

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

<DHHS/IClIO Logo>

**Last updated April 28, 2010**

## **PRA Disclosure Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is **0938-1086**. The time required to complete this information collection is estimated to average ( **30.32 hours**) or ( **1,819.2 minutes**) per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: CMS, 7500 Security Boulevard, Attn: PRA Reports Clearance Officer, Mail Stop C4-26-05, Baltimore, Maryland 21244-1850.

---

## Table of Contents

1	Introduction .....	2
2	Issuer Data Entry Form Functions .....	3
2.1	Installation .....	3
2.2	Opening the Issuer Data Entry Form .....	3
2.3	Circle Invalid .....	4
2.4	Finalizing the Issuer Data Entry Form for submission .....	6
2.5	Closing the file .....	6
2.6	Password Protection .....	7
3	Troubleshooting and FAQ .....	8
3.1	FAQ's .....	8
3.2	Support .....	8
4	Appendix A— Critical Errors .....	9
4.1	Issuer Data Critical Errors and Related Error Messages .....	9
5	Appendix B—Required Fields .....	14

DRAFT

---

## 1 Introduction

The Health Insurance Oversight System (HIOS) functionality 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 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 using the HIOS Issuer Data Submission Excel Tool. The Issuer Data Submission Excel Tool consists of three worksheets that must be completed prior to submission:

- Issuer General Info: Supports the data entry for corporate information, corporate address, contact information, and ratings.
- Product Info: Supports the data entry for all product offerings on behalf of the issuers. The data to be entered includes Product Name, Enrollment Number, Product Type, Product Enrollment, Individual or Small Group, Website Address, Geographic Coverage and whether the product has been opted out of Phase 2.
- Geographic Coverage: Supports the data entry for specific zip codes when a product is only offered in a subset of the state.

DHHS recommends that users read this document thoroughly before using the tool.

The Issuer Data Submission File 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.)

---

## 2 Issuer Data Entry Form Functions

### 2.1 Installation

#### 2.1.1 Configuration Requirement

---

For the Issuer 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 Issuer data Collection File workbook.

### 2.2 Opening the Issuer Data Entry Form

#### 2.2.1 Macro Security Level Setting

---

##### **For Excel 2003**

The Issuer 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 Issuer 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 Issuer 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 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 Issuer 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

---

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

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

Note: You should use the Delete key instead of the Space bar to delete cell values from a cell.

## 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 Issuer Data Entry Form.

### 2.3.2 Save Functions

---

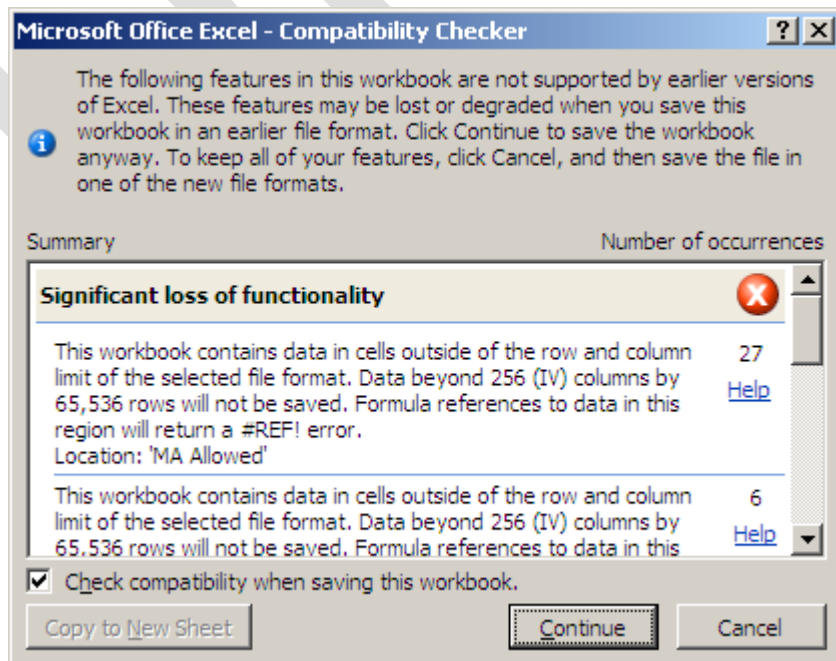
There are two save processes available within the Issuer Data Entry form: a non-finalized and a finalized save.

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 you have made to the workbook.

A finalized save occurs when the “Finalize and Validate” function is invoked. (See Section 2.4, “Finalizing the Issuer 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:

:



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 Issuer 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.
  - 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 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

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

Example: Final\_BlueCross\_VA\_20100427130426\_Issuer 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 Issuer 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.

Draft




---

## 3 Troubleshooting and FAQ

### 3.1 FAQ's

---

**Question 1:** I am trying to open Issuer 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 at [insuranceoversight@hhs.gov](mailto:insuranceoversight@hhs.gov).

---

## 4 Appendix A— Critical Errors

### 4.1 Issuer Data Critical Errors and Related Error Messages

---

These errors will prevent successful finalization.

1. Issuer General Info, C3, Issuer Name
  - a. Display error message if cell is blank.
  - b. Error message: An issuer name must be entered in Worksheet 1 C3
2. Issuer General Info, C4, Federal EIN
  - a. Display error message if cell is blank.
  - b. Error message: A federal EIN number must be entered in Worksheet 1 C4
3. Issuer General Info, C8, Address Line 1
  - a. Display error message if cell is blank.
  - b. Error message: An address must be entered in Worksheet 1 C8
4. Issuer General Info, C10, Issuer City
  - a. Display error message if cell is blank.
  - b. Error message: A city name less than 50 characters must be entered in worksheet 1 C10
5. Issuer General Info, C11, Issuer state
  - a. Display error message if the value entered is not one of the States in the list.
  - b. Error message: A State must be selected from the drop down menu in Worksheet 1 C11
6. Issuer General Info, C12, Issuer Zipcode
  - a. Display error message if cell is blank.
  - b. Error message: A Zip Code must be entered in Worksheet 1 C12
7. Issuer General Info, C15, Individual Market
  - a. Display error message if the value entered is not one of the options in the drop down.
  - b. Error Message: A value must be selected from the drop down menu in Worksheet 1 C15.
8. Issuer General Info, C16, Website for Individual Market
  - a. Display error message if this cell is blank and Yes is entered in C15.
  - b. Error Message: A valid Website must be entered in Worksheet 1 C16 if individual market is offered.
9. Issuer General Info, C17, Small Group Market
  - a. Display error message if the value entered is not one of the options in the drop down
  - b. Error Message: A value must be selected from the drop down menu in Worksheet 1 C17.
10. Issuer General Info, C18, Website for Small group market
  - a. Display error message if this cell is blank and Yes is entered in C17.
  - b. Error Message: A valid Website must be entered in Worksheet 1 C18 if Small Group is offered.
11. Issuer General Info, C21, Customer Service Local number
  - a. Display error message if cell is blank.

- 
- b. Error message: A Customer Service Local Number must be entered in Worksheet 1 C21
12. Issuer General Info, C24, Customer Service Website Address
    - a. Display error message if cell is blank.
    - b. Error Message: A valid Website must be entered in Worksheet 1 C24
  13. Issuer General Info, C28, Data Submission/Individual Market Primary Contact Name
    - a. Display error message if cell is blank.
    - b. Error message: A contact name must be entered in Worksheet 1 C28
  14. Issuer General Info, C29, Data Submission/Individual Market Primary Contact Phone Number
    - a. Display error message if cell is blank.
    - b. Error message: A Phone Number must be entered in Worksheet 1 C29
  15. Issuer General Info, C30, Data Submission/Individual Market Primary Contact email
    - a. Display error message if cell is blank.
    - b. Error message: A valid email address must be entered in Worksheet 1 C30
  16. Issuer General Info, C39, Issuer Data Submission Validation/Individual Market Primary Contact Name
    - a. Display error message if cell is blank.
    - b. Error message: A Issuer Data Submission Validation contact name must be entered in Worksheet 1 C39
  17. Issuer General Info, C40, Issuer Data Submission Validation/Individual Market Primary Phone Number
    - a. Display error message if cell is blank.
    - b. Error message: A Phone Number must be entered in Worksheet 1 C41
  18. Issuer General Info, C41, Issuer Data Submission Validation/Individual Market Primary email
    - a. Display error message if cell is blank.
    - b. Error message: A valid email address must be entered in Worksheet 1 C42
  19. Issuer General Info, C50, Data Submission/Small Group Market Primary Contact Name
    - a. Display error message if cell is blank.
    - b. Error message: A contact name must be entered in Worksheet 1 C50
  20. Issuer General Info, C51, Data Submission/Small Group Market Primary Phone Number
    - a. Display error message if cell is blank
    - b. Error message: A Phone Number must be entered in Worksheet 1 C51
  21. Issuer General Info, C52, Data Submission/Small Group Market Primary Email
    - a. Display error message if cell is blank.
    - b. Error message: A valid email address must be entered in Worksheet 1 C52
  22. Issuer General Info, C61, Issuer Data Submission Validation Contact/Small Group Market Primary Contact Name
    - a. Display error message if cell is blank.
    - b. Error message: A contact name must be entered in Worksheet 1 C61
  23. Issuer General Info, C62, Issuer Data Submission Validation Contact/Small Group Market Primary Phone Number
    - a. Display error message if cell is blank.
    - b. Error message: A Phone Number must be entered in Worksheet 1 C62

- 
24. Issuer General Info, C63, Issuer Data Submission Validation Contact/Small Group Market Primary Email
    - a. Display error message if cell is blank.
    - b. Error message: A valid email address must be entered in Worksheet 1 C63
  25. Issuer General Info, C71, Issuer Rating for Individual Market
    - a. Display error message if the value entered is not one of the options in the drop down.
    - b. Error Message: Yes or No must be selected from the drop down menu in Worksheet 1 C71.
  26. Issuer General Info, B73, Rating Company
    - a. Display error message if this field is blank, and Yes is entered in W3 C71.
    - b. Error message: A rating company must be entered in Worksheet 1 B73 if the company has been rated in the past 2 years.
  27. Issuer General Info, C73, Rating type
    - a. Display error message if this field is blank and Rating company is entered in Worksheet 1 B73.
    - b. Error message: A rating type must be entered in Worksheet 1 C73 if Rating company is entered.
  28. Issuer General Info, D73, Rating
    - a. Display error message if this field is blank and Rating company is entered in Worksheet 1 B73.
    - b. Error message: A rating must be entered in Worksheet 1 D73 if Rating company is entered in W3 B73.
  29. Issuer General Info, C80, Issuer Rating for Small Group Market
    - a. Display error message if the value entered is not one of the options in the drop down.
    - b. Error Message: Yes or No must be selected from the drop down menu in Worksheet 1 C80.
  30. Issuer General Info, B82, Rating Company
    - a. Display error message if this field is blank, and Yes is entered in Worksheet 1 C80.
    - b. Error message: A rating company must be entered in Worksheet 1 B82 if the company has been rated in the past 2 years.
  31. Issuer General Info, C82, Rating type
    - a. Display error message if this field is blank and Rating company is entered in Worksheet 1 B82.
    - b. Error message: A rating type must be entered in Worksheet 1 C82 if Rating company is entered.
  32. Issuer General Info, D82, Rating
    - a. Display error message if this field is blank and Rating company is entered in Worksheet 1 B80.
    - b. Error message: A rating must be entered in Worksheet 1 D73 if Rating company is entered in W3 D82.
  33. Issuer General Info, E3, State
    - a. Display error message if this field is blank.
    - b. Error message: A State must be selected on Worksheet 1 E3.

- 
34. Issuer General Info, E4, Market Coverage
    - a. Display error message if this field is blank.
    - b. Error message: A Market coverage value must be selected on Worksheet 1 E4.
  35. Product Info,C3,Product Name
    - a. Display error message if cell is blank
    - b. Error message: A Product Name must be entered in Worksheet 2 C3.
  36. Product Info,E3, Product Type
    - a. Display error message if the this field is blank.
    - a. Error Message: A value must be entered in Worksheet 2 E3.
  37. Product Info, F3, Other Product Type description
    - a. Display error message if this field is blank and Other is selected in cell E3 Product Type.
    - b. Error Message: Other Product Type description is required if Other product type is selected.
  38. Product Info,G3, Product Enrollment
    - a. Display error message if cell is blank
    - b. Error message: Product Enrollment must be entered in Worksheet 2 F3.
  39. Product Info,H3, Individual/small Group
    - a. Display error message if blank.
    - b. Error Message: A value must be selected from the drop down menu in Worksheet 2 G3.
  40. Product Info,J3, Website Address Benefit
    - a. Display error message if cell is blank.
    - b. Error message: Product information worksheet Website Address Benefit in Worksheet 2 H3 is required.
  41. Product Info,K3, Website Address Provider Network
    - a. Display error message if cell is blank
    - b. Error message: Product Information worksheet Website Address for Provider Network in Worksheet 2 J3 is required.
  42. Product Info,L3, Covers Whole State
    - a. Display error message if this field is blank.
    - b. Error Message: A value must be selected from the drop down menu in Worksheet 2 K3.
  43. Product Info,M3, Short Term Limited
    - a. Display error message if this field is blank.
    - b. Error Message: A value must be selected from the drop down menu in Worksheet 2 L3.
  44. Geographic Coverage,B Column , Cross Reference
    - a. Display error message if a Product does not cover a whole state, there must be a matching Cross Reference number found in this column for that Product.
    - b. Error message: A matching cross reference must be entered in Worksheet 3 B3 a product does not cover whole State.
  45. Geographic Coverage,C column, Zip Code
    - a. Display error message if a Cross Reference number is entered, this field is required.

- 
- b. Error message: A Zip code must be entered in Worksheet 3 C3 if a cross reference number is entered in column B.

Draft

---

## 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.

Draft

OMB Control Number: 0938-1086

### **PRA Disclosure Statement**

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0938-1086. The time required to complete this information collection is estimated to average ( 30.32 hours) or (1,819.2 minutes) per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: CMS, 7500 Security Boulevard, Attn: PRA Reports Clearance Officer, Mail Stop C4-26-05, Baltimore, Maryland 21244-1850.



**Worksheet 1 - Issuer General Information**

**1. Corporate Information**

Issuer Name:		State		Issuer ID	
Federal EIN:		Market Coverage			
NAIC Company Code		NAIC Group Code			

**2. Address**

Address Line 1:		
Address Line 2:		
City:		
State:		
Zip:		
	4 digit	

**3. Individual and Small Group Market**

1). Do you offer Individual market?	
2). Enter the web address for the Individual Market website if Yes is entered in question above.	
3). Do you offer Small Group market?	
4). Enter the web address for the Individual Market website if Yes is entered in question above.	

**4. Customer Service (Individual Market) or Employee Group (Small Group Market) Contact**

Local Number:		Extension:	
Toll Free Number			
TTY:			
Website Address			

**5. Data Submission Contact - Individual Market**

**Primary Contact**

Name:		Extension:	
Phone Number:			
Email:			

**Backup Contact**

Name:	
-------	--

Phone Number:		Extension:	
Email:			

**6. Issuer Data Submission Validation Contact - Individual Market**

**Primary Contact**

Name:		Extension:	
Phone Number:			
Email:			

**Backup Contact**

Name:		Extension:	
Phone Number:			
Email:			

**7. Data Submission Contact - Small Group Market**

**Primary Contact**

Name:		Extension:	
Phone Number:			
Email:			

**Backup Contact**

Name:		Extension:	
Phone Number:			
Email:			

**8. Issuer Data Submission Validation Contact - Small Group Market**

**Primary Contact**

Name:		Extension:	
Phone Number:			
Email:			

**Backup Contact**

Name:		Extension:	
Phone Number:			
Email:			

**9. Ratings- Individual Market**

Is Issuer rated by any rating company	
---------------------------------------	--

Rating Company (rated in the past 2 years)	Rating Type	Rating

**10. Ratings- Small Group Market**

Is Issuer rated by any rating company		
Rating Company (rated in the past 2 years)	Rating Type	Rating

Draft



