



**Centers for Medicare & Medicaid  
Services**

**Center for Consumer Information and  
Insurance Oversight (CCIIO)**

**ACA Transitional Reinsurance Program  
Supporting Documentation Job Aid Manual**

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## 1 Overview

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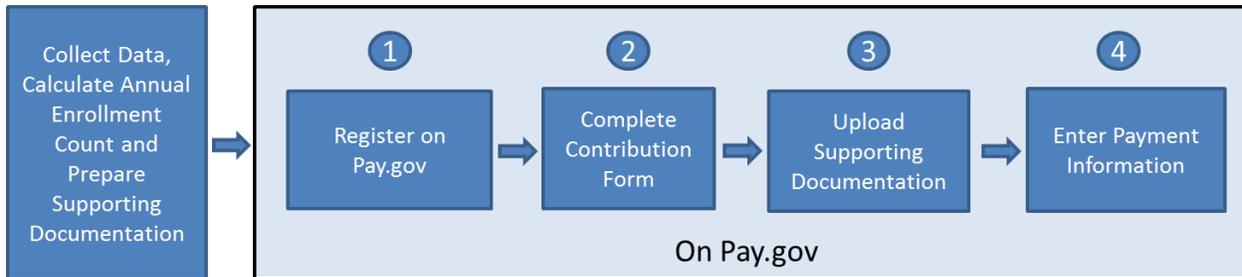
Section 1341 of the Affordable Care Act established a Transitional Reinsurance Program to stabilize premiums in the individual market inside and outside of the Marketplaces. For the 2014, 2015 and 2016 Benefit (Calendar) Years, the Transitional Reinsurance Program collects contributions from health insurance issuers and certain self-insured group health plans (Contributing Entities) to fund reinsurance payments to issuers of non-grandfathered reinsurance-eligible individual market plans, the administrative costs of operating the reinsurance program, and the General Fund of the U.S. Treasury.

The Center for Consumer Information and Information Oversight (CCIIO) at the Department of Health and Human Services' (HHS) Centers for Medicare & Medicaid Services (CMS) implemented a streamlined process for the collection of contributions due for the Affordable Care Act's (ACA) Transitional Reinsurance Program. A Contributing Entity, or a Third Party Administrator (TPA) or Administrative Services-only (ASO) contractor on behalf of the Contributing Entity, can complete all required steps for the ACA Transitional Reinsurance Contributions Process on the Pay.gov website at <https://www.pay.gov> by submitting the 'ACA Transitional Reinsurance Annual Enrollment and Contribution Submission Form' (the Form) via Pay.gov.

The Transitional Reinsurance Program also requires a Contributing Entity's Annual Enrollment Count in Supporting Documentation to be submitted with the Form. The Job Aid referenced in this manual is designed to support Reporting Entities in the creation of the Supporting Documentation. The Job Aid is an MS Excel workbook that allows users to enter, validate and convert Contributing Entity information into a Comma Separated Value (CSV) file format.

This document will enable a Contributing Entity, or a TPA or ASO contractor on behalf of the Contributing Entity, to use the Job Aid and create the Supporting Documentation required to complete step 3 of the required steps for the reinsurance contributions process as shown in Figure 1. A Contributing Entity, or a Third Party Administrator (TPA) or Administrative Services-only (ASO) contractor on behalf of the Contributing Entity, has the ability to type information directly into the Job Aid or to paste data from another source. After entering data and reviewing it for accuracy, users can run an error check and create the CSV file that must be uploaded with the Form on Pay.gov.

**Figure 1: Transitional Reinsurance Process Overview**



For the purposes of this document, the entity completing the process will be referred to as the 'Reporting Entity'. We define a Reporting Entity as a Contributing Entity, or a TPA, ASO contractor, or any other party filing the reinsurance contribution on behalf of a Contributing Entity.



For additional information regarding the Transitional Reinsurance Program contribution submission process, including the Supporting Documentation file layout requirements, go to: <https://www.regtap.info>, select 'Library', and then Filter by Program Area: 'Reinsurance-Contributions.'

## 2 Instructions for Enabling Macros in the Job Aid

### 2.1 Confirm Your Macros Are Not Enabled

If you open the Job Aid workbook and the first page you see is a Start Message screen, it means that macros are not enabled. MS Excel requires that you confirm the source of the Excel file by explicitly enabling macros to prevent users from inadvertently downloading harmful Excel files from unknown sources.



For the Job Aid to work correctly, you must enable macros.

If you open the Job Aid workbook and the first page you see is the Data Entry Worksheet, this means your macros are enabled.

### 2.2 Enable Macros

To establish a Trusted Location that will allow you to continue to work with the Job Aid by enabling macros for all files in the defined location, follow the steps below.

### For Excel 2007

1. Set/confirm the global macro security setting for your computer:
  - a) Click the 'Office' button and select 'Excel Options.'
  - b) Select 'Trust Center,' 'Trust Center Settings,' then 'Macro Settings.'
  - c) Select 'Disable all macros with notifications.'
2. Enable macros for the Job Aid:
  - a) Select the 'Options' button and select 'Enable this content.'

### For Excel 2010

1. Set/confirm the global macro security setting for your computer:
  - a) Click 'File' and select 'Options.'
  - b) Select 'Trust Center,' 'Trust Center Settings,' then 'Macro Settings.'
  - c) Select 'Disable all macros with notifications.'
2. Enable macros for the Job Aid by setting up a Trusted Location on your computer where the Job Aid will run:
  - a) From the 'Trust Settings' screen, click 'Trusted Locations.'
  - b) Select 'Add New Location.'
  - c) Browse to the path where you plan to store and run the Job Aid, and select 'OK.'



If you see the 'Security Warning' in the yellow banner at the top of your screen, click on the button 'Enable Content.' This should take you to the Data Entry Worksheet screen.

## 3 Instructions for Completing the Job Aid

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### 3.1 Enter Reporting Entity Information

Enter Reporting Entity Information, as shown in Figure 2.



You must enter Reporting Entity information before entering any other data into the Job Aid.

**Figure 2: Enter Reporting Entity Information**

<b>Reporting Entity Information:</b>	
Legal Business Name (LBN)	Great Farms Insurance <b>1</b>
Federal Tax ID Number (TIN)	82-7654931 <b>2</b>
Type of Payment	Combined Collection <b>3</b> Combined Collection Two-Part Collection

1. Enter the Reporting Entity Legal Business Name (LBN). Do not enter any special characters, which include: \* < > \ / % ^ ` { } ~ [ ] ! & + = ? , # “
2. Enter the Reporting Entity Federal Tax Identification Number (TIN) as NN-NNNNNNN.



The data entered in this section will auto-populate the Reporting Entity LBN and Reporting Entity TIN columns of the Job Aid, so no repeated entry of the Reporting Entity information is necessary. This will ensure consistency of the Reporting Entity information throughout the Job Aid.

3. Select the Type of Payment (Combined Collection or Two-Part Collection) from the drop-down menu.



This will enable the Job Aid to monitor the sum of all Annual Enrollment Counts in the file against the limit for each of the payment types.

### 3.2 Set User Controls

You can check for errors as you enter data (the default setting) or turn off error checking, as shown in Figure 3, if you choose to run a batch error check after entering the data, but prior to creating the CSV file.

**Figure 3: Set User Controls**

<b>User Controls:</b> (select or double click on cell below to initiate action)	
<b>1</b>	Turn Error Checking Off
	Run Data Validation
	Create CSV File

1. Under User Controls, select or double-click the cell to turn error checking off.



If you are copying and pasting data into the Job Aid, it is recommended that you turn off automatic error checking and run Data Validation after entering all data, and prior to creating the CSV file.

See *Section 4: Troubleshooting* for a description of error and warning messages that will display if your data has an invalid value, is in an invalid format, or has a value that requires a user notification.

### 3.3 Enter Contributing Entity Information

You have the option to enter data manually row-by-row or copy and paste the information into the Contributing Entity information fields listed across the Job Aid. The Record Number, Reporting Entity Legal Business Name, and Federal Tax ID Number (TIN) will populate automatically from the Reporting Entity Information you entered in *Section 3.1: Enter Reporting Entity Information*, as shown in Figure 4.

**Figure 4: Pre-filled Record Number and Reporting Entity Information**

Record Number (pre-filled)	Reporting Entity Legal Business Name (LBN) (pre-filled)	Federal Tax ID Number (TIN) (pre-filled)
1	Great Farms Insurance	82-7654931
2	Great Farms Insurance	82-7654931

To enter data manually row-by-row, follow the steps as shown in Figure 5 through Figure 7.

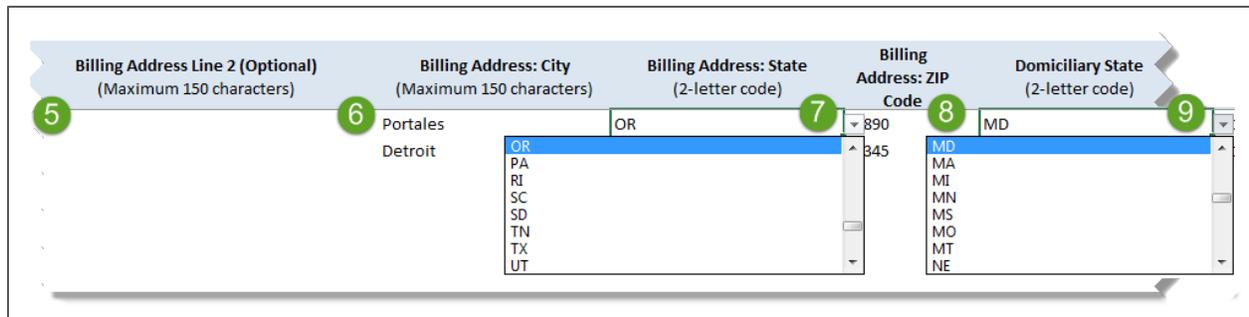
**Figure 5: Enter Contributing Information, Steps 1-4**

Contributing Entity Legal Business Name (LBN) (Maximum 150 characters)	Federal Tax ID Number (TIN) (nn-nnnnnnn)	Organization Type (For Profit or Nonprofit)	Billing Address Line 1 (Maximum 150 characters)
1 Samson Electronics	2 01-2010101	3 For Profit	4 W Pennsylvania Avenue
Red Wing Auto Parts	01-20	Nonprofit For Profit	5 45th Street

1. Enter the Contributing Entity Legal Business Name.
2. Enter the Contributing Entity Federal Tax Identification Number.
3. Select the Contributing Entity Organization Type from the drop-down menu.

4. Enter the Contributing Entity Billing Address – Line 1.<sup>1</sup>

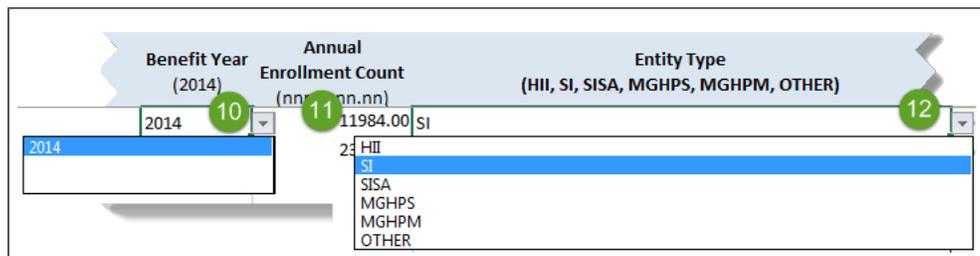
**Figure 6: Enter Contributing Entity Information, Steps 5-9**



Billing Address Line 2 (Optional) (Maximum 150 characters)	Billing Address: City (Maximum 150 characters)	Billing Address: State (2-letter code)	Billing Address: ZIP Code	Domiciliary State (2-letter code)
	Portales Detroit	OR	890 845	MD

5. Enter the Contributing Entity Billing Address – Line 2 (Optional).
6. Enter the Contributing Entity Billing Address City.
7. Select the Contributing Entity Billing Address State from the drop-down menu.
8. Enter the Contributing Entity Billing Address Zip Code plus 4.
9. Select the Contributing Entity Domiciliary State from the drop-down menu.

**Figure 7: Enter Contributing Entity Information, Steps 10-12**



Benefit Year (2014)	Annual Enrollment Count (nn, nn.nn)	Entity Type (HII, SI, SISA, MGHPS, MGHPM, OTHER)
2014	11984.00	SI

10. Select the Benefit Year from the drop-down menu.
11. Enter the Annual Enrollment Count.
12. Select the Type of Contributing Entity from the drop-down menu.

For each Contributing Entity row entered into the Job Aid, the Record Status (Complete or Incomplete), the status of the TIN for the Contributing Entity (Unique or Duplicate), and Error/Warning Status (Error or Blank) will auto-populate based on the status of the Contributing Entity information you entered, as shown in Figure 8.

<sup>1</sup> The Contributing Entity Billing Address should be the physical address of the Contributing Entity unless the U.S. Postal Service does not provide carrier delivery to the physical address or business location. In this case, the Contributing Entity Billing Address can be a P.O. Box address.

**Figure 8: Pre-filled Record Status, TIN Status, and Error/Warning Status**

Record Status (pre-filled)	Contrib Entity Unique TIN? (pre-filled)	Error/Warning Status (pre-filled)
Complete	Unique	Error
Complete	Unique	Error

To enter data by copying and pasting information, select the first cell under Contributing Entity Legal Business Name and copy across the columns, as shown in Figure 9.

**Figure 9: Copy and Paste Contributing Entity Information**

Contributing Entity Legal Business Name (LBN) (Maximum 150 characters)	Federal Tax ID Number (TIN) (nn-nnnnnn)	Organization Type (For Profit or Nonprofit)	Billing Address Line 1 (Maximum 150 characters)

### 3.4 Save Your Work & Check Your Data Entry Status

- Save your content in the Job Aid as an .xlsm file. You can close your file and come back to it later as needed.
- The Data Entry Status section on the Job Aid monitors the total records entered, total completed records, sum of Annual Enrollment Counts, and file size, as shown in Figure 10.

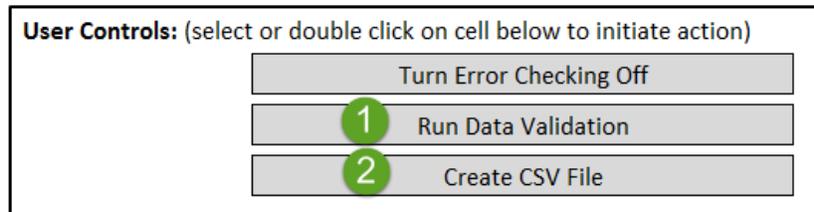
**Figure 10: Data Entry Status**

<b>Data entry status:</b>	
Records entered:	Total = 2, Complete = 0
Sum of annual enrollment (maximum 1,587,301.58):	35,443.58

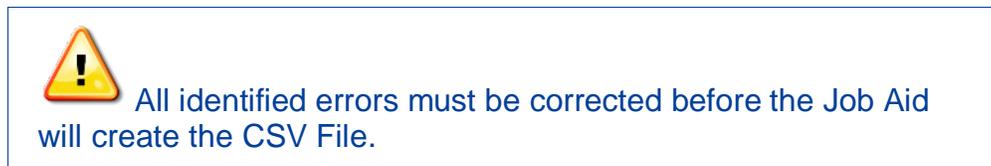
### 3.5 Validate and Create the CSV File

You have the option to run the Validation Check before creating the CSV File, as shown in Figure 11. When copying and pasting data into the Job Aid, it is recommended that you turn automatic error checking off and run Data Validation after pasting the data, but prior to creating the CSV File.

**Figure 11: Validate and Create the CSV File**



1. Under User Controls, select the cell or double-click to Run Data Validation.
  - A dialogue box displays a summary of the errors, with the option to display the first field that has an invalid value or format or to close the dialogue box and begin manual correction.
2. Under User Controls, select the cell or double-click to Create the CSV File.
  - The workbook displays all relevant records that still contain an error.
  - An auto-format message displays all of the fields that were auto-formatted to meet requirements.



See *Section 4: Troubleshooting* for a description of error and warning messages that will display if your data has an invalid value, is in an invalid format, or has a value that requires a user notification.

## 4 Troubleshooting, Errors and Warnings

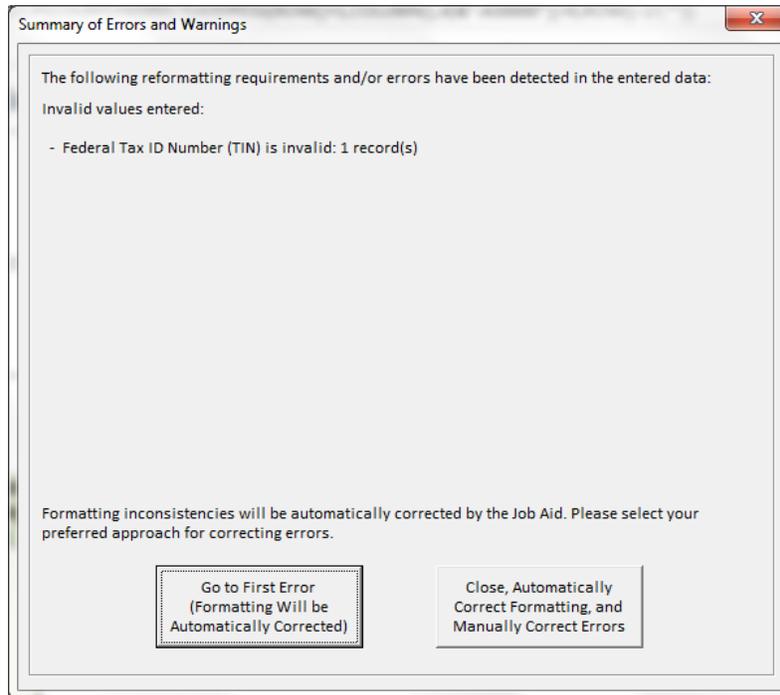
Error and warning messages display when your data has an invalid value, is in an invalid format, or requires a user notification.

### 4.1 Errors that Require Manual Revision

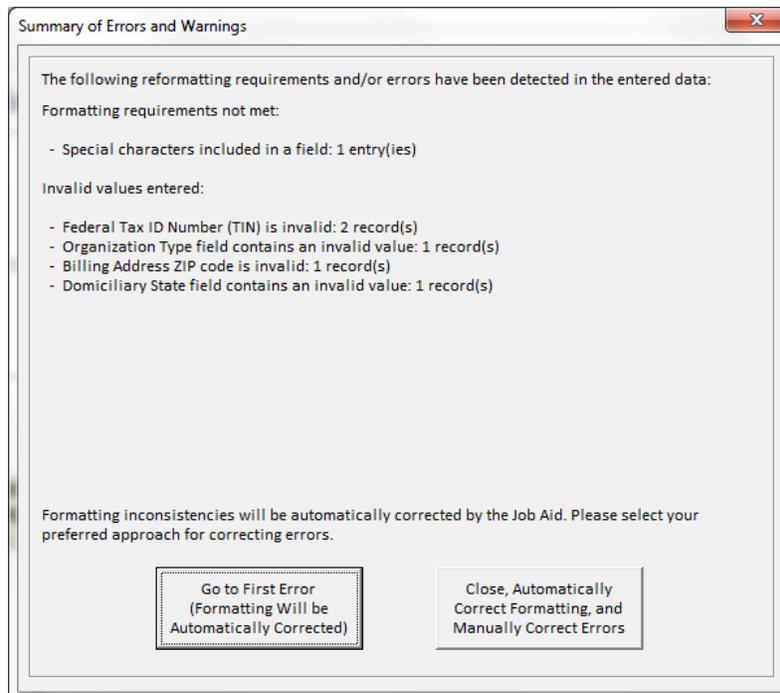
Some errors trigger an error message and require a manual revision.

- If error checking is turned on, an error message displays when you navigate from the row that contains the error, as shown in Figure 12.
- If error checking is turned off, a summary of errors displays when you run the Data Validation, as shown in Figure 13.

**Figure 12: Sample Single Error Message**



**Figure 13: Sample Summary of Errors Message**



The following scenarios trigger an error that requires manual revision:

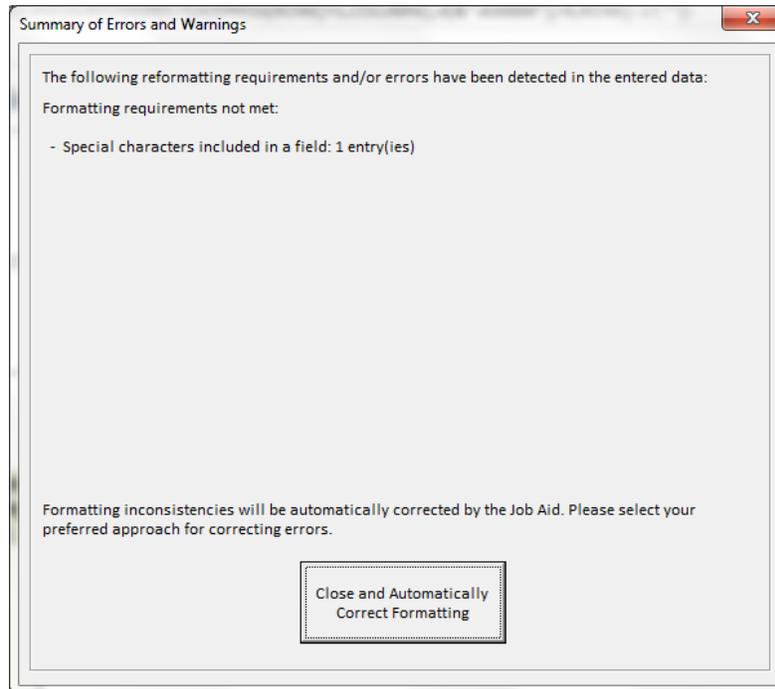
- The size of the workbook exceeds 2MB.
- The total value of the Annual Enrollment Count field(s) exceeds 1,904,761.90 and the user has selected Two-Part Collection for Type of Payment.
- The total value of the Annual Enrollment Count field(s) exceeds 1,587,301.58 and the user has selected Combined Collection for Type of Payment.
- A required field is blank in any row that has data.
- The Reporting Entity Legal Business Name and Federal Tax ID Number is not the same for every row of completed information.
- The Reporting Entity Legal Business Name, Contributing Entity Legal Business Name, Contributing Entity Billing Address (Line 1 and 2), and/or Contributing Entity Billing Address City exceed 150 characters.
- The Reporting Entity Federal Tax ID Number and/or Contributing Entity Tax ID Number has an unknown or non-conforming value, has an invalid leading character, has a hyphen in an incorrect position, and/or is less than nine (9) numerical characters.
- The Contributing Entity Organization Type field has a value other than 'For Profit' or 'Non-Profit.'
- The Contributing Entity Billing Address and/or Domiciliary Address State Abbreviation (state postal code) field is not a valid two-letter state abbreviation.
- The Contributing Entity Billing Address Zip Code plus four (4) is not five-digits or nine-digits.
- The Benefit Year field is not '2014,' '2015,' or '2016.'
- The Annual Enrollment Count field is not a numeric value with two (2) places beyond the decimal point.
- The Type of Contributing Entity field is not 'HII,' 'SI,' 'SISA,' 'MGHPS,' 'MGHPM,' or 'OTHER.' (For a full description of the Type of Contributing Entity field, please see the ACA Transitional Reinsurance Program Annual Enrollment and Contribution Submission Form Instructions available at <https://www.regtap.info>).

## 4.2 Formatting Errors the Job Aid Automatically Corrects

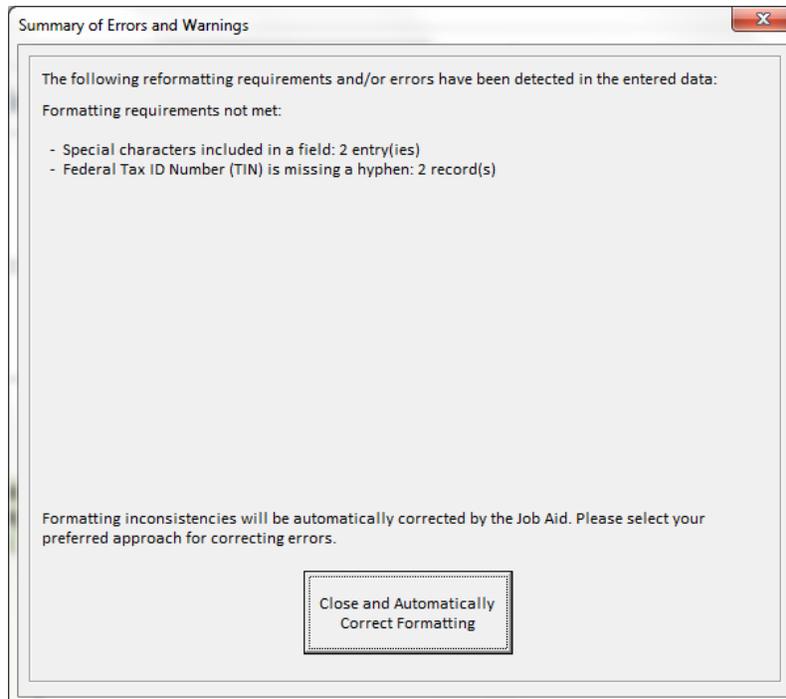
The Job Aid automatically reformats some invalid values or formats. A warning message displays when the Job Aid has reformatted an invalid value or format.

- If error checking is turned on, a warning message displays when you navigate from the row that contains a field that will be reformatted, as shown in Figure 14.
- If error checking is turned off, a summary of warnings displays when you run the Data Validation, as shown in Figure 15.

**Figure 14: Sample Single Automatic Reformatting Message**



**Figure 15: Sample Summary of Automatic Reformatting Message**



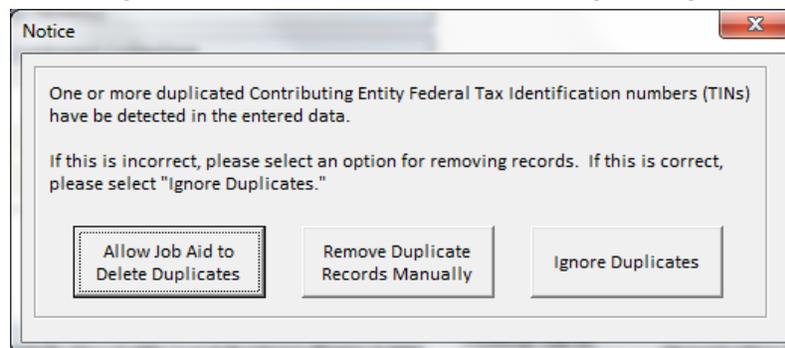
The following invalid values or formats are automatically reformatted:

- Special characters will be automatically removed.
- A nine-digit TIN without a hyphen will have the hyphen automatically inserted.
- A nine-digit ZIP code without a hyphen will have the hyphen automatically inserted.
- A full State name will be automatically converted to the valid two-letter abbreviation.

### 4.3 Data Issues that Require User Notification

Some data issues trigger a user notification to ensure that the user is entering the correct information and/or to notify the user of the status of the Job Aid. This type of warning does not require revision before the user creates the CSV file. Figure 16 depicts a sample user notification warning message.

**Figure 16: Sample User Notification Warning Message**



Scenarios that trigger a user notification include:

- The sum of Annual Enrollment Count is over 75% of the maximum allowed, as determined by Type of Payment selected.
- The user enters the same Contributing Entity Federal Tax ID Number in multiple rows.