

Health Insurance Oversight System (HIOS) Issuer Product Data Collection Excel Data Submission Tool - State Technical Instructions



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Last updated March 26, 2012

Health Insurance Oversight System – Excel Data Submission Tool

Technical Instructions

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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 state-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 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 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 within the same spreadsheet 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 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 CMS.

To successfully submit state data, it is critical to precisely follow the instructions within this guide. This guide also provides helpful tips to minimize data errors and facilitate compatibility with various versions of Microsoft Excel.

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2 Reference Documents

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

Table 1: Referenced Documents

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

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3 Overview

These technical instructions explain the special features and other technical aspects related to the use of the HIOS State Data Submission Excel Tool.

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
- Lost of data
- Rejected file submission

3.1 Conventions

This document provides screen prints and corresponding narrative to describe how to use the State Data Submission Tool of the Health Insurance Oversight System.

Each action that is required on the part of the reader is indicated by 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 the State Data Submission Tool within the Health Insurance Oversight System.

3.2 Cautions and Warnings

3.2.1 Macro Security Level Setting

The State 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 later:** Macros should be set to “**Disable all macros with notification**”. Instructions will be provided in section 4.1: *Set-up Considerations*.

Health Insurance Oversight System – Excel Data Submission Tool Technical Instructions

3.2.2 Saving documents in Excel 2003 format

Although it is encouraged to save the working files frequently while entering data, **it is crucial to save working and finalized files as Excel 2003 (.xls) document.** The system will only accept submission of .xls documents.

If a HIOS file is saved in the Excel 2007 (.xlsm) format, an error will occur when attempting to reopen the file. When the error appears, if the user selects Yes, the workbook will be made inoperable.

3.2.3 Validation Resolution

Upon triggering the validation process, 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.

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4 Getting Started

4.1 Set-up Considerations

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

- Have Microsoft Excel 2003 or 2007.
- Enable your Excel standard toolbar.
- For Excel 2003, set your 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, set your 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***.

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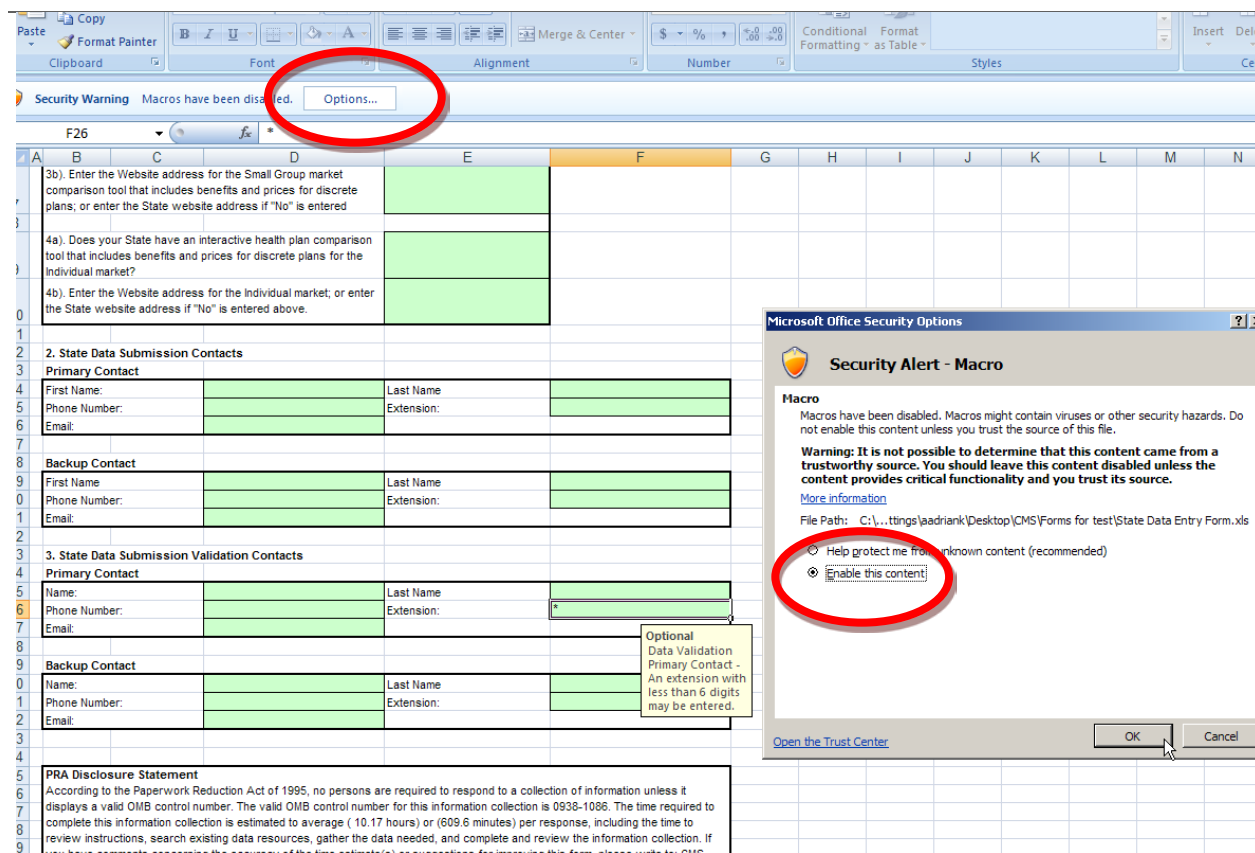


Figure 1: Enable Content message

4.2 User Access Considerations

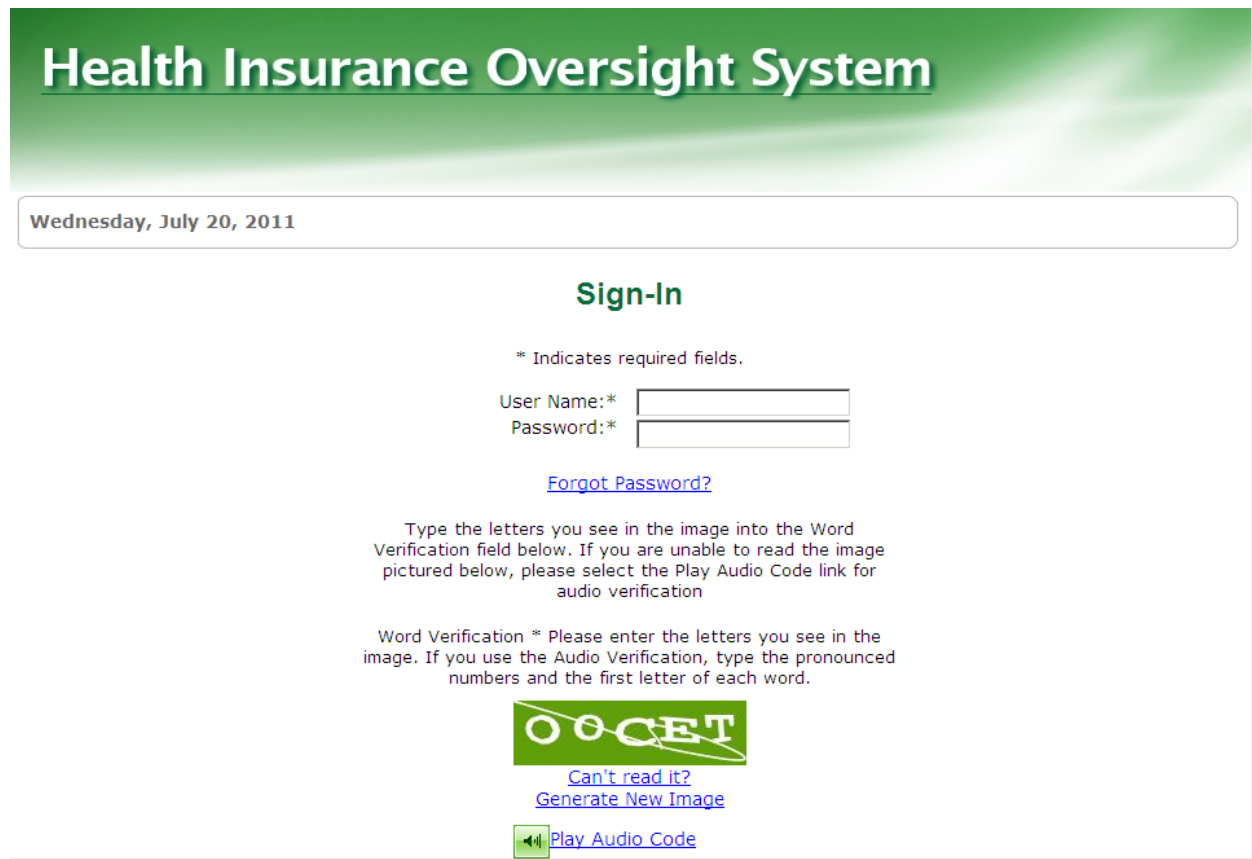
Access request must be submitted to the CMS Exchange Operations Support Center (XOSC) at 1-855-CMS-1515 or via email at CMS_FEPS@cms.hhs.gov.

4.3 Accessing the System

4.3.1 Sign-In

Once the user has been provisioned for access to the application, the system can be accessed by the following steps.

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Health Insurance Oversight System

Wednesday, July 20, 2011

Sign-In

* Indicates required fields.

User Name:*

Password:*

[Forgot Password?](#)

Type the letters you see in the image into the Word Verification field below. If you are unable to read the image pictured below, please select the Play Audio Code link for audio verification

Word Verification * Please enter the letters you see in the image. If you use the Audio Verification, type the pronounced numbers and the first letter of each word.



[Can't read it?](#)

[Generate New Image](#)

 [Play Audio Code](#)

Figure 2: HIOS Login Page

1. Navigate to the HIOS login page at the secured CMS Portal <https://portal.cms.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*.

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4.3.2 HIOS Plan Finder 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 primary contacts regarding submission windows and form updates.

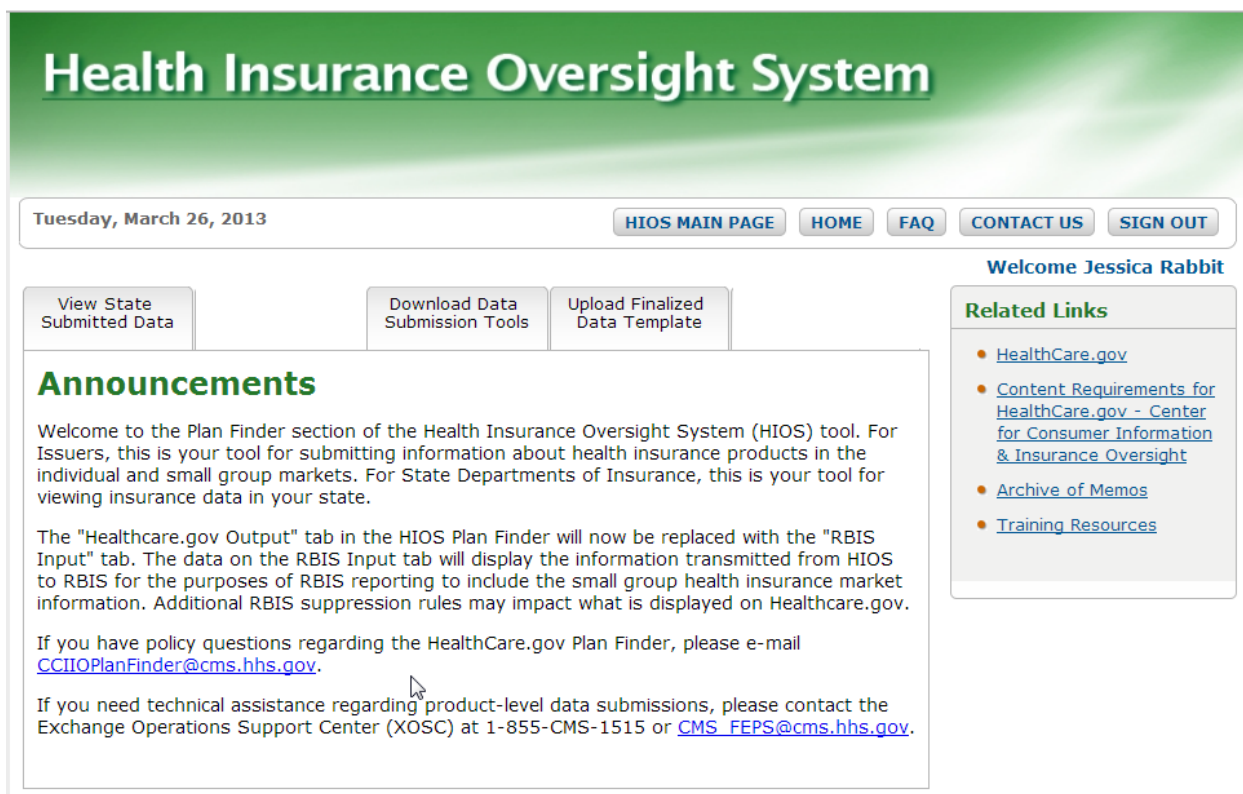


Figure 4: HIOS Plan Finder Product Data Collection

4.3.3 View State Submitted Data

The View State Submitted Data has two options that display the current information on file for the user's specific state.

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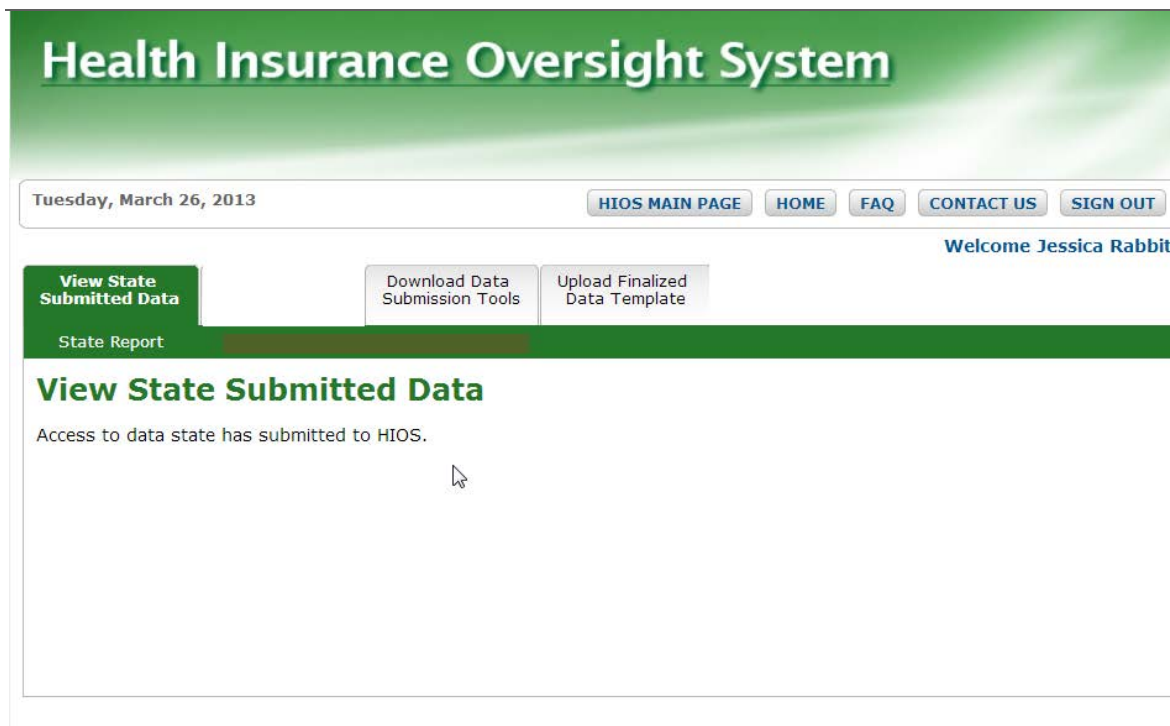


Figure 5: State Submitted Data tab

4.3.3.1 State Report

By clicking on the State Report link, the system will display the current State Submission Contact and State Website Preview Contact information. To edit this information, the State Data Entry Form must be downloaded, changes made, and submitted within the submission window.

4.3.3.2 Issuer & Product Offering Report

By clicking on the Issuer & Product Offering Report link, the system will display the current Product Level Offering Report of one issuer within the state. To view the data of a specific issuer, select the desired issuer from the dropdown menu. To edit this information, the State Data Entry Form must be downloaded, changes made, and submitted within the submission window.

4.3.4 Download Data Submission Tools

The Download Data Submission Tools tab allows state users and issuer users to submit plan data.

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Health Insurance Oversight System

Tuesday, March 26, 2013

[HIOS MAIN PAGE](#) [HOME](#) [FAQ](#) [CONTACT US](#) [SIGN OUT](#)

Welcome Jessica Rabbit

[View State Submitted Data](#) **[Download Data Submission Tools](#)** [Upload Finalized Data Template](#)

State Submission Tools

State Submission Tools

If you are submitting State data, please select State Technical Instructions to download supporting Instructions to fill out the template. Please click State Data Submission Tool to download the blank State template.

- [State Data Submission Tool](#)
- [State Technical Instructions](#)

Download a Pre-Populated State Template

Please select a state from the dropdown menu below.

*State:

Select the link below to download an Excel template pre-populated with the selected state's latest submitted data. You will be prompted to open or save the requested file. Please select Save to save the file to your computer.

[Download Pre-Populated State Template](#)

Figure 6: Download Data Submission Tools tab

4.3.4.1 State Data Submission Tool

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

4.3.4.2 State Technical Instructions

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

4.3 Download a Pre-Populated State Template

Clicking on the button Download a Pre-Populated State Template allows the user to download the State 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 instruction in *5.1.2: Update Submissions*.

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4.4 Excel Organization and Navigation

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

4.5 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.

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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 State Data Entry Forms in the same Excel 2007 instance. But if the user closes a file and opens another one, **be sure to close Excel and open the next file in a new instance of Excel.** There are known issues related to Excel 2007 when opening a file in an existing Excel instance. If issues are experienced when opening a State Data Entry form:

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

5.1 Opening

5.1.1 First-time Submitters

The State Data Entry form template may be sent to first-time submitters or accessed via the steps outlined in section 4.4.4.1: *State 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.
- If using versions other than 2003, the file format for working files and finalized files must be saved in Excel 2003 format. Attempting to save in Excel 2007 format initially then converting to Excel 2003 format will generate numerous issues and potentially render the workbook inoperable.
- 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.

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.

5.1.2 Update Submissions

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

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Health Insurance Oversight System

Tuesday, March 26, 2013

HIOS MAIN PAGE HOME FAQ CONTACT US SIGN OUT

Welcome Jessica Rabbit

View State Submitted Data **Download Data Submission Tools** Upload Finalized Data Template

State Submission Tools

State Submission Tools

If you are submitting State data, please select State Technical Instructions to download supporting Instructions to fill out the template. Please click State Data Submission Tool to download the blank State template.

- [State Data Submission Tool](#)
- [State Technical Instructions](#)

Download a Pre-Populated State Template

Please select a state from the dropdown menu below.

*State:

Select the link below to download an Excel template pre-populated with the selected state's latest submitted data. You will be prompted to open or save the requested file. Please select Save to save the file to your computer.

[Download Pre-Populated State Template](#)

Figure 7: Download Data Submission Tools tab

1. From the *HIOS Main Page*, click on *HIOS Plan Finder Product Data Collection*.
2. Click on the *Download Data Submission Tools* tab.
3. Click on the *State Submission Tools* link.
4. Click on the *Download Pre-Populated State Template* button.
5. 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.
6. If the user has already updated the macro security settings in Excel as recommended in section 4.1: *Set-up Considerations*, select **Open**.
7. If the user has not updated the macro security settings in Excel as recommended in section 4.1,
 - 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.

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- 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: If the user is using a Microsoft Excel version greater than the 2003 version, a file extension error may display. The user can click on **Yes** to continue opening the Excel export.

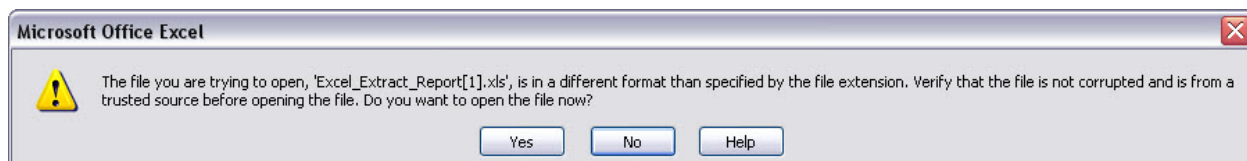


Figure 8: File Extension Error

Excel 2007 or later versions: The workbook may display the following screen. If so, follow the steps below to enable the workbook functionality.

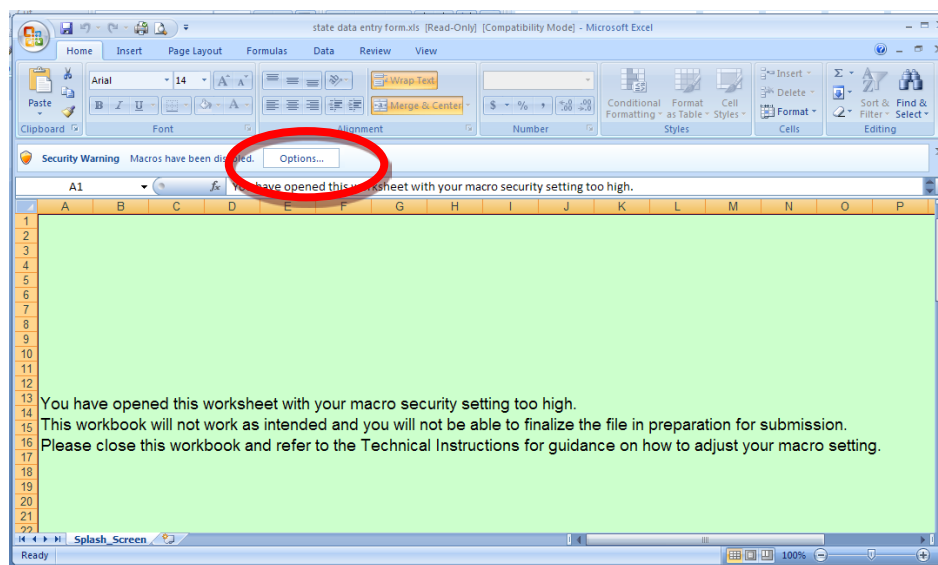


Figure 9: Excel 2007 or higher error message

1. Click on **Options**.
2. Select the radio button for **Enable this content**.

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5.2 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.

Figure 10: State Date Entry Form

Table 2: State General Info Worksheet fields

Cell Location	Data	Valid Values
E3	State and Territory Name	Select a value from the drop down list.
E4	Underwriting Status	Select Yes or No from the drop down.
E6	Does your state have a comparison tool for the Small Group Market?	Select Yes or No from the drop down.
E7	Website address for comparative tool or state address.	<p>If you answered Yes to E6, enter the full website address for the comparative tool (e.g. http://www.comparative_tool.gov)</p> <p>If you answered No to E6, enter your full state website address (e.g. http://www.state.us.gov).</p>

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Cell Location	Data	Valid Values
E9	Does your state have a comparison tool for the Individual Market?	Select Yes or No from the drop down.
E10	Website address for comparative tool or state address.	<p>If you answered Yes to E9, enter the full website address for the comparative tool (e.g. http://www.comparative_tool.gov)</p> <p>.</p> <p>If you answered No to E9, enter your full state website address (e.g. http://www.state.us.gov).</p>
D14	Primary State Data Submission Contact First Name	Enter the first name of the individual who is the primary contact for the submission of this data. The system allows up to 40 characters.
F14	Primary State Data Submission Contact Last Name	Enter the last name of the individual who is the primary contact for the submission of this data. The system allows up to 40 characters.
D15	Primary State Data Submission Contact Phone Number	Enter the phone number for the individual who is the primary contact for the submission of this data. The system allows up to 15 characters.
F15	Primary State Data Submission Contact Phone Number Extension	Enter the phone number extension for the individual who is the primary contact for the submission of this data. The system allows up to 15 characters. Optional field.
D16	Primary State Data Submission Contact Email Address	Enter the complete email address for the individual who is the primary contact for the submission of this data.
D19	Back Up State Data Submission Contact First Name	Enter the first name of the individual who is the back up contact for the submission of this data. The system allows up to 40 characters.

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Cell Location	Data	Valid Values
F19	Back Up Data Submission Contact Last Name	Enter the last name of the individual who is the back up contact for the submission of this data. The system allows up to 40 characters.
D20	Back Up Data Submission Contact Phone Number	Enter the phone number for the individual who is the back up contact for the submission of this data. The system allows up to 15 characters.
F20	Back Up Data Submission Contact Phone Number Extension	Enter the phone number extension for the individual who is the back up contact for the submission of this data. The system allows up to 15 characters. Optional field.
D21	Back Up State Data Submission Contact Email Address	Enter the complete email address for the individual who is the back up contact for the submission of this data.
D25	Primary State Data Validation Contact First Name	Enter the first name of the individual who is the primary contact for the validation of this data. The system allows up to 40 characters.
F25	Primary State Data Validation Contact Last Name	Enter the last name of the individual who is the primary contact for the validation of this data. The system allows up to 40 characters.
D26	Primary State Data Validation Contact Phone Number	Enter the phone number for the individual who is the primary contact for the validation of this data. The system allows up to 15 characters.
F26	Primary State Data Validation Contact Phone Number Extension	Enter the phone number extension for the individual who is the primary contact for the validation of this data. The system allows up to 15 characters. Optional field.

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Cell Location	Data	Valid Values
D27	Primary State Data Validation Contact Email Address	Enter the complete email address for the individual who is the primary contact for the validation of this data.
D30	Back Up State Data Validation Contact First Name	Enter the first name of the individual who is the back up contact for the validation of this data. The system allows up to 40 characters.
F30	Back Up State Data Validation Contact Last Name	Enter the last name of the individual who is the back up contact for the validation of this data. The system allows up to 40 characters.
D31	Back Up State Data Validation Contact Phone Number	Enter the phone number for the 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 Contact Phone Number Extension	Enter the phone number extension for the individual who is the back up contact for the validation of this data. The system allows up to 15 characters. Optional field.
D32	Back Up State Data Validation Contact Email Address	Enter the complete email address for the individual who is the back up contact for the validation of this data.

5.3 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 for this issuer.

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Table 3: State Issuer & Product Info Tab

Cell Location	Data	Valid Values
B5	Issuer Name	Enter the name of the Insurance Issuer.
C5	Individual/Small Group	Select Individual or Small Group from the drop down.
D5	Issuer Data Submission Contact Name	Enter the name of the individual who is your point of contact at the Issuer organization. The system allows up to 40 characters.
E5	Issuer Data Submission Contact Phone Number	Enter the phone number for the individual who is your point of contact at the issuer organization. The system allows up to 15 characters.
F5	Issuer Data Submission Contact Email Address	Enter the complete email address for the individual who is your point of contact at the issuer organization.
G5	Customer Service Contact Phone Number for Consumers	Enter the phone number for the individual who is your point of contact at the Issuer organization. The system allows up to 15 characters. Optional field.
H5	No. of products offered - Fee for Service	Enter the number of Fee for 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.

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Cell Location	Data	Valid Values
I5	No. of products offered - HMO	Enter the number of HMO 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 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.

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Cell Location	Data	Valid Values
M5	No. of products offered - Other	Enter the number of 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) **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)**
- 2) **If you enter an Issuer Name in a row, you must enter all the required data for that Issuer. Do not leave any of the required cells blank. All cells in that row are required with the exception of G5, Customer Service Phone Number.**
- 3) **If the Issuer does not have any products of a specific type, please make sure to enter a 0 (zero) into the corresponding cell.**
- 4) **Any data entered within a row that does not have a corresponding Issuer Name will not be processed.**

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.

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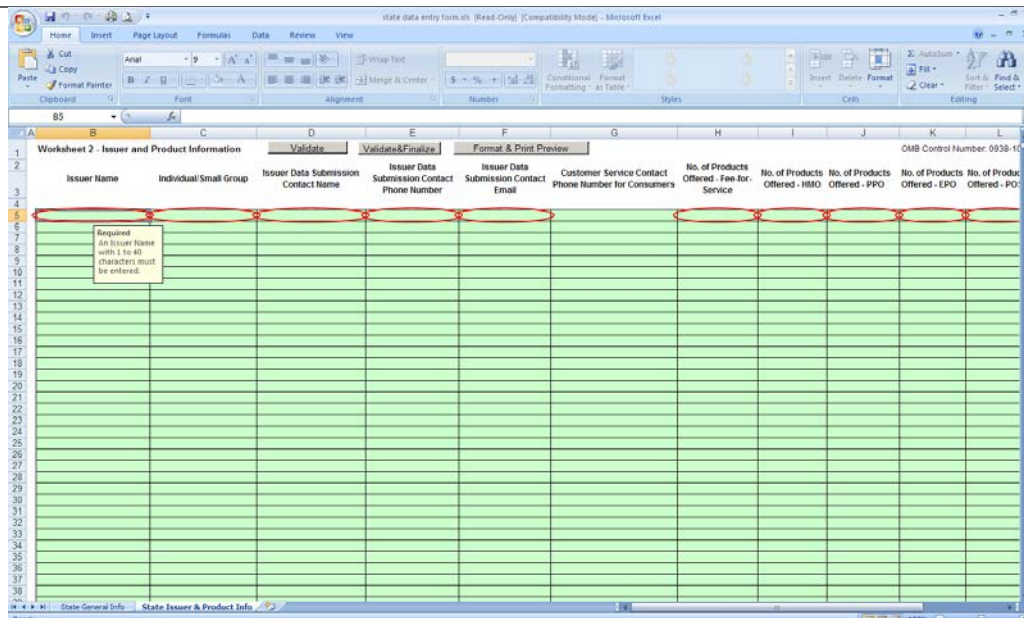



Figure 11: State Data Submission Template

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.
 - a. For Excel 2003 version, click on the Excel **Save** icon. There is no need to rename the document at this point.
 - b. For Excel 2007 version or higher, click on the Microsoft Office button , select Save As, and ensure the file version is set to 2003 version. 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 State data Entry form: a non-finalized and a finalized save.

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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 5.6: *Finalizing the State 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**.

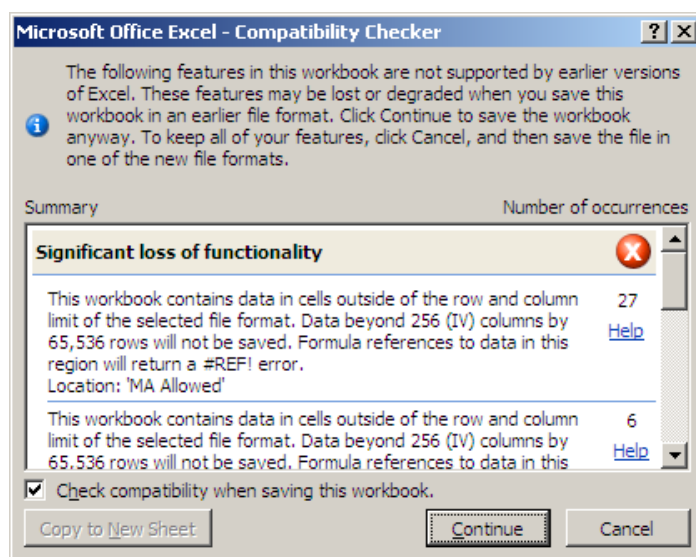


Figure 12: Compatibility Checker

For Excel 2007

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.

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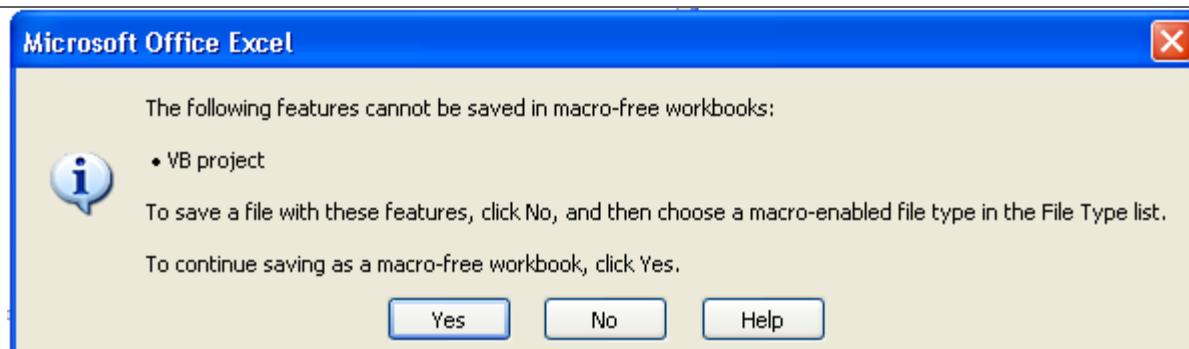


Figure 13: Macro-free workbook error

Please 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.

5.6 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.

Please Note: As stated previously, it is highly recommended that you 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 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.

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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.”

5.6.2 File Naming Convention

Finalized State Data Entry Submission workbooks are saved using the following standardized naming convention. Select **Save As** from the **File** or Office menu to rename the document.

Final_<state abbreviation><year><month><day><Hour><Min><Sec>_<original name>. 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 you modify the name of the finalized file, it will not be processed.

Example: Final_VA20100427130426_State Data Entry Form.xls

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

5.7 Closing the file

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

5.8 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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5.9 Data Submission

Please submit your 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.

Health Insurance Oversight System

Tuesday, March 26, 2013

[HIOS MAIN PAGE](#) [HOME](#) [FAQ](#) [CONTACT US](#) [SIGN OUT](#)

Welcome Jessica Rabbit

[View State Submitted Data](#) [Download Data Submission Tools](#) **[Upload Finalized Data Template](#)**

Upload Template Submission

Please select the 'Browse' button below to select a finalized data template (.xls or .xlsx), XML data file (.xml) or a zip file containing multiple Excel templates and/or XML data files. After selecting a file, click 'Upload' to start the submission.

Please note that files cannot exceed 30MB.

[Choose File](#) No file chosen

[Upload](#)

Figure 14: Upload Template Submission tab

To upload the data file:

1. From the *HIOS Main Page*, click on *HIOS Plan Finder Product Data Collection*.
2. Click on the *Download Data Submission Tools* tab.
3. Select the *Upload Finalized Data Template* tab.
4. Click on the *Browse* button.
5. Locate the file and click *OK*.
6. 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 will 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.**

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6 Troubleshooting and FAQ

6.1 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?

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

Question 4: I have Excel 2007 or higher. When I opened the workbook, I received the following screen.

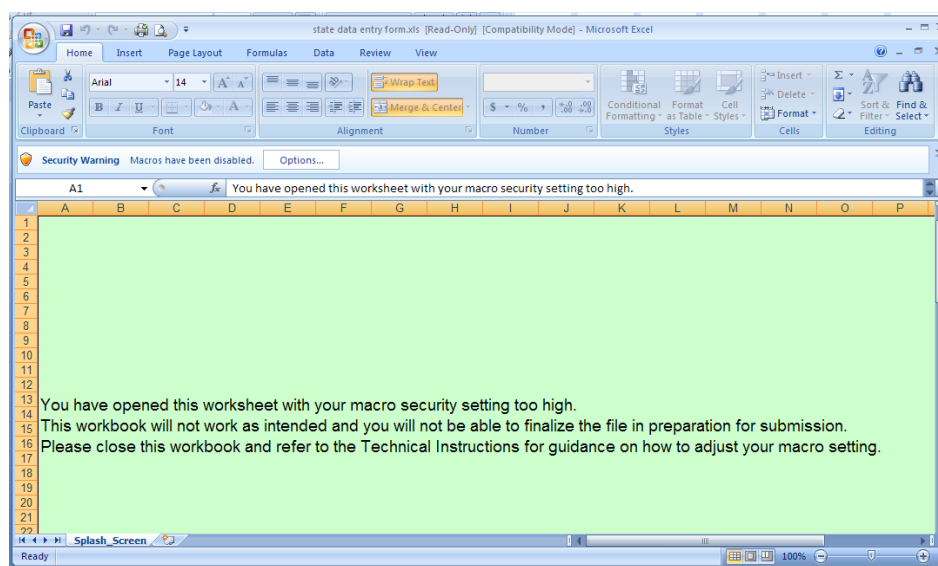


Figure 15: Excel 2007 or higher error message

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

Question 5: I have Excel 2007. When I attempted to finalize the workbook, I received a macro error message.

- The State 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

If you need additional assistance, please call the CMS Exchange Operations Support Center (XOSC) at 1-855-CMS-1515 or email them at CMS_FEPS@cms.hhs.gov.

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7 Appendix A—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