

Health Insurance Oversight System (HIOS) Excel Data Submission Tool - States Technical Instructions

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Last updated April 28, 2010

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Draft Health Insurance Oversight System – Excel Data Submission Tool Technical Instructions

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1 Introduction

The Health Insurance Oversight System (HIOS) will allow the government to collect data from states and individual and small group market issuers, which will be aggregated with other data sources and made public on a consumer facing website. One mechanism for the states 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 State Data Submission Excel Tool. The State Data Submission Excel Tool consists of two worksheets that must be completed prior to submission:

- State General Info: Supports the data entry for the state's general information, primary and validation contacts.
- State Issuer & Product Info: Supports the data entry for a listing of issuers with offerings in the corresponding state, along with contact and product information for each issuer.

The Department of Health and Human Services recommends that users read this document thoroughly before using the tool.

The State Data Submission Tool 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 HHS. Finalization converts formula results in calculated fields into hard-coded values, removes formulas and other extraneous elements, and saves the file using a standard naming convention. All macro file functionalities are disabled. The finalized save process will delete or standardize some of the data in the finalized file according to specified business rules. The finalized save process will not change the data in the working file. (See Section 2.4.1.)

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2 State Data Entry Form Functions

2.1 Installation

2.1.1 Configuration Requirement

For the State Data Entry Form to work properly, you must configure your PC to satisfy the following requirements:

- Have Microsoft Excel 2003 or greater installed.
- Enable your Excel Standard Toolbar.
- For Excel 2003, set your Excel Macro Security Settings to Medium (recommended). You can do this by selecting Tools, Macro, and the Security command from your Excel menu bar.
- For Excel 2007, set your Excel Macro Security Settings to “Disable all macros with notifications.” You can do this by selecting the Office Button, Excel Options, Trust Center, Trust Center Settings, Macro Settings.
- Enable macros when you open the State Data Collection File workbook.

2.2 Opening the State Data Entry Form

2.2.1 Macro Security Level Setting

For Excel 2003

The State Data Entry form uses macros to perform the built-in functions including the validation and finalization processes.

For security purposes, it is highly recommended that the Macro Security Level Setting be set at Medium. You can do so by selecting Tools, Macro, and the Security command from the Excel menu bar. You will not be able to open the State Data Entry Form if your macro security settings are set to High or Very High.

If your Macro Security setting is set to Medium, you will be prompted to enable or disable macros when you open the workbook. You must choose “Enable macros” to correctly open the form. If you choose “Disable macros,” the workbook will display a screen stating that the macros must be enabled in order to use the form. You will have to close and then reopen the workbook to enable macros.

For Excel 2007

The State Data Entry form is supported in Excel 2007. You will be able to open and work with the HIOS files using Excel 2007’s compatibility mode. **However, you MUST save and/or**

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finalize the HIOS files in the Excel 2003 (.xls) format once you are finished. You will only be able to submit an “.xls” HIOS file.

Note: If a HIOS file is saved in the Excel 2007 (.xlsm) format, an error will occur when you attempt to reopen the file. **Please do not save the HIOS file in .xlsm format.** This applies to working files as well.

2.2.2 Commands

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

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 bring to focus the print preview screen for the user.

2.2.3 Validations

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

It is recommended that you not use Excel’s “Cut” function in the State Data Entry Form workbook as it will remove the cell’s predefined formatting.

2.2.4 Critical Validations

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.

2.3 Circle Invalid

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

2.3.1 Printing the file

You must use the standard excel Print function to print the State Data Entry Form.

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2.3.2 Save Functions

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

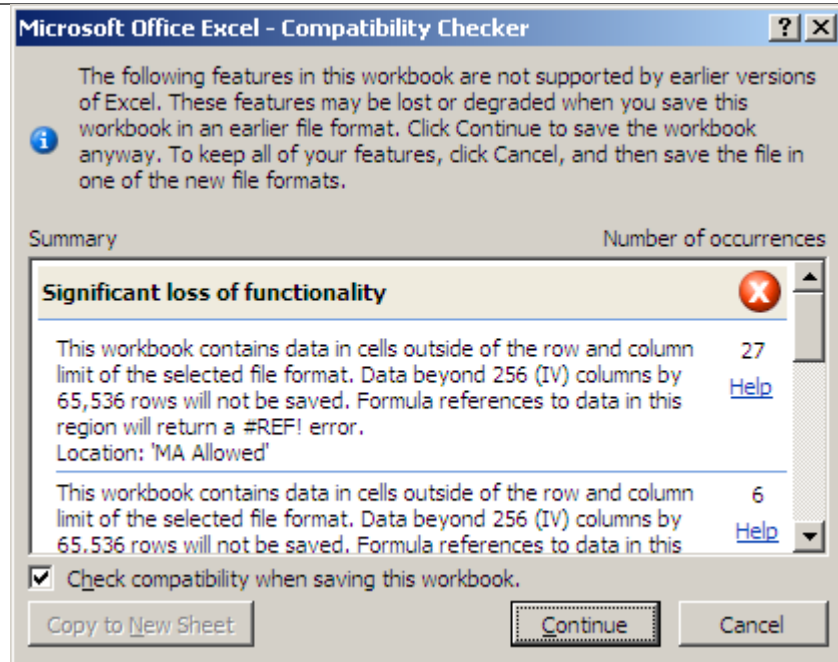
A non-finalized save can be invoked by clicking on the Excel Save icon on the Excel Standard Toolbar or by selecting File and then Save from the Excel menu. This save process will save any changes you have made to the workbook.

A finalized save occurs when the “Finalize and Validate” function is invoked. (See Section 2.4, “Finalizing the State Data Entry Form for Submission.”) This step is taken when the workbook is complete and ready for submission.

Note: after clicking “Save” or “Finalize and Validate Form,” the following message may appear:

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Uncheck the box “Check compatibility when saving this workbook” and click “Continue.” The popup will not appear next time you save a form.

2.4 Finalizing the State Data Entry Form for Submission

To trigger the finalization process, click on the Validate and 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.

2.4.1 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 B (“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 Appendix A (“Critical Validation Fields”). 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.

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- o Red circles will display for cells that do not pass validation rules. Note: You will be able to finalize the file if the red circled cell is not one of the critical errors. A list of critical validations for is included in Appendix A, “Critical Errors.”

2.4.2 File Naming Convention

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

Final_<state abbreviation><year><month><day><Hour><Min><Sec>_<original name>. xls

Use of this naming convention is a requirement for a successful submission.

Example: Final_VA20100427130426_State Data Entry Form.xls

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

The working file name can be changed at any time. The finalized forms are read-only files. If you need to make additional changes prior to submission, modify the working file and finalize the file again.

2.5 Closing the file

When closing the file it is highly recommended that you save all current changes.

2.6 Password Protection

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

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3 Troubleshooting and FAQ

3.1 FAQ's

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

1. Click the Microsoft Office Button , and then click Excel Options.
2. Click Trust Center, click Trust Center Settings, and then click Message Bar.
3. Click the first radio button below:
 - Show the Message Bar in all applications when document content has been blocked. This option is selected by default so that you get Message Bar alerts whenever potentially unsafe content has been disabled. The option is not selected if you clicked the Disable all macros without notification option on the Macros pane of the Trust Center. If you click Disable all macros without notification, you won't get Message Bar alerts when macros are disabled.
 - Never show information about blocked content. this option disables the Message Bar.

3.2 Support

HIOS Help

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

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4 Appendix A— Critical Errors

4.1 State Data Critical Errors and Related Error Messages

These errors will prevent successful finalization.

1. State Data General Info, E3, State Name
 - a. Display error message if this field is blank.
 - b. Error Message: A State must be selected from the drop down menu in Worksheet 1 E3.
2. State Data General Info ,E4,,Underwriting Status
 - a. Display error message if this field is blank.
 - b. Error Message: Yes or No must be selected from the drop down menu in Worksheet 1 E4.
3. State Data General Info ,E6, State has interactive tool for small group market
 - a. Display error message if this field is blank.
 - b. Error Message: Yes or No must be selected from the drop down menu in Worksheet 1 E6.
4. State Data General Info ,E7,State website for small group
 - a. Display error message if this cell is blank.
 - b. Error Message: A valid website address must be entered in Worksheet 1 E7.
5. State Data General Info ,E9,State has interactive tool for individual market,
 - a. Display error message if field is blank.
 - b. Error Message: A value must be selected from the drop down menu in Worksheet 1 E9
6. State Data General Info ,E10,State website for individual market
 - a. Display error message if this cell is blank.
 - b. Error Message: A valid website address must be entered in Worksheet 1 E10.
7. State Data General Info ,D14,Primary Contact Name
 - a. Display error message if cell is blank.
 - b. Error message: The primary contact name for State Data Submission must be entered in Worksheet 1 D14.
8. State Data General Info ,D15,Contact Phone Number
 - a. Display the error message if the cell is blank.
 - b. Error message: The primary phone number must be entered in worksheet 1 D15.
9. State Data General Info ,D16, Primary Contact email
 - a. Display error message if cell is blank.
 - b. Error Message: A valid primary contact email address must be entered for State Data Submission primary in worksheet 1 D16
10. State Data General Info ,D25, Primary Contact name
 - a. Display error mesasge is cell is blank.
 - b. Error message: A primary contact name must be entered in worksheet 1 D25.
11. State Data General Info ,D26, Primary Contact Phone Number
 - a. Display error message if cell is blank.

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- b. Error message: A primary contact phone number must be entered in worksheet 1 D26
- 12. State Data General Info , D27, Primary Contact email
 - a. Display error message if cell is blank.
 - b. Error message: A primary contact email must be entered in Worksheet 1 D27.
- 13. State Data Issuer & Product Info, B5, Issuer Name
 - a. Display error message if cell is blank.
 - b. Error message: An issuer name must be entered in Worksheet 2 B5.
- 14. State Data & Product Info, C5, Individual/Small Group
 - c. Display error message if value entered is not one of the options in the drop down menu.
 - d. Error message: An option from the drop down menu must be selected in Worksheet 2 C5.
- 15. State Data Issuer & Product Info, E5, Submission Contact Phone Number
 - e. Display error message if cell is blank.
 - f. Error message: A submission contact phone number must be entered in worksheet 2 E5.
- 16. State Data & Product Info, F5, Submission Contact email.
 - g. Display error message if cell is blank.
 - h. Error message: A submission contact email must be entered in worksheet 2 F5.
- 17. State Data & Product Info, G5, Customer Service Contact Phone Number for Consumer
 - i. Display error message if cell is blank.
 - j. Error message: A Customer Service Contact Phone Number contact phone number must be entered in worksheet 2 G5.
- 18. State Data & Product Info, H5, Fee-for-service
 - k. Display error message if cell is blank.
 - l. Error message: Enter the number of products offered for the specific product type. Enter '0' if no product is offered. Worksheet 2 H5
- 19. State Data & Product Info, I5, HMO
 - m. Display error message if cell is blank.
 - n. Error message: Enter the number of products offered for the specific product type. Enter '0' if no product is offered. Worksheet 2 I5
- 20. State Data & Product Info, J5, PPO
 - o. Display error message if cell is blank.
 - p. Error message: Enter the number of products offered for the specific product type. Enter '0' if no product is offered. Worksheet 2 J5
- 21. State Data & Product Info, K5, EPO
 - q. Display error message if cell is blank.
 - r. Error message: Enter the number of products offered for the specific product type. Enter '0' if no product is offered. Worksheet 2 K5
- 22. State Data & Product Info, L5, POS
 - s. Display error message if cell is blank.
 - t. Error message: Enter the number of products offered for the specific product type. Enter '0' if no product is offered. Worksheet 2 L5

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- 23. State Data & Product Info, M5, Other/Describe
 - u. Display error message if cell is blank.
 - a. Error message: Enter the number of products offered for the specific product type.
Enter '0' if no product is offered. Worksheet 2 M5

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5 Appendix B—Required Fields

- State Issuer & Product Info: Issuer Name, Individual/Small Group, Submission Contact Name, Submission Contact Phone Number, Submission contact Email, Fee-for-Service, HMO, PPO, EPO, POS, Other
- State General Info: General Info Box, Primary contact name, phone number, and email. Validation Contact name, phone number, and email
- Issuer General Info: Issuer name, Federal EIN, state, Market Coverage, Address line, City, Zip, Local number, Website address, email, Name, Phone number, Is issuer rated, rating company, rating type, rating.
- Product Info: Product name, Product type, Product enrollment, Individual or small group, Website address, Covers whole state, Phase 2.
- Geographic Coverage: Cross Reference and Zip code.

OMB Control Number: 0938-1086

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Worksheet 1 - State General and Contact Information**1. General Information**

1). State Name:	
2). Underwriting Status:	
3a). Does your State have an interactive health plan comparison tool for the Small Group market?	
3b). Enter the Website address for the Small Group market comparison tool that includes benefits and prices for discrete plans; or enter the State website address if "No" is entered above.	
4a). Does your State have an interactive health plan comparison tool that includes benefits and prices for discrete plans for the Individual market?	
4b). Enter the Website address for the Individual market; or enter the State website address if "No" is entered above.	

2. State Data Submission Contacts**Primary Contact**

Name:		Extension:	
Phone Number:			
Email:			

Backup Contact

Name:		Extension:	
Phone Number:			
Email:			

3. State Data Submission Validation Contacts**Primary Contact**

Name:		Extension:	
Phone Number:			
Email:			

Backup Contact

Name:		Extension:	
Phone Number:			
Email:			

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State List

AL
AK
AZ
AR
CA
CO
CT
DE
DC
FL
GA
HI
ID
IL
IN
IA
KS
KY
LA
ME
MD
MA
MI
MN
MS
MO
MT
NE
NV
NH
NJ
NM
NY
NC
ND
OH
OK
OR
PA
RI
SC
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TN
TX
UT
VT
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WA
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Underwriting Status

Yes

No

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Worksheet 2 - Issuer and Product Information

[illegible]