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



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 (10.17 hours) or (609.6 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.

Last updated May 5, 2010

Table of Contents

1	Introduction	2
2	State Data Entry Form Functions	3
2.1	1 Submission Requirements	3
2.2	2 How to Open the State Form Workbook	3
2.3	3 Circle Invalid	6
2.4	Finalizing the State Data Entry Form for Submission	8
2.5	5 Closing the file	9
2.6	6 Password Protection	9
3	Tips for Entering Data	10
3.1	1 State General Info Tab	10
3.2	2 State Issuer & Product Info Tab	13
4	Troubleshooting and FAQ	17
4.1	1 FAQ's	17
4.2	2 Submission Information	17
4.3	3 Support	17
5	Appendix A— Critical Errors	18
5.1	State Data Critical Errors and Related Error Messages	18
6	Appendix B—Required Fields	20

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 initial 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 Office of Consumer Information & Insurance Oversight (OCIIO), a division of HHS, 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.)

2 State Data Entry Form Functions

2.1 Submission Requirements

2.1.1 Initial 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. *

* Macros from un-trusted sources could potentially contain malicious code. If your macro settings are configured as stated above, you will be able to select which macros are safe and therefore should be enabled. The following section details how to enable these macros so that you can successfully use the State Form.

- 2.2 How to Open the State Form Workbook
- 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.

If your Macro Security setting is set to Medium (as recommended above), 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.

If your macro settings are set to High or Very High, the workbook will not be functional. A static screen will display indicating that you must update your macro settings.

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**

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.

If you try to save in Excel 2007 (.xlsx) you will get the following error. If you select yes it will make the workbook inoperable.

Microsoft Office Excel							
	The following features cannot be saved in macro-free workbooks: • VB project						
$\mathbf{\Psi}$	To save a file with these features, click No, and then choose a macro-enabled file type in the File Type list.						
	To continue saving as a macro-free workbook, click Yes.						
	Yes No Help						

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.

If your Macro Security setting is set to "Disable all macros with notification" (as recommended above), the workbook will open and you will see the following message above the worksheet: "Security Warnings. Macros have been disabled." – followed by an 'Options...' button (as seen in the screen shot below). You must click the 'Options...' button and select "Enable this content" to continue working with the file.

G						Stat	e Data Entry	Form.xls [Co	mpatibility N	lode] - Micro	osoft Excel
<u> </u>	Home Insert Page Layout Formulas Data Review View										
Pas	I Format Painter	• 10 • A A		rrap Text erge & Center ~ \$ ~ % *		Conditional Formatting	Format as Table *				
	Clipboard 🕞 I	Font 💿	Alignment	Numbe	r 🖻			Styles			
)	Security Warning Macros have been disabled. Options										
	А В С	D	E	F	G	Н		J	К	L	М
7	3b). Enter the Website address for the S comparison tool that includes benefits an plans; or enter the State website addres	d prices for discrete									
9	4a). Does your State have an interactive tool that includes benefits and prices for Individual market?										
10 11	4b). Enter the Website address for the In the State website address if "No" is enter										
12	2. State Data Submission Contacts										
13	Primary Contact										
14 15 16	First Name:		Last Name								
15	Phone Number:		Extension:								
16	Email:										
17											
18	Backup Contact										
19 20 21	First Name		Last Name								
20	Phone Number:		Extension:								
21	Email:										
22											
23	3. State Data Submission Validation	Contacts									
24	Primary Contact										
25	Name:		Last Name		Į						
26	Phone Number:		Extension:	*	1						

curity Warning Macros have been	disabled. Options										
F26 •	f _x *										
B C	D	E		F	G H	1	J	K	L	М	N
b). Enter the Website address for the comparison tool that includes benefits plans; or enter the State website addr	and prices for discrete										
a). Does your State have an interact ool that includes benefits and prices t ndividual market?											
b). Enter the Website address for the he State website address if "No" is e					Microsoft Off	ice Security Op	tions				2
					Plicrosoft on	ice security of	licitis				
. State Data Submission Contact	•				- 🧀 s	ecurity Aler	t - Macro				
Primary Contact					93	ecurity Alei	t - Macru	,			
irst Name:		Last Name			Macro						
Phone Number:		Extension:				ave been disable	d. Macros mic	ht contain vin	uses or other s	security haza	ards. D
mail:					not enab	le this content ur	nless you trus	t the source o	f this file.		
					Warnin	g: It is not pos	sible to dete	ermine that	this content	came fron	na
Backup Contact						orthy source. Y					he
irst Name		Last Name			_	t provides criti	cal function	ality and yo	u trust its so	urce.	
hone Number:		Extension:			More inf	ormation					
imail:					File Path	: C:\ttings\aa	adriank\Deskto	op/CMS/Forms	for test\State	e Data Entry	Form.)
. State Data Submission Validatio	n Contacta				O Hel	p protect me from	n unknown cor	ntent (recomm	ended)		
rimary Contact	incontacts				Enz	ble this content					
lame:		Last Name				bie and conterne					
hone Number:		Extension:	*		-						
mail:		LAtension.			-						
				Optional	-						
Backup Contact				Data Validation Primary Contact -	-						
lame:		Last Name		An extension with	-						
		Extension:		less than 6 digits	-						
		Extension.		may be entered.	-						
hone Number:					Open the Trus	t Cantar			OK		Cancel
											-
hone Number:					open die ma	in our de				2	

If the current security setting is set to "Disable all macros except digitally signed macros" or "Disable all macros without notifications", the workbook will not be functional (i.e. you will not be able to validate and finalize).

You will be able to open and work with multiple State Data Entry Forms in the same Excel 2007 instance. But if you want to close a file and open another one, you should also close Excel and open the next file in a new instance of Excel. There are known issues related to Excel 2007 when you open a file in an existing Excel instance. If you encounter any issues when opening a State Data Entry form, then close Excel, go to Task Manager, delete any other Excel processes, then open a new State Data Entry file in a new Excel window.

Note: After completion of the workbook it is suggested that if you had to change your default macro settings for this workbook that you change them back to your original macro settings.

2.2.2 Commands

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

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.

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 opening the worksheet, red circles will surround cells that do not pass specific validation rules. Once the data has been entered and has passed the validation rules, the red circles will disappear.

It is strongly recommended that you correct all red circle validations prior to finalizing your workbook. Not all red circle validations are checked in the finalization process thus it is possible that you finalize your file with data errors. These data errors will be caught when the file is being processed and will be returned to you for correction.

It is highly recommended that you use the "Validate" function prior to the "Validate and Finalize" function. You should only trigger the "Validate and Finalize" if no red circle validations have failed.

Note: If you enter invalid information into a cell with validation rules and attempt to exit the cell, you will receive the error below. Please click the 'Cancel' button to continue working and enter/select a valid value for the cell.

Microsoft Office Excel
The value you entered is not valid. A user has restricted values that can be entered into this cell.
Retry Cancel Help

2.3.1 Printing the file

You have two options for printing the State Data Entry form. You may use the standard excel Print function to print or you may click on the Format & Print Preview button within each worksheet.

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 & Validate Form," the following message may appear:

Microsoft Office Excel - Compatibility Checker	? ×					
 The following features in this workbook are not supported by earlier versions of Excel. These features may be lost or degraded when you save this workbook in an earlier file format. Click Continue to save the workbook anyway. To keep all of your features, click Cancel, and then save the file in one of the new file formats. 						
Summary Number of	occurrences					
Significant loss of functionality	0					
This workbook contains data in cells outside of the row and column limit of the selected file format. Data beyond 256 (IV) columns by 65,536 rows will not be saved. Formula references to data in this region will return a #REF! error. Location: 'MA Allowed'	27 <u>Help</u>					
This workbook contains data in cells outside of the row and column limit of the selected file format. Data beyond 256 (IV) columns by 65.536 rows will not be saved. Formula references to data in this	6 <u>Help</u>					
Check compatibility when saving this workbook. Copy to New Sheet	Cancel					

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 & 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.

As stated in Section 2.3, it is highly recommended that you correct all red circle validations prior to triggering the finalization process.

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:
 - o All worksheets will display as read only in the finalized file.

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

<u>Use of this naming convention is a requirement for a successful submission. If you modify</u> the name of the finalized file, it will not be processed.

Example: Final_VA20100427130426_State Data Entry Form.xls

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

Note: Original name refers to the name of the working file. There is not a requirement for how the working file must be named and it will not impact the processing of the finalized file.

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. Remember that the naming convention mentioned above, which is used for the finalized file, is required for submission.

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.

3 Tips for Entering Data

Note: Please verify that all of the Submission Requirements specified in section 2.1 have been met before continuing with this section.

This section will provide information on how to enter data into each required cell within the workbook.

3.1 State General Info Tab

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

Cell Location	Data	Valid Valies
E3	State Name	Select a value from the drop
		down list. Do not type in a state
		name.
E4	Underwriting Status	Select Yes or No from the drop
		down. Do not type in a value.
E6	Does your state have a	Select Yes or No from the drop
	comparison tool for the Small Group Market?	down. Do not type in a value.
E7	Website address for	If you answered Yes to E6, enter
	comparative tool or state	the full website address for the
	address.	comparative tool (e.g.
		www.comparative_tool.gov). If
		you answered No to E6, enter
		your full state website address
		(e.g. www.state.us.gov).
E9	Does your state have a	Select Yes or No from the drop
	comparison tool for the	down. Do not type in a value.
D10	Individual Market?	
E10	Website address for	If you answered Yes to E9, enter
	comparative tool or state address.	the full website address for the
	address.	comparative tool (e.g. www.comparative_tool.gov) . If
		you answered No to E9, enter
		your full state website address
		(e.g. www.state.us.gov).
D14	Primary State Data	Enter the first name of the
	Submission Contact First	individual who is the primary
	Name	contact for the submission of this
		data. The system allows up to 40
		characters.

Health Insurance Oversight System – Excel Data Submission Tool
Technical Instructions

F14Primary State Data Submission Contact Last NameEnter the last individual with contact for the data. The system	alid Valies t name of the tho is the primary the submission of this stem allows up to 40
Submission Contact Lastindividual with contact for the data. The system	he submission of this
Name contact for the data. The system	he submission of this
	stem allows up to 40
	_
characters.	
	one number for the
	ho is the primary
	he submission of this
	stem allows up to 15
characters.	1
F15 Primary State Data Enter the pho	
	r the individual who
1	y contact for the of this data. The
submission c system allow	
	THIS FIELD IS
OPTIONAL	
	ail address for the
	ho is the primary
	he submission of this
data. Please	make sure to include
the full emai	l address (e.g.
	<u>m</u>). The system will
	the @ is part of the
address.	
1	st name of the
	ho is the back up
	he submission of this
data. The system characters.	stem allows up to 40
	t name of the
-	ho is the back up
	he submission of this
	stem allows up to 40
characters.	to to to
	one number for the
	ho is the back up
	he submission of this
data. The sys	stem allows up to 15
characters.	*

Cell Location	Data	Valid Valies
F20	Back Up Data Submission	Enter the phone number
	Contact Phone Number	extension for the individual who
	Extension	is the back up contact for the
		submission of this data. The
		system allows up to 15
		characters. THIS FIELD IS
		OPTIONAL.
D21	Back Up State Data	Enter the email address for the
	Submission Contact Email	individual who is the back up
	Address	contact for the submission of this
		data. Please make sure to include
		the full email address (e.g.
		test@test.com). The system will
		validate that the @ is part of the
D25		address.
D25	Primary State Data Validation	Enter the first name of the
	Contact First Name	individual who is the primary contact for the validation of this
		data. The system allows up to 40 characters.
F25	Primary State Data Validation	Enter the last name of the
1 25	Contact Last Name	individual who is the primary
		contact for the validation of this
		data. The system allows up to 40
		characters.
D26	Primary State Data Validation	Enter the phone number for the
	Contact Phone Number	individual who is the primary
		contact for the validation of this
		data. The system allows up to 15
		characters.
F26	Primary State Data Validation	Enter the phone number
	Contact Phone Number	extension for the individual who
	Extension	is the primary contact for the
		validation of this data. The
		system allows up to 15
		characters. THIS FIELD IS
		OPTIONAL.

Cell Location	Data	Valid Valies
D27	Primary State Data Validation	Enter the email address for the
	Contact Email Address	individual who is the primary
		contact for the validation of this
		data. Please make sure to include
		the full email address (e.g.
		test@test.com). The system will
		validate that the @ is part of the
		address.
D30	Back Up State Data Validation	Enter the first name of the
	Contact First Name	individual who is the back up
		contact for the validation of this
		data. The system allows up to 40
720		characters.
F30	Back Up State Data Validation	Enter the last name of the
	Contact Last Name	individual who is the back up
		contact for the validation of this
		data. The system allows up to 40
D21		characters.
D31	Back Up State Data Validation	Enter the phone number for the
	Contact Phone Number	individual who is the back up contact for the validation of this
		data. The system allows up to 15 characters.
F31	Back Up State Data Validation	Enter the phone number
1.51	Contact Phone Number	extension for the individual who
	Extension	is the back up contact for the
		validation of this data. The
		system allows up to 15
		characters. THIS FIELD IS
		OPTIONAL.
D32	Back Up State Data Validation	Enter the email address for the
	Contact Email Address	individual who is the back up
		contact for the validation of this
		data. Please make sure to include
		the full email address (e.g.
		test@test.com). The system will
		validate that the @ is part of the
		address.

3.2 State Issuer & Product Info Tab

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

On this worksheet you will include one row for each Issuer/Market with offerings within your state. If an Issuer has offerings in both the Individual and Small Group markets, you must create two rows fir this issuer.

Cell Location	Data	Valid Valies
B5	Issuer Name	Enter the name of the Insurance
		Issuer.
C5	Individual/Small Group	Select Individual or Small
		Group from the drop down. Do
		not type in a value.
D5	Issuer Data Submission	Enter the name of the individual
	Contact Name	who is your point of contact at
		the Issuer organization. The
		system allows up to 40
		characters.
E5	Issuer Data Submission	Enter the phone number for the
	Contact Phone Number	individual who is your point of
		contact at the issuer organization.
		The system allows up to 15
		characters.
F5	Issuer Data Submission	Enter the email address for the
	Contact Email Address	individual who is your point of
		contact at the issuer organization.
		Please make sure to include the
		full email address (e.g.
		test@test.com). The system will
		validate that the @ is part of the
		address.
G5	Customer Service Contact	Enter the phone number for the
	Phone Number for Consumers	individual who is your point of
		contact at the Issuer
		organization. The system allows
		up to 15 characters. THIS FIELD
115	No characterite CC 1 D	IS OPTIONAL.
H5	No. of products offered - Fee	Enter the number of Fee for
	for Service	Service products the
		corresponding Issuer offers for
		the corresponding market
		(Individual or SmallGroup). The
		number must be a whole number.
		If the Issuer does not offer any
		Fee for Service products, enter 0.
		Do not leave this field blank.

Technical Instructions	Health Insurance Over	rsight System – Excel D	Data Submission Tool
		Technical Instructions	

Cell Location	Data	Valid Valies
15	No. of products offered -	Enter the number of HMO
	НМО	products the corresponding
		Issuer offers for the
		corresponding market (Individual
		or SmallGroup). The number
		must be a whole number. If the
		Issuer does not offer any HMO
		products, enter 0. Do not leave
		this field blank.
J5	No. of products offered - PPO	Enter the number of PPO
		products the corresponding
		Issuer offers for the
		corresponding market (Individual
		or SmallGroup). The number
		must be a whole number. If the
		Issuer does not offer any PPO
		products, enter 0. Do not leave
		this field blank.
K5	No. of products offered - EPO	Enter the number of EPO
		products the corresponding
		Issuer offers for the
		corresponding market (Individual or SmallGroup). The number
		must be a whole number. If the
		Issuer does not offer any EPO
		products, enter 0. Do not leave
		this field blank.
L5	No. of products offered - POS	Enter the number of POS
	F 1000 1000	products the corresponding
		Issuer offers for the
		corresponding market (Individual
		or SmallGroup). The number
		must be a whole number. If the
		Issuer does not offer any POS
		products, enter 0. Do not leave
		this field blank.

Cell Location	Data	Valid Valies
M5	No. of products offered -	Enter the number of Other
	Other	products the corresponding
		Issuer offers for the
		corresponding market (Individual
		or SmallGroup). The number
		must be a whole number. If the
		Issuer does not offer any Other
		products, enter 0. Do not leave
		this field blank.

Please follow the following guidelines when entering data into this worksheet:

- 1) <u>Do not skip any rows when entering data. The system will interpret an empty row as the end of the data set (i.e. any data after a blank row will not be processed)</u>
- 2) <u>If you enter an Issuer Name in a row, you must enter all the required data for that</u> <u>Issuer. Do not leave any of the required cells blank. All cells on that row are</u> <u>required with the exception G5, Customer Service Phone Number.</u>
- 3) <u>If the Issuer does not have any products of a specific type, please make sure to enter</u> <u>a 0 (zero) into the corresponding cell.</u>
- 4) <u>Any data entered within a row that does not have a corresponding Issuer Name will</u> <u>not be processed.</u>

4 Troubleshooting and FAQ

4.1 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 (B), 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.

4.2 Submission Information

Please submit your completed FINALIZED files via email to <u>hios_submissions@hhs.gov</u>. Please remember not to change the name of the system-generated finalized file.

4.3 Support

HIOS Help

If you need additional assistance, please call the HIOS Help Desk at 1-877-343-6507 (available beginning on Friday, May 7 2010) or email them at <u>insuranceoversight@hhs.gov</u>.

5 Appendix A— Critical Errors

5.1 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: State name at E3 required.
- 2. State Data General Info, E4, Underwriting Status
 - a. Display error message if this field is blank.
 - b. Error Message: Underwriting Status at E4 is required.
- 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: Small Group comparison tool at E6 is required
- 4. State Data General Info, E7, State website for small group
 - a. Display error message if this cell is blank.
 - b. Error Message: Website Address at E7 is required
- 5. State Data General Info, E9, State has interactive tool for individual market,
 - a. Display error message if field is blank.
 - b. Error Message: Individual Market comparison tool at E9 is required.
- 6. State Data General Info, E10, State website for individual market
 - a. Display error message if this cell is blank.
 - b. Error Message: Website Address at E10 is required
- 7. State Data General Info, D14, State Data Submission Primary Contact First Name
 - a. Display error message if cell is blank.
 - b. Error message: Submission Primary Contact name at D14 is required
- 8. State Data General Info, D15, Data Submission Contact Phone Number
 - a. Display the error message if the cell is blank.
 - b. Error message: Submission Primary Contact phone at D15 is required.
- 9. State Data General Info, D16, Data Submission Primary Contact email
 - a. Display error message if cell is blank.
 - b. Error Message: Submission Primary Contact email at D16 is required
- 10. State Data General Info, D25, Primary Contact First Name
 - a. Display error mesasge is cell is blank.
 - b. Error message: Preview Primary Contact name at D25 is required.
- 11. State Data General Info, D26, Primary Contact Phone Number
 - a. Display error message if cell is blank.
 - b. Error message: Preview Primary Contact phone at D26 is required.
- 12. State Data General Info, D27, Primary Contact email
 - a. Display error message if cell is blank.
 - b. Error message: Preview Primary Contact email at D27 is required.
- 13. State Data General Info, F14, Data Submission Primary Contact Last Name
 - a. Display error message if cell is blank.
 - b. Error message: Submission Primary Contact last name at F14 is required.
- 14. State Data General Info, F25, Data Validation Primary Contact Last Name

- a. Display error message if cell is blank.
- b. Error message: Preview Primary Contact last name at F25 is required.
- 15. State Data Issuer & Product Info, B5, Issuer Name
 - a. Display error message if cell is blank.
 - b. Error message: Issuer name at B5 is required.
- 16. 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: Individual/Small group at C5 is required.
- 17. State Data & Product Info, D5, Issuer Data Submission name
 - e. Display error message if value entered is not one of the options in the drop down menu.
 - f. Error message: Issuer Data Submission name at D5 is required
- 18. State Data Issuer & Product Info, E5, Submission Contact Phone Number
 - g. Display error message if cell is blank.
 - h. Error message: Issuer Data Submission phone number at E5.
- 19. State Data & Product Info, F5, Submission Contact email.
 - i. Display error message if cell is blank.
 - j. Error message: Issuer Data Submission at F5 is required.
- 20. State Data & Product Info, H5, Fee-for-service
 - k. Display error message if cell is blank.
 - 1. Error message: Fee-for-Service at H5 is required
- 21. State Data & Product Info, I5, HMO
 - m. Display error message if cell is blank.
 - n. Error message: Number of HMO at I5 is required
- 22. State Data & Product Info, J5, PPO
 - o. Display error message if cell is blank.
 - p. Error message: Number of PPO at J5 is required
- 23. State Data & Product Info, K5, EPO
 - q. Display error message if cell is blank.
 - r. Error message: Number of EPO at K5 is required
- 24. State Data & Product Info, L5, POS
 - s. Display error message if cell is blank.
 - t. Error message: Number of POS at L5 is required
- 25. State Data & Product Info, M5, Other/Describe
 - u. Display error message if cell is blank.
 - a. Error message: Other/describe at M5 is required

6 Appendix B—Required Fields

State General Info Worksheet:

- State Name
- Underwriting Status
- State Small Group Interactive Tool Yes/No
- State Small Group Interactive Tool Website Address
- State Individual Interactive Tool Yes/No
- State Individual Interactive Tool Website Address
- Primary Data Submission Contact: First Name, Last Name, Phone Number, Email Address
- Back Up Data Submission Contact: First Name, Last Name, Phone Number, Email Address
- Primary Data Validation Contact: First Name, Last Name, Phone Number, Email Address
- Back Up Data Validation Contact: First Name, Last Name, Phone Number, Email Address

State Issuer and Product Info Worksheet:

- Issuer
- Individual/Small Group Market
- Issuer Contact: Name, Phone Number and Email Address
- Issuer Contact Phone
- Number of Products Offered for Each Product Type
 - Fee for Service
 - HMO
 - PPI
 - EPO
 - POS
 - Other

1. General Information			
1). State Name:			
2). Underwriting Status:			
3a). Does your State have an i the Small Group market?	interactive health plan comparison tool for		
	s for the Small Group market comparison prices for discrete plans; or enter the State red above.		
4a) Does vour State have an i	interactive health plan comparison tool that		
	r discrete plans for the Individual market?		
4b). Enter the Website address State website address if "No" i	s for the Individual market; or enter the s entered above.		
2. State Data Submission Co	ontacts		
Primary Contact			
First Name:		Last Name	
Phone Number:		Extension:	
Email:			
Backup Contact			
First Name		Last Name	
Phone Number:		Extension:	
Email:			
3. State Data Submission Va	lidation Contacts		-
Primary Contact			
Name:		Last Name	
Phone Number:		Extension:	
Email:			
Backup Contact			
Name:		Last Name	
Phone Number:		Extension:	
Email:			
		1	

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 (10.17 hours) or (609.6 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 2 - Issuer and Product Information

Issuer Name	Individual/Small Group	Issuer Data Submission Contact Name	Issuer Data Submission Contact Phone Number	Issuer Data Submission Contact Email

OMB Co	ntrol Nun	nber: 093	38-1086
--------	-----------	-----------	---------

Customer Service Contact Phone Number for Consumers	No. of Products Offered - Fee-for- Service	No. of Products Offered - HMO	No. of Products Offered - PPO	 	No. of Products Offered - Other