Health Insurance Oversight System

Plan Finder

Issuer User Manual

Version 06.00.00

April 2019
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PF User Manual Change History

April 2019 Revisions

For Release 17.00 the User Manual was updated to include:

- Updated screen captures of the user interface (UI) and content to reflect the redesign changes implemented.
- Added the informative text on the Product Information page to inform the users that they can view the full list of selected Product Data information by selecting the "View Data" button.
- Added stepper process for Download Data Template
- Added generate file process for Download Data Template and Excel Extract of Issuer Data.
1 Introduction

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

The Health Insurance Oversight System (HIOS) was created to facilitate several types of data collections from the Department of Insurance for states/territories as well as insurance issuers that sell health insurance coverage. The collected data is aggregated with other data sources and made public on the consumer-facing website.

Plan Finder is the specific module within HIOS responsible for collecting issuer general identification information, product information, quarterly application data for each product and requesting component IDs for products. There are three available mechanisms for the issuers to submit their data: Microsoft Excel templates, XSD templates for XML submissions, and web-entry forms. These technical instructions explain the special features and other technical aspects related to the use of each submission mechanism.

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 Errors
- Loss of data
- Rejected file submissions

1.1 Prerequisites and Information for HIOS System Access

In order to gain access to the Plan Finder module within HIOS, users will first need to create an Enterprise Identity Management (EIDM) account and then register a HIOS account. Please refer to the following document for a detailed description of the EIDM and HIOS registration processes: https://www.cms.gov/CCIIO/Resources/Forms-Reports-and-Other-Resources/Downloads/HIOS-Portal-UserManual-29_00_00.pdf.

1.2 Role Management

All module access and role requests are to be completed in the Role Management section. The users will be able to submit module access permission requests and cross-reference requests to registered companies, issuers, and states (for state users only) all under Role Management. Users will also be able to view their existing roles and access status.
1.3 Instructional Layout

The term ‘user’ is used throughout this document to refer to a person who has acquired access to complete activities within the HIOS Plan Finder module. Each action that is required by the user is indicated via step-by-step bullets. If an action requires the user to 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. Select **OK**.

1.4 Technical Specification

The HIOS application works within either of the following compatible Internet browsers:

- Internet Explorer
- Mozilla Firefox
2 Plan Finder Module

Once role requests have been approved, users will have access to the Plan Finder module.

2.1 Home Page for each Role

The Home page displays an announcements section and different cards for each user role. The Related Links section on the right side of the page provides links for accessing HealthCare.gov, Content Requirements for HealthCare.gov, Archive of Memos, Training Resources and customer service contact information to guide the user.

2.1.1 Issuer - Submitter Role

The Submitter role can access the below mentioned pages and has the ability to submit associated Issuer Data. To jump directly to any of the sections below, please hold down the CTRL key and select the Header/Section number to access the applicable content.

- Issuer Submitted Data (Section 3)
  - Issuer General Information (Section 3.1)
    - Edit Issuer General Information (Section 3.1.1)
  - Marketplace General Information (Section 3.2)
    - Edit Marketplace General Information (Section 3.2.1)
- Product Data (Section 4)
  - Product Information (Section 4.1)
    - Product Information – View Data (Section 4.1.1)
    - Product Information – Edit Existing Product (Section 4.1.2)
    - Product Information – Add New Product (Section 4.1.3)
  - RBIS Input (Section 4.2)
- Download Data Template (Section 5)
- Upload Data Template Submission (Section 6)
- Component IDs (Section 7)
  - View Component IDs (Section 7.1)
  - Request Component IDs (Section 7.2)

Submitter and Validator roles should not be performed by the same person. It is recommended to have at least two individuals for the Issuer in these roles.

The Submitter user home page is depicted below in Figure 1:
Figure 1: Issuer Submitter Home Page

Plan Finder

Welcome to Plan Finder module of the Health Insurance Oversight System (HIOS). Issuer users can submit their Health Insurance Products Information in the Individual and Small Group Market. State Department of Insurance users can view insurance data for their state.

What would you like to work on today?

Issuer Submitted Data

Users can view, update issuer general and marketplace information.

Product Data

Users can view, update and add product information.

Download Data Template

Users can download issuer specific data template.

Upload Data Template

Users can upload the finalized issuer data templates.

Component IDs

Users can view and request additional Component ID’s for each product.

Related Links

- [Healthcare.gov](https://www.healthcare.gov)
- [Content Requirements for Healthcare.gov – Center for Consumer Information & Insurance Oversight](https://www.healthcare.gov)
- [Archive of Plans](https://www.healthcare.gov)
- [Training Resources](https://www.healthcare.gov)

Questions?

If you have policy questions regarding the HealthCare.gov Plan Finder, please e-mail [CICIOPlanFinder@cms.hhs.gov](mailto:HCIOPlanFinder@cms.hhs.gov).

If you need technical assistance regarding product-level data submissions, please contact the Marketplace Service Desk (MSD) at CMS.RPBS@cms.hhs.gov or call 1-855-267-1515.
2.1.2 Issuer - Validator Role

The Validator role has read-only access to the below mentioned pages and the ability to validate the data for their associated Issuers. To jump directly to any of the sections below, please hold down the CTRL key and select the Header/Section number to access the applicable content.

- Issuer Submitted Data (Section 3)
  - Issuer General Information (Section 3.1)
  - Marketplace General Information (Section 3.2)
- Product Data (Section 4)
  - Product Information (Section 4.1)
    - Product Information – View Data (Section 4.1.1)
  - RBIS Input (Section 4.2)
- Download Data Template (Section 5)
- Component IDs (Section 7)
  - View Component IDs (Section 7.1)
- Validator Role – Data Validation (Section 9)

Submitter and Validator roles should not be performed by the same person. It is recommended to have at least two individuals for the Issuer in these roles.

The Validator user home page is displayed below in Figure 2:
Figure 2: Issuer Validator Home Page

Plan Finder

Welcome to Plan Finder module of the Health Insurance Oversight System (HIOS). Issuer users can submit their Health Insurance Products Information in the Individual and Small Group Market. State Department of Insurance users can view insurance data for their state.

What would you like to work on today?

Issuer Submitted Data
Users can view issuer general and marketplace information.

Product Data
Users can view product information.

Download Data Template
Users can download issuer specific data template.

Component IDs
Users can view Component ID's for each product.

Validate Issuer Data
Authorized users can view and validate issuer general and product data for their organization.

Related Links
- Healthcare.gov
- Consumer Information & Insurance Oversight
- Archive of News
- Training Resources

Questions?
If you have policy questions regarding the HealthCare.gov Plan Finder, please e-mail CPFinderSupport@cms.hhs.gov.

If you need technical assistance regarding product level data submissions, please contact the Marketplace Service Desk (MHD) at 1-855-267-1555.
2.1.3 Issuer - Attester Role

The Attester role is reserved for the CEO or CFO of the company. At least one of the Attester roles must be assigned to an individual, the other can remain blank. If both individuals request roles in the system, the CEO role and CFO role cannot be the same person. Finally, the Attester user cannot be a Submitter or Validator for the same Issuer.

The Attester user has read-only access to the below mentioned pages that contain data submitted for their associated Issuers. To jump directly to any of the sections below, please hold down the CTRL key and select the Header/Section number to access the applicable content.

- Issuer Submitted Data (Section 3)
  - Issuer General Information (Section 3.1)
  - Marketplace General Information (Section 3.2)
- Product Data (Section 4)
  - Product Information (Section 4.1)
    - Product Information – View Data (Section 4.1.1)
  - RBIS Input (Section 4.2)
- Download Data Template (Section 5)
- Component IDs (Section 7)
  - View Component IDs (Section 7.1)

The Attester user home page is displayed below in Figure 3:
Figure 3: Issuer Attester Home Page

2.1.4 State User Role

The State User role has read-only access to the below mentioned pages that contain submitted and aggregated data reports for all Issuers within their associated state. To jump directly to any of the sections below, please hold down the CTRL key and select the Header/Section number to access the applicable content.
• Issuer Submitted Data (Section 3)
  o Issuer General Information (Section 3.1)
  o Marketplace General Information (Section 3.2)
• Product Data (Section 4)
  o Product Information (Section 4.1)
    ▪ Product Information – View Data (Section 4.1.1)
  o RBIS Input (Section 4.2)
• Issuer Aggregate Reports (Section 10.1)

The State user home page is displayed below in Figure 4.

**Figure 4: State Home Page**
3 Issuer Submitted Data

The Issuer Submitted Data page allows the user to either directly view Issuer data (if only one Issuer ID is associated to the logged in user or if an issuer has already been selected on the Product Data page) or select the Issuer (if multiple issuers are associated to the logged in user) from the Issuer Name dropdown list. The user can view the latest submission information for the selected Issuer by selecting the Get Issuer Information button and access the following sub pages - Issuer General Information (preselected by default) and Issuer Marketplace Information.

There is a navigation panel on the left side of the page, that allows the user to switch between the other pages applicable for the specific role assigned to the logged in user.

The Issuer Submitted Data page is displayed below in Figure 5.

Figure 5: Issuer Submitted Data page
3.1 Issuer General Information

The Issuer General Information page displays the data entered for the Issuer’s corporate, customer service contact, and rating information. The user can also navigate through all Issuer contacts (roles) registered through the HIOS portal for the Issuer selected.

The customer service contact and rating information are displayed specifically based on the selected market coverage option. If the selected market coverage option is Both, then the Individual and Small Group Market sections are displayed.

The Issuer General Information page is displayed below in Figure 6 and Figure 7

**Figure 6: Issuer General Information Page – Part 1**
Figure 7: Issuer General Information Page – Part 2

### Issuer Contacts

<table>
<thead>
<tr>
<th>Contact Role</th>
<th>Contact Type</th>
<th>Name</th>
<th>Phone #</th>
<th>Ext</th>
<th>Email</th>
</tr>
</thead>
<tbody>
<tr>
<td>Data Submission</td>
<td>Contact Individual Market</td>
<td>Ranjitha Sinhhi</td>
<td>1 (703)</td>
<td>251-5109</td>
<td>ranjitha.sinhhi@bidenv</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Contact Role</th>
<th>Contact Type</th>
<th>Name</th>
<th>Phone #</th>
<th>Ext</th>
<th>Email</th>
</tr>
</thead>
<tbody>
<tr>
<td>Data Submission</td>
<td>Contact Individual Market</td>
<td>Alexandra Murphy</td>
<td>1 (703)</td>
<td>555-1212</td>
<td>alexandra.m.murphy@bidenv</td>
</tr>
</tbody>
</table>

### Ratings - Individual Market

Is Issuer rated by any rating company in the last two years? Yes

<table>
<thead>
<tr>
<th>Rating Company</th>
<th>Rating Type</th>
<th>Rating</th>
<th>Rating Company Others/Describe</th>
<th>Rating Type Other/Describe</th>
</tr>
</thead>
<tbody>
<tr>
<td>Other/describe</td>
<td>Financial</td>
<td>A+</td>
<td>Fitch</td>
<td></td>
</tr>
</tbody>
</table>

### Ratings - Small Group Market

Is Issuer rated by any rating company in the last two years? Yes

<table>
<thead>
<tr>
<th>Rating Company</th>
<th>Rating Type</th>
<th>Rating</th>
<th>Rating Company Others/Describe</th>
<th>Rating Type Other/Describe</th>
</tr>
</thead>
<tbody>
<tr>
<td>Other/describe</td>
<td>Financial</td>
<td>A+</td>
<td>Fitch</td>
<td></td>
</tr>
</tbody>
</table>
3.1.1 Edit Issuer General Information

The Submitter user can view and select the **Edit Issuer General Information** button at the bottom of the page to edit certain fields on the Issuer General Information Page as depicted below in Figure 8.

**Figure 8: Edit Issuer General Information Button**
The user will be navigated to the Edit Issuer General Information page upon selecting the *Edit Issuer General Information* button.

The Edit Issuer General Information page is displayed below in Figure 9 and Figure 10.

**Figure 9: Edit Issuer General Information Page – Part 1**

---

**Edit Issuer General Information**

*Kaiser Foundation Hlth Plan Mid-Atlantic*

*Please note, a field with an asterisk (*) before it is a required field.*

**Corporate Information**

*Please note, some fields require a data change request as they cannot be edited on this page.*

- **Issuer Legal Name**: Kaiser Foundation Hlth Plan Mid-Atlantic
- **State**: VA
- **Issuer ID**: 95185
- **Issuer Marketing Name**: N/A
- **Market Coverage**: Both
  - **Federal EIN**: 520954463
- **NAIC Company Code**: 95539
- **NAIC Group Code**: N/A

**Address**

- **Address Line 1**: 2101 East Jefferson Street
- **Address Line 2**: N/A
- **City**: Rockville
- **State**: MD
- **Zip**: 20852

**Individual and Small Group Market**

- **Do you offer Individual?**: Yes

- **Do you offer Small Group?**: Yes
  - **Small Group Market Website**: 

---
Figure 10: Edit Issuer General Information Page – Part 2

Note that some fields shown above, such as those shown in the Corporate Information section, are not editable in Plan Finder.
Below are the steps necessary to edit data shown on the Issuer General Information page:

1. Enter data or edit existing data within the data fields.
2. Select one of the following buttons:
   a. **Submit** button: Submits the changes through for processing. Any validation errors will appear on the page and must be addressed before the web-editing request can be successfully processed.
   b. **Back to Issuer General Information** hyperlink: Returns the user to the Issuer General Information page.

### 3.2 Issuer Marketplace Information

The Issuer Marketplace Information page displays the data for the selected issuer based on what is entered for the Issuer’s corporate information, marketplace billing information, and the marketplace customer service contact information.

The customer service contact information is displayed specifically based on the selected market coverage option. If the selected market coverage option is Both, then the Individual and Small Group Market sections are displayed.

The Issuer Marketplace Information page is displayed below in Figure 11.
Figure 11: Issuer Marketplace Information Page

![Issuer Marketplace Information Page]

3.2.1 **Edit Issuer Marketplace Information**

The Submitter user can view and select the *Edit Issuer Marketplace Information* button at the bottom of the page to edit certain fields on the Issuer Marketplace Information page as depicted below in Figure 12.
Figure 12: Edit Issuer Marketplace Information Button

<table>
<thead>
<tr>
<th>Corporate Information</th>
<th>Issuer Marketplace Information</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Issuer Legal Name</strong></td>
<td><strong>Issuer Marketplace Marketing Name</strong></td>
</tr>
<tr>
<td>Kaiser Foundation Hlth Plan Mid-Atlantic</td>
<td>N/A</td>
</tr>
<tr>
<td><strong>Market Coverage</strong></td>
<td><strong>State</strong></td>
</tr>
<tr>
<td>Both</td>
<td>VA</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Marketplace Billing Information</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Marketplace Billing Name</strong></td>
<td><strong>Marketplace Address Line 1</strong></td>
</tr>
<tr>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td><strong>Marketplace Address Line 2</strong></td>
<td><strong>Marketplace City</strong></td>
</tr>
<tr>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td><strong>Marketplace State</strong></td>
<td><strong>Marketplace Zip</strong></td>
</tr>
<tr>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td><strong>Marketplace Zip Extension</strong></td>
<td></td>
</tr>
<tr>
<td>N/A</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Customer Service Contact - Individual Market</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>IFP Customer Service Phone</strong></td>
<td><strong>IFP Customer Service Phone Extension</strong></td>
</tr>
<tr>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td><strong>IFP Customer Service Toll Free</strong></td>
<td><strong>IFP Customer Service TTY</strong></td>
</tr>
<tr>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td><strong>IFP Customer Service URL</strong></td>
<td></td>
</tr>
<tr>
<td>N/A</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Customer Service Contact - Small Group Market</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>SHOP Customer Service Phone</strong></td>
<td><strong>SHOP Customer Service Phone Extension</strong></td>
</tr>
<tr>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td><strong>SHOP Customer Service Toll Free</strong></td>
<td><strong>SHOP Customer Service TTY</strong></td>
</tr>
<tr>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td><strong>SHOP Customer Service URL</strong></td>
<td></td>
</tr>
<tr>
<td>N/A</td>
<td></td>
</tr>
</tbody>
</table>
The user will be navigated to the Edit Issuer Marketplace Information page upon selecting the **Edit Issuer Marketplace Information** button.

The Edit Issuer Marketplace Information page is depicted below in Figure 13.

**Figure 13: Edit Issuer Marketplace Information Page**

Note that some fields shown above, such as Issuer Legal Name or Market Coverage, are not editable in Plan Finder.
Below are the steps necessary to edit data shown on the Edit Issuer Marketplace Information page:

1. Enter data or edit data within the data fields.
2. Select one of the following buttons:
   a. **Submit** button: Submits the changes through for processing. Any validation errors will appear on the page and will have to be addressed before the web-editing request can be successfully processed.
   b. **Back to Issuer Marketplace Information** link: Returns the user to the Issuer Marketplace Information page.
4 Product Data

The Product Data page allows the user to either directly view Issuer Name (if only one Issuer ID is associated to the logged in user or if an issuer has already been selected on the Issuer Submitted Data page) or select the Issuer (if multiple Issuers are associated to the logged in user) from the Issuer Name dropdown list. The user can view the latest product information for the selected Issuer by selecting the **Get Issuer Information** button and access the following sub pages - Product Information (preselected by default) and RBIS Input.

There is a navigation panel on the left side of the page, that allows the user to switch between the other pages applicable for the specific role type assigned to the logged in user.

The Product Data page is displayed below in Figure 14.

**Figure 14: Product Data page**
4.1 Product Information

The Product Information page displays all the existing product details in a tabular format for the selected Issuer. Users can sort the information by the Product ID, Product Name, Product Type, Individual/Small Group Market, Open/Closed. Users can select the View Data button to view additional information for the selected product as depicted below in Figure 15.

Figure 15: Product Information page
4.1.1 Product Information – View Data Details

The users can view and access the additional information for the selected product upon selecting the **View Data** button. The View Product Information page is depicted below in Figure 16.

**Figure 16: View Product Information page**

![View Product Information page](image-url)
4.1.2 Product Information – Edit Existing Product

The Submitter users can view and select the *Edit Product Information* button at the bottom of the page to edit certain fields on the View Product Information Page as depicted below in Figure 17.

CMS policy requires that issuers provide summary data for the Product Enrollment field for each quarter. This means that Submitter users should access the *Edit Product Information* button to provide updates after the change of the quarter in HIOS. Note that this change is normally performed during a maintenance window for the Rate and Benefits Information System (RBIS). If there are no changes to the quarterly enrollment numbers, a user may select the *No Issuer Data Updates Required* as described below in Download Data Template – No Issuer Data Updates Required – Section 5.4.
The user will be navigated to the Edit Product Information page upon selecting the *Edit Product Information* button.

The Edit Product Information page is depicted below in Figure 18.
Figure 18: Edit Product Information Page

Note that some fields shown above, such as Product ID and Product Type, are not editable in Plan Finder.
Below are the steps necessary to edit data shown on the Product Information page:

1. Enter data or edit existing data within the data fields.
2. Select one of the following buttons:
   a. **Submit** button: Submits the changes through for processing. Any validation errors will appear on the page and will have to be addressed before the web-editing request can be successfully processed.
   b. **Back to Product Information** button: Returns the user to the View Product Information page.

### 4.1.3 Product Information – Add New Product

The Issuer Submitter users have the ability to add new products by selecting **Add New Product** button under the Product Information page as depicted in Figure 19.

Figure 19: Add New Product button
The users will be navigated to the Add New Product page upon selecting the **Add New Product** button. The Add New Product page is depicted below in Figure 20.

**Figure 20: Add New Product Page**
Below are the steps necessary to enter data shown on the Add New Product page:

1. Enter new product data within the fields. A new Product ID will be automatically generated once the user selects Submit. Note: Products will be considered duplicate and display a validation error if they have the same combination of the following four Product fields:
   a. Product Name
   b. Product Market Type
   c. Product Type
   d. Active Status

2. Select one of the following buttons:
   a. **Submit** button: Submits the changes through for processing. Any validation errors will appear on the page and will have to be addressed before the web editing request can be successfully processed.
   b. **Reset** button: Erases any changed information and returns the data to its previous settings.
   c. **Back to Product Data** button: Returns the user to the Product Data page.

### 4.2 RBIS Input

The RBIS Input page displays all Issuer submitted open products from the last 12 months, their derived data elements, and the reasons behind the derived data elements. RBIS will intake this data before the information is published on [https://finder.healthcare.gov/](https://finder.healthcare.gov/). Closed products will not display on this page.

The users can sort the information by the Product ID, Product Name, Product Type, Individual/Small Group Market, Open/Closed.

The RBIS Input page is displayed below in Figure 21.
Figure 21: RBIS Input Page

Note: The product information displayed in the table below reflects the issuer submissions completed within the last 12 months. This information will be communicated to RBIS where additional RBIS suppression rules may apply before the information is published on Finder.Healthcare.gov.

<table>
<thead>
<tr>
<th>Product ID</th>
<th>Product Name</th>
<th>Website Address (Formulary)</th>
<th>Formulary Flag</th>
<th>Website Address (Provider Network)</th>
<th>URL Pending Quality Evaluation</th>
</tr>
</thead>
<tbody>
<tr>
<td>11082AK001</td>
<td>Aetna Preferred Provider Organization</td>
<td>No Link Provided</td>
<td>URL was not present</td>
<td>URL Pending Quality Evaluation</td>
<td></td>
</tr>
<tr>
<td>11082AK002</td>
<td>Aetna Preferred Provider Organization</td>
<td>No Link Provided</td>
<td>URL was not present</td>
<td>URL Pending Quality Evaluation</td>
<td></td>
</tr>
<tr>
<td>11082AK003</td>
<td>Aetna Fee for Service</td>
<td>No Link Provided</td>
<td>URL was not present</td>
<td>URL Pending Quality Evaluation</td>
<td></td>
</tr>
<tr>
<td>11082AK004</td>
<td>Aetna Preferred Provider Organization</td>
<td>No Link Provided</td>
<td>URL was not present</td>
<td>URL Pending Quality Evaluation</td>
<td></td>
</tr>
<tr>
<td>11082AK005</td>
<td>Aetna Fee for Service</td>
<td>No Link Provided</td>
<td>URL was not present</td>
<td>URL Pending Quality Evaluation</td>
<td></td>
</tr>
<tr>
<td>11082AK006</td>
<td>New Product</td>
<td>No Link Provided</td>
<td>URL was not</td>
<td>URL Pending Quality Evaluation</td>
<td></td>
</tr>
</tbody>
</table>
5 Download Data Template

The Download Data Template page allows the users to generate and download the latest Pre-Populated Issuer Data Template in Excel, or XSD File format. A user may also select the No Issuer Data Updates Required button using the new step wise process.

5.1 Download Data Template – Step 1

In Step 1, users can view (if only one Issuer ID is associated to the logged in user) or select the Issuer (if multiple issuers are associated to the logged in user) from the Issuer Name dropdown list and select NEXT button to move to the next step in the process as depicted below in Figure 22.

Figure 22: Download Data Template page – Step 1

5.2 Download Data Template – Step 2

Step 2 provides the users with technical instructions and submission options for Issuer data entry.

Users can download an XSD file upon selecting the Issuer Data XSD File link (Please refer to Section 5.6 for additional details) and navigate to the CCIIO home page upon selecting the Issuer Technical Instructions hyperlink where they can find instructions that detail how to submit Issuer Data.

Users have option to select either Yes to download the latest prepopulated Issuer Data Template in Excel or No Issuer Data Updates Required that indicates the data (including the Product Enrollment total) is acceptable as it currently exists and select NEXT button to move to the next step in the process.

The Download Data Options are depicted below in Figure 23.
5.3 Download Data Template – Step 3

If the option selected was Yes in the previous step, then in Step 3 users can generate the latest Pre-Populated Issuer Data Template in Excel by clicking the Generate File button (if they are generating it for the first time). The process of file generation will be triggered and the messages related to the stages of the generation (In Progress, Failed, Taking Longer Time to Generate) will be displayed as depicted below in Figure 24.
Once the file generation is completed, Submitter users can download the file by selecting the .XLSM link as displayed below in Figure 25.
Note: If the user had a previously generated file, the link will be displayed with the corresponding time stamp as depicted in the above Figure 25.

5.4 No Issuer Data Updates Required

If the Submitter user does not need to make updates to the Issuer data for the current quarter, they can select the **No Issuer Data Updates Required** option and select the **NEXT** button in Step 2 (please refer to Section 5.2). Selecting this option will indicate acceptance of the data as it currently exists.

Note: The **No Issuer Data Updates Required** button is enabled only for the Submitter users. If there are any data changes on the UI through Web Edits since the HIOS quarter has opened, those changes will still be reflected once the **No Issuer Data Updates Required** button has been selected.

The **No Issuer Data Updates Required** button is depicted below in Figure 26.
The Submitter users can select the **No Issuer Data Updates Required** button and a confirmation message will pop up as depicted below in Figure 27.

**Figure 27: Pop-Up Confirmation Message**

```
Confirmation

Please select the "OK" button to confirm that there are no Issuer data updates required for the current quarter: Q4, 2018 (Oct. 1 - Dec. 31). Otherwise select the "Cancel" button.

OK    CANCEL
```
If the Submitter user chooses the **OK** button, it indicates that they are accepting the data as it currently exists. A confirmation message will be displayed on the screen and the **No Issuer Data Updates Required** button will be disabled for the current HIOS quarter.

The on-screen Confirmation Message is displayed below in Figure 28.

**Figure 28: On Screen Confirmation Message**
5.5 Pre-Populated Issuer Template

Plan Finder will allow the Submitter user to upload a finalized version of the Issuer template file.

5.5.1 Excel Macro Settings

Computer configurations must be set to satisfy the following requirements for the Issuer Data Template to work properly:

1. Have Microsoft Excel 2010/ latest version installed on the user’s machine.
2. Enable the Excel standard toolbar.
3. Set the Excel macro security settings as follows:
   a. For Excel 2010/ latest version, set Excel macro security settings to “Disable all macros with notifications.”
      i. Select the File button in the upper left corner of the window.
      ii. Select the Options button at the bottom of the menu.
      iii. Select Trust Center on the left navigation pane.
      iv. Select Trust Center Settings.
      v. Select Macro Settings on the left navigation pane.
      vi. Select the radio button in front of Disable all macros with notifications.
      vii. Select OK.
      viii. When the workbook is opened, select the Options button and select Enable Content and select OK.

The Excel 2010 Enable Content message is displayed below in Figure 29.
5.5.2 Working Files versus Finalized Files

The Issuer Data Template will go through two versions of the workbook that serve different purposes throughout the process:

- **Working files** – These 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** – This is a new feature included in Plan Finder release 17. These files are read-only XML files created by a process called finalization, which modifies the format of working files to prepare them for submission to Plan Finder. These files have specific naming conventions that must be followed in order to be successfully submitted. The Validate and Finalize macros are built into the template.

The Issuer Data Template contains macro buttons and shortcut keys as displayed in Figure 30 below.

**Figure 30: Macro buttons on Excel Issuer Data Submission Template**
The following are the names of the buttons (from left to right):

- **Validate** (Shortcut: **CTRL + shift + V**) – This will perform the red circle and critical data validations.

- **Validate & Finalize** (Shortcut: **CTRL + shift + S**) – This function will perform the critical data validations and create the read-only finalized XML file.

- **Format & Print Preview** (Shortcut: **CTRL + shift + P**) – This function will format the workbook for printing and display the print preview screen.

Excel will allow the users to navigate and perform regular spreadsheet functions within the template. The following are a few special considerations to note:

- **Print** – Use the Print Preview function prior to printing the workbook to ensure the formatting is as preferred.
  - Use the standard Excel print icon or menu selection.
  - Select the **Format & Print Preview** button within each worksheet.

- **Cut/ Paste** – Do NOT use the Cut or Paste function in the Issuer Data Entry Form workbook as it will remove or overwrite the cell’s predefined formatting.

- **Delete** – Use the Delete key instead of the space bar to delete cell values from a cell.

### 5.5.3 Update and Finalize Pre-Populated Excel Template Data

The Pre-Populated Excel template will contain any Issuer General Information and Product Information that was previously submitted in Plan Finder. The template allows the Submitter user to add and update data as needed.

Below are the steps necessary to add/edit the Issuer Data:

1. Once a downloadable template file is present on the user’s computer, the user can select **Open** the file.
2. If the user has already updated the macro security settings in Excel as recommended in section 5.3.1 **Excel Macro Settings**, select **Open**.
3. If the user has not already updated the macro security settings in Excel as recommended, then:
   a. Select **Save**.
   b. Choose a file location and it is recommended not to change the name of the document at this point.
   c. When the save is complete, a pop-up window will appear asking to **Open** or **Cancel**. Select **Cancel**. Do not open the workbook.
   d. Open the Excel application to a blank workbook.
   e. Update the macro security settings as stated in section 5.3.1.
   f. Select the **Open** file icon on the standard toolbar or select **File** menu then **Open**.
   g. Locate the template file and select **Open**.
4. Select **Enable Content**.
The Excel 2010 Enable Content message is displayed below in Figure 31.

**Figure 31: Excel 2007/2010 Enable Content message**

```
You have opened this worksheet with your macro security setting too high.
This workbook will not work as intended and you will not be able to finalize the file in preparation for submission.
Please close this workbook and refer to the Technical Instructions for guidance on how to adjust your macro setting.
```

### 5.5.3.1 Issuer General Info Tab

Table 1 below includes the cell locations for each data entry field on the Issuer General Info tab along with appropriate values.

**Table 1: Issuer General Info Field Chart**

<table>
<thead>
<tr>
<th>Cell Location</th>
<th>Data</th>
<th>Valid Values</th>
</tr>
</thead>
<tbody>
<tr>
<td>C3</td>
<td>Issuer Legal Name</td>
<td>Users do not have the ability to edit this field in Plan Finder.</td>
</tr>
<tr>
<td>C4</td>
<td>Federal EIN</td>
<td>Users do not have the ability to edit this field in Plan Finder.</td>
</tr>
<tr>
<td>C5</td>
<td>NAIC Company Code</td>
<td>Users do not have the ability to edit this field in Plan Finder.</td>
</tr>
<tr>
<td>E3</td>
<td>State</td>
<td>Users do not have the ability to edit this field in Plan Finder.</td>
</tr>
<tr>
<td>E4</td>
<td>Market Coverage</td>
<td>Users do not have the ability to edit this field in Plan Finder.</td>
</tr>
<tr>
<td>E5</td>
<td>NAIC Group Code</td>
<td>Users do not have the ability to edit this field in Plan Finder.</td>
</tr>
<tr>
<td>G3</td>
<td>Issuer ID</td>
<td>Users do not have the ability to edit this field in Plan Finder.</td>
</tr>
<tr>
<td>G4</td>
<td>Issuer Marketing Name</td>
<td>Users do not have the ability to edit this field in Plan Finder.</td>
</tr>
<tr>
<td>C8</td>
<td>Address Line 1</td>
<td>Users do not have the ability to edit this field in Plan Finder.</td>
</tr>
<tr>
<td>C9</td>
<td>Address line 2</td>
<td>Users do not have the ability to edit this field in Plan Finder.</td>
</tr>
<tr>
<td>C10</td>
<td>City</td>
<td>Users do not have the ability to edit this field in Plan Finder.</td>
</tr>
<tr>
<td>C11</td>
<td>State</td>
<td>Users do not have the ability to edit this field in Plan Finder.</td>
</tr>
<tr>
<td>C12</td>
<td>Zip code</td>
<td>Users do not have the ability to edit this field in Plan Finder.</td>
</tr>
<tr>
<td>Cell Location</td>
<td>Data</td>
<td>Valid Values</td>
</tr>
<tr>
<td>---------------</td>
<td>------</td>
<td>--------------</td>
</tr>
<tr>
<td>E12</td>
<td>4 digit</td>
<td>Users do not have the ability to edit this field in Plan Finder.</td>
</tr>
<tr>
<td>C15</td>
<td>Individual Market</td>
<td>Users do not have the ability to edit this field in Plan Finder.</td>
</tr>
<tr>
<td>C16</td>
<td>Website address for Individual Market website</td>
<td>Enter the website address for the Individual Market. This field is only required if Individual Market question in cell C15 is Yes.</td>
</tr>
<tr>
<td>C17</td>
<td>Small Group Market</td>
<td>Users do not have the ability to edit this field in Plan Finder.</td>
</tr>
<tr>
<td>C18</td>
<td>Website address for Small Group Market website</td>
<td>Enter the website address for the Small Group Market. This field is only required if Small Group Market question is Yes in cell C17.</td>
</tr>
<tr>
<td>C21</td>
<td>Customer Service Local Number – Individual Market</td>
<td>Enter the local phone number for the Individual Market Customer Service, up to 15 characters. This field is only required if the user selected Individual or Both in the Market Coverage cell (E4).</td>
</tr>
<tr>
<td>C22</td>
<td>Customer Service Toll Free Number - Individual Market</td>
<td>Enter the toll-free number for the Individual Market Customer Service, up to 15 characters. Optional field.</td>
</tr>
<tr>
<td>C23</td>
<td>Customer TTY - Individual Market</td>
<td>Enter the phone number for the TTY for the Individual Market Customer Service, up to 15 characters. Optional field.</td>
</tr>
<tr>
<td>C24</td>
<td>Customer Website Address - Individual Market</td>
<td>Enter a valid website address for the Individual Market Customer Service. This field is only required if the user selected Individual or Both in the Market Coverage cell (E4).</td>
</tr>
<tr>
<td>E21</td>
<td>Customer Service Phone Number Extension - Individual Market</td>
<td>Enter the phone number extension for Individual Market Customer Service, up to 6 characters. Optional field.</td>
</tr>
<tr>
<td>H21</td>
<td>Customer Service Local Number – Small Group Market</td>
<td>Enter the local phone number for the Small Group Market Customer Service, up to 15 characters. This field is only required if the user selected Small Group or Both in the Market Coverage cell (E4).</td>
</tr>
<tr>
<td>H22</td>
<td>Customer Service Toll Free Number - Small Group Market</td>
<td>Enter the toll-free number for the Small Group Market Customer Service, up to 15 characters. Optional field.</td>
</tr>
<tr>
<td>H23</td>
<td>Customer TTY - Small Group Market</td>
<td>Enter the phone number for the TTY for the Small Group Market Customer Service, up to 15 characters. Optional field.</td>
</tr>
<tr>
<td>H24</td>
<td>Customer Website Address - Small Group Market</td>
<td>Enter a valid website address for the Small Group Market Customer Service. This field is only required if the user selected Small Group or Both in the Market Coverage cell (E4).</td>
</tr>
<tr>
<td>J21</td>
<td>Customer Service Phone Number Extension - Small Group Market</td>
<td>Enter the phone number extension for Small Group Market Customer Service, up to 6 characters. Optional field.</td>
</tr>
</tbody>
</table>

Enter up to 5 rows of rating information. The system will verify that at least one set of rating data is entered if C27 or C36 is Yes, indicating a rating company has rated the product in the Individual and/or Small Group market. Table 2 shows the required fields if either cell is Yes.
### Table 2: Market Rating Data

<table>
<thead>
<tr>
<th>Cell Location</th>
<th>Data</th>
<th>Valid Values</th>
</tr>
</thead>
<tbody>
<tr>
<td>C27</td>
<td>Individual Market rated by any rating company</td>
<td>Select Yes or No from the drop-down menu.</td>
</tr>
<tr>
<td>B29</td>
<td>Individual Market Rating Company</td>
<td>Select the rating company from the drop-down menu. This field is only required if C27 is Yes.</td>
</tr>
<tr>
<td>C29</td>
<td>Individual Market Rating type</td>
<td>Select the rating type from the drop-down menu. This field is only required if C27 is Yes.</td>
</tr>
<tr>
<td>D29</td>
<td>Individual Market Rating</td>
<td>Enter the rating. This field is only required if C27 is Yes.</td>
</tr>
<tr>
<td>E29</td>
<td>Individual Market Rating Company Other/Describe</td>
<td>Enter the rating company if Other/Describe is selected in cell B29.</td>
</tr>
<tr>
<td>F47</td>
<td>Individual Market Rating Type Other/Describe</td>
<td>Enter the rating type if Other/Describe is selected in cell C29.</td>
</tr>
<tr>
<td>C36</td>
<td>Small Group Market rated by any rating company</td>
<td>Select Yes or No from the drop-down menu.</td>
</tr>
<tr>
<td>B38</td>
<td>Small Group Market Rating Company</td>
<td>Select the rating company from the drop-down menu. This field is only required if the user selected Yes in cell C36.</td>
</tr>
<tr>
<td>C38</td>
<td>Small Group Market Rating type</td>
<td>Select the rating type from the drop-down menu. This field is only required if the user selected Yes in cell C36.</td>
</tr>
<tr>
<td>D38</td>
<td>Small Group Market Rating</td>
<td>Enter the rating. This field is only required if C36 is Yes.</td>
</tr>
<tr>
<td>E38</td>
<td>Small Group Market Rating Company Other/Describe</td>
<td>Enter the rating company if Other/Describe is selected in cell B38.</td>
</tr>
<tr>
<td>F38</td>
<td>Small Group Market: Rating Type Other/Describe</td>
<td>Enter the rating type if Other/Describe is selected in cell C38.</td>
</tr>
</tbody>
</table>

Note the values in Table 2 above are relevant to the first row of rating data for each market type. If additional ratings are added, the row numbers cited below for the entry of actual rating information will change (e.g., additional Individual ratings will be in rows 30 up to 33 and additional Small Group ratings will be in rows 39 up to 42).

### 5.5.3.2 Product Info Tab

Table 3 below includes the cell location for each data entry field on the Product Info tab, along with the appropriate values.
### Table 3: Product Info Field Chart

<table>
<thead>
<tr>
<th>Cell Location</th>
<th>Data</th>
<th>Valid Values</th>
</tr>
</thead>
<tbody>
<tr>
<td>B3</td>
<td>Product ID</td>
<td>This is a read-only field and should not be used.</td>
</tr>
<tr>
<td>C3</td>
<td>Product Name</td>
<td>Enter a product name.</td>
</tr>
<tr>
<td>D3</td>
<td>Enrollment code/Group Number</td>
<td>Enter the Enrollment code/Group Number given internally to this product.</td>
</tr>
<tr>
<td>E3</td>
<td>Product Type</td>
<td>Select product type from the drop-down menu.</td>
</tr>
<tr>
<td>F3</td>
<td>Other Product Type Description</td>
<td>Enter a product description. This field is only required if the user selected ‘Other/Describe’ for the product type.</td>
</tr>
<tr>
<td>G3</td>
<td>Association Product</td>
<td>Select Yes or No from the dropdown.</td>
</tr>
<tr>
<td>H3</td>
<td>Product Enrollment</td>
<td>Enter the total for product enrollment. CMS policy requires that issuers provide updates to this value on a quarterly basis.</td>
</tr>
<tr>
<td>I3</td>
<td>Individual or Small Group</td>
<td>Select Individual or Small Group from the drop-down list. This is editable only during new product creation.</td>
</tr>
<tr>
<td>J3</td>
<td>Website address (Benefit at a Glance)</td>
<td>Enter a website address for the description of benefits.</td>
</tr>
<tr>
<td>K3</td>
<td>Website address (Formulary)</td>
<td>Enter a website address for formulary information. Optional field.</td>
</tr>
<tr>
<td>L3</td>
<td>Website address (Provider Network)</td>
<td>Enter a website address if appropriate. If the product is an indemnity product, and therefore there is no corresponding Provider Network, please enter “Indemnity”.</td>
</tr>
<tr>
<td>M3</td>
<td>SERFF-Number</td>
<td>Enter the SERFF-Number. Optional field.</td>
</tr>
<tr>
<td>N3</td>
<td>Open or Closed?</td>
<td>Select Open or Closed from the drop-down menu.</td>
</tr>
</tbody>
</table>
| O3            | Closed Reason                       | Select a reason that the product is closed from the drop down. 
This field is only required if the user selected Closed in field N3. |
| P3            | Other Closed Reason                 | Enter a Closed Reason in this field. This field is only required if the user selected Other in field O3. |
| Q3            | Effective Start Date                | Enter the product’s Effective Start Date in the format of MM/DD/YY.         |
| R3            | Effective End Date                  | Enter the product’s Effective End Date in the format of MM/DD/YY. Optional field. |
| S3            | Approved Product                    | Select Yes or No from the drop-down menu.                                  |

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

#### 5.5.3.3 Validating the File

Fields highlighted in green on the Issuer Data Template are data entry fields. The cells are in a text format and allow for the Submitter to key in values.
Note: It is highly recommended to select values from the dropdown lists instead of keying in values. Keying in values may result in the value not being recognized and cause errors that can prevent successful submission.

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 type and format of data that can be entered. These rules appear in message boxes, called cell labels, which are shown when the cell is highlighted.

The Issuer Data Template with a cell label highlighted is displayed below in Figure 32.

The following are the steps to trigger the Template Validation process:

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

2. Select Validate.

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

Note: It is highly recommended to perform the validation process and resolve all issues prior to the Validate & Finalize step.

5.5.3.4 Saving the File

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

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

- A finalized save occurs when the “Validate & Finalize” function is invoked. Please refer to section 5.5.3.5: Finalizing the Issuer Data Entry Form for Submission below. This step is taken when the workbook is complete and ready for submission.
Note: After selecting **Save** or **Validate & Finalize**, the Microsoft Office Excel – Compatibility Checker message may appear. Uncheck the **Check compatibility when saving this workbook** checkbox and select **Continue**. The finalized file must be saved in the same Excel version used when downloading the Issuer Data Template.

The Microsoft Office Excel - Compatibility Checker message is displayed below in Figure 33.

![Figure 33: Microsoft Office Excel - Compatibility Checker](image)

### 5.5.3.5 Finalizing the Issuer Data Entry Form for Submission

Select the **Validate & Finalize** button to trigger the finalization process. When the finalization function is triggered, the system will check all required fields and critical validations and if validations are successful it will create an XML file for upload into Plan Finder.

If the file does not successfully pass all validation rules, an error message box will appear listing the cell location of each error and those fields will be circled in red. A list of critical errors is included in Appendix B, “Critical Errors.” Each error will have to be corrected before the file can be successfully validated and finalized.

Once all the errors have been corrected, the system will perform the validation and finalization process and create the read only XML file. The file will automatically be renamed using the **required naming convention** and saved in the designated location.

The required naming convention is as follows:

```
Final_<first20charactersofname>_<stateabbreviation>_<IssuerID><yyyymmdd><hhmmss>.xml
```

**NOTE:** Use of this naming convention is a requirement for a successful submission. If the name of the finalized file is modified, it will not be processed.
The following is an example of the required naming convention:

- Final_ACMEInsuranceCo_DC_12345_20190801_110834.xml

5.6 Submitter Role – Submissions Using the XSD File

The Issuer Data XSD file can be used to manually create an XML file template for submission to Plan Finder. The XSD file can be used with any XML editor software. Instructions for loading the file into the XML software will vary depending on the software being used. Please consult the directions for your specific XML editor for further details on how to load and edit the file.

5.6.1 Download XSD Template

On the Download Data Template page, users can select the Issuer Data XSD File link to download the XSD template for the selected Issuer (please refer to Download Data Template – Step 2 in Section 5.2). The file will be downloaded in a .zip file format to the user’s local computer.

The Download Data Template – XSD File is depicted below in Figure 34.
Figure 34: Download Data Template – XSD File

1. Select Issuer
   - Celtic Insurance Company-MO

2. Download Data Options
   - If you are submitting Issuer data, please select "Issuer Technical Instructions" to be redirected to the CCI10 Resources page. On the landing page, please select "Content Requirements for Plan Finder" to access the "Plan Finder Issuer User Manual" which provides details on filling the Excel template and XML file for submission. Please select "Issuer Data XSD File" to download the XSD file.
   - Note: In order to register a new Issuer, please do so through HIOS Portal.

   * Issuer Data XSD File (20CD .ZIP)
   * Issuer Technical Instructions

3. Issuer Data Submission
   - Do you want to download a prepopulated Issuer Data Template?
     - Yes
     - No Issuer Data updates required
Note that the exact display below may differ depending on the Internet browser being used and the configuration of the user’s computer. Figure 35 below is one possible example of how a user might Open or Save the `XML_Issuers.zip` file downloaded to their computer.

Figure 35: XSD Zip File window

5.6.2 Creating the XML File

Working versions of the .XML files can be named at the user’s discretion. The .XML filename used for submission will need to be changed (Save As) to the required naming convention.

The finalized file to be submitted must be in the following format to be accepted:

```
Final_<first20charactersofname>_<stateabbreviation>_<IssuerID><yyyymmdd><hhmmss>.xml
```

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

The following is an example of the finalized file format to be submitted:

- Final_ACMEInsuranceCo_DC_12345_20190801_110834.xml
6 Upload Data Template

The Upload Data Template page provides Submitter users with the ability to upload the finalized Issuer Data Template as depicted below in Figure 36.

Figure 36: Upload Finalized Data Template

Below are the steps necessary to upload a finalized template .XML file:

1. Select the **Browse** button and then locate the file and select **Add** button.
2. Select the **Submit** button. A confirmation message will be displayed when the file has been completely uploaded.

Once the files are successfully uploaded and processed, the system will generate an email message to the submission contacts confirming the successful submission. If there are any errors encountered during the file processing, the system will generate an email detailing the errors found within the file. The errors should be corrected before the user uploads a revised version of the finalized file.
7 Component IDs

A SCID (Standard Component ID) is the base identification of an insurance plan prior to it being submitted as an "On exchange", "Off exchange", or "Both" plan. The SCID is used to create the official Plan ID once it is processed by the receiving system (e.g., FFE PM, RBIS). It is comprised of the Issuer’s ID number, the Issuer’s state abbreviation, the Issuer’s three digit Product ID and a four digit sequence number as shown in the following example: 12345WA0010001.

The Standard Component ID Services (SCIS) was implemented as an independent set of services and enables CCIIO to have a single source for all Standard Component ID’s. Once generated, these IDs will be in consecutive order and used across any system using SCIDs.

Users can both view the existing Component IDs for their products per registered issuer and (Submitter users only) request additional Component IDs for their reported products.

The Component IDs page is displayed below in Figure 37.

Figure 37: Component IDs Page
7.1 View Component IDs

The View Component IDs page is displayed below in Figure 38.

Figure 38: View Component IDs page
Below are the steps necessary to view the existing component IDs registered for a specific product:

1. Select the Issuer desired from the Issuer Name drop down menu and select View Results. The products reported for that issuer will display in the Product(s) field.

2. Select the Product ID(s) desired from the Product(s) list box menu. Note that multiple Product IDs can be selected by using the Shift or Ctrl keys to highlight continuous lists or individual items.

3. Select the View Results button.

4. The Component IDs associated with each specific product will be displayed. If multiple Product IDs were selected, the Components IDs for each product will be listed under each product. The view for each Product ID can be expanded (to reveal the Component IDs) or compressed by selecting the row containing the Product ID and Product Name.

### 7.2 Request Component IDs

The Request Component IDs page is displayed below in Figure 39.

**Figure 39: Request Component IDs page**
Below are the steps necessary for a Submitter user to request additional Component IDs for a specific product:

1. Select the Issuer desired from the Issuer Name drop down menu.
2. Select the Product ID desired from the Product drop down menu.
3. Enter the number of additional Component IDs needed in the Number of IDs field. Users may request up to 50 IDs per request (enter value between 1 and 50).
4. Select the **Submit** button and a confirmation message will be displayed.
5. The additional component IDs associated with that specific product can be viewed on the View Component IDs page.
8 Submitter Role—Web Entry

The web entry screens are only viewable to Submitter users. The Submitter user can enter and edit data on the web user interface for certain data elements. Please reference the tables below for a complete list of editable fields.

Table 4: Issuer General Information Fields on Web Entry Interface

<table>
<thead>
<tr>
<th>Section</th>
<th>Field</th>
<th>User Editable</th>
</tr>
</thead>
<tbody>
<tr>
<td>Corporate Information</td>
<td>Issuer Legal Name</td>
<td>No</td>
</tr>
<tr>
<td>Corporate Information</td>
<td>State</td>
<td>No</td>
</tr>
<tr>
<td>Corporate Information</td>
<td>Issuer ID</td>
<td>No</td>
</tr>
<tr>
<td>Corporate Information</td>
<td>Issuer Marketing Name</td>
<td>No</td>
</tr>
<tr>
<td>Corporate Information</td>
<td>Market Coverage</td>
<td>No</td>
</tr>
<tr>
<td>Corporate Information</td>
<td>Federal EIN</td>
<td>No</td>
</tr>
<tr>
<td>Corporate Information</td>
<td>NAIC Company Code</td>
<td>No</td>
</tr>
<tr>
<td>Corporate Information</td>
<td>NAIC Group Code</td>
<td>No</td>
</tr>
<tr>
<td>Address</td>
<td>Address Line 1</td>
<td>No</td>
</tr>
<tr>
<td>Address</td>
<td>Address Line 2</td>
<td>No</td>
</tr>
<tr>
<td>Address</td>
<td>City</td>
<td>No</td>
</tr>
<tr>
<td>Address</td>
<td>State</td>
<td>No</td>
</tr>
<tr>
<td>Address</td>
<td>Zip</td>
<td>No</td>
</tr>
<tr>
<td>Individual and Small Group Market</td>
<td>Do you offer Individual Market?</td>
<td>No</td>
</tr>
<tr>
<td>Individual and Small Group Market</td>
<td>Individual Market website.</td>
<td>Yes</td>
</tr>
<tr>
<td>Individual and Small Group Market</td>
<td>Do you offer Small Group Market?</td>
<td>No</td>
</tr>
<tr>
<td>Individual and Small Group Market</td>
<td>Small Group Market website.</td>
<td>Yes</td>
</tr>
<tr>
<td>Customer Service Contact – Individual Market</td>
<td>Local Number</td>
<td>Yes</td>
</tr>
<tr>
<td>Customer Service Contact – Individual Market</td>
<td>Extension</td>
<td>Yes</td>
</tr>
<tr>
<td>Customer Service Contact – Individual Market</td>
<td>Toll Free Number</td>
<td>Yes</td>
</tr>
<tr>
<td>Customer Service Contact – Individual Market</td>
<td>TTY:</td>
<td>Yes</td>
</tr>
<tr>
<td>Customer Service Contact – Individual Market</td>
<td>Website</td>
<td>Yes</td>
</tr>
<tr>
<td>Customer Service Contact – Small Group Market</td>
<td>Local Number</td>
<td>Yes</td>
</tr>
<tr>
<td>Customer Service Contact – Small Group Market</td>
<td>Extension</td>
<td>Yes</td>
</tr>
<tr>
<td>Customer Service Contact – Small Group Market</td>
<td>Toll Free Number</td>
<td>Yes</td>
</tr>
</tbody>
</table>
## Table 5: Marketplace General Information Fields on Web Entry Interface

<table>
<thead>
<tr>
<th>Section</th>
<th>Field</th>
<th>User Edits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Corporate Information</td>
<td>Issuer Legal Name</td>
<td>No</td>
</tr>
<tr>
<td>Corporate Information</td>
<td>Issuer Marketplace Marketing Name</td>
<td>Yes</td>
</tr>
<tr>
<td>Corporate Information</td>
<td>Market Coverage</td>
<td>No</td>
</tr>
<tr>
<td>Corporate Information</td>
<td>State</td>
<td>No</td>
</tr>
<tr>
<td>Marketplace Billing Information</td>
<td>Marketplace Billing Name</td>
<td>Yes</td>
</tr>
<tr>
<td>Marketplace Billing Information</td>
<td>Marketplace Address Line 1</td>
<td>Yes</td>
</tr>
<tr>
<td>Marketplace Billing Information</td>
<td>Marketplace Address Line 2</td>
<td>Yes</td>
</tr>
<tr>
<td>Marketplace Billing Information</td>
<td>Marketplace City</td>
<td>Yes</td>
</tr>
<tr>
<td>Marketplace Billing Information</td>
<td>Marketplace State</td>
<td>Yes</td>
</tr>
<tr>
<td>Marketplace Billing Information</td>
<td>Marketplace Zip (5 digits)</td>
<td>Yes</td>
</tr>
<tr>
<td>Marketplace Billing Information</td>
<td>Marketplace Zip Extension (4 digits)</td>
<td>Yes</td>
</tr>
<tr>
<td>Customer Service Contact – Individual Market</td>
<td>IFP Customer Service Phone</td>
<td>Yes</td>
</tr>
<tr>
<td>Section</td>
<td>Field</td>
<td>User Edits</td>
</tr>
<tr>
<td>----------------------------------------------</td>
<td>-----------------------------------------------------------------------</td>
<td>------------</td>
</tr>
<tr>
<td>Customer Service Contact – Individual Market</td>
<td>IFP Customer Service Phone Extension (Max 6 digits)</td>
<td>Yes</td>
</tr>
<tr>
<td>Customer Service Contact – Individual Market</td>
<td>IFP Customer Service Toll Free</td>
<td>Yes</td>
</tr>
<tr>
<td>Customer Service Contact – Individual Market</td>
<td>IFP Customer Service TTY</td>
<td>Yes</td>
</tr>
<tr>
<td>Customer Service Contact – Individual Market</td>
<td>IFP Customer Service URL</td>
<td>Yes</td>
</tr>
<tr>
<td>Customer Service Contact – Small Group Market</td>
<td>SHOP Customer Service Phone</td>
<td>Yes</td>
</tr>
<tr>
<td>Customer Service Contact – Small Group Market</td>
<td>SHOP Customer Service Phone Extension (Max 6 digits)</td>
<td>Yes</td>
</tr>
<tr>
<td>Customer Service Contact – Small Group Market</td>
<td>SHOP Customer Service Toll Free</td>
<td>Yes</td>
</tr>
<tr>
<td>Customer Service Contact – Small Group Market</td>
<td>SHOP Customer Service TTY</td>
<td>Yes</td>
</tr>
<tr>
<td>Customer Service Contact – Small Group Market</td>
<td>SHOP Customer Service URL</td>
<td>Yes</td>
</tr>
</tbody>
</table>
Table 6: Product Information Fields on Web Entry Interface

<table>
<thead>
<tr>
<th>Section</th>
<th>Field</th>
<th>User Edits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Product Information</td>
<td>Product ID</td>
<td>No</td>
</tr>
<tr>
<td>Product Information</td>
<td>Product Name</td>
<td>No</td>
</tr>
<tr>
<td>Product Information</td>
<td>Product Enrollment</td>
<td>Yes</td>
</tr>
<tr>
<td>Product Information</td>
<td>Enrollment Code / Group Number</td>
<td>Yes</td>
</tr>
<tr>
<td>Product Information</td>
<td>Approved Product</td>
<td>Yes</td>
</tr>
<tr>
<td>Product Information</td>
<td>SERFF Number</td>
<td>Yes</td>
</tr>
<tr>
<td>Product Information</td>
<td>Product Type</td>
<td>No</td>
</tr>
<tr>
<td>Product Information</td>
<td>Open or Closed</td>
<td>Yes</td>
</tr>
<tr>
<td>Product Information</td>
<td>Closed Reason</td>
<td>Yes</td>
</tr>
<tr>
<td>Product Information</td>
<td>Other Closed reason</td>
<td>Yes</td>
</tr>
<tr>
<td>Product Information</td>
<td>Association Product</td>
<td>Yes</td>
</tr>
<tr>
<td>Product Information</td>
<td>Individual or Small Group Market</td>
<td>No</td>
</tr>
<tr>
<td>Product Information</td>
<td>Website Address (Benefit at a Glance)</td>
<td>Yes</td>
</tr>
<tr>
<td>Product Information</td>
<td>Effective State Date</td>
<td>Yes</td>
</tr>
<tr>
<td>Product Information</td>
<td>Website Address (Provider)</td>
<td>Yes</td>
</tr>
<tr>
<td>Product Information</td>
<td>Effective End Date</td>
<td>Yes</td>
</tr>
<tr>
<td>Product Information</td>
<td>Website Address (Formulary)</td>
<td>Yes</td>
</tr>
</tbody>
</table>
9 Validator Role – Data Validation

Once the Issuer data has been successfully submitted and processed, Validator users are responsible for checking all submitted data to ensure accuracy of the data.

Below are the steps necessary to validate the issuer data:

1. Select an Issuer Name from the dropdown and select **Get Issuer Information**.
2. Read the Issuer Validation message and select the appropriate radio button for the validation status.
3. Select the **Submit** button.
4. The system will display a confirmation message on top of the page upon successful validation completion as depicted in Figure 40 below.
Figure 40: Issuer Validation Message

**Validate Issuer Data**

Please note, a field with an asterisk (*) before it is a required field.

**Select an Issuer**

Please select an Issuer from the Issuer Name dropdown menu below and then activate the "Get Issuer Information" button to view the Issuer Submission Information.

- Issuer Name
  - Kaiser Foundation Health Plan Mid-Atlantic-DC

**Get Issuer Information**

**Submission Uploaded Date**
11/26/2012 01:43:00 PM

**Product Data for Quarter**
Q3, 2012 [Jul. 1 - Sept. 30]

**Data Last Validated By**
Ranjitha Srinidhi on 02/26/2013 01:33:48 PM as "Data displayed is accurate and needs no change."

I validate that I have examined the Issuer General Information and associated Product Data for my organization. The data is accurate and it satisfies the current template parameters to the best of knowledge and belief. I further validate that our submission as a whole to HIOS represents all products that are offered by this organization that are open for enrollment or closed but still have at least one enrollee. I also understand that if I do not approve the data, HHS may still display the information I have previously provided.

* If you wish to validate then you must select a radio button before choosing Submit

- Data displayed is accurate and does not need to be changed
- Data displayed is inaccurate and needs to be changed

SUBMIT
The system shall display an error message on the top of the page as shown in Figure 41, if the user selects the **Submit** button without selecting one of the Issuer Validation options (radio buttons).

**Figure 41: Issuer Validation Error message**
10 State User Role – Read-Only Access

The State user can navigate through all Issuer data however, they do not have the option to edit or request additional Component IDs (Please refer to Section 2.1.4 for additional information).

10.1 Issuer Aggregate Reports

The Issuer Aggregate Reports page provides access to aggregate data reports, based on data from all Issuers within the state.

The Issuer Aggregate Reports link is displayed below in Figure 42.

Figure 42: State User – Issuer Aggregate Reports Link

10.1.1 Issuer Aggregate Reports – Report Generation

When generating the aggregate reports, the State users can select one, multiple, or all Issuers from the list box. Selecting the View Results button will display the following data for selected Issuer(s):

- Products Per Issuer
- Enrollment Data
- Product Data
The Product Per Issuer results are displayed below in Figure 43.

**Figure 43: State User - Product Per Issuer Page**
10.1.2 Excel Export of Issuer Data

By navigating to the Excel Export of Issuer Data, State users can generate the latest Pre-Populated “Excel Export of Issuer Data” for the selected Issuer(s) by selecting the Generate File button (if they are generating it for the first time). The process of file generation is triggered and the messages related to the stages of the generation (In Progress, Failed, Taking Longer Time to Generate) are displayed and depicted below in Figure 44.

Once the file generation is completed, users can download the file by selecting the available link as displayed below in Figure 45.
Figure 44: Excel Export of Issuer Data

Note: If the user had a previously generated file, the link would be displayed with the time stamp as depicted in the above Figure 45.
Figure 45: Issuer Aggregate Reports - Download File

Issuer Aggregate Reports

Please note, a field with an asterisk (*) before it is a required field.

Select Issuer(s)

Select "View Results" button to display results for the selected Issuer(s). The "Excel Export of Issuer Data" tab will provide the ability to generate latest data for these Issuer(s).

* Issuer name

000000038-test-NY
123456006 Test1-NY
123456106 Test1-NY
123456206 Test1-NY
ADVANTAGE Health Solutions, Inc-NY

Select All
Select None

Note: Hold down the "ctrl" key to select multiple issuers from the list box.

VIEW RESULTS

Product Per Issuer  Enrollment Data  Product Data Excel Export of Issuer Data

Please select the "Generate File" button to generate an Excel template, pre-populated with the latest data for the selected Issuer(s).

GENERATE FILE

Download File

Issuer Data Extract Report.xlsm (147KB, XLSM)

Last generated on 03/28/2019 10:36:38 AM, based on the selected Issuer(s).
11 Frequently Asked Questions (FAQ’s)

**Table 7: Frequently Asked Questions**

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>My issue is not listed in this manual. Whom can I contact?</td>
<td>• For additional assistance, please call the CMS Help Desk, Exchange Marketplace Service Desk (MSD) at 1-855-CMS-1515 or email them at <a href="mailto:CMS_FEPS@CMS.HHS.gov">CMS_FEPS@CMS.HHS.gov</a>.</td>
</tr>
<tr>
<td></td>
<td>• MSD hours of operation are from 9:00 a.m. – 6:00 p.m. EST Monday thru Friday (not including federal government observed holidays or closures).</td>
</tr>
</tbody>
</table>
12 Appendix A – Required Fields

A list of the required fields are provided below.

12.1 Issuer General Info Worksheet:

- If Individual Market is covered, the following fields are required:
  - Individual Market Website
  - Individual Market Customer Service Local Phone Number
  - Individual Market Customer Service Website

- If Small Group Market is covered, the following fields are required:
  - Small Group Market Website
  - Small Group Market Customer Service Local Phone Number
  - Small Group Market Customer Service Website

- Individual Market – Is the Issuer rated?
- If the Individual Market offerings have been rated, the following fields are required:
  - Rating Company
    - Rating Company Other/Describe, if Rating Company is Other/Describe
  - Rating Type
    - Rating Type Other/Describe, if “Rating Type” is Other/Describe
  - Rating

- Small Group Market – Is the Issuer rated?
- If the Small Group Market offerings have been rated, the following fields are required:
  - Rating Company
    - Rating Company Other/Describe, if Rating Company is Other/Describe
  - Rating Type
    - Rating Type Other/Describe, if “Rating Type” is Other/Describe
  - Rating
12.2 Product Info Worksheet:

- Product Name
- Product Type
- Association Product
- Product Enrollment
- Individual or Small Group Market (Editable for new products)
- Website address (Benefit at a Glance)
- Website address (Provider Network)
- Open or Closed?
  - Closed Reason, if “Open or Closed?” is Closed
    - Other Closed Reason, if “Closed Reason” is Other
- Effective Start Date
- Effective End Date
- Approved Product
13 Appendix B – Critical Errors

Critical errors are outlined below.

1. Field Validations: Refer to Appendix A – Required Fields. The file templates will indicate missing required fields. The templates will not successfully complete Validate and Finalize until all field validation errors have been addressed.
   a. Note: Some required fields, such as conditionally required fields or omissions will not prevent an .XML file finalization and submission; however, the file submission will fail and generate an email with errors.

2. Attestation CEO and Attestation CFO Contacts cannot be the same person. At least one of the attestation contacts must be completed; the other can be blank.

3. Attestation contacts cannot be any type of submission or validation contact for the same Issuer. The file submission will fail and generate an email with an error.

4. Data submission and validation contacts should not all be the same person. There must be at least two contacts for the Issuer, not including the attestation contact.

5. If the submission user’s User ID (email address) is not an existing submission contact, the file submission will fail and generate an email with an error.

6. If the submission user’s User ID (email address) is an existing submission contact but their contact information is not listed as a continuing submission contact on the file being submitted, the file submission will fail and generate an email with an error.

7. If the XML file does not have the proper naming convention, the file submission will fail and generate an email with an error.

8. For XML submissions, any of these validations failures will cause the file submission to fail and an email to be generated with an error:
   a. The appropriate Customer Service phone number and website are not entered for the correct market type.
   b. Contact information (first name, last name, contact phone number, and email address) for the appropriate market type are not entered.
   c. If the Product’s Effective End Date is before the Effective Start Date.
   d. If an invalid URL format is entered into any of the website address.
   e. If an invalid email address format is entered into any of the email address fields.
   f. Invalid characters are present in the address, marketing name or user entered fields.