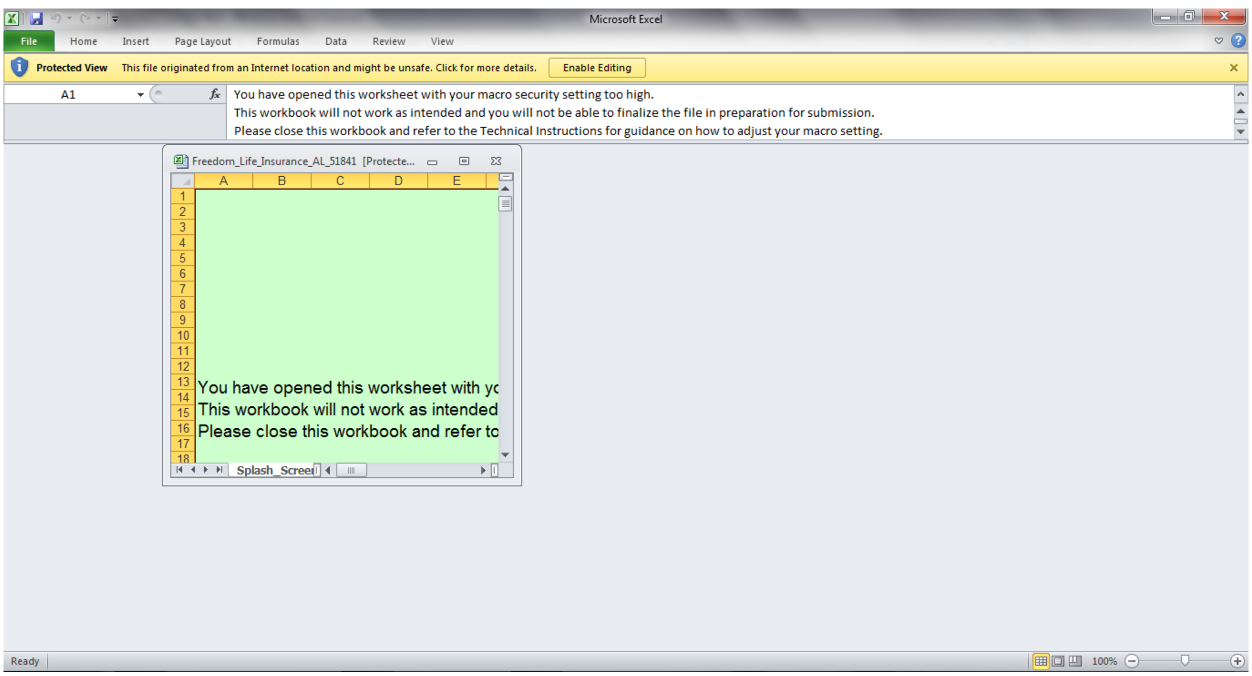


Figure 3: Excel 2010 Enable Editing

4.2 Set-up Considerations for XSD Template

The XSD template provides the file layout to generate an XML file. It is compatible with any XML file generation software application. Select or create the file folder you will be working from and save the XSD within the same folder location. When prompted by your application, select the XSD file as the source file. For further assistance, you may need to contact your IT Administrator for your application.

4.3 Set-up Considerations for Web Editing

The web-editing functionality works within any compatible Internet Browser application.

1. Internet Explorer (version 7 or higher)
2. Mozilla FireFox (version 5 or higher)
3. Chrome (version 9.0 or higher)

4.4 User Access Considerations

Access request must be submitted to CCIIO or the HIOS Help Desk at 1-877-343-6507 or via email at insuranceoversight@hhs.gov.

4.5 Accessing the System

4.5.1 Sign-In

For an issuer user who accesses the system for the first time, the user will receive a User Name (equivalent to the contact email address) and randomly generated password. Use this information to access the system. Each user is required to customize their password after the first login.

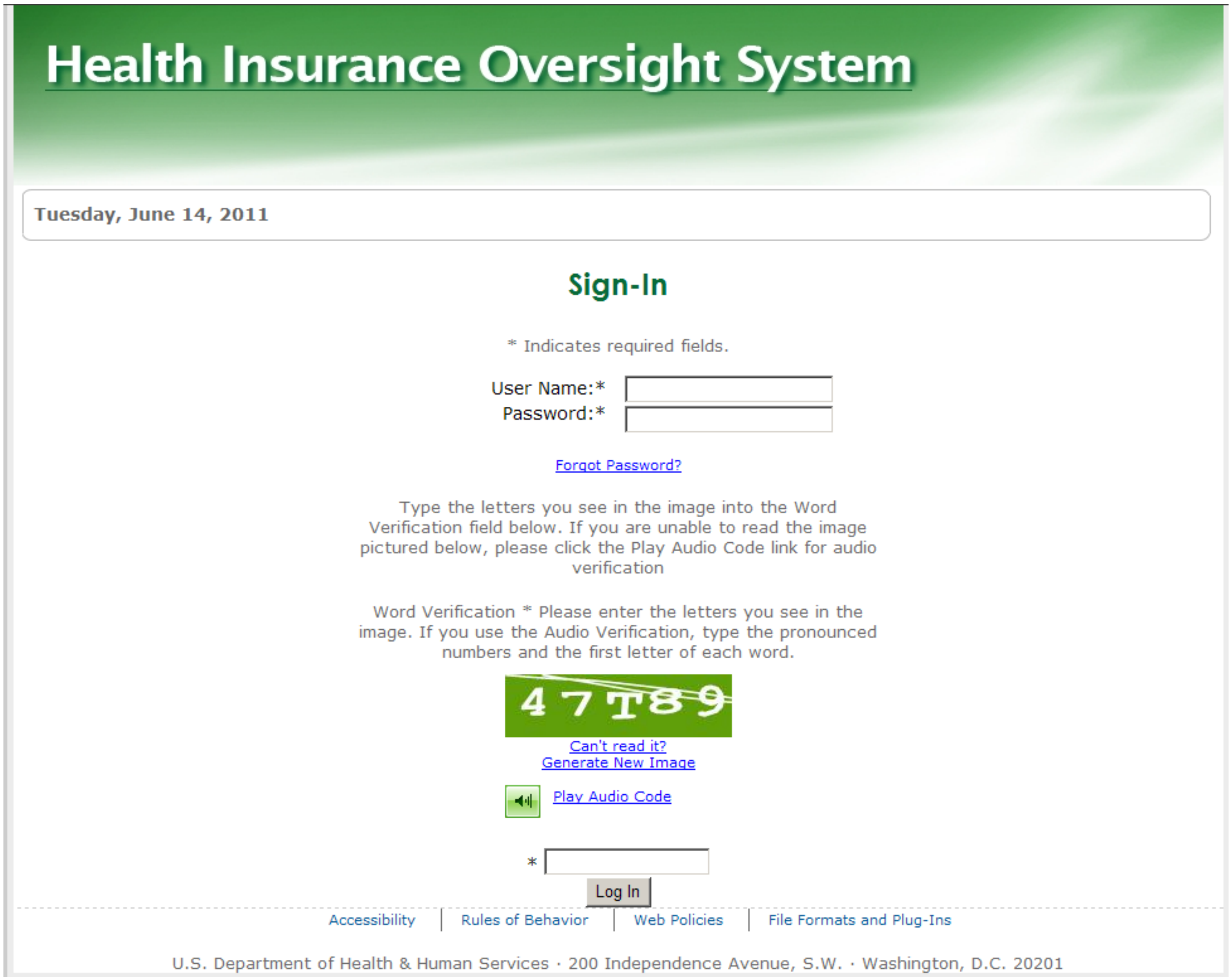


Figure 4: HIOS Login Screen

1. Navigate to the HIOS login page at http://insuranceoversight.hhs.gov.
2. Enter the ***User Name*** and ***Password***.

   ** Note: If the user forgets their password, click on the ***Forgot Password*** link to be redirected to reset the password.
3. Enter the Word Verification code.

   ** Note: If the code is not keyed in correctly or if the entry time exceeds the system threshold, the system will return to the HIOS login page to request authentication again with a new Word Verification code.
4. Click on ***Log In***.

4.5.2 Registration

Each user is required upon successful login for the first time to update personal information, change password and create a security question. Below are the instructions on the proper entry of data. Upon successful entry of data, the user will be navigated back to the login screen to login with the new password.

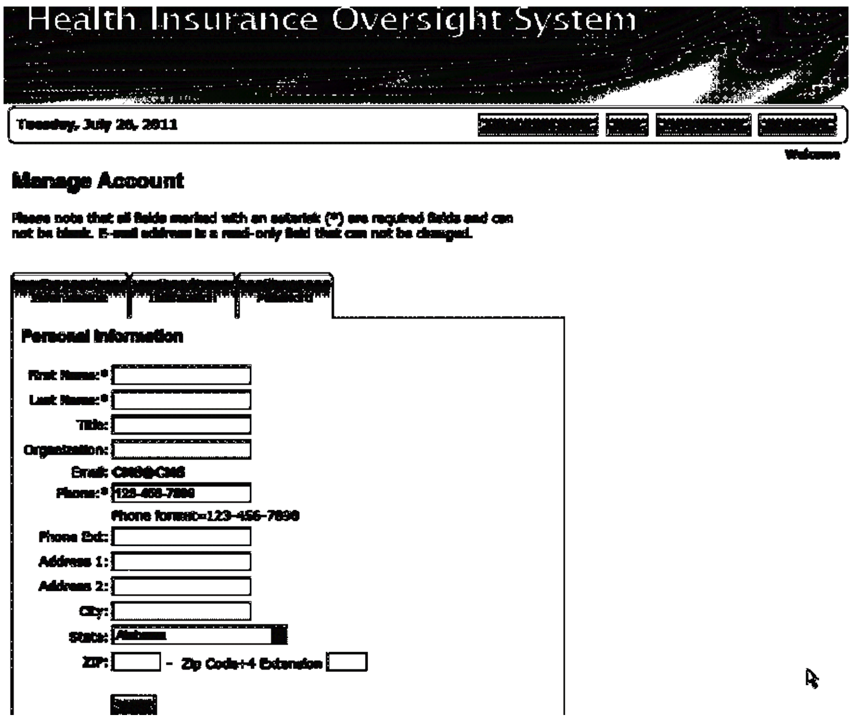


Figure 5: HIOS Registration Screen

Verify all personal information for accuracy. In the event any of this information, except email address, needs to be changed:

1. Update any information that requires change.
   - **Note**: The email address cannot be changed.
2. Enter the ***Verification Code*** as displayed in the box, which is case-sensitive.
   - **Note**: If assistance is needed reading the ***Verfication Code***, click on the appropriate link to ***Generate New Image*** or ***Play Audio Code***.
3. Click ***Save***.

4.6 HIOS Portal Home Page

Upon successful login with the new password, the user will arrive on the HIOS Portal Home Page, with options to select **Manage Account** or **HIOS Issuer Product Data Collection** page.

Figure 6: HIOS Portal Home Page - Issuer

4.6.1 Manage Account

The Manage Account module will allow the user to update personal information, the security question, and change the user's password.

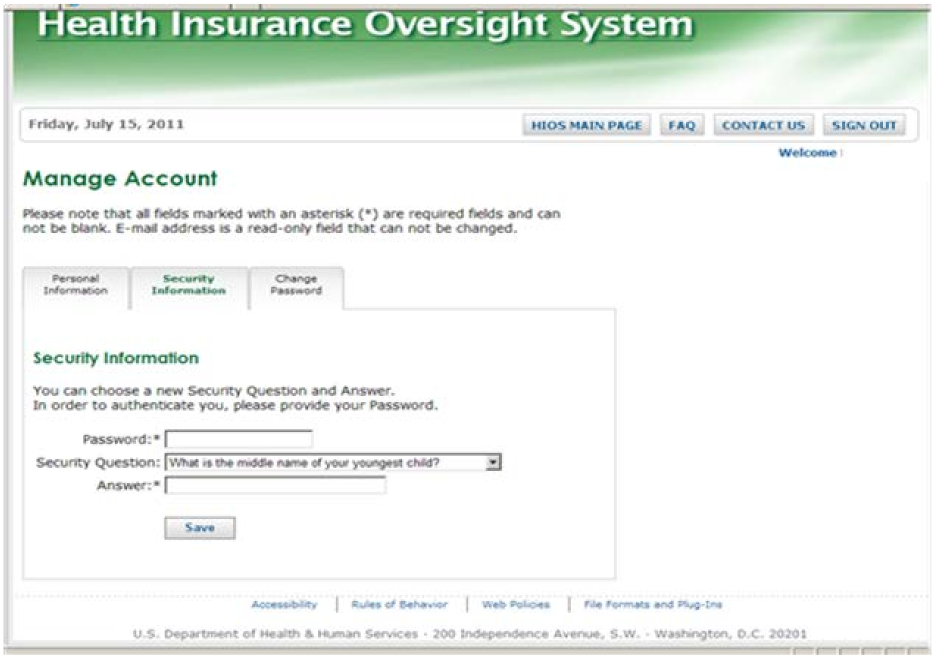


Figure 7: Manage Account

4.6.1.1 Personal Information

To update the user's personal and contact information, complete the following steps.

1. From the ***HIOS Main Page***, click on ***Manage Account***.
2. Click on the ***Personal Information*** tab.
3. Update information as necessary. Reminder: ***First Name***, ***Last Name***, and ***Phone*** are required fields. The user will not be able to change the ***Email*** field.
4. Click ***Save***.

4.6.1.2 Security Information

The Security Information question is used to provide a secondary identification in the event the user selects Forgot Password while attempting to log into the HIOS site. To update the information, do the following.

1. From the ***HIOS Main Page***, click on ***Manage Account***.
2. Click on the ***Security Information*** tab, if it is not already highlighted.
3. Enter the user's current ***Password***.
4. Select the desired ***Security Question*** from the dropdown menu.
5. Key in the ***Answer*** to the question selected. Remember the answer in this field is case sensitive.
6. Click ***Save***.

4.6.1.3 Change Password

This tab is used to change the user's password. Passwords must be between 8 and 32 characters. Passwords must also contain 2 non-alphanumeric (special) characters (#,!,@,% etc, but not < or > or ;).

1. From the ***HIOS Main Page***, click on ***Manage Account***.
2. Click on the ***Change Password*** tab.
3. Enter the current password in the ***Old Password*** field.
4. Enter the ***New Password*** according to the password parameters mentioned above.
5. Re-enter the new password in the ***Confirm Password*** field.
6. Click ***Save***.

4.6.2 HIOS Issuer Product Data Collection

State submitter users and insurer submitter users have access to download previously submitted data and upload updated insurance plan data when the submission period window is open. Notification will be sent to primary contacts regarding submission windows and form updates.

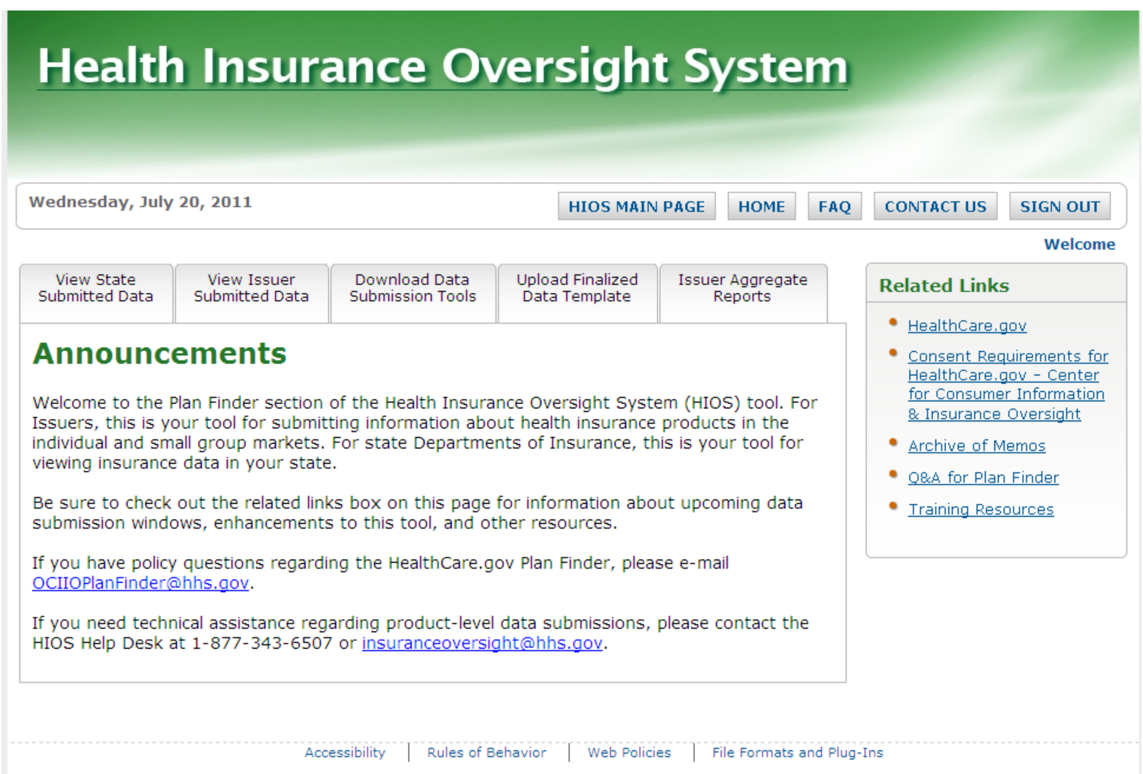


Figure 8: HIOS Announcements

If there are any application-wide announcements, the information will be provided on the **Announcements** page.

4.6.3 View Issuer Submitted Data

The View Issuer Submitted Data tab has three links that display the current information on file for the user's associated issuer and jurisdiction.

- Issuer General Information
- Product Offering Report
- RBIS Input

4.6.3.1 Issuer General Information

The Issuer General Information and the Products Offering Report pages both display the data that was last submitted for the issuer. Both of these pages can be accessed via the linkbar at the top of the screen.

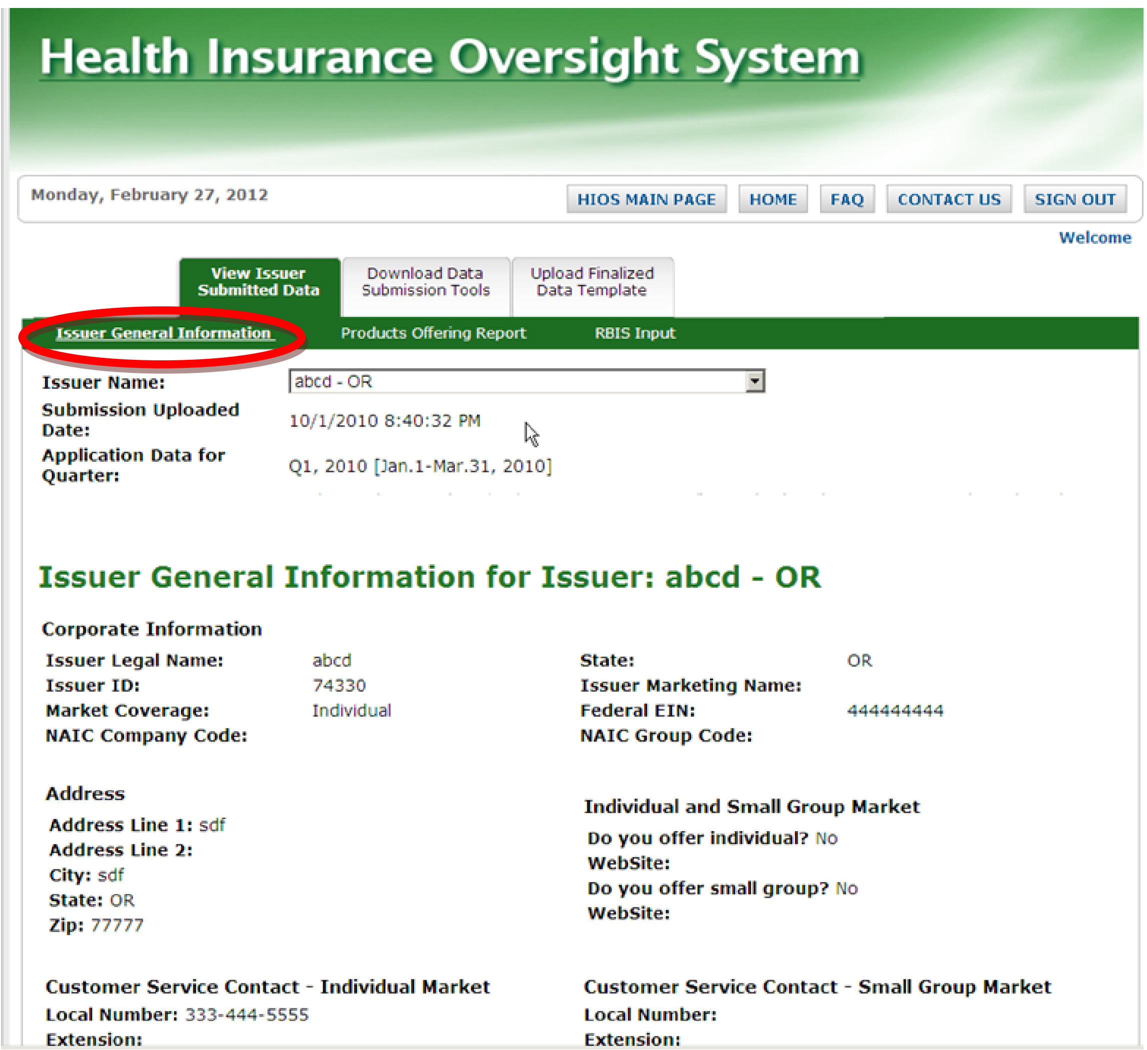


Figure 9: Issuer General Information

4.6.3.2 Product Offering Report

By clicking on the Issuer & Product Offering Report link, the system will display the current Product Level Offering Report of the issuer. To edit this information, the Issuer Data Entry Form must be downloaded, any applicable changes made, then the form must be submitted during the submission window.

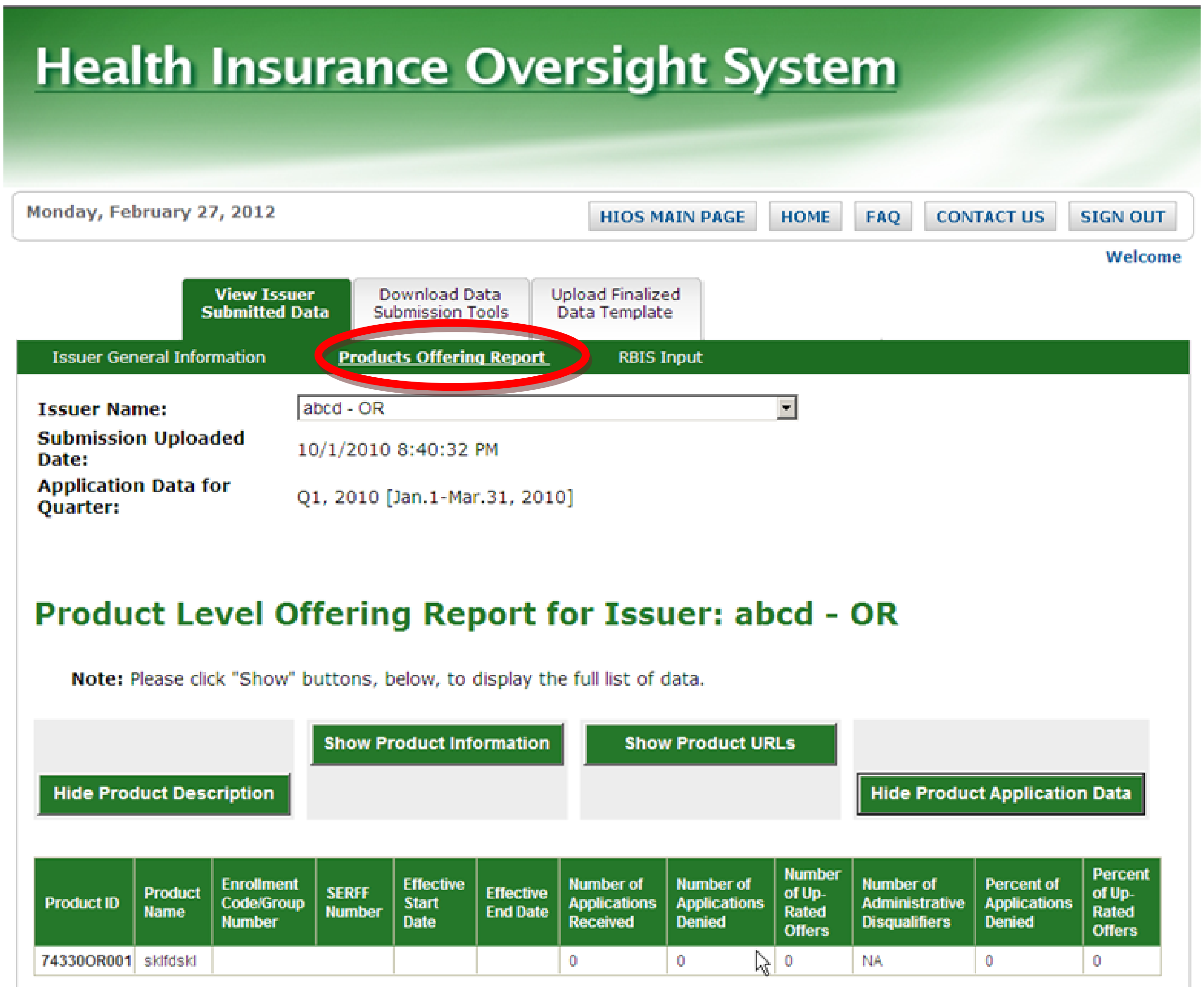


Figure 10: Product Offering Report

The Products Offering Report allows the user to view combinations of data elements by expanding and collapsing the data fields via button controls found at the top of the screen.

Among others, the following data is required for each product: number of applications received, number of applications denied, number of up-rated offers, and number of administrative disqualifiers. The complete list of required fields when entering product information in the issuer Excel template is outlined in Appendix A.

The “number of applications received” refers to the total number of application requests for enrollment into the specific product that the issuer received during a specified quarter. Only actual requests for insurance coverage should be included in this number. An address change request, for example, does not constitute an “application.” Resubmissions, such as an existing customer who voluntarily changes plans or benefits coverage within the issuer’s company, however, may be reported as an application if the applicant must re-enter the underwriting process. This number is for applications, not number of people. For example, if someone requests a policy to cover a family, that is one application.

The “number of applications denied” refers to the total number of applications that were denied based on or because of health status. The “number of up-rated offers” refers to the number of insurance coverage offers that have premium surcharges added to the base amount due to health status or underwriting determination. Denials and up-rated offers are determined at the application level. Thus, if someone requests family coverage for a family of five, and two children are denied coverage, that is one application, and one denial. If the policy is offered with a premium surcharge applied to two children due to pre-existing conditions, that would be one application and one rate-up.

The “number of administrative disqualifications” refer to those applications which were disqualified for administrative or eligibility reasons, not including health status. These reasons include, but may not be limited to, ineligibility for policy due to non-residency in insurer’s defined service area, dependent’s age, or legal status.

The number of applications received should be greater than or equal to the sum of the number of applications denied, number of up-rated offers, and the number of administrative disqualifiers. For example, if you add the number of denials, administrative disqualifiers and up-rated offers together, then subtract this sum from the total number of applications received, the result should be the number of applications that were offered without encumbrance.

NOTE: Data on the number of applications, number of denials, number of administrative disqualifications, and number of up-rated offers is required in the individual market data collection only, at the product level. This information must be updated on a quarterly basis. Data is not collected on the denials and up-rated offers for the small group market.

Application data for products that close for new enrollment after the reporting quarter must still be reported and include the number of applications, denials, and up-rates for the reporting quarter (or partial quarter) in which the product was still open.

Data regarding applications initiated in one reference quarter but acted upon in a subsequent reference quarter should be reported for the quarter in which the action is taken.

If a user has validation access, they will be able to attest that the issuer and product data is accurate as seen in Figure 11 below.

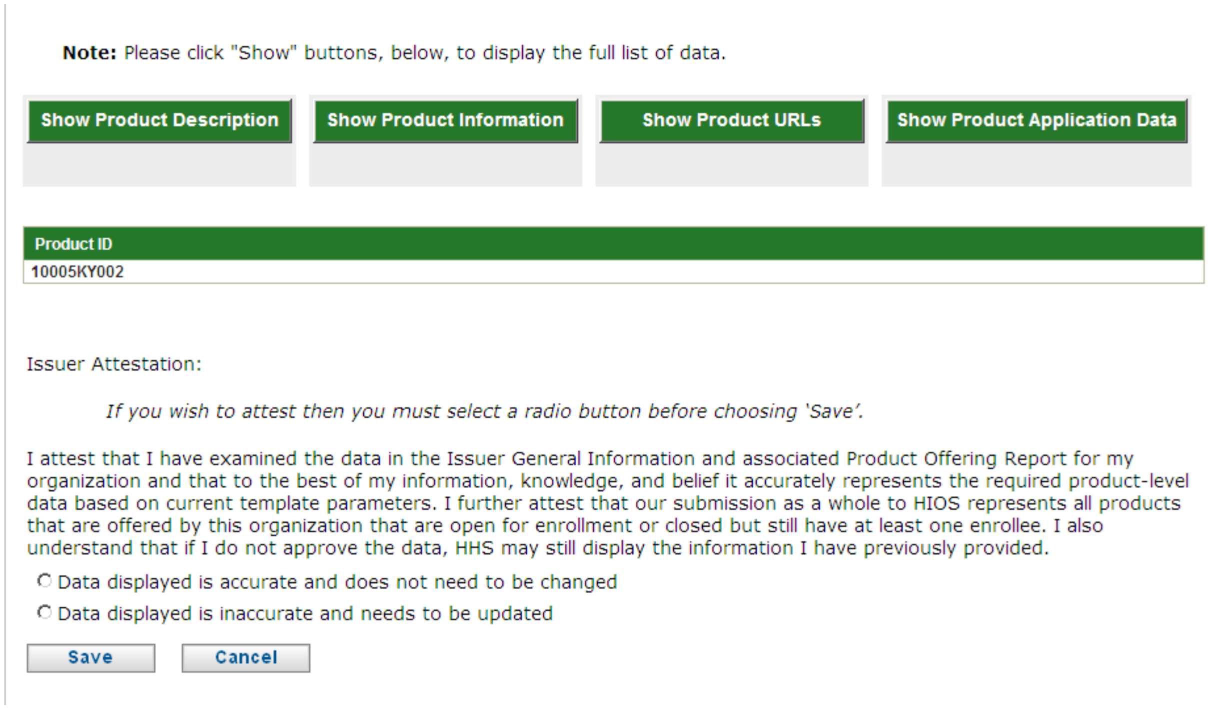


Figure 11 Attestation User

4.6.3.3 RBIS Input tab

The RBIS Input tab displays open products, derived data elements for these products that will be passed to RBIS before publishing information on Healthcare.gov, and finally the reasons behind the derived data elements. Closed products will not display on this page.

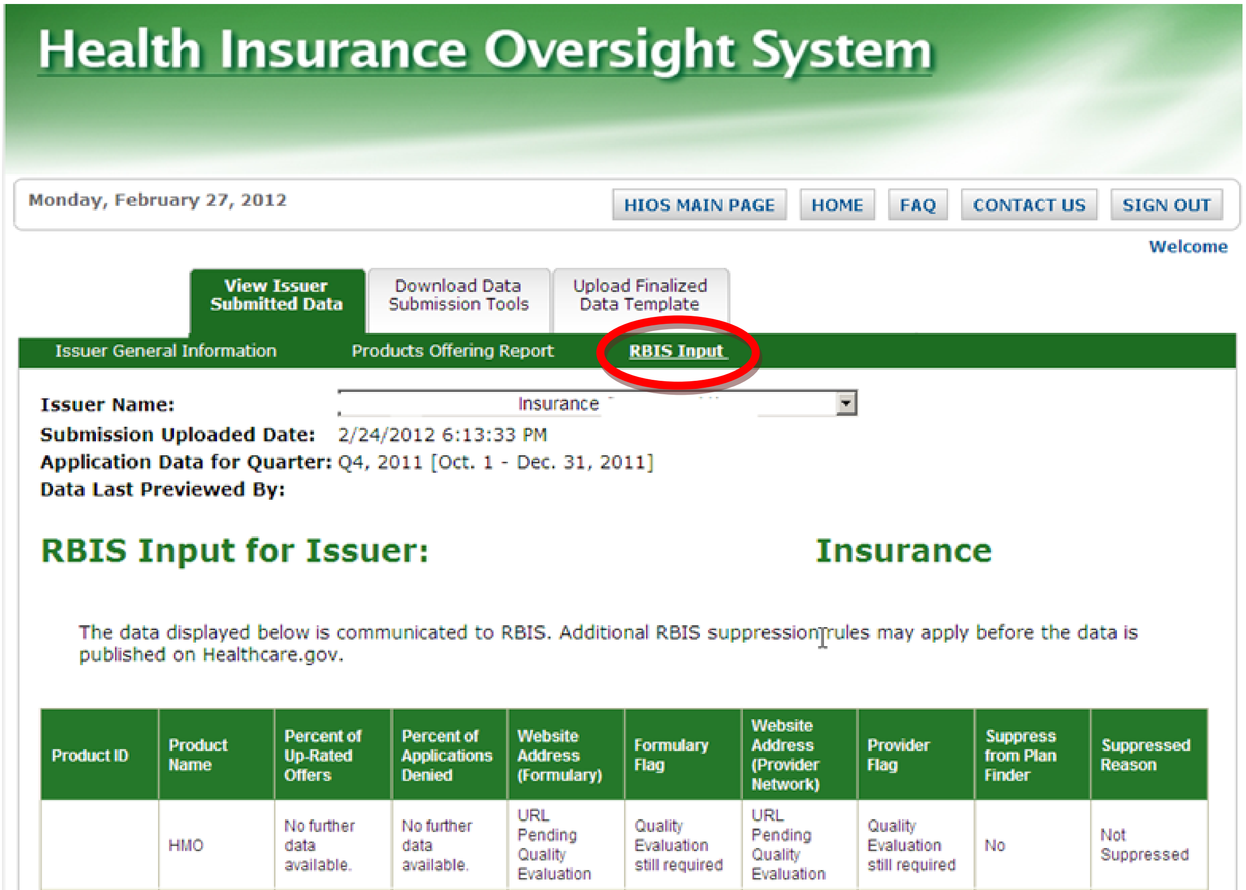


Figure 12: RBIS Input

4.6.4 Download Data Submission Tools

For updating and creating products, the user can access the Download Data Submission Tools page. From this page the user can download a pre-populated issuer data entry form to update. Select the issuer to download the form from the dropdown list and select the Download Pre-Populated Issuer Template button. A blank template can be downloaded, if needed.

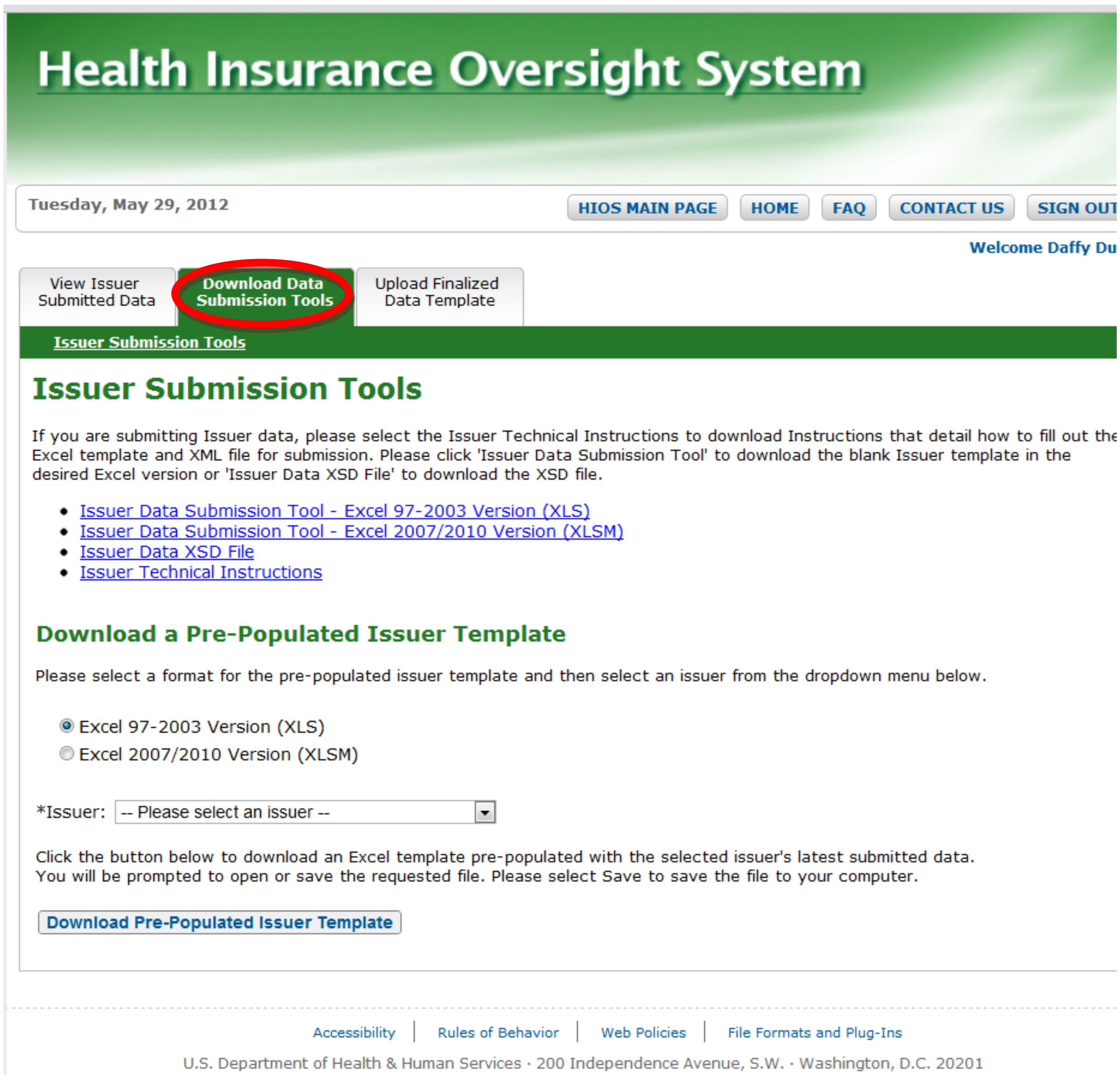


Figure 13: Download Data Submission Tools tab

4.6.4.1 Issuer Data Submission Tool

Clicking on the link for Issuer Data Submission Tool allows the user to open a blank Issuer Data Entry Form as an Excel or XSD file. For first-time submitters, see the instructions in *5.1.1: First Time Submitters* for additional information.

4.6.4.2 Issuer Technical Instructions

Clicking on the Issuer Technical Instructions link will open the latest version of this instruction manual.

4.6.4.3 Download a Pre-Populated Issuer Template

Clicking on the button Download a Pre-Populated Issuer Template allows the user to download the Issuer Data Entry Form completed with the most current information reported in a prior submission period. For step-by-step instructions on downloading this workbook, see the instructions in *5.1.2: Update Submissions*.

4.6.5 Upload Finalized Data Template

For submitting updates to products, access the Upload Data Submission Tools page. See instructions for the finalization process in section *5.7: Finalizing the Issuer Data Entry Form for Submission*.

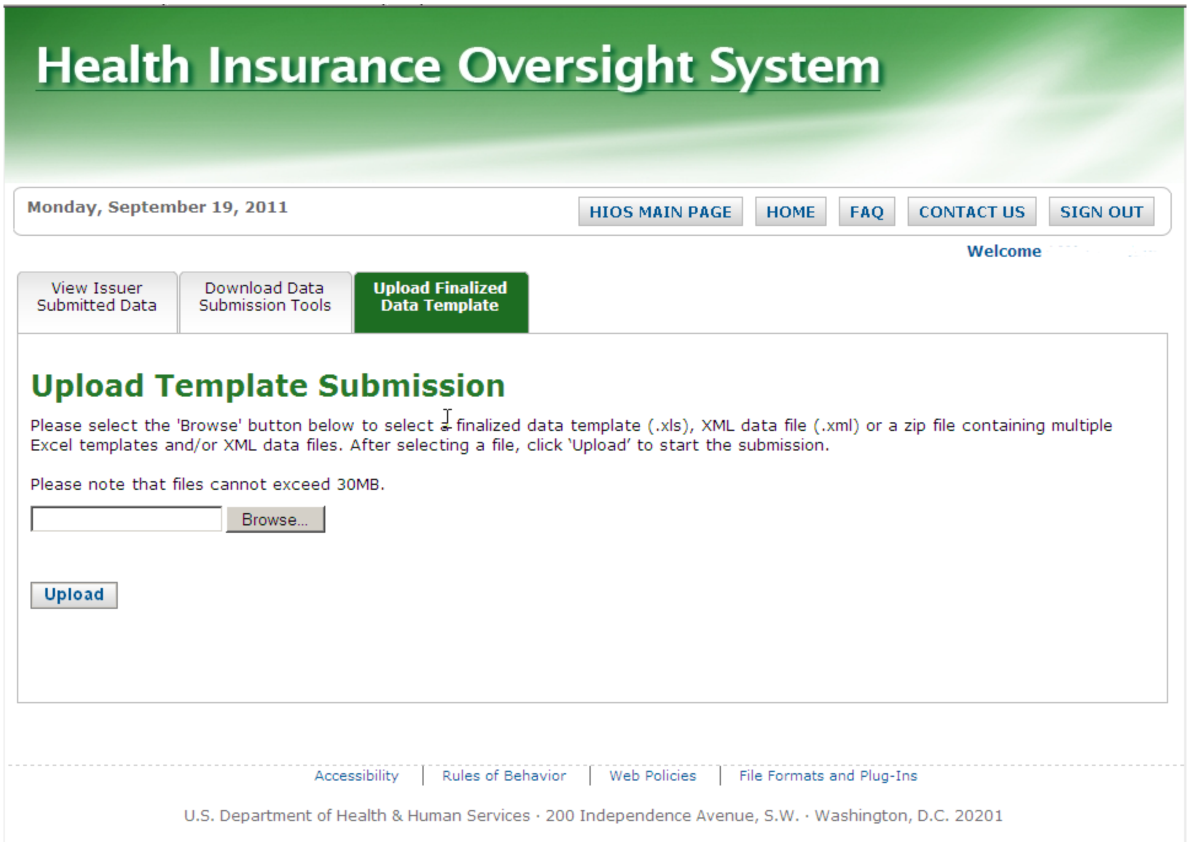


Figure 14: Upload Finalized Data Template

4.7 Excel Organization and Navigation

Upon successfully opening a working Issuer Data Entry Form with the macros enabled, specific buttons will appear in Worksheet 1.

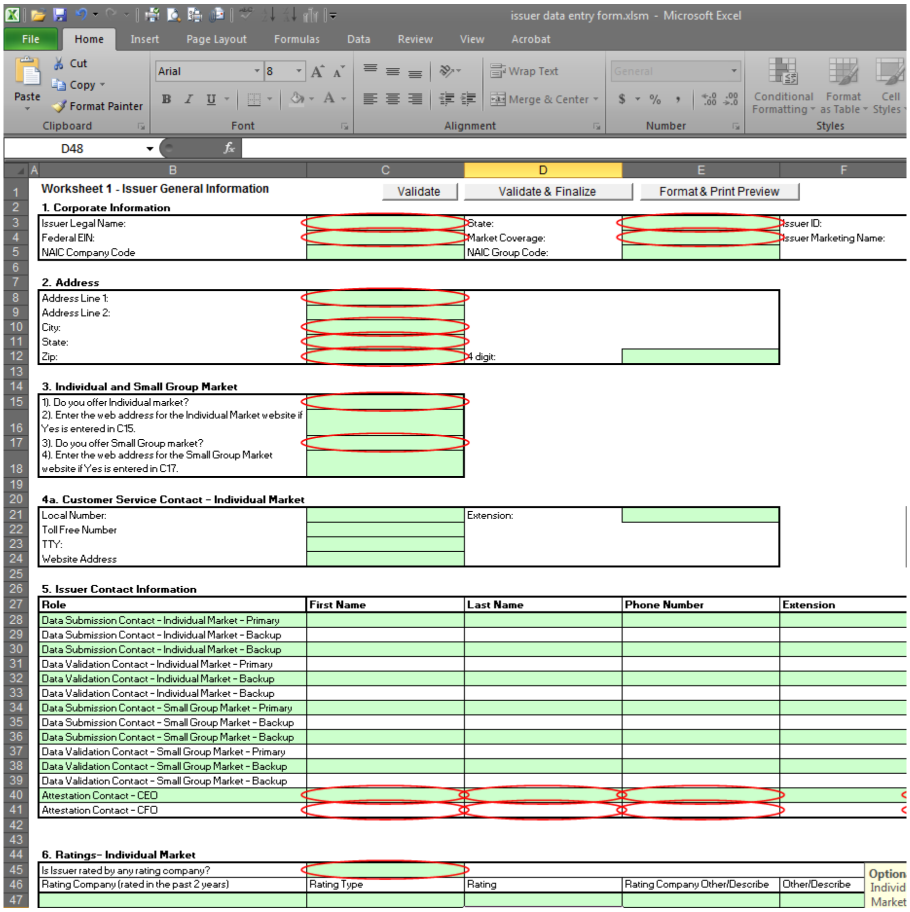


Figure 15: Issuer Data Entry Form

Button names (from left to right):

- Validate (Shortcut: **CTRL + shift + V**) – this will perform the red circle and critical validations.
- Validate and Finalize (Shortcut: **CTRL + shift + S**) - this function will perform the critical validations and create the read-only finalized file.
- Format and Print Preview (Shortcut: **CTRL + shift + P**) – this function will format the workbook for printing and display the print preview screen.

Within the application, Excel will allow the user to navigate and perform regular spreadsheet functions. There are a few special considerations to note:

- Print – It is suggested to perform a **Print Preview** prior to printing the workbook to ensure the formating is as preferred.
  - Use the standard Excel print icon or menu selection
  - Click on the ***Format & Print Preview*** button within each worksheet.

- Cut/ Paste: It is recommended NOT to use **Cut** or **Paste** function in the Issuer Data Entry Form workbook as it will remove or write over the cell's predefined formatting.

- Delete: It is recommended to use the **Delete** key instead of the space bar to delete cell values from a cell.

4.8 Exiting the System

After completing the submission, the user should select **Sign Out** in the upper right corner to close the HIOS session.

Note: If the HIOS window is inactive for 20 minutes, the system will automatically log the user off and require the user to re-access the system.

5 Tips for Entering Data

This section will provide information on how to enter data into each required cell within the workbook. Users will be able to open and work with multiple Issuer Data Entry Forms in the same Excel instance. However if the user closes a file and opens another one using Excel 2003, **be sure to close Excel and open the next file in a new instance of Excel.** There are known issues related to Excel 2003 when opening a file in an existing Excel instance. If issues are experienced when opening an Issuer Data Entry form:

1. Close Excel.
2. Go to **Task Manager.**
3. Delete any other Excel processes.
4. Open a new Issuer Data Entry Form file in a new Excel window.

5.1 Opening

5.1.1 First-time Submitters

The Issuer Data Entry form template may be sent to first-time submitters or accessed via the steps outlined in section *4.6.4.1: Issuer Data Submission Tool*. Be sure to pay special attention to the following data entry and saving rules.

- For fields that contain dropdown menus, do not attempt to key in the values.
- Regardless of the version of Excel being used, the file format for working files and finalized files must be saved in same .xls or .xlsx format.
- Although the working files can be saved in any naming convention, the files will have to be renamed to the supported naming convention before it can be validated and finalized. See section *5.7: Finalizing the Issuer Data Entry Form for Submission*.

5.1.2 Update Submissions

After an initial submission of the Issuer Data Entry Form, the information will be saved in the form. When a Pre-Populated Issuer Template is downloaded, the form will display information entered previously and only new or revised information should be entered. To modify data, enter the information next to the associated product name.

Figure 16: Download Data Submission Tools Tab

1. From the ***HIOS Main Page***, click on ***HIOS Issuer Product Data Collection***.
2. Click on the ***Download Data Submission Tools*** tab.
3. Click on the ***Issuer Submission Tools*** link.
4. Select the radio button in front of the Excel version preferred.
5. Click on the ***Download Pre-Populated Issuer Template*** button.
6. After the system compiles the data, a pop-up window will appear. The user may select to **Open** the file, **Save** the file, or **Cancel** the download request.
7. If the user has already updated the macro security settings in Excel as recommended in section *4.1: Set-up Considerations for Excel Templates*, select **Open**.
8. If the user has not updated the macro security settings in Excel as recommended in section 4.1, then:
    a. Select **Save**.
    b. Choose a file location and it is recommended not to change the name of the document at this point.
    c. When the save is complete, a pop-up window will appear asking to **Open** or **Cancel**. Select ***Cancel***. Do not open the workbook.

d. Open the Excel application to a blank workbook.
e. Update the macro security settings as stated in section 4.1.
f. Click on the ***Open*** file icon on the standard toolbar or select **File** menu then **Open**.
g. Locate the file and click **Open**.

Please Note: Excel 2007 or later versions: The workbook may display the green splash screen. If so, follow the steps in section *4.1: Set-up Considerations for Excel Templates*, to enable the workbook functionality.

5.2 Issuer General Info Tab

The following table includes the cell location for each data entry field on the Issuer General Info tab along with appropriate values.

Please Note: It is **HIGHLY RECOMMENDED** to select values from dropdown lists **INSTEAD OF** keying in values. Keying in values may result in the value not being recognized and cause errors that can prevent successful submission.

Table 2: Issuer General Info field chart

Cell Location	Data	Valid Values
C3	Issuer Legal Name	Enter the issuer's Legal name, up to 100 characters.
C4	Federal EIN	Enter the 9-digit Employer Identification Number. Do not enter a hyphen.
C5	NAIC Company Code	Enter the issuer's NAIC company code, up to 6 digits. Optional field.
E3	State	Select a state/territory from the drop down.
E4	Market Coverage	Select **Individual**, **Small Group**, or **Both** from the drop down.
E5	NAIC Group Code	Enter the issuer's 6-digit NAIC Group Number. Optional field.
G3	Issuer ID	This field is not editable. Users will have the ability to copy the value.
G4	Issuer Marketing Name	Enter issuer's marketing name, up to 100 characters.
C8	Address Line 1	Enter the address for the issuer.
C9	Address line 2	Enter the rest of the address for the issuer. Optional field.

Cell Location	Data	Valid Values
C10	City	Enter the city name for the issuer.
C11	State	Select a state/territory from the drop down.
C12	Zipcode	Enter a 5 digit zipcode
E12	4 digit	Enter a 4 digit zipcode extension. Optional field.
C15	Individual Market	Select **Yes** or **No** from the drop down menu.
C16	Website address for Individual Market website	Enter the website address for the Individual Market. This field is only required if Individual Market question in cell C15 is **Yes**.
C17	Small Group Market	Select **Yes** or **No** from the drop down menu.
C18	Website address for Small Group Market website	Enter the website address for the Small Group Market. This field is only required if user selects '**Yes**' to the 'Small Group Market' question in cell C17.
C21	Customer Service Local Number – Individual Market	Please enter the local phone number for the Individual Market Customer Service, up to 15 characters. This field is only required if the user selected **Individual** or **Both** in the Market Coverage cell (E4).
C22	Customer Service Toll Free Number - Individual Market	Please enter the toll free number for the Individual Market Customer Service, up to 15 characters. Optional field.
C23	Customer TTY - Individual Market	Enter the phone number for the TTY for the Individual Market Customer Service, up to 15 characters. Optional field.
C24	Customer Website Address - Individual Market	Enter a valid website address for the Individual Market Customer Service. This field is only required if the user selected **Individual** or **Both** in the Market Coverage cell (E4).

Cell Location	Data	Valid Values
E21	Customer Service Phone Number Extension - Individual Market	Enter the phone number extension for Individual Market Customer Service, up to 6 characters. Optional field.
H21	Customer Service Local Number – Small Group Market	Enter the local phone number for the Small Group Market Customer Service, up to 15 characters. This field is only required if the user selected **Small Group** or **Both** in the Market Coverage cell (E4).
H22	Customer Service Toll Free Number - Small Group Market	Enter the toll free number for the Small Group Market Customer Service, up to 15 characters Optional field.
H23	Customer TTY - Small Group Market	Enter the phone number for the TTY for the Small Group Market Customer Service, up to 15 characters. Optional field.
H24	Customer Website Address - Small Group Market	Enter a valid website address for the Small Group Market Customer Service. This field is only required if the user selected **Small Group** or **Both** in the Market Coverage cell (E4).
J21	Customer Service Phone Number Extension - Small Group Market	Enter the phone number extension for Small Group Market Customer Service, up to 6 characters. Optional field.
C28	Primary Data Submission Contact First Name – Individual Market	Enter the first name of the individual who is the primary contact for the Individual Market data submission, up to 40 characters. This field is only required if the user selected **Individual** or **Both** in the Market Coverage cell (E4).

Cell Location	Data	Valid Values
D28	Primary Data Submission Contact Last Name – Individual Market	Enter the last name of the individual who is the primary contact for the Individual Market data submission, up to 40 characters. This field is only required if the user selected **Individual** or **Both** in the Market Coverage cell (E4).
E28	Primary Data Submission Contact Phone Number – Individual Market	Enter the phone number of the individual who is the primary contact for the Individual Market data submission, up to 15 characters. This field is only required if the user selected **Individual** or **Both** in the Market Coverage cell (E4).
F28	Primary Data Submission Contact Phone Number Extension – Individual Market	Enter the phone numebr extension of the individual who is the primary contact for the Individual Market data submission, up to 15 characters. Optional field.
G28	Primary Data Submission Contact Email Address – Individual Market	Enter the full email address of the individual who is the primary contact for the Individual Market data submission. This field is only required if the user selected **Individual** or **Both** in the Market Coverage cell (E4).
C29	Back Up Data Submission Contact First Name – Individual Market	Enter the first name of the individual who is the backup contact for the Individual Market data submission, up to 40 characters. Optional field.
D29	Back Up Data Submission Contact Last Name – Individual Market	Enter the last name of the individual who is the backup contact for the Individual Market data submission, up to 40 characters. Optional field.
E29	Back Up Data Submission Contact Phone Number – Individual Market	Enter the phone number of the individual who is the backup contact for the Individual Market data submission, up to 15 characters. Optional field.

Cell Location	Data	Valid Values
F29	Back Up Data Submission Contact Phone Number Extension – Individual Market	Enter the phone number extension of the individual who is the backup contact for the Individual Market data submission, up to 15 characters. Optional field.
G29	Secondary Back Up Data Submission Contact Email Address – Individual Market	Enter the full email address of the individual who is the backup contact for the Individual Market data submission. Optional field.
C30	Secondary Back Up Data Submission Contact First Name – Individual Market	Enter the first name of the individual who is the backup contact for the Individual Market data submission, up to 40 characters. Optional field.
D30	Secondary Back Up Data Submission Contact Last Name – Individual Market	Enter the last name of the individual who is the backup contact for the Individual Market data submission, up to 40 characters. Optional field.
E30	Secondary Back Up Data Submission Contact Phone Number – Individual Market	Enter the phone number of the individual who is the backup contact for the Individual Market data submission, up to 15 characters. Optional field.
F30	Secondary Back Up Data Submission Contact Phone Number Extension – Individual Market	Enter the phone number extension of the individual who is the backup contact for the Individual Market data submission, up to 15 characters. Optional field.
G30	Secondary Back Up Data Submission Contact Email Address – Individual Market	Enter the full email address of the individual who is the backup contact for the Individual Market data submission. Optional field.
C31	Primary Issuer Data Validation Contact First Name – Individual Market	Enter the first name of the individual who is the primary contact for the validation of Individual Market data, up to 40 characters. This field is only required if the user selected **Individual** or **Both** in the Market Coverage cell (E4).

Cell Location	Data	Valid Values
D31	Primary Issuer Data Validation Contact Last Name – Individual Market	Enter the last name of the individual who is the primary contact for the validation of Individual Market data,s up to 40 characters. This field is only required if the user selected **Individual** or **Both** in the Market Coverage cell (E4).
E31	Primary Issuer Data Validation Contact Phone Number – Individual Market	Enter the phone number of the individual who is the primary contact for the validation of Individual Market data, up to 15 characters. This field is only required if the user selected **Individual** or **Both** in the Market Coverage cell (E4).
F31	Primary Issuer Data Validation Contact Phone Number Extension – Individual Market	Enter the phone number extension of the individual who is the primary contact for the validation of Individual Market data, up to 15 characters. Optional field.
G31	Primary Issuer Data Validation Contact Email Address – Individual Market	Enter the email address of the individual who is the primary contact for the validation of Individual Market data. This field is only required if the user selected **Individual** or **Both** in the Market Coverage cell (E4).
C32	Back Up Issuer Data Validation Contact First Name – Individual Market	Enter the first name of the individual who is the back up contact for the validation of Individual Market data, up to 40 characters.
D32	Back Up Issuer Data Validation Contact Last Name – Individual Market	Enter the last name of the individual who is the back up contact for the validation of Individual Market data, up to 40 characters.
E32	Back Up Issuer Data Validation Contact Phone Number – Individual Market	Enter the phone number of the individual who is the back up contact for the validation of Individual Market data, up to 15 characters.

Cell Location	Data	Valid Values
F32	Back Up Issuer Data Validation Contact Phone Number Extension – Individual Market	Enter the phone number extension of the individual who is the back up contact for the validation of Individual Market data,s up to 15 characters. Optional field.
G32	Back Up Issuer Data Validation Contact Email Address – Individual Market	Enter the email address of the individual who is the back up contact for the validation of Individual Market data.
C33	Secondary Back Up Issuer Data Validation Contact First Name – Individual Market	Enter the first name of the individual who is the back up contact for the validation of Individual Market data, up to 40 characters.
D33	Secondary Back Up Issuer Data Validation Contact Last Name – Individual Market	Enter the last name of the individual who is the back up contact for the validation of Individual Market data, up to 40 characters.
E33	Secondary Back Up Issuer Data Validation Contact Phone Number – Individual Market	Enter the phone number of the individual who is the back up contact for the validation of Individual Market data, up to 15 characters.
F33	Secondary Back Up Issuer Data Validation Contact Phone Number Extension – Individual Market	Enter the phone number extension of the individual who is the back up contact for the validation of Individual Market data,s up to 15 characters. Optional field.
G33	Secondary Back Up Issuer Data Validation Contact Email Address – Individual Market	Enter the email address of the individual who is the back up contact for the validation of Individual Market data.
C34	Primary Data Submission Contact First Name – Small Group Market	Enter the first name of the individual who is the primary contact for the Small Group Market data submission, up to 40 characters. This field is only required if the user selected **Small Group** or **Both** in the Market Coverage cell (E4).

Cell Location	Data	Valid Values
D34	Primary Data Submission Contact Last Name – Small Group Market	Enter the last name of the individual who is the primary contact for the Small Group Market data submission, up to 40 characters. This field is only required if the user selected **Small Group** or **Both** in the Market Coverage cell (E4).
E34	Primary Data Submission Contact Phone Number – Small Group Market	Enter the phone number of the individual who is the primary contact for the Small Group Market data submission, up to 15 characters. This field is only required if the user selected **Small Group** or **Both** in the Market Coverage cell (E4).
F34	Primary Data Submission Contact Phone Number Extension – Small Group Market	Enter the phone numebr extension of the individual who is the primary contact for the Small Group Market data submission, up to 15 characters. Optional field.
G34	Primary Data Submission Contact Email Address – Small Group Market	Enter the full email address of the individual who is the primary contact for the Small Group Market data submission. This field is only required if the user selected **Small Group** or **Both** in the Market Coverage cell (E4).
C35	Back Up Data Submission Contact First Name – Small Group Market	Enter the first name of the individual who is the backup contact for the Small Group Market data submission, up to 40 characters. Optional field.
D35	Back Up Data Submission Contact Last Name – Small Group Market	Enter the last name of the individual who is the backup contact for the Small Group Market data submission, up to 40 characters. Optional field.
E35	Back Up Data Submission Contact Phone Number – Small Group Market	Enter the phone number of the individual who is the backup contact for the Small Group Market data submission, up to 15 characters. Optional field.

Cell Location	Data	Valid Values
F35	Back Up Data Submission Contact Phone Number Extension – Small Group Market	Enter the phone number extension of the individual who is the backup contact for the Small Group Market data submission, up to 15 characters. Optional field.
G35	Back Up Data Submission Contact Email Address – Small Group Market	Enter the full email address of the individual who is the backup contact for the Small Group Market data submission. Optional field.
C36	Secondary Back Up Data Submission Contact First Name – Small Group Market	Enter the first name of the individual who is the backup contact for the Small Group Market data submission, up to 40 characters. Optional field.
D36	Secondary Back Up Data Submission Contact Last Name – Small Group Market	Enter the last name of the individual who is the backup contact for the Small Group Market data submission, up to 40 characters. Optional field.
E36	Secondary Back Up Data Submission Contact Phone Number – Small Group Market	Enter the phone number of the individual who is the backup contact for the Small Group Market data submission, up to 15 characters. Optional field.
F36	Secondary Back Up Data Submission Contact Phone Number Extension – Small Group Market	Enter the phone number extension of the individual who is the backup contact for the Small Group Market data submission, up to 15 characters. Optional field.
G36	Secondary Back Up Data Submission Contact Email Address – Small Group Market	Enter the full email address of the individual who is the backup contact for the Small Group Market data submission. Optional field.

Cell Location	Data	Valid Values
C37	Primary Issuer Data Validation Contact First Name – Small Group Market	Enter the first name of the individual who is the primary contact for the validation of Small Group Market data, up to 40 characters. This field is only required if the user selected **Small Group** or **Both** in the Market Coverage cell (E4).
D37	Primary Issuer Data Validation Contact Last Name – Small Group Market	Enter the last name of the individual who is the primary contact for the validation of Small Group Market data, up to 40 characters. This field is only required if the user selected **Small Group** or **Both** in the Market Coverage cell (E4).
E37	Primary Issuer Data Validation Contact Phone Number – Small Group Market	Enter the phone number of the individual who is the primary contact for the validation of Small Group Market data, up to 15 characters. This field is only required if the user selected **Small Group** or **Both** in the Market Coverage cell (E4).
F37	Primary Issuer Data Validation Contact Phone Number Extension – Small Group Market	Enter the phone number extension of the individual who is the primary contact for the validation of Small Group Market data, up to 15 characters. Optional field.
G37	Primary Issuer Data Validation Contact Email Address – Small Group Market	Enter the full email address of the individual who is the primary contact for the validation of Small Group Market data. This field is only required if the user selected **Small Group** or **Both** in the Market Coverage cell (E4).
C38	Back Up Issuer Data Validation Contact First Name – Small Group Market	Enter the first name of the individual who is the back up contact for the validation of Small Group Market data, up to 40 characters. Optional field.

Cell Location	Data	Valid Values
D38	Back Up Issuer Data Validation Contact Last Name – Small Group Market	Enter the last name of the individual who is the back up contact for the validation of Small Group Market data, up to 40 characters. Optional field.
E38	Back Up Issuer Data Validation Contact Phone Number – Small Group Market	Enter the phone number of the individual who is the back up contact for the validation of Small Group Market data, up to 15 characters. Optional field.
F38	Back Up Issuer Data Validation Contact Phone Number Extension – Small Group Market	Enter the phone number extension of the individual who is the back up contact for the validation of Small Group Market data, up to 15 characters. Optional field.
G38	Back Up Issuer Data Validation Contact Email Address – Small Group Market	Enter the full email address of the individual who is the back up contact for the validation of Small Group Market data. Optional field.
C39	Secondary Back Up Issuer Data Validation Contact First Name – Small Group Market	Enter the first name of the individual who is the back up contact for the validation of Small Group Market data, up to 40 characters. Optional field.
D39	Secondary Back Up Issuer Data Validation Contact Last Name – Small Group Market	Enter the last name of the individual who is the back up contact for the validation of Small Group Market data, up to 40 characters. Optional field.
E39	Secondary Back Up Issuer Data Validation Contact Phone Number – Small Group Market	Enter the phone number of the individual who is the back up contact for the validation of Small Group Market data, up to 15 characters. Optional field.
F39	Secondary Back Up Issuer Data Validation Contact Phone Number Extension – Small Group Market	Enter the phone number extension of the individual who is the back up contact for the validation of Small Group Market data, up to 15 characters. Optional field.

Cell Location	Data	Valid Values
G39	Secondary Back Up Issuer Data Validation Contact Email Address – Small Group Market	Enter the full email address of the individual who is the back up contact for the validation of Small Group Market data. Optional field.
C40	Attestation Contact CEO - First Name	Enter the first name of the individual who is the CEO contact for the validation of Small Group Market data, up to 40 characters. Conditionally required.
D40	Attestation Contact CEO - Last Name	Enter the last name of the individual who is the CEO contact for the validation of Small Group Market data, up to 40 characters. Conditionally required.
E40	Attestation Contact CEO - Phone Number	Enter the phone number of the individual who is the CEO contact for the validation of Small Group Market data, up to 15 characters. Conditionally required.
F40	Attestation Contact CEO - Phone Number Extension	Enter the phone number extension of the individual who is the CEO contact for the validation of Small Group Market data, up to 15 characters. Optional Field.
G40	Attestation Contact CEO - Email Address	Enter the full email address of the individual who is the CEO contact for the validation of Small Group Market data. Conditionally required.
C41	Attestation Contact CFO - First Name	Enter the first name of the individual who is the CFO contact for the validation of Small Group Market data, up to 40 characters. Conditionally required.

Cell Location	Data	Valid Values
D41	Attestation Contact CFO - Last Name	Enter the last name of the individual who is the CFO contact for the validation of Small Group Market data, up to 40 characters. Conditionally required.
E41	Attestation Contact CFO - Phone Number	Enter the phone number of the individual who is the CFO contact for the validation of Small Group Market data, up to 15 characters. Conditionally required.
F41	Attestation Contact CFO - Phone Number Extension	Enter the phone number extension of the individual who is the CFO contact for the validation of Small Group Market data, up to 15 characters. Optional field.
G41	Attestation Contact CFO - Email Address	Enter the full email address of the individual who is the CFO contact for the validation of Small Group Market data. Conditionally required.
C45	Individual Market Issuer rated by any rating company	Select **Yes** or **No** from the drop down menu.

Enter up to **5** rows of rating information. The system will verify that at least one set of rating data .

Cell Location	Data	Valid Values
B47	Individual Market Rating Company	Select rating company from the drop down menu. This field is only required if C71 is **Yes**.
C47	Individual Market Rating type	Select rating from the drop down menu. This field is only required if C71 is **Yes**.
D47	Individual Market Rating	Enter Rating. This field is only required if C71 is **Yes**.
E47	Individual Market Rating Company Other	Enter the rating company if **Other/Describe** is selected in cell B47.
F47	Individual Market Rating Type Other/Describe	Enter the rating type if **Other/Describe** is selected in cell B47.

C54	Small Group Market rated by any rating company	Select **Yes** or **No** from the drop down menu.
B56	Small Group Market Rating Company	Select rating from the drop down menu. This field is only required if the user selected **Yes** in cell C54.
C56	Small Group Market Rating type	Enter Rating. This field is only required if the user selected **Yes** in cell C54.
D56	Small Group Market Rating Company Other	Enter the rating company if the user selected '**Other/Describe**' in cell C54.
E56	Small Group Market Rating Type Other	Enter the rating type if the user selected '**Other/Describe'** in cell B56.
F56	Small Group Market: Rating Type Other/Describe	Enter the rating type **ONLY** if Rating Type C56 is **Other/Describe**.

5.3 Product Info Tab

The following table includes the cell location for each data entry field on the Product Info tab, along with appropriate values.

Table 3: Product Info field chart

Cell Location	Data	Valid Values
B3	Product ID	This is a read-only field and should not be used.
C3	Product Name	Enter a product name
D3	Enrollment code/Group Number	Enter the Enrollment code/Group Number given internally to this product. Optional field.
E3	Product Type	Select product type from the drop down menu.
F3	Other Product Type Description	Enter a product description. This field is only required if the user selected '**Other/Describe**' for the product type.
G3	Association Product	Select **Yes** or **No** from the dropdown.
H3	Product Enrollment	Enter the number of enrollment
I3	Individual or Small Group	Select Individual or Small Group from the drop down list.

Cell Location	Data	Valid Values
J3	Website address (Benefit at a Glance)	Enter a website address for the benefit description.
K3	Website address (Formulary)	Enter a website address. Optional field.
L3	Website address (Provider Network)	Enter a website address if appropriate. If the product is an indemnity product, and therefore there is no corresponding Provider Network, please enter "**Indemnity**".
M3	Covers whole state	Select **Yes** or **No** from the drop down menu.
N3	Number of Applications Received	Enter the number of applications received for the appropriate quarter designated in cell N1. Number of applications received refers to the total number of applications for enrollment under the product that you processed during a specific quarter. Only include requests for insurance coverage in your number.*
O3	Number of Applications Denied	Enter the number of applications denied for the appropriate quarter designated in cell N1. The number of denials should represent the number of applications that were denied based on health status.*
P3	Number of Up-Rated Offers	Enter the number of up-rated offers for the appropriate quarter designated in cell N1. "Up-rated offers" refers to the number of offers with restricted coverage terms or increased consumer premium, based on health status.*

Cell Location	Data	Valid Values
Q3	Number of Administrative Disqualifiers	Enter the number of administrative disqualifiers for the appropriate quarter designated in cell N1. Administrative disqualifications refer to those applications which were disqualified for administrative or eligibility reasons, not including health status. These reasons include, but may not be limited to, ineligibility for policy due to non-residency in insurer's defined service area, dependent's age, or legal status.*
R3	SERFF-Number	Enter SERFF-Number. Optional field.
S3	Open or Closed?	Select **Open** or **Closed** from the drop down menu.
T3	Closed Reason	Select a reason that the product is closed from the drop down. This field is only required if the user selected **Closed** in field R3. This dropdown will no longer include the Association Product as the reason.
U3	Other Closed Reason	Enter a Closed Reason in this field. This field is only required if the user selected **Other** in field S3.
V3	Grandfathered Product	Select **Yes** or **No** from the drop down menu.
W3	Effective Start Date	Enter the product's Effective Start Date in the format of MM/DD/YY
X3	Effective End Date	Enter the product's Effective End Date in the format of MM/DD/YY. Optional field

*For additional information, see the questions and answers section on the CCIIO website.

- If using pre-populated templates for data entry, the application, denial, uprate, and administrative disqualification data will be blank to enable entry for the subsequent quarter's data.

5.4 Validation

All data entry fields are highlighted in green. All cells are formatted in text format.

The green-highlighted data entry fields fall into three categories with respect to cell validation: validation fields, critical validation fields, and non-validation fields. Validation fields have cell-specific rules regarding the types and format of data that can be entered into them. These rules appear in message boxes, called cell labels, which are shown when the cell is highlighted.

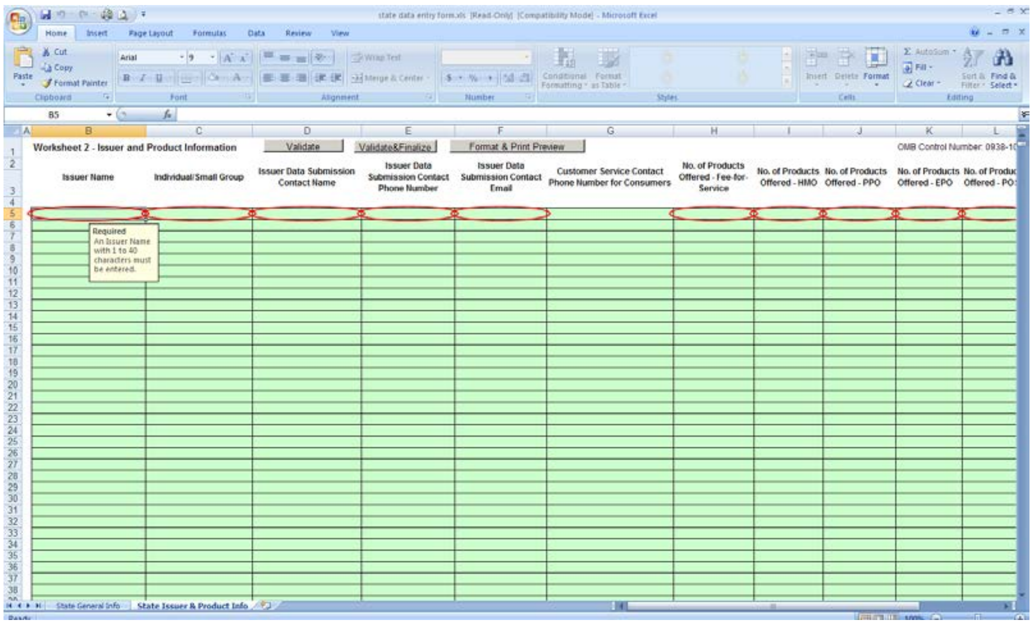


Figure 17: Issuer Data Submission Template

To trigger the Validation Process:

1. When the submitter has completed the data entry or updates, it is recommended to save the document before starting the Validation Process, by clicking on the Excel Save icon. There is no need to rename the document at this point.

2. Click on ***Validate***.

Upon triggering the validation process, a red circle will surround cells that do not pass validation rules. Once the validation rules are corrected the red circles will disappear.

Please Note: It is strongly recommended to perform the validation process and resolve **ALL** issues prior to the **Finalize and Validate** step.

5.5 Save

There are two save processes available within the Issuer Data Entry form: a non-finalized and a finalized save.

A non-finalized save can be invoked by clicking on the Excel save icon on the Excel standard toolbar or by selecting ***File*** and then ***Save*** from the Excel menu. This save process will save any changes made to the workbook.

A finalized save occurs when the "**Finalize and Validate**" function is invoked. See section *5.7: Finalizing the Issuer Data Entry Form for Submission.* This step is taken when the workbook is complete and ready for submission.

Please Note: After clicking ***Save*** or ***Finalize & Validate Form***, the following message may appear. Uncheck the box ***Check compatibility when saving this workbook*** and click ***Continue***. The finalized file must be saved in the same Excel version file format of the submitted data.

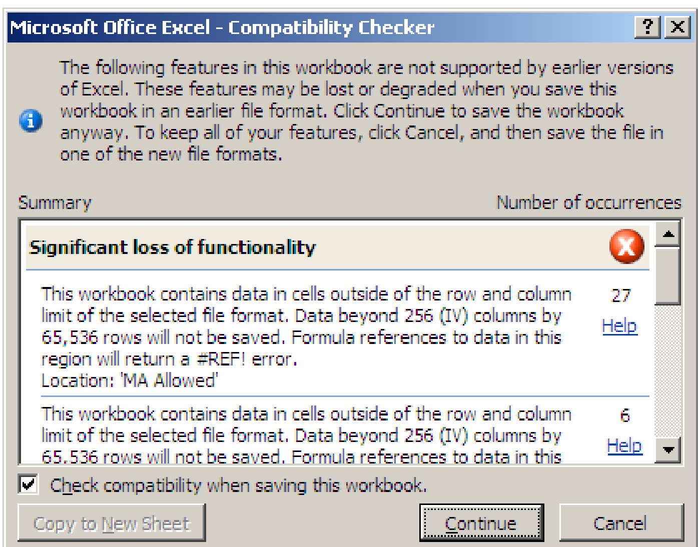


Figure 18: Compatibility Checker

5.6 Finalizing the Issuer Data Entry Form for Submission

To trigger the finalization process, click on the ***Validate & Finalize File*** button. The system will perform all of the critical validations. The system will perform the finalization process and create the read only file if all critical validations are passed.

Please Note: As stated previously, it is highly recommended to correct all red circle validations prior to triggering the finalization process.

5.6.1 Finalization Process

When the finalization function is triggered, the system will perform the following actions:

- Check the required fields - Pre-determined fields (e.g., “State”) must be entered for the finalization to be successful; these fields are listed in Appendix A (“Required Fields”).
- Check the critical validations - Critical validation fields must comply with their validation rules for the finalization process to be successful; the fields and business rules are listed in Table 2 in section 5.2. All critical errors must be corrected for a file to be successfully finalized.
- Create a finalized file with the following features:
  - All worksheets will display as read only in the finalized file.
  - Red circles will display for cells that do not pass validation rules.

    Note: The file can be finalized if the red circled cell is not one of the critical errors, however it is **STRONGLY RECOMMENDED** to resolve all errors to prevent submission rejection. A list of critical errors is included in Appendix B, “Critical Errors.”

5.6.2 File Naming Convention

5.6.2.1 Excel Template

Finalized Issuer Data Entry Submission workbooks are saved using the following standardized naming convention:

Final_<first10charactersofname>_<stateabbreviation>_<year><month><day><Hour><Min><Sec>_<original name>xls.xls

Original name refers to the name of the working file. There is no requirement for how the working file must be named and it will not impact the processing of the finalized file.

Use of this naming convention is a requirement for a successful submission. If the name of the finalized file is modified, it will not be processed.

Example: Final_BlueCross_VA_20100427130426_Issuer Data Entry Formxls.xls

5.6.2.2 XML Files

Working versions of the .XML files can be named at the user’s discretion. The .XML file will have to be changed (Save As) to the submission approved format. However, the finalized file to be submitted must be in the following format to be accepted:

Final_<IssuerNameWithNoSpaces><stateabbreviation>_<IssuerID>_<year><month><day>.xml

Use of this naming convention is a requirement for a successful submission. If the name of the finalized file is modified, it will not be processed.

Example: Final_BlueCross_VA_130426_20110427.xml

Please Note: Finalized files will be saved in the same directory where the working file is located.

5.7 Closing the file

When closing the file it is **HIGHLY RECOMMENDED** to save all current changes.

5.8 Password Protection

The Issuer Data Entry Form is password protected. The structure of the workbook or worksheets may not be modified. Each data item must be located in its pre-defined cell location for successful processing.

5.9 Data Submission

Please submit completed FINALIZED files via the upload functionality on the Upload Issuer Data Entry Forms page in HIOS. Please remember not to change the name of the system-generated finalized file.

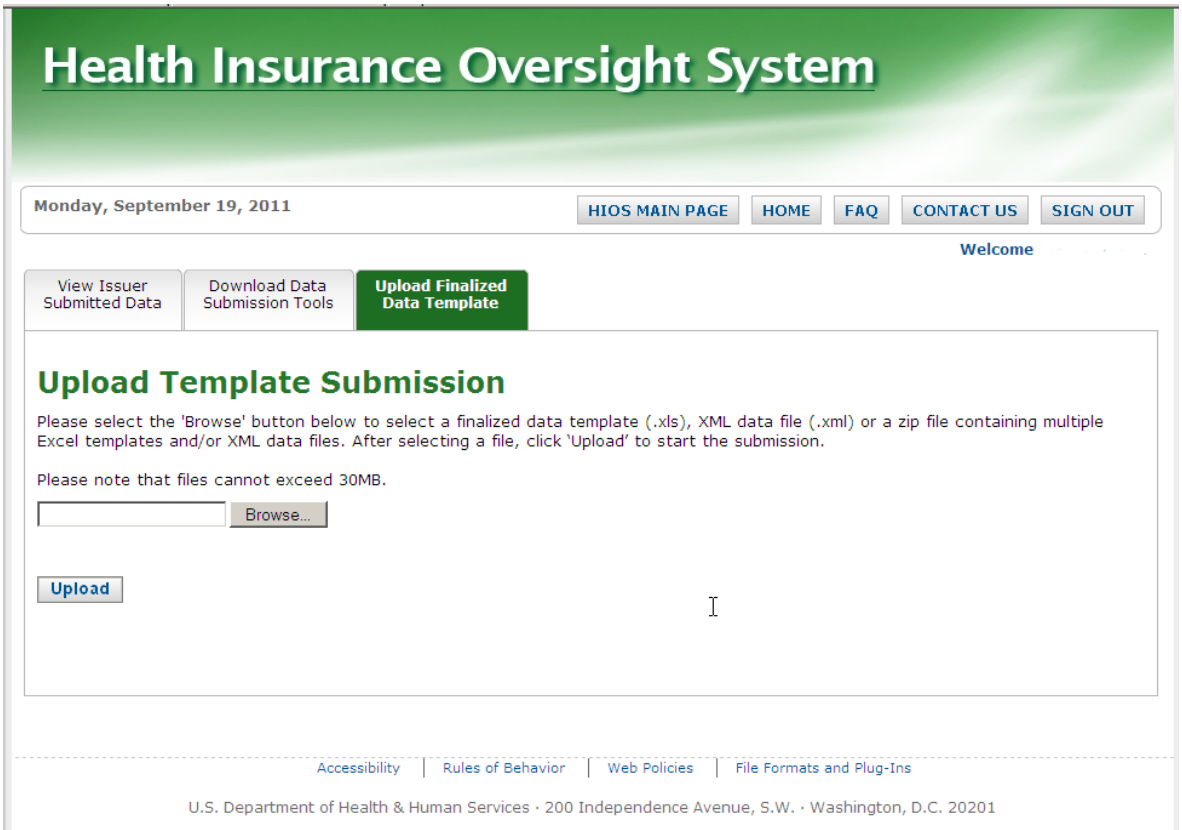


Figure 19: Upload Finalized Data Template tab

To upload the data file:

1. From the ***HIOS Main Page***, click on ***HIOS Issuer Product Data Collection***.
2. Select the ***Upload Finalized Data Template*** tab.
3. Click on the ***Browse*** button.
4. Locate the file and click ***OK***.
5. Click the ***Upload*** button.

Upon submission to HIOS, the submitter will receive an email message either confirming successful submission or notifying them of its failure and the reason for submission failure.

Please Note: In addition to this, the submitter may receive an incorrect error message due to a system issue. This error message will read: "!!! An error occurred while processing the file from the server <server name> and the exception is: Object reference not set to an instance of an object. " **This message is in error and should be ignored.**

5.10 Web Editing

Users can enter and edit data on the web user interface as well. The elements that are editable are found on the Issuer General Information and Product Offering Report user interface pages. For editing Issuer General Information, the data submission contact can click on ***Edit Issuer General Information*** as depicted in the screenshot below.

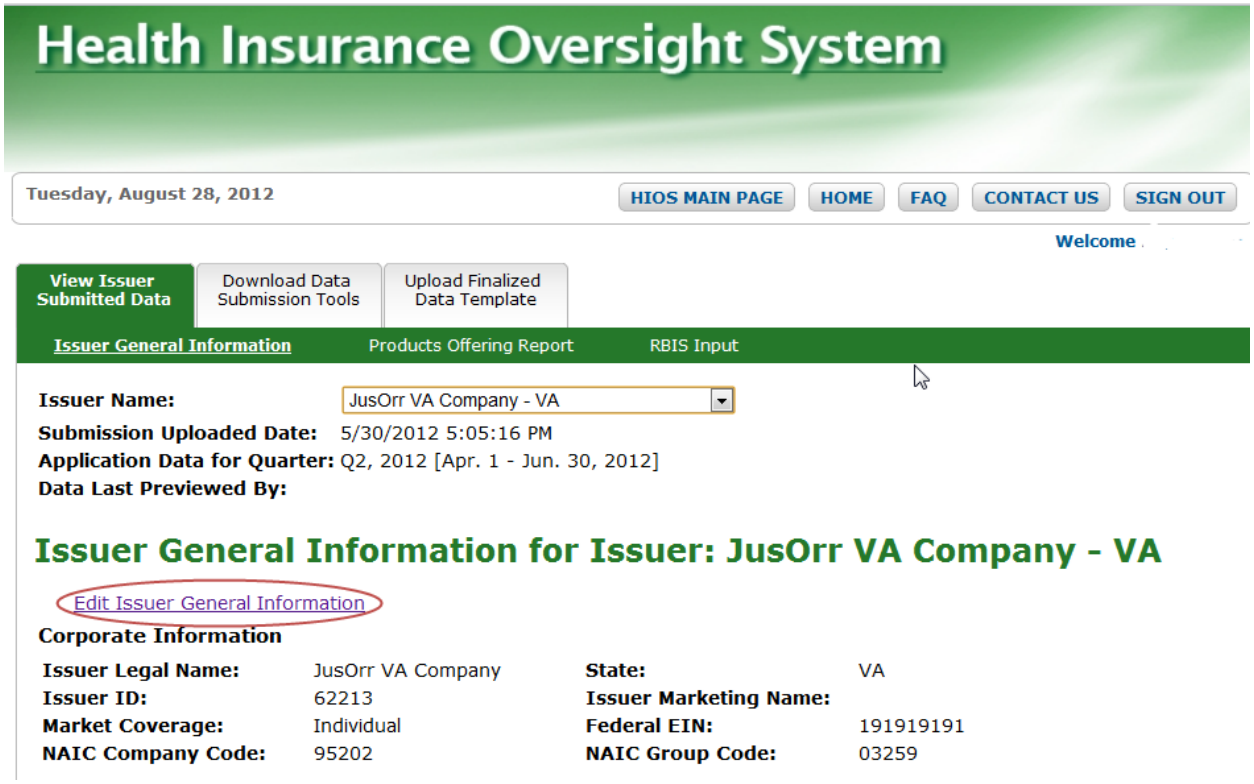


Figure 20: Edit Issuer General Information

Once the user clicks on the link mentioned above, the system will navigate the user to the Edit page where the user can edit the editable fields. Once the user is done making the edits, click on ***Submit*** and the changes will be saved and will show up on the View Issuer Submitted Data page.

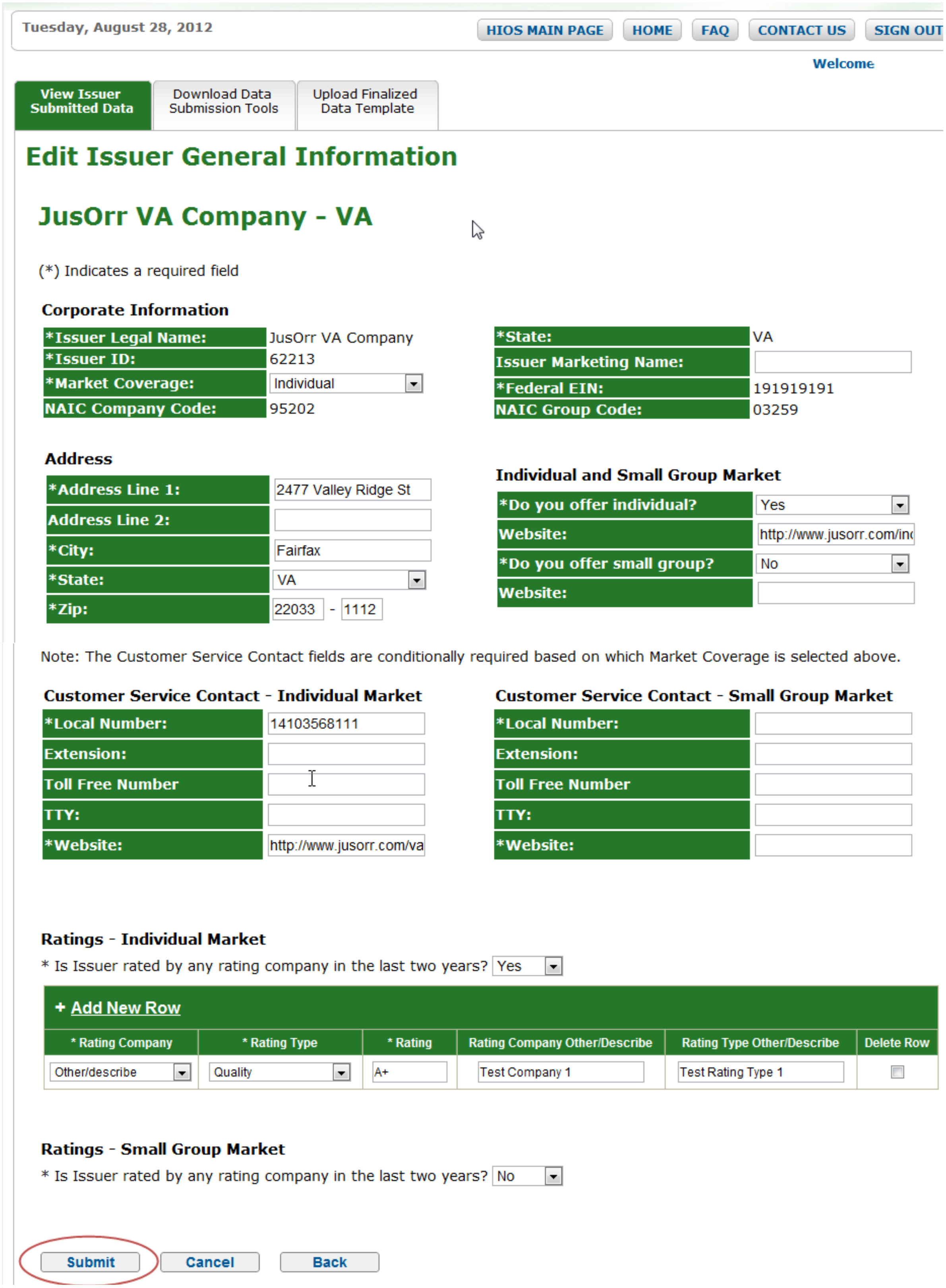


Figure 21: Editing Issuer General Information Data Fields

Users can add and edit product information as well. For editing Product Information, the user can simply navigate to the ***Product Offerings Report*** link under the ***View Issuer Submitted Data*** tab. From there, the user can click on ***Add New Product*** to add a new product.

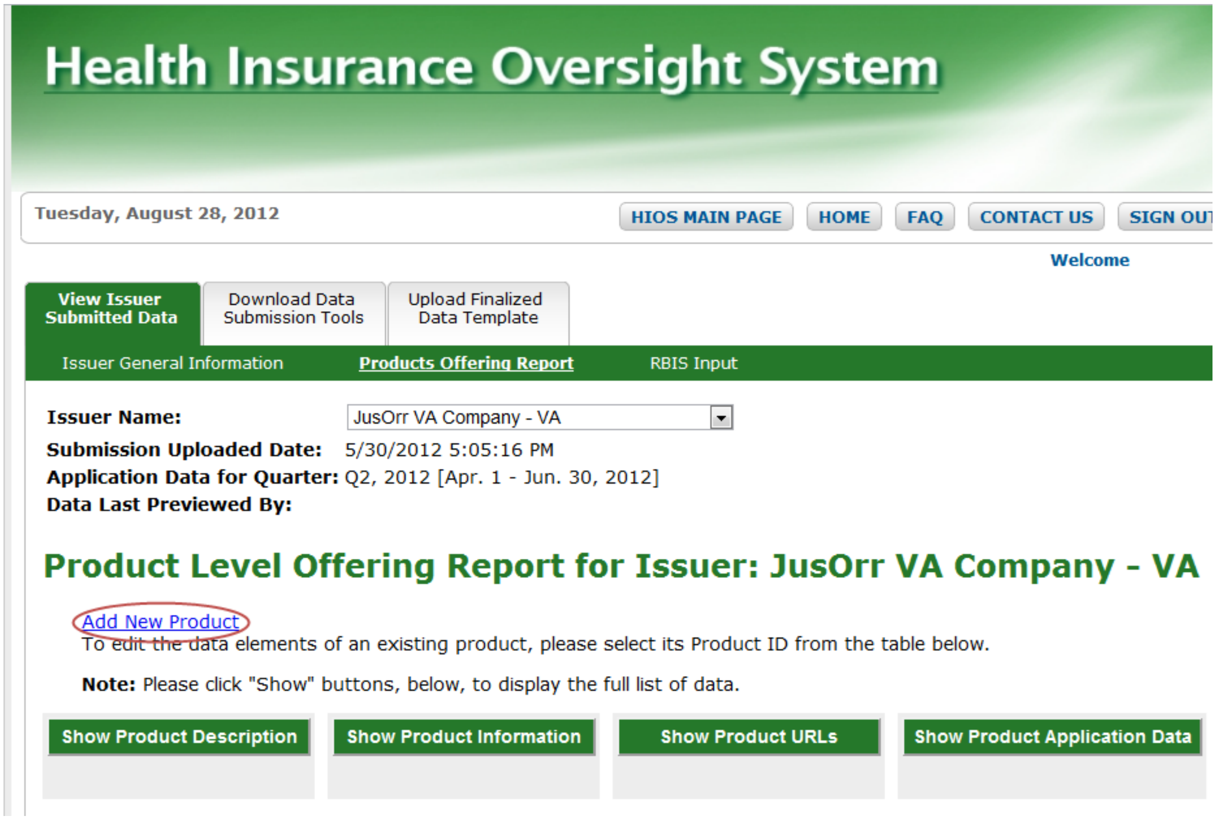
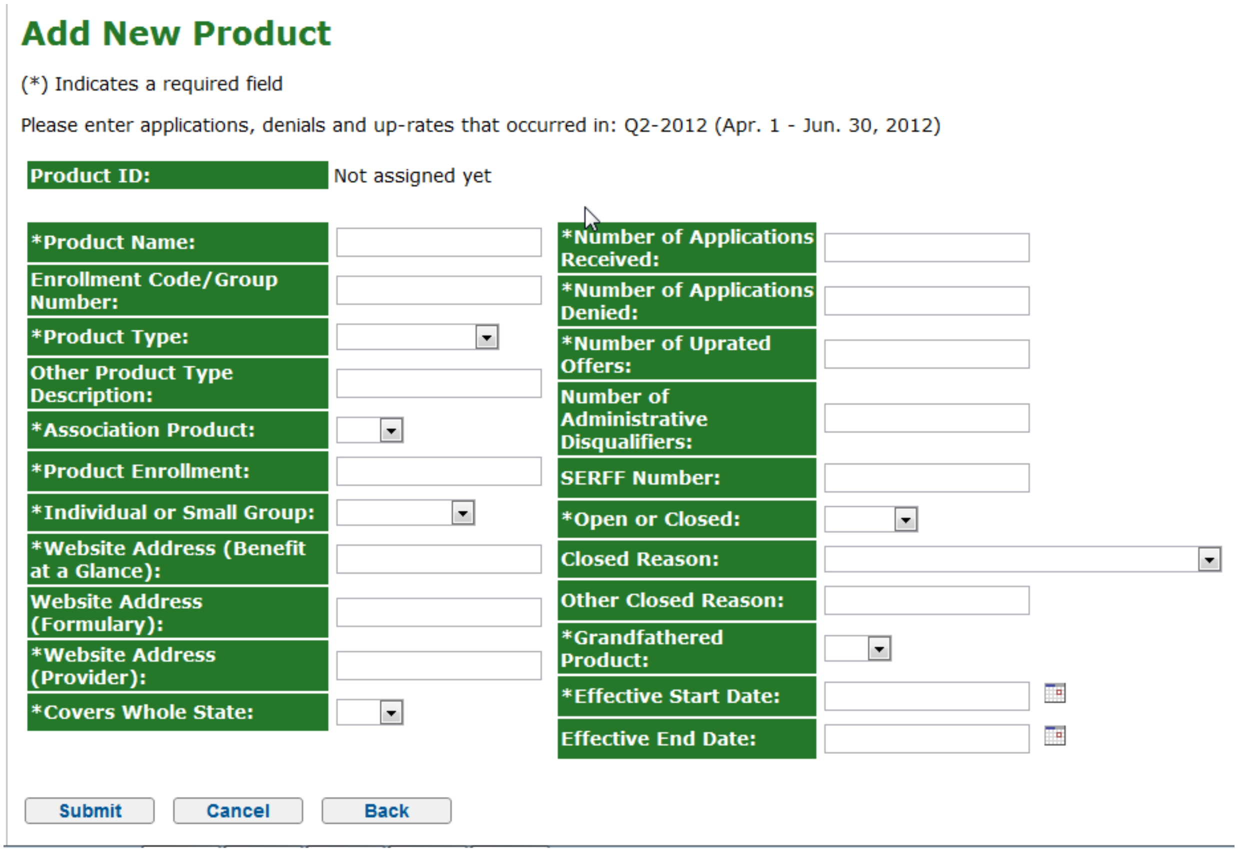


Figure 22: Adding New Products

On the **Add New Product** page, the user can enter all the required information for the new product and a new product ID will be automatically generated once the user clicks ***Submit***.



Add New Product

(*) Indicates a required field

Please enter applications, denials and up-rates that occurred in: Q2-2012 (Apr. 1 - Jun. 30, 2012)

Product ID: Not assigned yet

*Product Name:

Enrollment Code/Group Number:

*Product Type:

Other Product Type Description:

*Association Product:

*Product Enrollment:

*Individual or Small Group:

*Website Address (Benefit at a Glance):

Website Address (Formulary):

*Website Address (Provider):

*Covers Whole State:

*Number of Applications Received:

*Number of Applications Denied:

*Number of Uprated Offers:

Number of Administrative Disqualifiers:

SERFF Number:

*Open or Closed:

Closed Reason:

Other Closed Reason:

*Grandfathered Product:

*Effective Start Date:

Effective End Date:

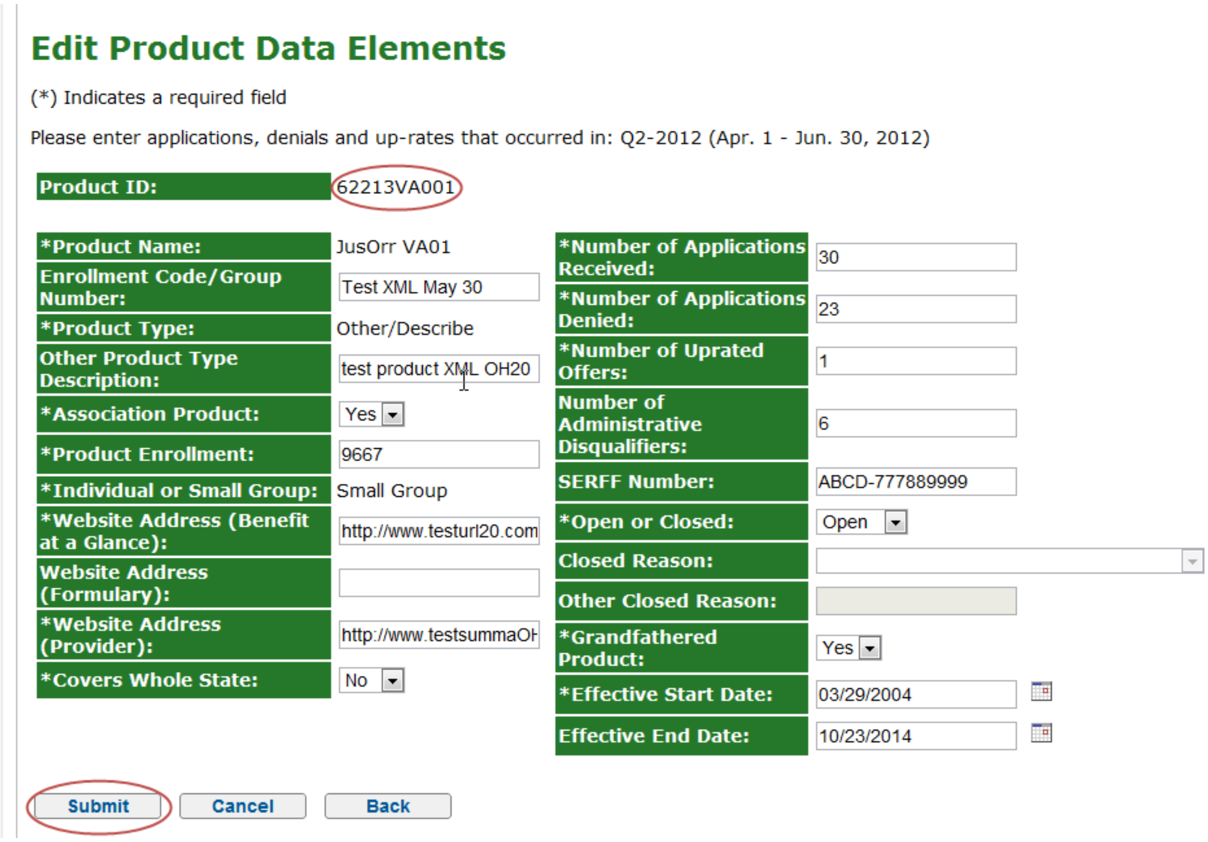
Submit Cancel Back

Figure 23: Add New Product Data Fields

In order to edit the data elements of an existing product, the user can select its ***Product ID*** from the table and the corresponding information will open up in that webpage.

Figure 24: Edit Existing Product

The user can then edit any of the editable fields for the product's information. When done, click ***Submit*** and the changes will be saved.


Edit Product Data Elements

(*) Indicates a required field

Please enter applications, denials and up-rates that occurred in: Q2-2012 (Apr. 1 - Jun. 30, 2012)

Product ID:	62213VA001

*Product Name:	JusOrr VA01	*Number of Applications Received:	30
Enrollment Code/Group Number:	Test XML May 30	*Number of Applications Denied:	23
*Product Type:	Other/Describe	*Number of Uprated Offers:	1
Other Product Type Description:	test product XML OH20	Number of Administrative Disqualifiers:	6
*Association Product:	Yes	SERFF Number:	ABCD-777889999
*Product Enrollment:	9667	*Open or Closed:	Open
*Individual or Small Group:	Small Group	Closed Reason:	
*Website Address (Benefit at a Glance):	http://www.testurl20.com	Other Closed Reason:	
Website Address (Formulary):		*Grandfathered Product:	Yes
*Website Address (Provider):	http://www.testsummaOH	*Effective Start Date:	03/29/2004
*Covers Whole State:	No	Effective End Date:	10/23/2014

Submit Cancel Back

6 Figure 25: Edit Existing Product Data FieldsTroubleshooting and FAQ

6.1 FAQ's

Question 1: I am trying to open Issuer Data Entry Form files in Excel 2007, but I do not see the Option button. How do I enable contents?

3. Click the Microsoft Office button .
4. Click on ***Excel Options***.
5. Select ***Trust Center.***
6. Click ***Trust Center Settings***.
7. Click ***Message Bar***.
8. Click the radio button that states "***Show the Message Bar in all applications when document content has been blocked***."

Question 2: I have Excel 2003. When I opened the workbook, a static screen displayed indicating that I must update my macro settings.

- If macro settings are set to High or Very High, the workbook will not be functional. Change macro security settings to ***Medium (recommended)***. See section *4.1: Set-up Considerations* for instructions.

Question 3: I have Excel 2007 or higher. When I opened the workbook, I received the following screen.

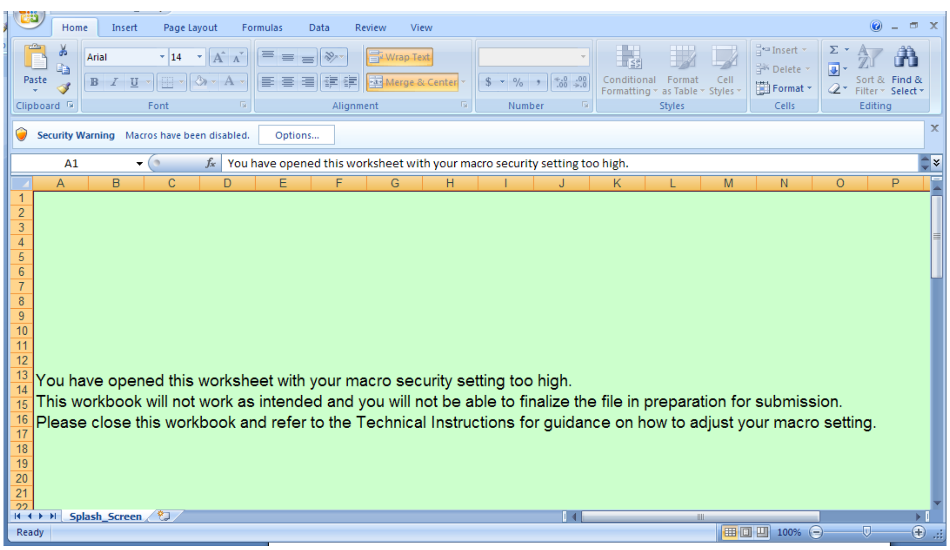


Figure 26: Excel 2007 or higher error message

9. Click on ***Options***.
10. Select the radio button for ***Enable this content .***
11. Click ***OK***.

Question 4: I have Excel 2007. When I attempted to finalize the workbook, I received a macro error message.

- The Issuer Data Entry Form uses macros to perform the built-in functions including the validation and finalization processes. See section *4.1: Set-up Considerations*.

6.2 Support

HIOS Help

For additional assistance, please call the HIOS Help Desk at 1-877-343-6507 or email them at insuranceoversight@hhs.gov.

7 Appendix A—Required Fields

Issuer General Info worksheet:

- Issuer Legal Name
- Federal EIN
- State
- Market Coverage
- Issuer Marketing Name
- Address Line 1
- City
- State
- Zip
- Do you offer Individual Market?
    - Individual website if Individual Market is covered
- Do you offer Small Group Market?
    - Small Group website if Small Group Market is covered
- If Individual Market is covered, the following fields are required:
    - Individual Market Customer Service Local Phone Number
    - Individual Market Customer Service Website Address
    - Individual Primary Data Submission Contact First Name
    - Individual Primary Data Submission Contact Last Name
    - Individual Primary Data Submission Contact Phone Number
    - Individual Primary Data Submission Contact Email Address
    - Individual Primary Data Validation Contact First Name
    - Individual Primary Data Validation Contact Last Name
    - Individual Primary Data Validation Contact Phone Number
    - Individual Primary Data Validation Contact Email Address
- If Small Group Market is covered, the following fields are required:
    - Small Group Market Customer Service Local Phone Number
    - Small Group Market Customer Service Website Address
    - Small Group Primary Data Submission Contact First Name
    - Small Group Primary Data Submission Contact Last Name
    - Small Group Primary Data Submission Contact Phone Number
    - Small Group Primary Data Submission Contact Email Address
    - Small Group Primary Data Validation Contact First Name
    - Small Group Primary Data Validation Contact Last Name
    - Small Group Primary Data Validation Contact Phone Number
    - Small Group Primary Data Validation Contact Email Address
- Individual Market – Is the Issuer rated?
- If the Individual Market offerings have been rated, the following fields are required:
    - Rating Company
    - Rating Type
    - Rating

- Small Group Market – Is the Issuer rated?
- If the Small Group Market offerings have been rated, the following fields are required:
    - Rating Company
    - Rating Type
    - Rating

Product Info Worksheet:

- Product Name
- Product Type
- Association Product
- Product Enrollment
- Individual or Small Group
- Website address (Benefit at a Glance)
- Website address (Provider Network)
- Covers whole State?
- Number of Applications Received?
- Number of Applications Denied?
- Number of Up-Rated Offers?
- Number of Administrative Disqualifiers?
- Open or Closed?
    - Closed Reason, if "Open or Closed?" is *Closed*
        - Other Closed Reason, if " Closed Reason" is *Other*
- Grandfathered Product
- Effective Start Date

8 Appendix B – Critical Errors

1. Field Validations: see Appendix A – Required Fields. The file templates will indicate missing required fields. The templates will not allow you to “Validate and Finalize” until all field validation errors have been addressed.
   Please Note: Some required field, such as conditionally required fields, omissions will not prevent an .XML file finalization and submission; however, the file submission will fail and generate an email with an error.
2. Attestation contacts cannot be any type of submission or validation contact for the same issuer. The file submission will fail and generate an email with an error.
3. If the submission user’s User ID (email address) is not an existing submission contact, the file submission will fail and generate an email with an error.
4. If the submission user’s User ID (email address) is an existing submission contact but their contact information is not listed as a continuing submission contact on the file being submitted, the file submission will fail and generate an email with an error.
5. If the XML file does not have the proper naming convention, the file submission will fail and generate an email with an error.
6. If the finalized Excel file is not in the approved naming convention, the file submission will fail and generate an email with an error.
7. Attestation CEO and Attestation CFO Contacts cannot be the same person. At least one of the attestation contacts must be completed; the other can be blank.
8. Data submission and validation contacts cannot all be the same ONE person. There must be at least two contacts for the issuer, not including the attestation contact.
9. If the number of applications received is less than the sum of the number of denials, number of up-rated offers, and number of administrative disqualifications.
10. For XML submissions, any of these validations failures will cause the file submission to fail and an email to be generated with an error:
    a. The appropriate Customer Service phone number and website are not entered for the correct market type.
    b. Contact information (first name, last name, contact phone number, and email address) for the appropriate market type.
    c. If the number of applications that were denied plus the number that were up-rated total more than the number of application received.
    d. If the Effective Start Date is before the Effective End Date.
    e. If an invalid URL format is entered into any of the website address.
    f. If an invalid email address format is entered into any of the email address fields.
    g. For Current year and quarter does not match the current year and quarter.
    h. Invalid Characters in the Address, marketing name fields and user entered fields.