Health Insurance Oversight System

Plan Finder

Issuer User Manual

CENTERS for MEDICARE & MEDICAID SERVICES

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

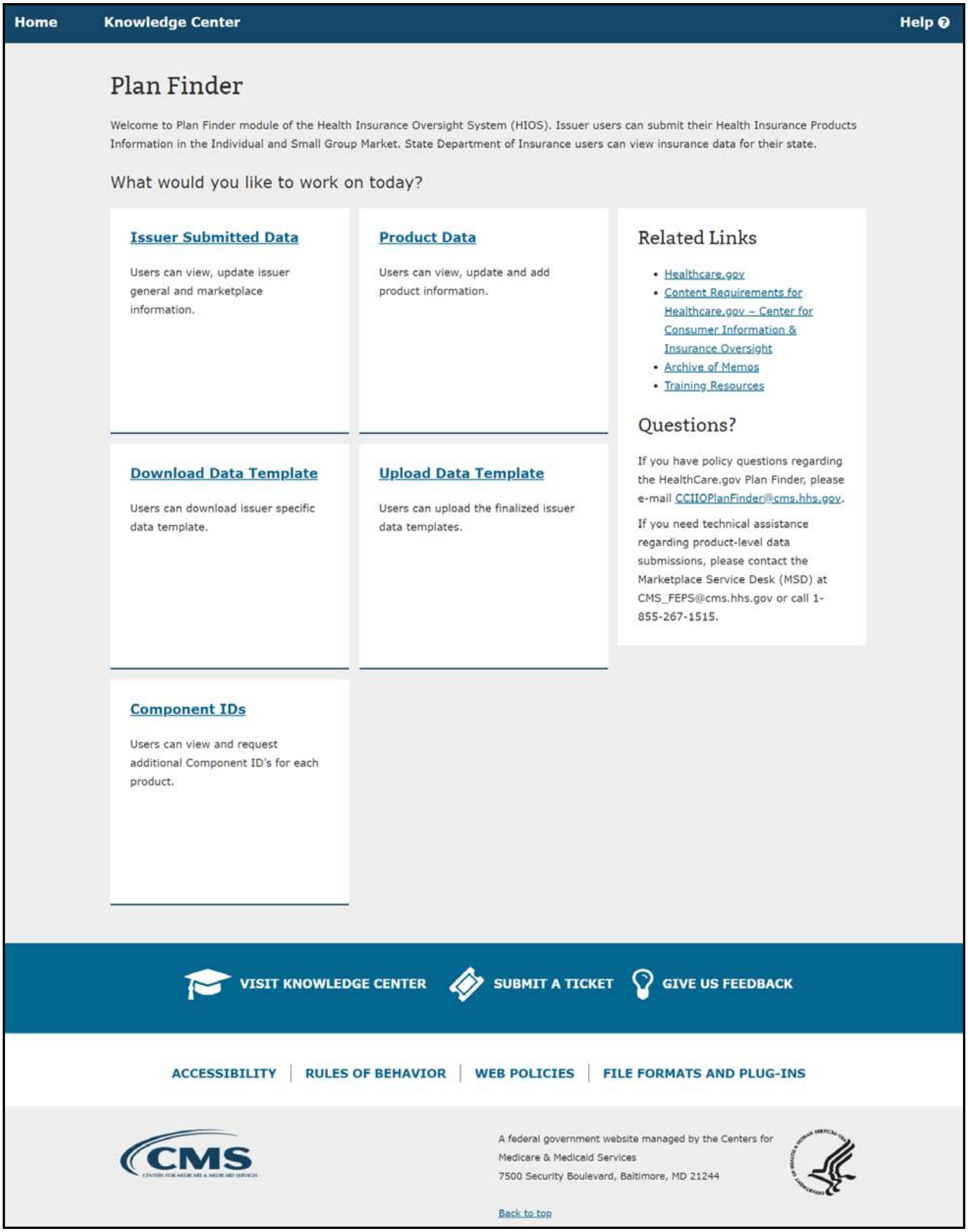
The Submitter role can access the below mentioned pages and has the ability to submit associated Issuer Data. To jump directly to any of the sections below, please hold down the CTRL key and select the Header/Section number to access the applicable content.

- 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



2.1.2 Issuer - Validator Role

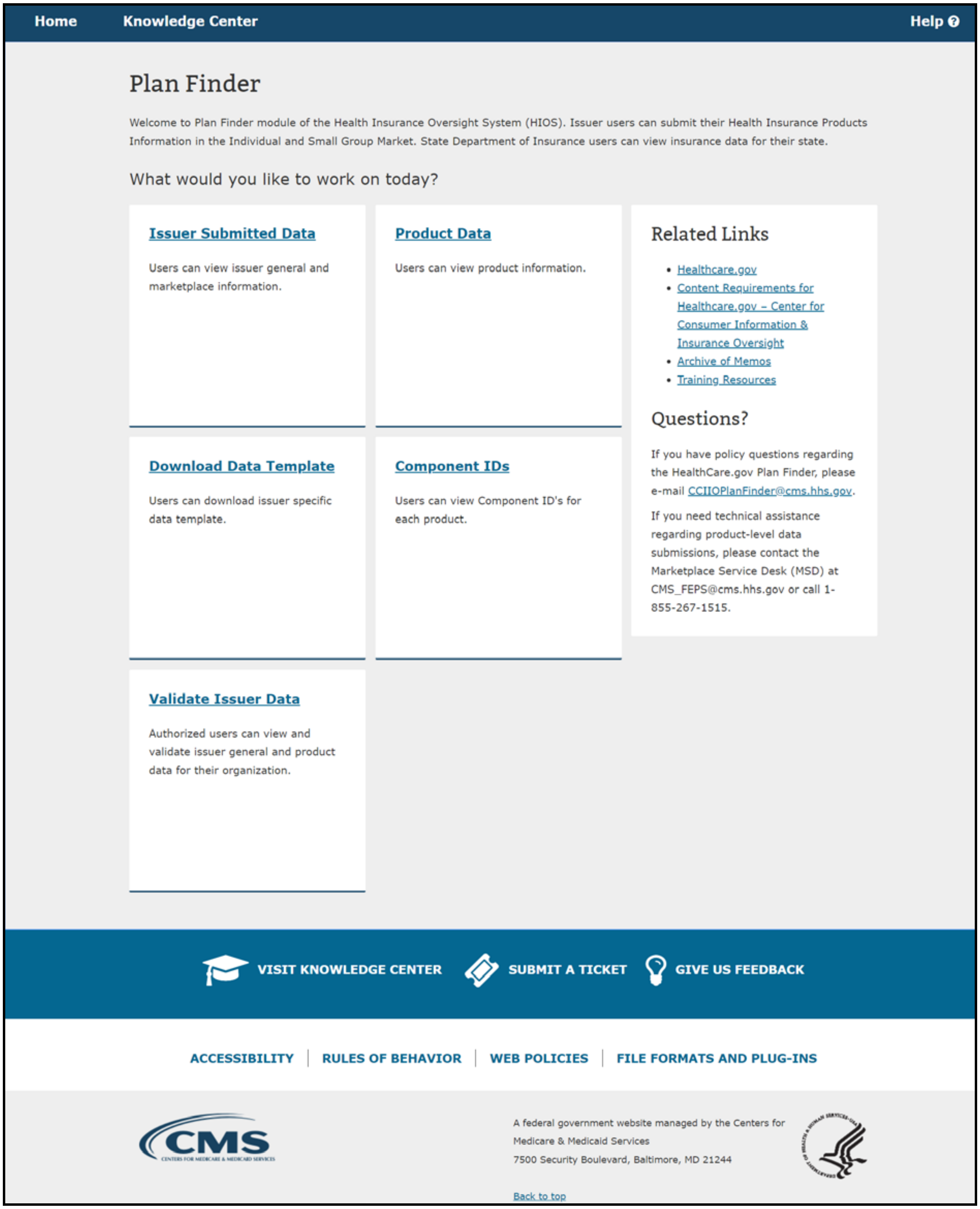
The Validator role has read-only access to the below mentioned pages and the ability to validate the data for their associated Issuers. To jump directly to any of the sections below, please hold down the CTRL key and select the Header/Section number to access the applicable content.

- 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



2.1.3 Issuer - Attester Role

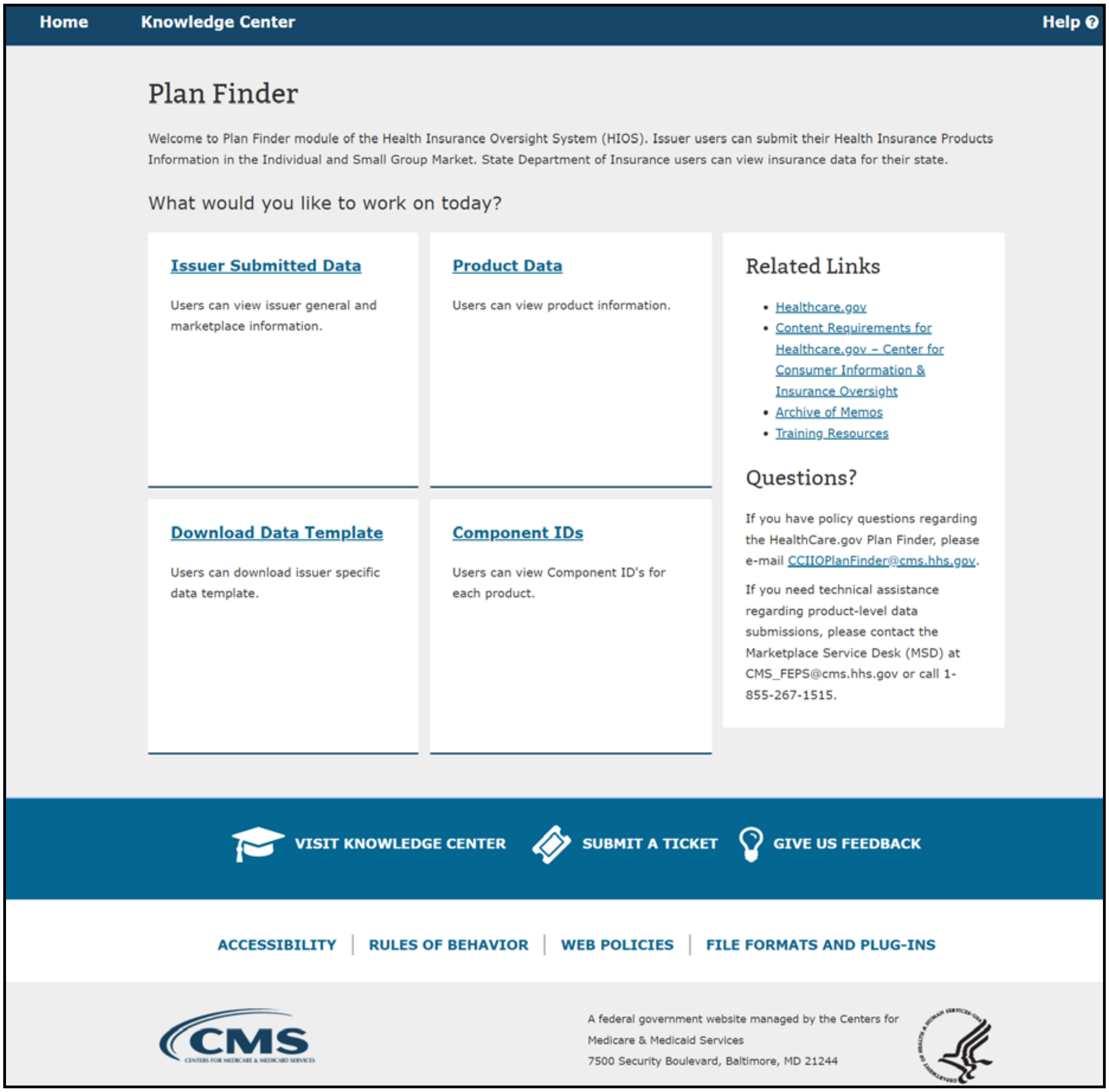
The Attester role is reserved for the CEO or CFO of the company. At least one of the Attester roles must be assigned to an individual, the other can remain blank. If both individuals request roles in the system, the CEO role and CFO role cannot be the same person. Finally, the Attester user cannot be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



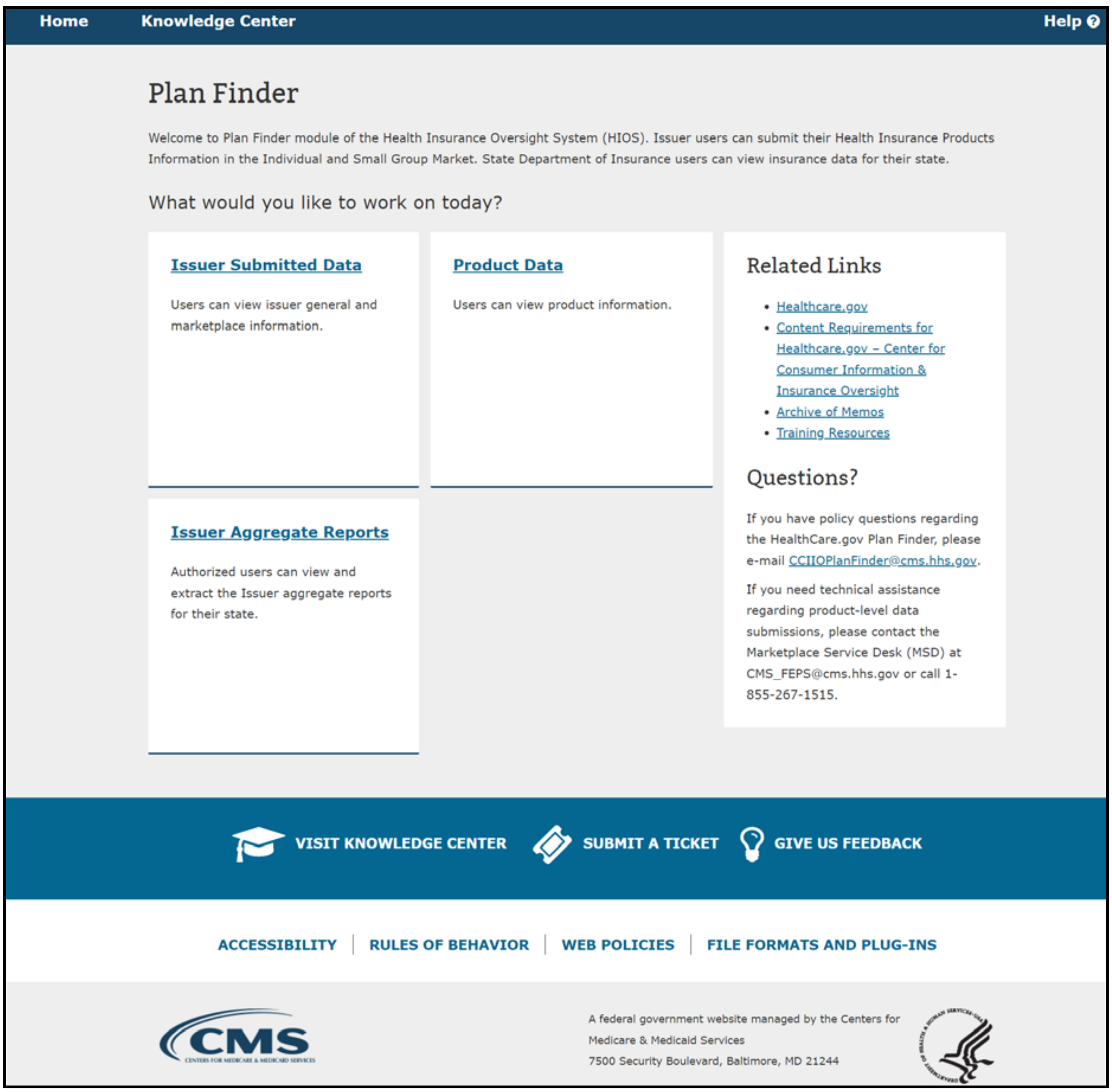
2.1.4 State User Role

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)
    - 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)
- Issuer Aggregate Reports (Section 10.1)

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

Figure 4: State Home Page



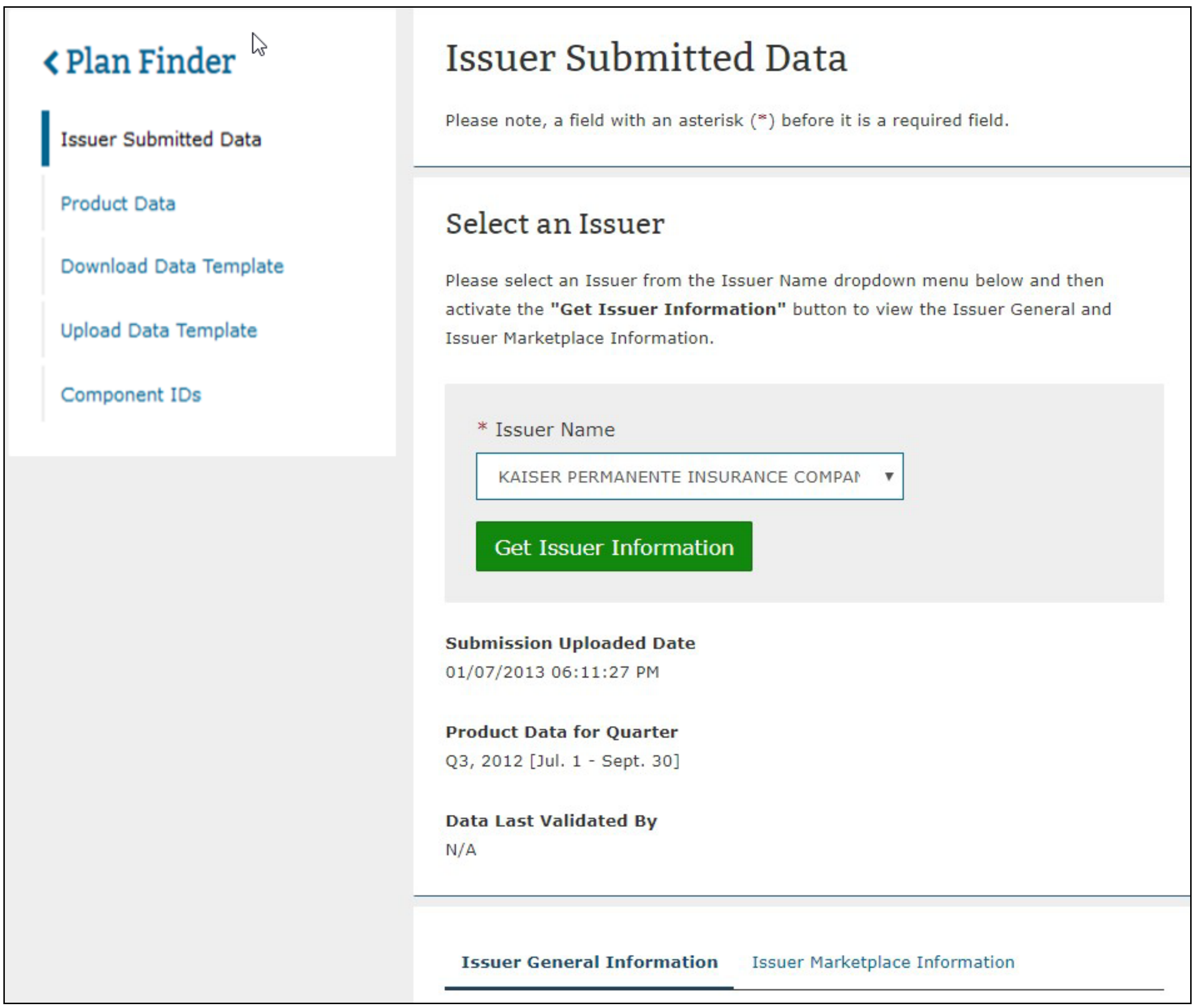
3 Issuer Submitted Data

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

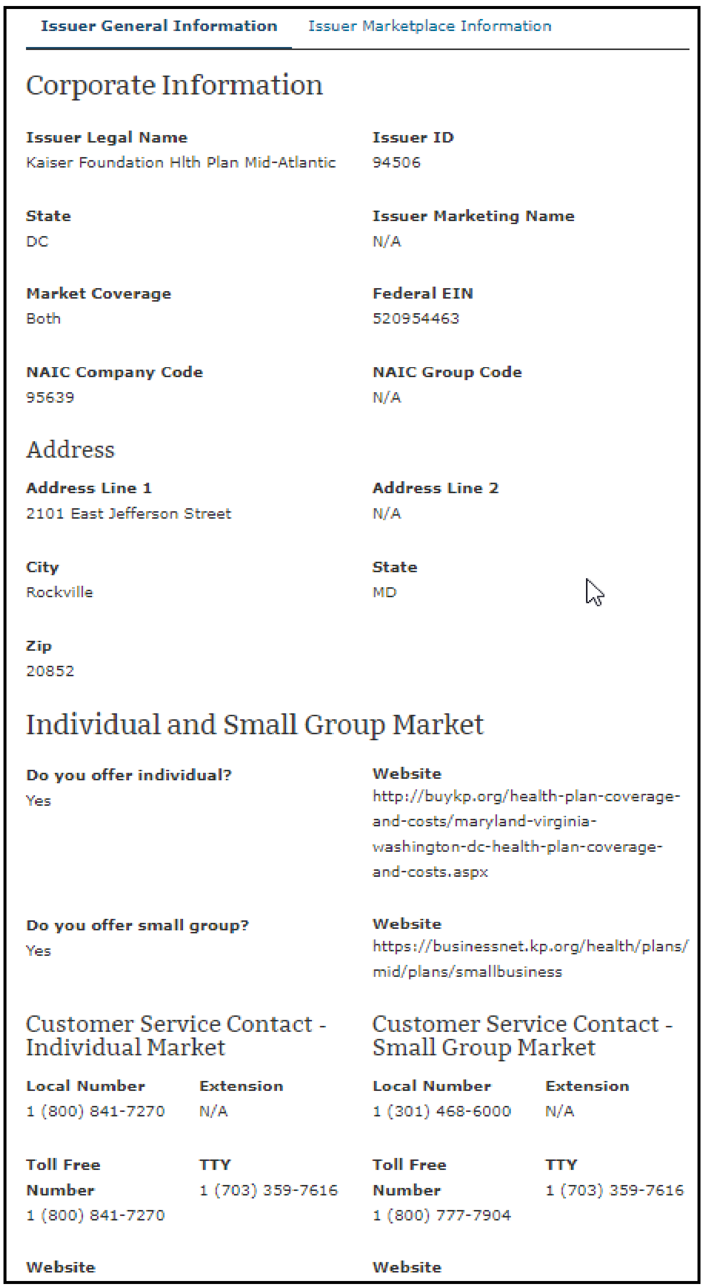
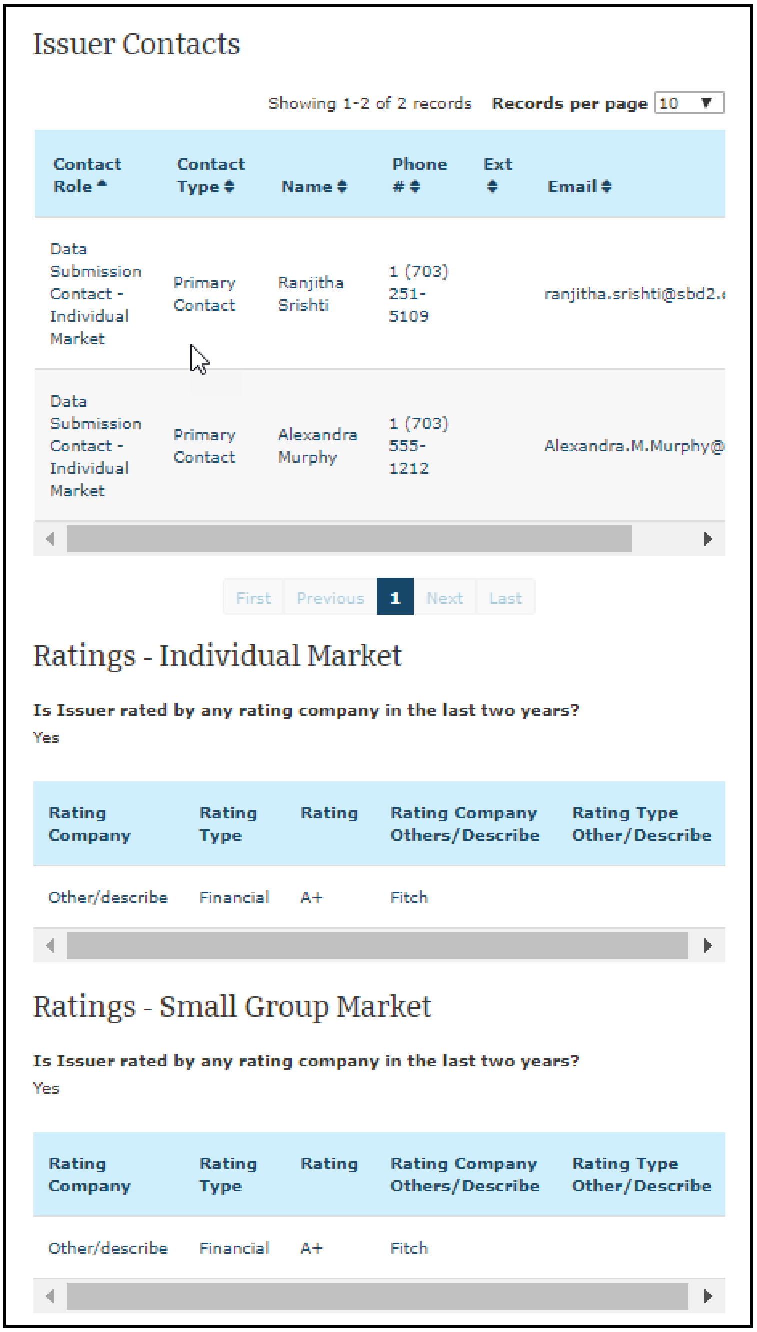


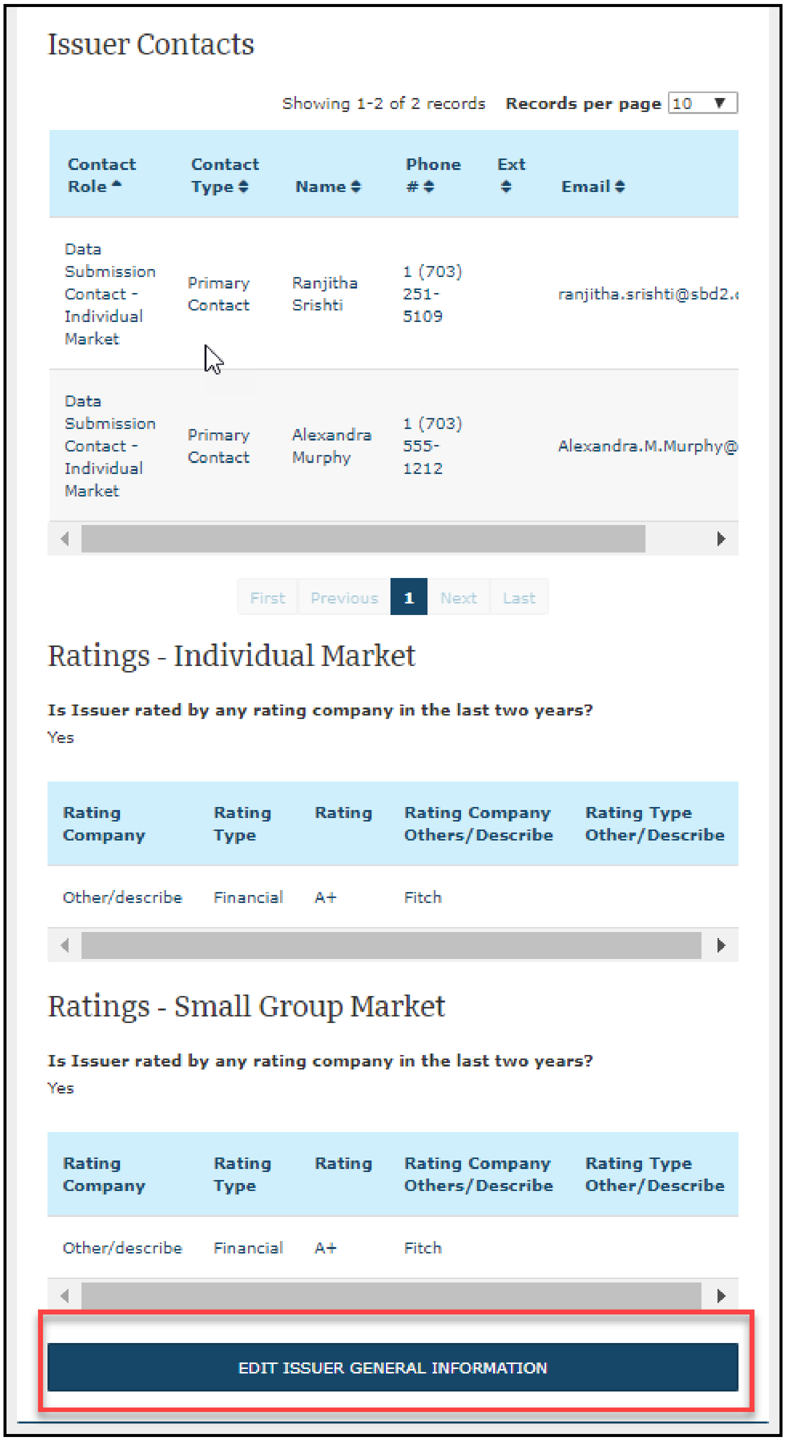
Figure 7: Issuer General Information Page – Part 2



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

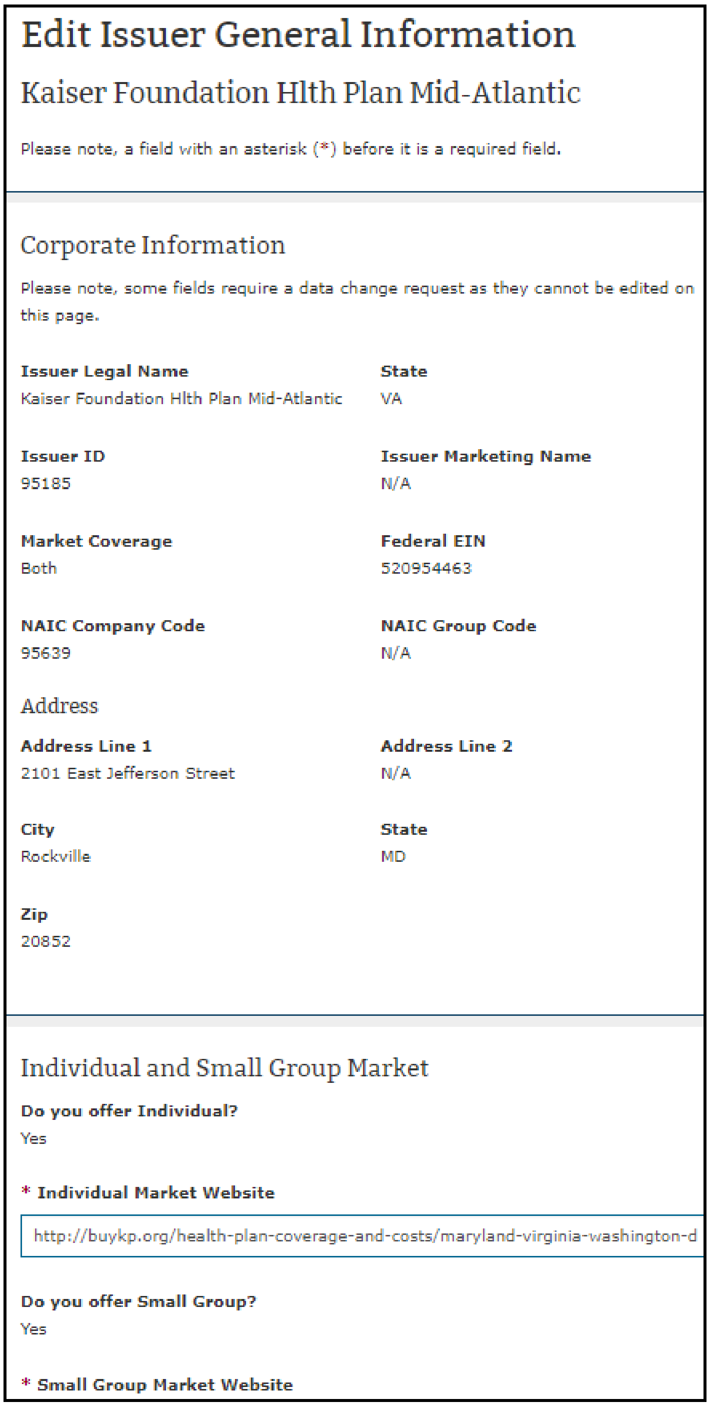
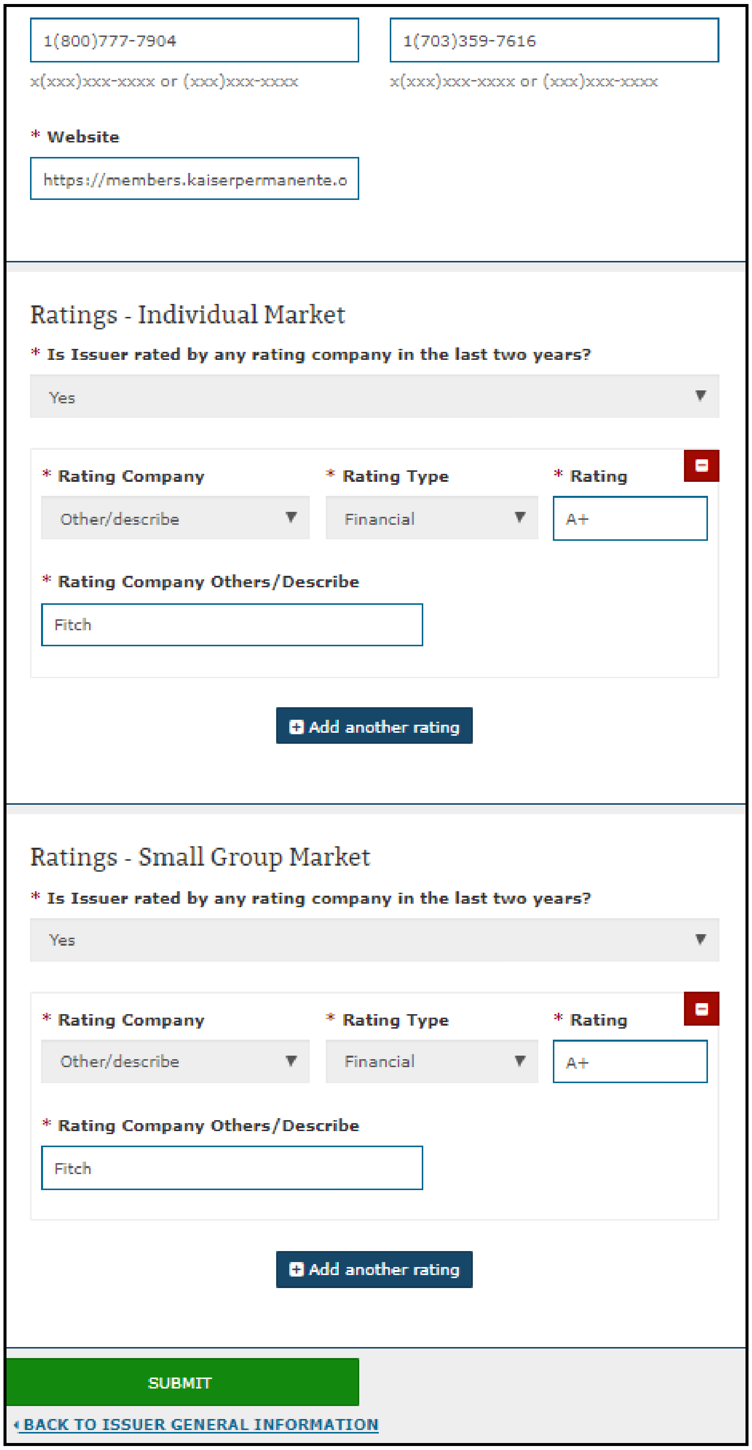


Figure 10: Edit Issuer General Information Page – Part 2



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

3.2.1 Edit Issuer Marketplace Information

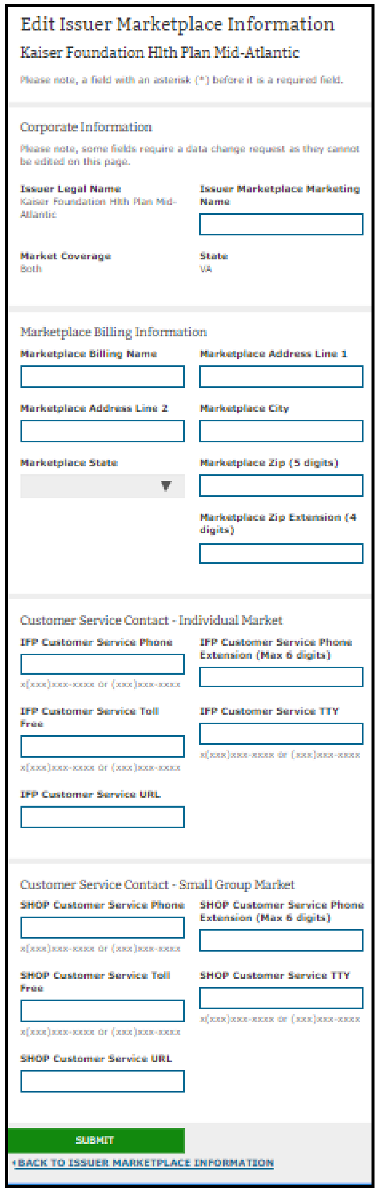
The Submitter user can view and select the ***Edit Issuer Marketplace Information*** button at the bottom of the page to edit certain fields on the Issuer Marketplace Information page as depicted below in Figure 12.

Figure 12: Edit Issuer Marketplace Information Button

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.

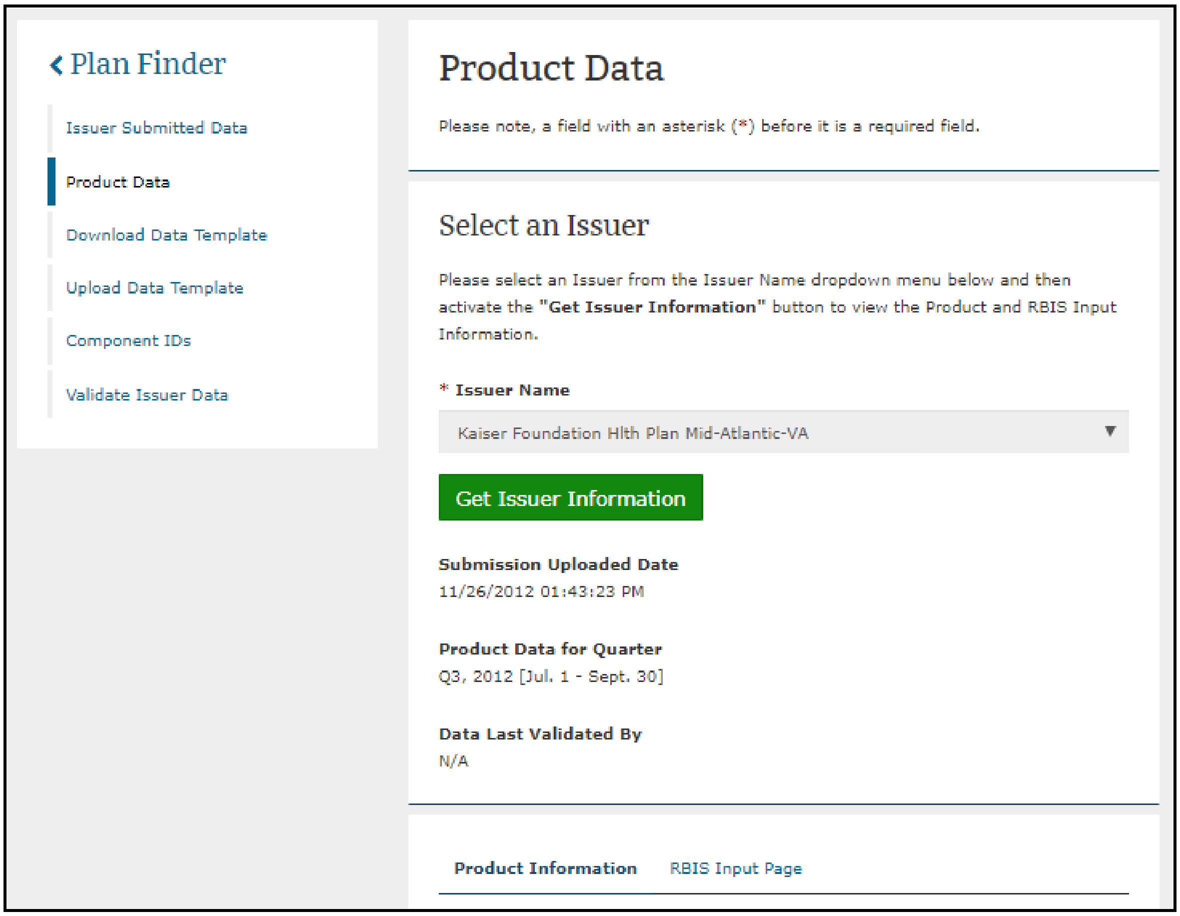
4 Product Data

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.

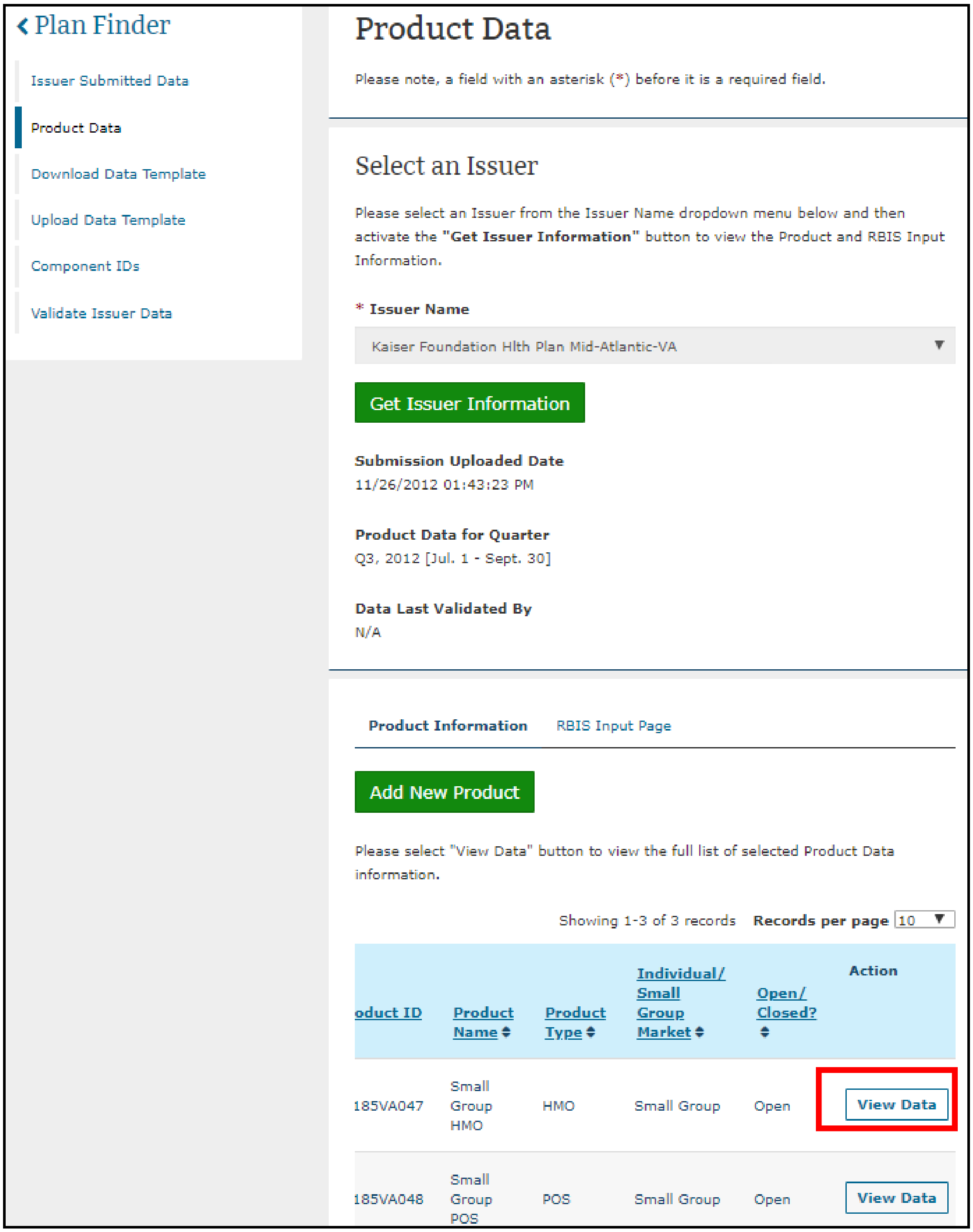
Figure 14: Product Data page



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.

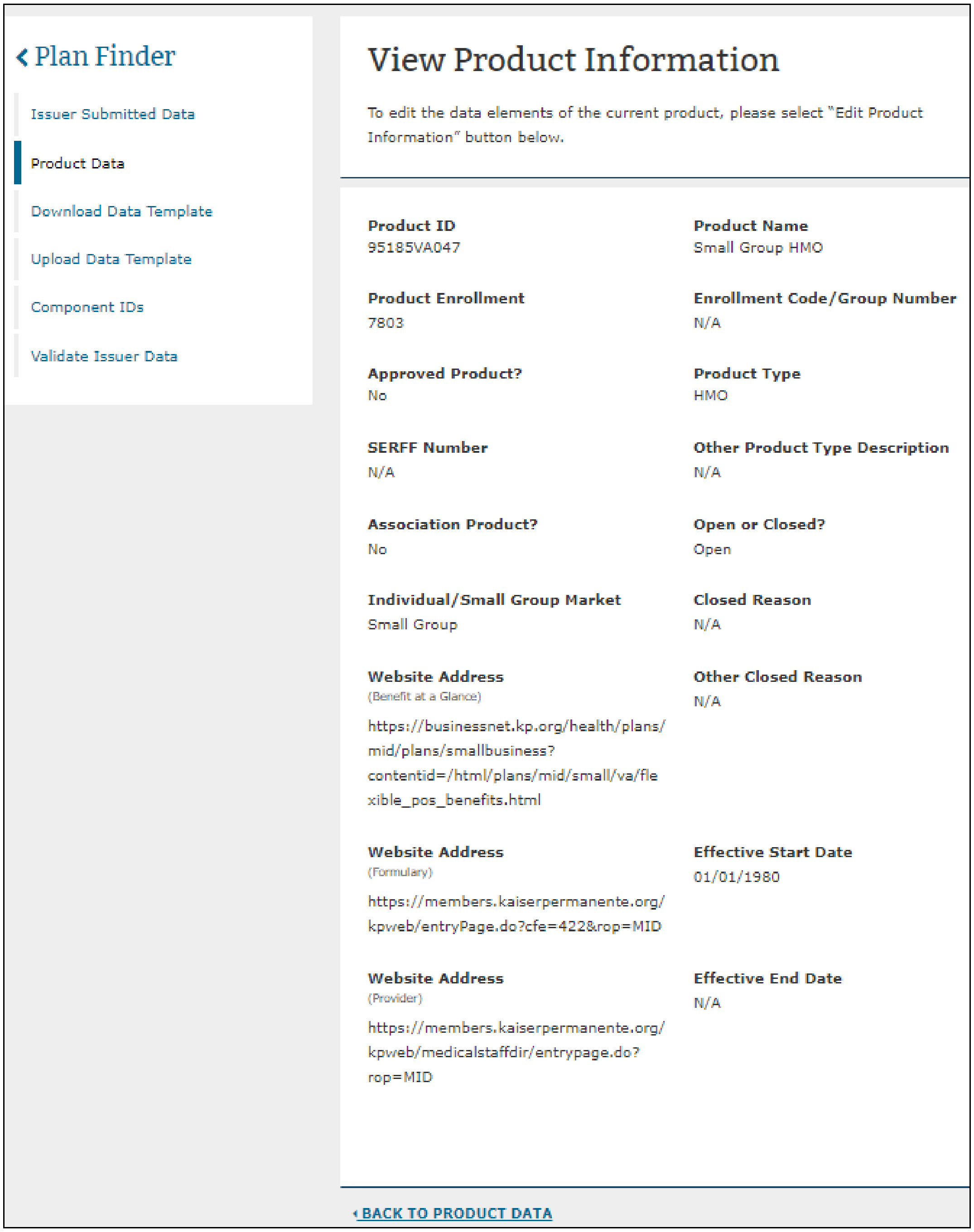
Figure 15: Product Information page



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

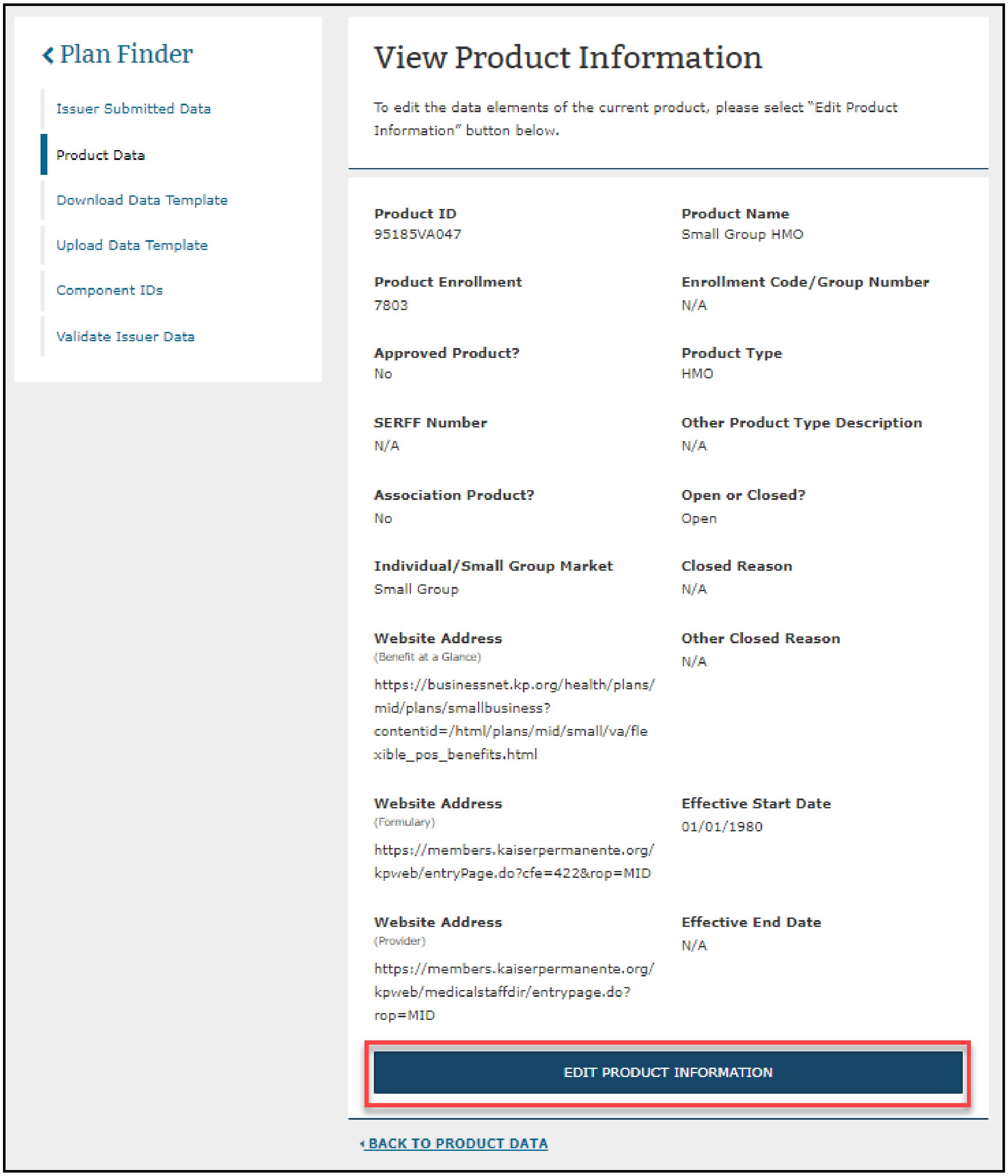


4.1.2 Product Information – Edit Existing Product

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*

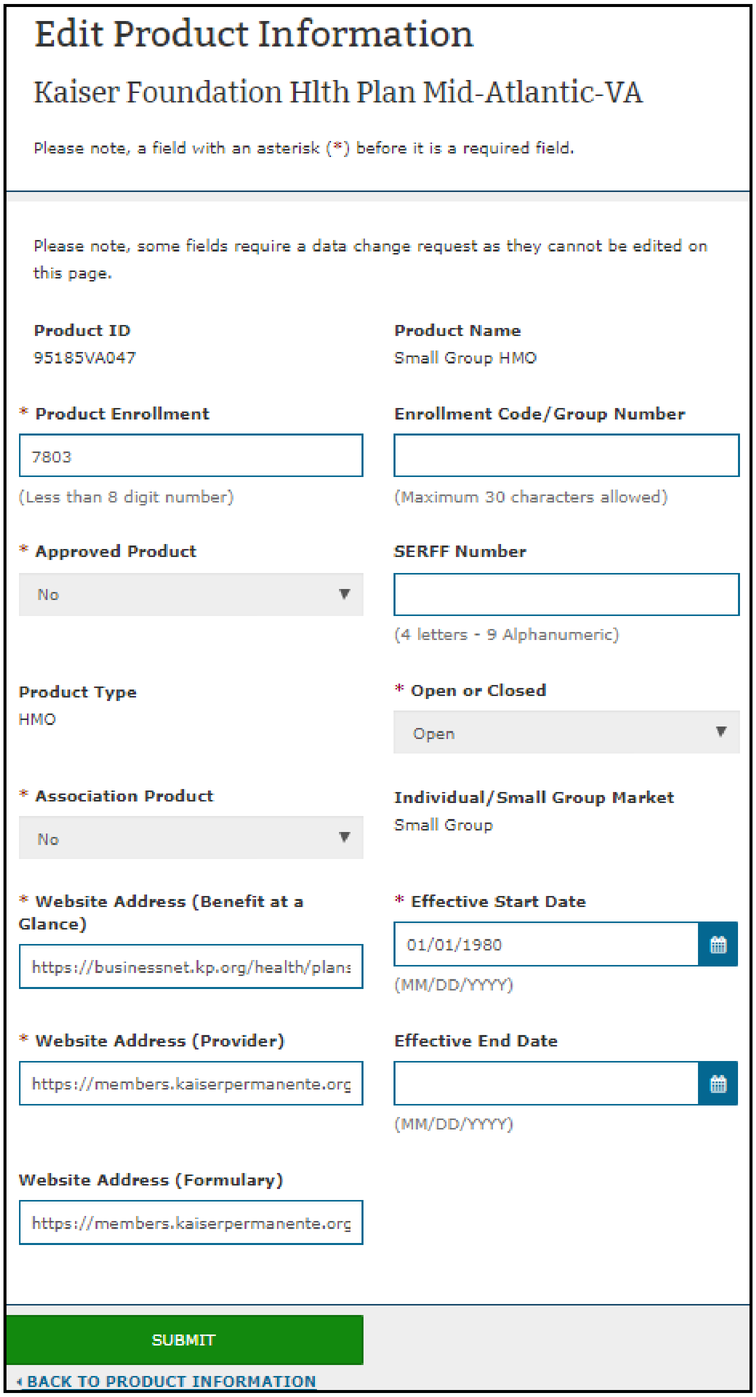
Figure 17: Edit Product Information Button



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.

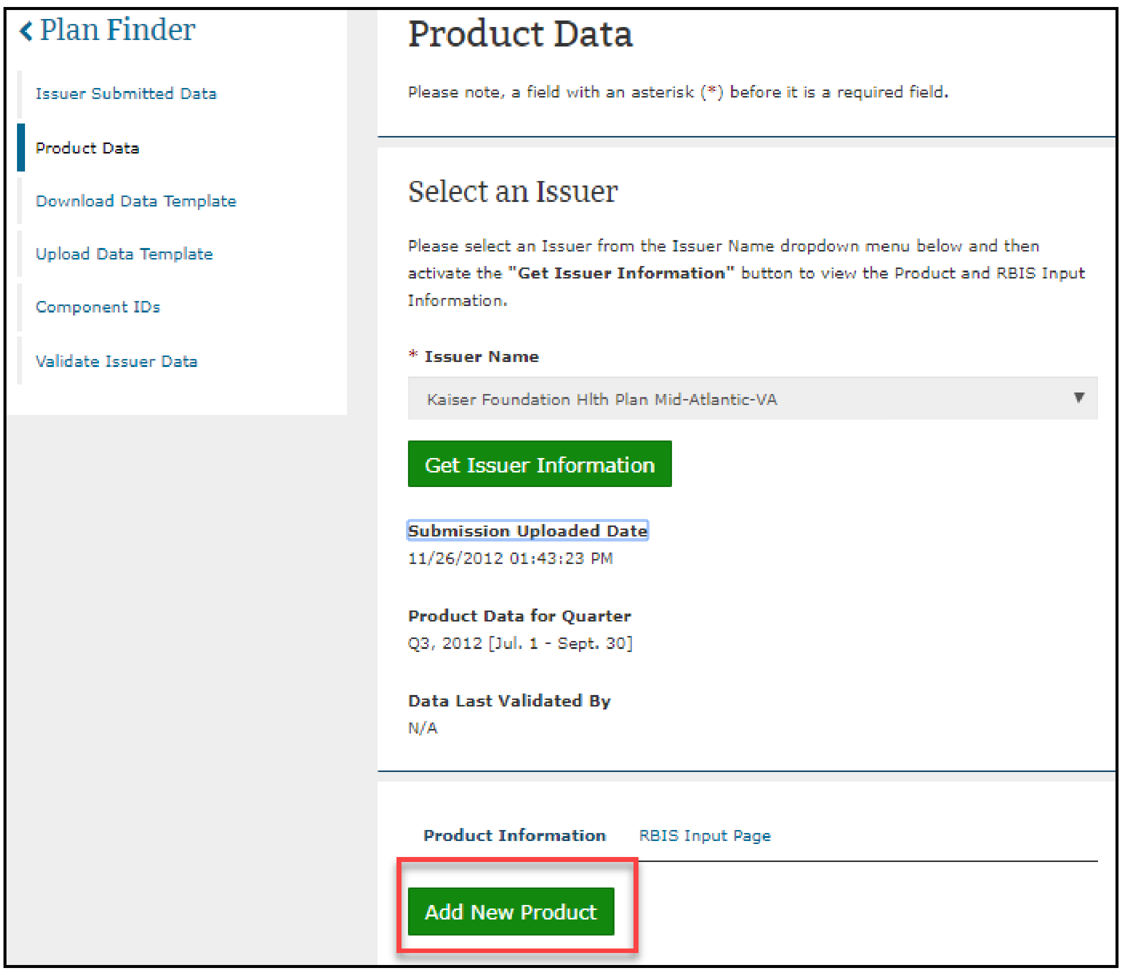
Below are the steps necessary to edit data shown on the Product Information page:

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

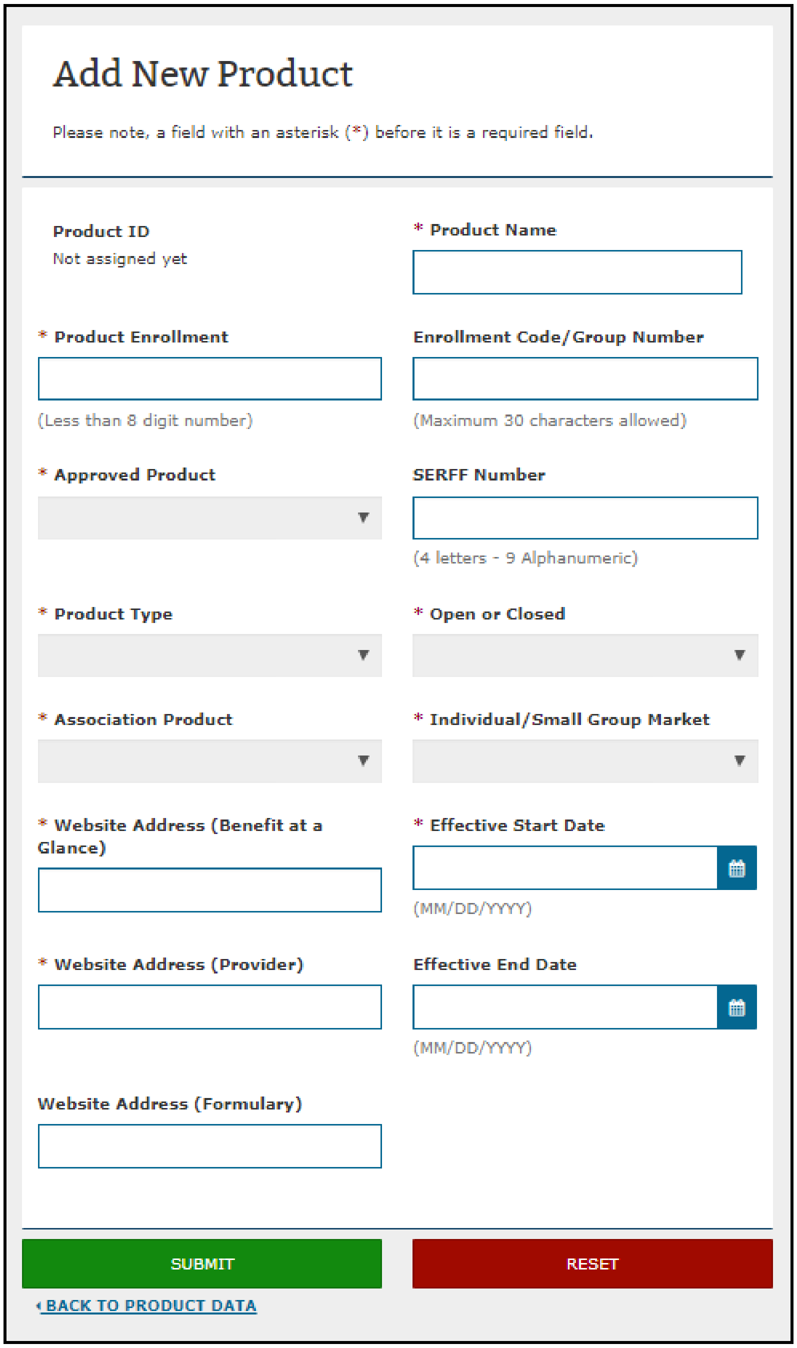
The Issuer Submitter users have the ability to add new products by selecting ***Add New Product*** button under the Product Information page as depicted in Figure 19.

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/. 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

Product Information 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.

Showing 1-10 of 42 records **Records per page** 10

Product ID	Product Name	Website Address (Formulary)	Formulary Flag	Website Address (Provider Network)
11082AK001	Aetna Preferred Provider Organization	No Link Provided	URL was not present	URL Pending Quality Evaluation
11082AK002	Aetna Preferred Provider Organization	No Link Provided	URL was not present	URL Pending Quality Evaluation
11082AK003	Aetna Fee for Service	No Link Provided	URL was not present	URL Pending Quality Evaluation
11082AK004	Aetna Preferred Provider Organization	No Link Provided	URL was not present	URL Pending Quality Evaluation
11082AK005	Aetna Fee for Service	No Link Provided	URL was not present	URL Pending Quality Evaluation
11082AK006	New Product	No Link Provided	URL was not present	URL Pending Quality

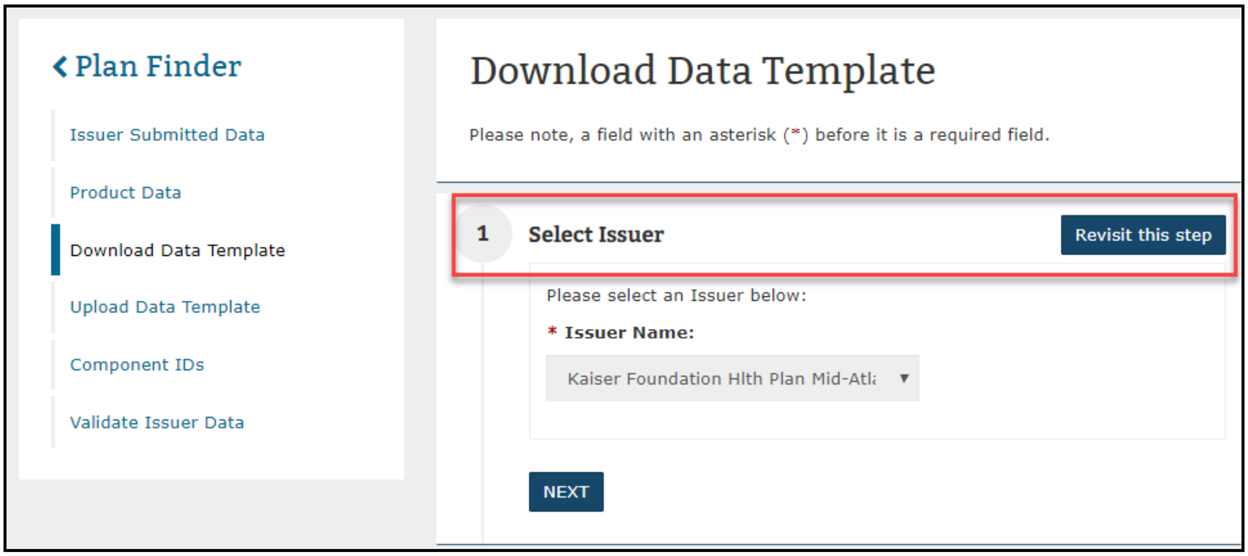
5 Download Data Template

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

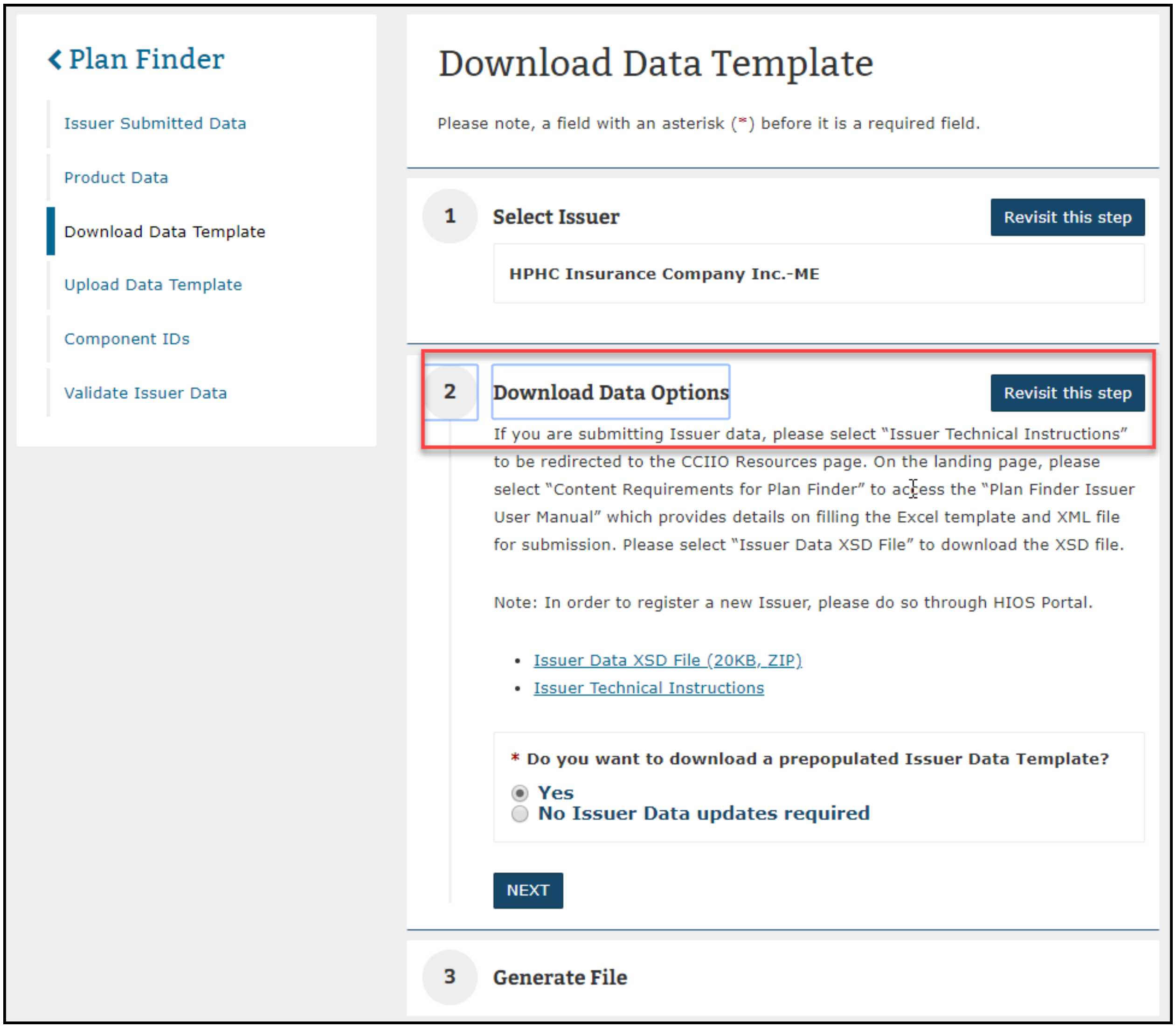
Step 2 provides the users with technical instructions and submission options for Issuer data entry.

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.

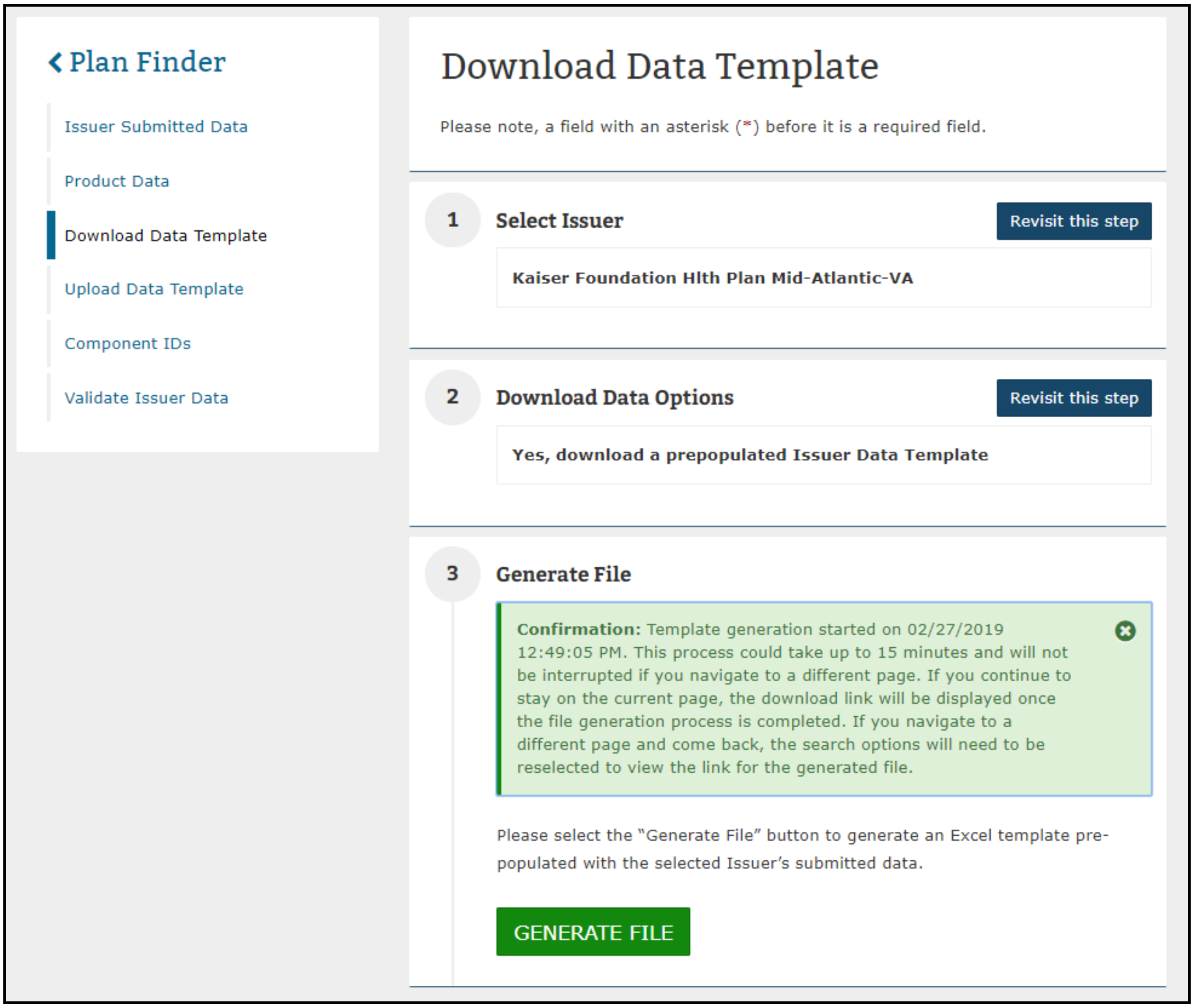
Figure 23: Download Data Options – Step 2



5.3 Download Data Template – Step 3

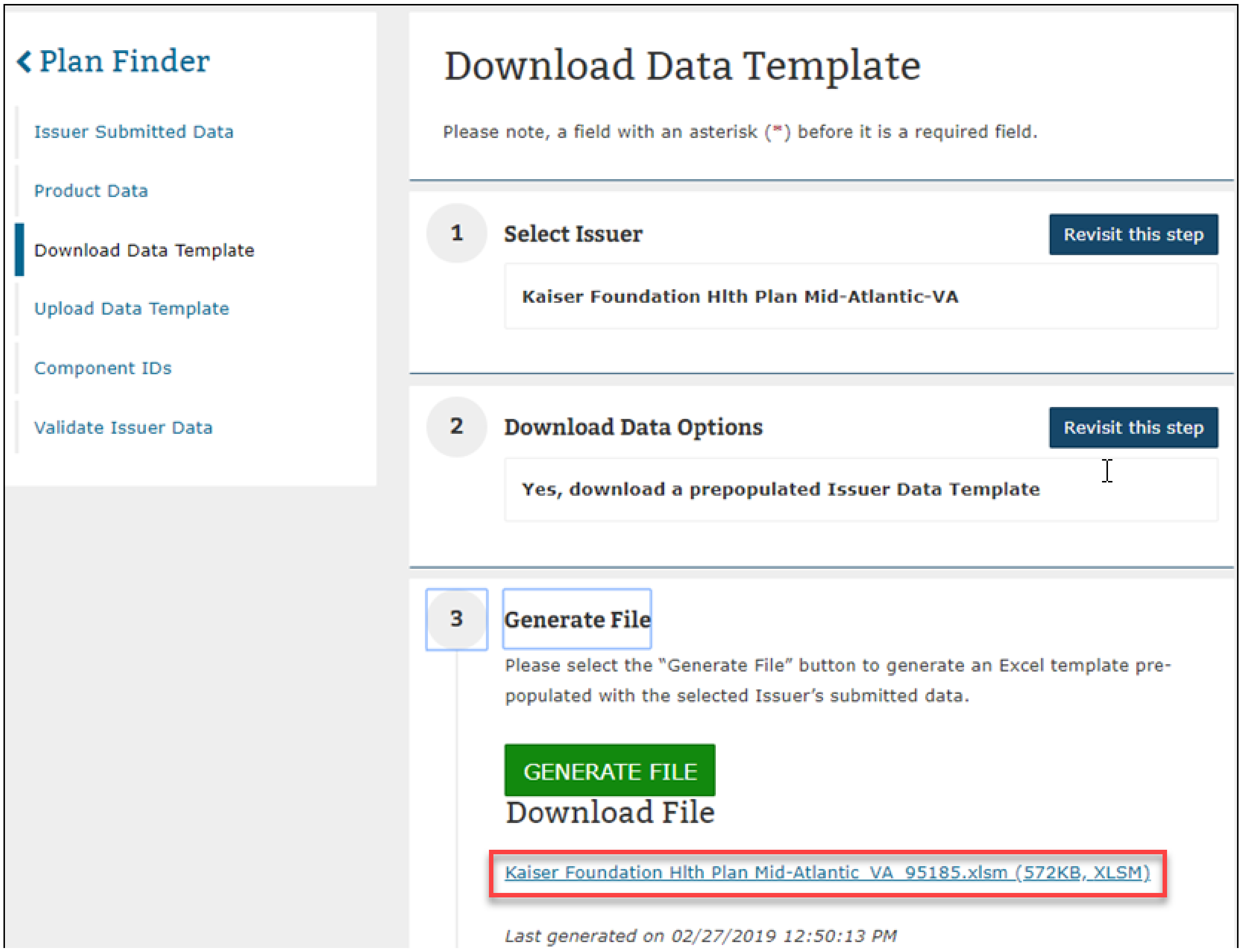
If the option selected was ***Yes*** in the previous step, then in Step 3 users can generate the latest Pre-Populated Issuer Data Template in Excel by clicking the ***Generate File*** button (if they are generating it for the first time). The process of file generation will be triggered and the messages related to the stages of the generation (In Progress, Failed, Taking Longer Time to Generate) will be displayed as depicted below in Figure 24.

Figure 24: Download Data Template page – Step 3 – Generate File



Once the file generation is completed, Submitter users can download the file by selecting the .XLSM link as displayed below in Figure 25.

Figure 25: Download Data Template page – Step 3 – Download File



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.

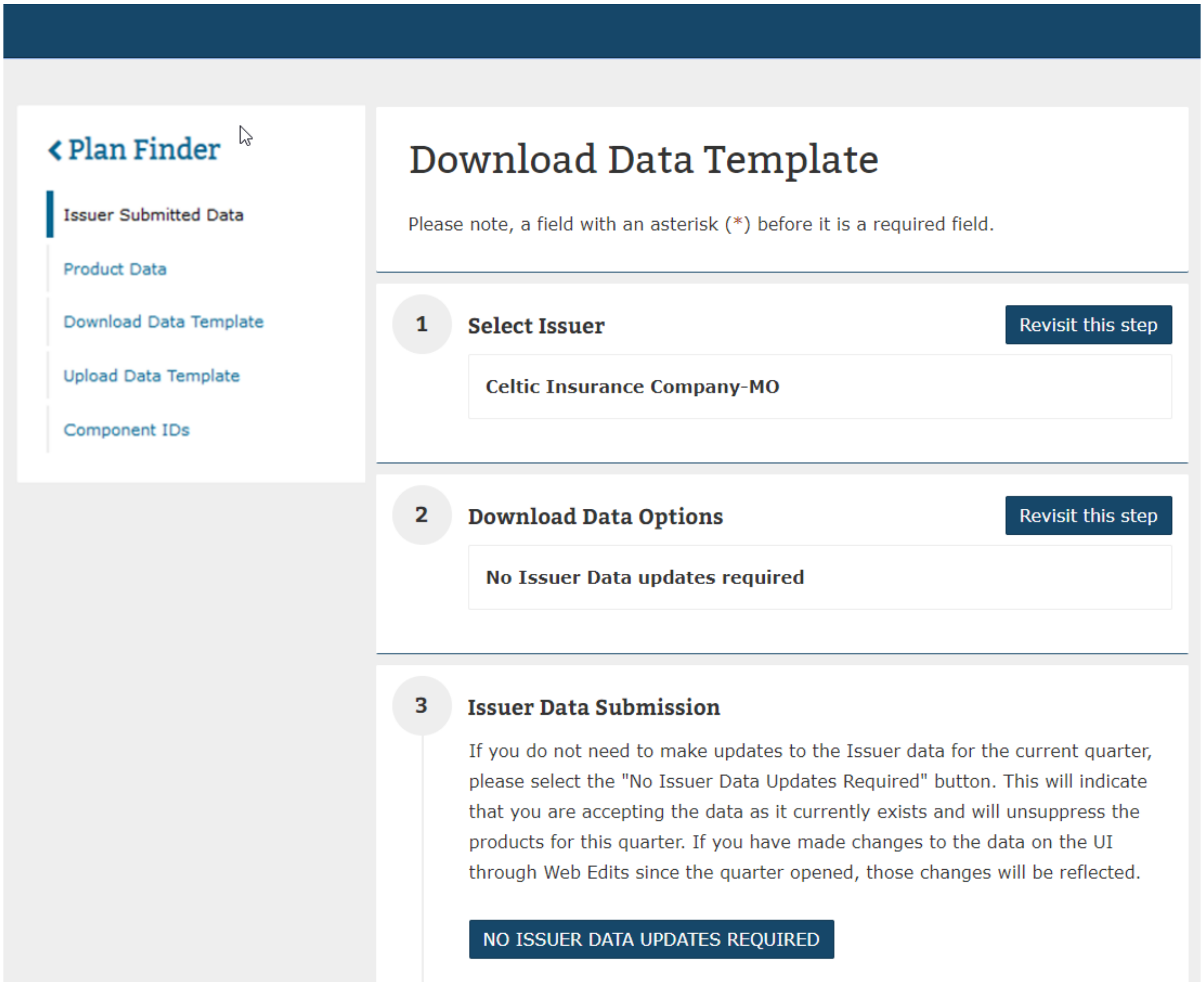
5.4 No Issuer Data Updates Required

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.

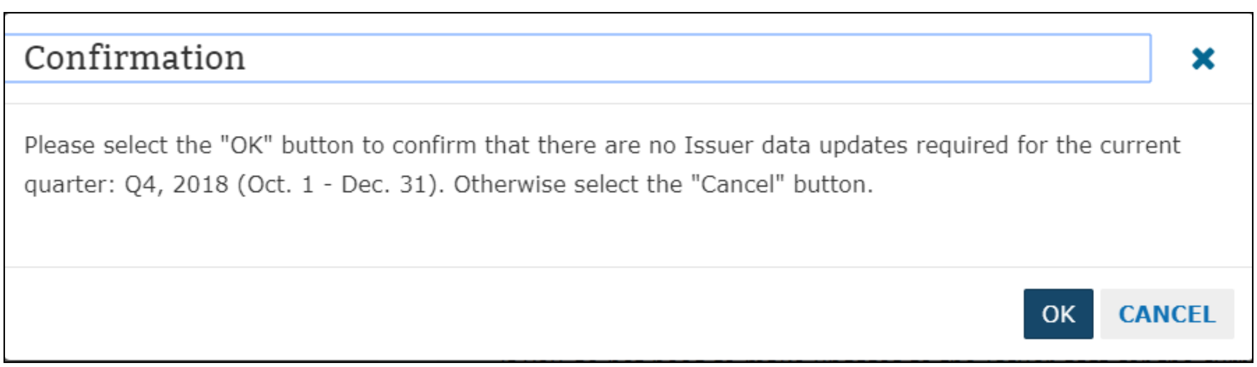
The ***No Issuer Data Updates Required*** button is depicted below in Figure 26.

Figure 26: No Issuer Data Updates Required



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.

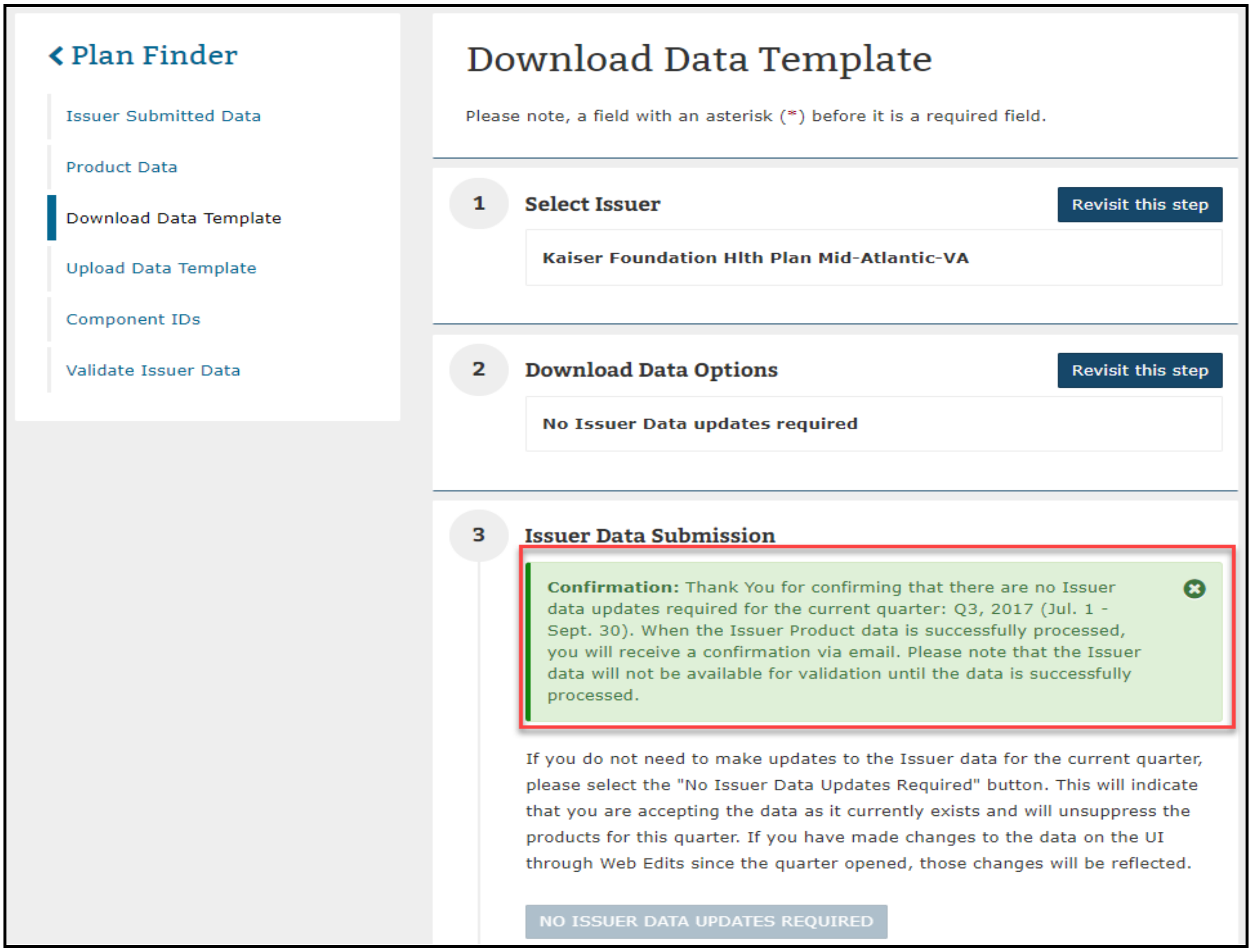
Figure 27: Pop-Up Confirmation Message



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.

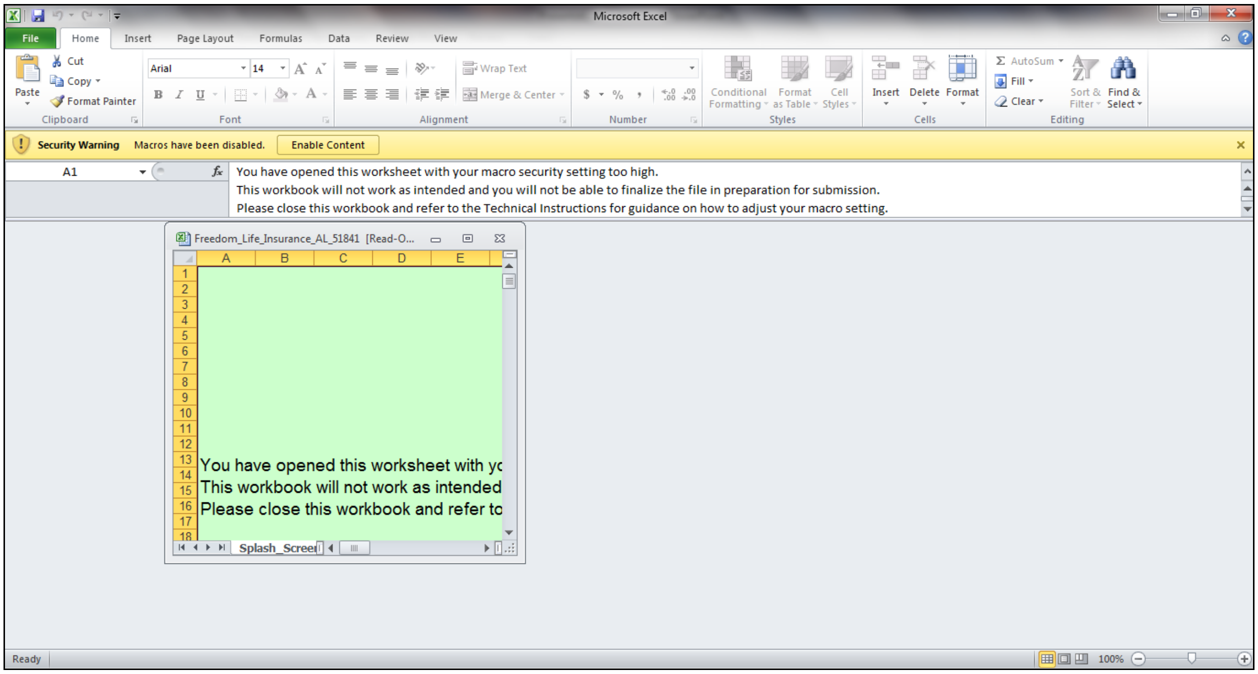
5.5.1 Excel Macro Settings

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.

Figure 29: Excel 2010 Enable Content Message Text



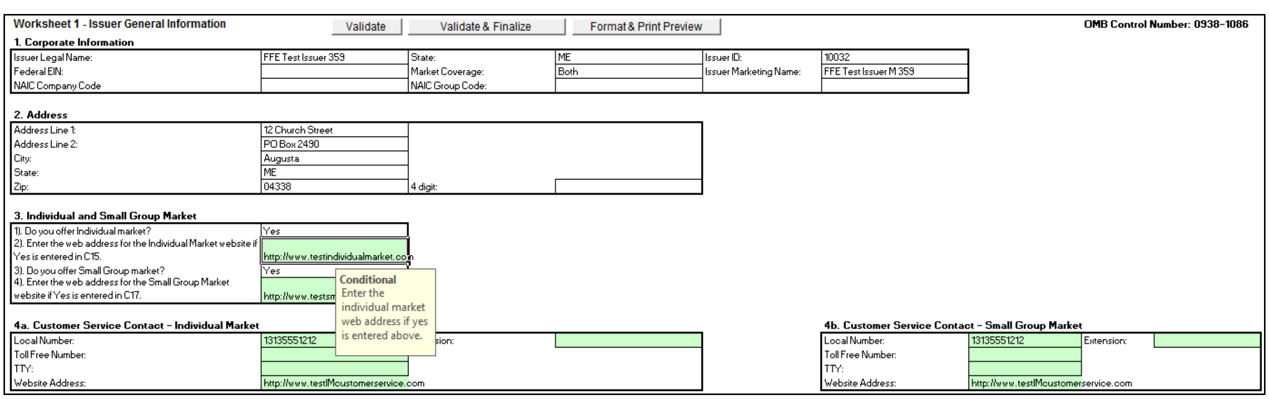
5.5.2 Working Files versus Finalized Files

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

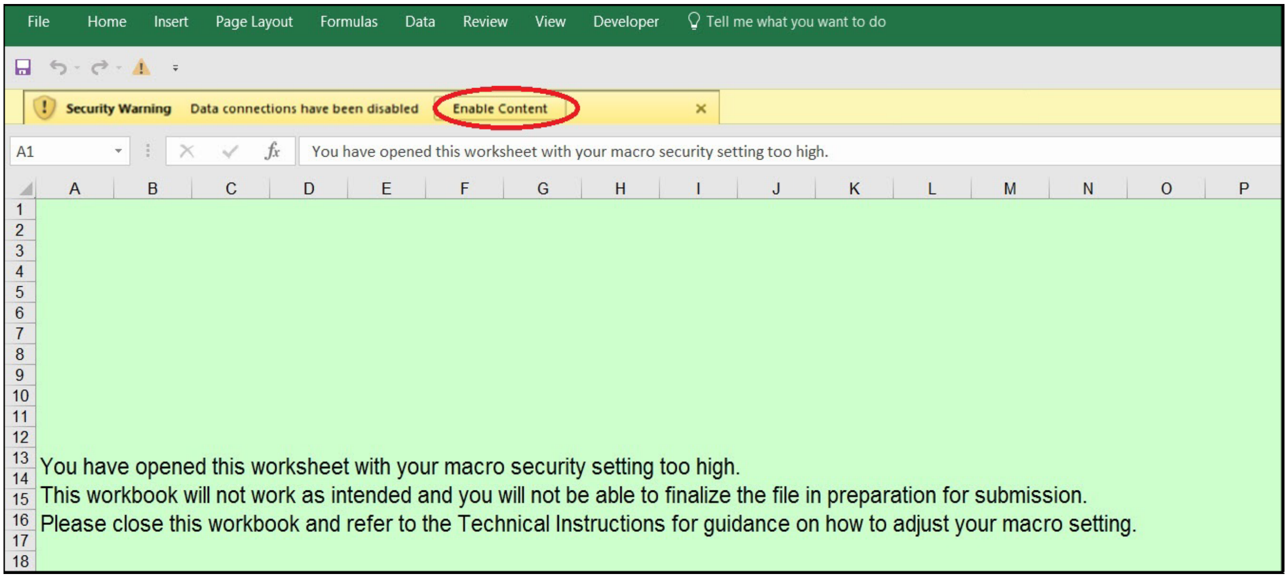
The Pre-Populated Excel template will contain any Issuer General Information and Product Information that was previously submitted in Plan Finder. The template allows the Submitter user to add and update data as needed.

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

2. Once a downloadable template file is present on the user's computer, the user can ***Open*** the file.
3. If the user has already updated the macro security settings in Excel as recommended in section 5.3.1 *Excel Macro Settings*, select ***Open***.
4. 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***.
5. Select ***Enable Content***.

The Excel 2010 Enable Content message is displayed below in Figure 31.

Figure 31: Excel 2007/2010 Enable Content message



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

Cell Location	Data	Valid Values
C3	Issuer Legal Name	Users do not have the ability to edit this field in Plan Finder.
C4	Federal EIN	Users do not have the ability to edit this field in Plan Finder.
C5	NAIC Company Code	Users do not have the ability to edit this field in Plan Finder.
E3	State	Users do not have the ability to edit this field in Plan Finder.
E4	Market Coverage	Users do not have the ability to edit this field in Plan Finder.
E5	NAIC Group Code	Users do not have the ability to edit this field in Plan Finder.
G3	Issuer ID	Users do not have the ability to edit this field in Plan Finder.
G4	Issuer Marketing Name	Users do not have the ability to edit this field in Plan Finder.
C8	Address Line 1	Users do not have the ability to edit this field in Plan Finder.
C9	Address line 2	Users do not have the ability to edit this field in Plan Finder.
C10	City	Users do not have the ability to edit this field in Plan Finder.
C11	State	Users do not have the ability to edit this field in Plan Finder.
C12	Zip code	Users do not have the ability to edit this field in Plan Finder.

Cell Location	Data	Valid Values
E12	4 digit	Users do not have the ability to edit this field in Plan Finder.
C15	Individual Market	Users do not have the ability to edit this field in Plan Finder.
C16	Website address for Individual Market website	Enter the website address for the Individual Market. This field is only required if Individual Market question in cell C15 is Yes.
C17	Small Group Market	Users do not have the ability to edit this field in Plan Finder.
C18	Website address for Small Group Market website	Enter the website address for the Small Group Market. This field is only required if Small Group Market question is Yes in cell C17.
C21	Customer Service Local Number – Individual Market	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).
C22	Customer Service Toll Free Number - Individual Market	Enter the toll-free number for the Individual Market Customer Service, up to 15 characters. Optional field.
C23	Customer TTY - Individual Market	Enter the phone number for the TTY for the Individual Market Customer Service, up to 15 characters. Optional field.
C24	Customer Website Address - Individual Market	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).
E21	Customer Service Phone Number Extension - Individual Market	Enter the phone number extension for Individual Market Customer Service, up to 6 characters. Optional field.
H21	Customer Service Local Number – Small Group Market	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).
H22	Customer Service Toll Free Number - Small Group Market	Enter the toll-free number for the Small Group Market Customer Service, up to 15 characters. Optional field.
H23	Customer TTY - Small Group Market	Enter the phone number for the TTY for the Small Group Market Customer Service, up to 15 characters. Optional field.
H24	Customer Website Address - Small Group Market	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).
J21	Customer Service Phone Number Extension - Small Group Market	Enter the phone number extension for Small Group Market Customer Service, up to 6 characters. Optional field.

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

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

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

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

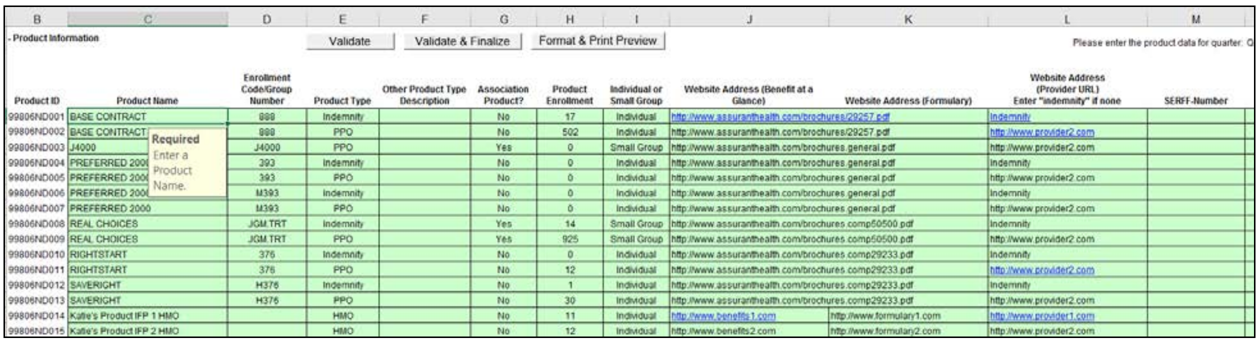
Fields highlighted in green on the Issuer Data Template are data entry fields. The cells are in a text format and allow for the Submitter to key in values.

Note: It is **<u>highly recommended</u>** to select values from the dropdown lists **<u>instead of</u>** 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.

Figure 32: Issuer Data Template – Cell Label



Product ID	Product Name	Enrollment Code/Group Number	Product Type	Other Product Type Description	Association Product?	Product Enrollment	Individual or Small Group	Website Address (Benefit at a Glance)	Website Address (Formulary)	Website Address (Provider URL) Enter "indemnity" if none	SERFF-Number
99806ND001	BASE CONTRACT	888	Indemnity		No	17	Individual	http://www.assuranthealth.com/brochures/29257.pdf		Indemnity	
99806ND002	BASE CONTRACT	888	PPO		No	502	Individual	http://www.assuranthealth.com/brochures/29257.pdf		http://www.provider2.com	
99806ND003	J4000	J4000	PPO		Yes	0	Small Group	http://www.assuranthealth.com/brochures.general.pdf		http://www.provider2.com	
99806ND004	PREFERRED 200	393	Indemnity		No	0	Individual	http://www.assuranthealth.com/brochures.general.pdf		Indemnity	
99806ND005	PREFERRED 200	393	PPO		No	0	Individual	http://www.assuranthealth.com/brochures.general.pdf		http://www.provider2.com	
99806ND006	PREFERRED 200	M393	Indemnity		No	0	Individual	http://www.assuranthealth.com/brochures.general.pdf		Indemnity	
99806ND007	PREFERRED 2000	M393	PPO		No	0	Individual	http://www.assuranthealth.com/brochures.general.pdf		http://www.provider2.com	
99806ND008	REAL CHOICES	JGM.TRT	Indemnity		Yes	14	Small Group	http://www.assuranthealth.com/brochures.comp50500.pdf		Indemnity	
99806ND009	REAL CHOICES	JGM.TRT	PPO		Yes	925	Small Group	http://www.assuranthealth.com/brochures.comp50500.pdf		http://www.provider2.com	
99806ND010	RIGHTSTART	376	Indemnity		No	0	Individual	http://www.assuranthealth.com/brochures.comp29233.pdf		Indemnity	
99806ND011	RIGHTSTART	376	PPO		No	12	Individual	http://www.assuranthealth.com/brochures.comp29233.pdf		http://www.provider2.com	
99806ND012	SAVERIGHT	H376	Indemnity		No	1	Individual	http://www.assuranthealth.com/brochures.comp29233.pdf		Indemnity	
99806ND013	SAVERIGHT	H376	PPO		No	30	Individual	http://www.assuranthealth.com/brochures.comp29233.pdf		http://www.provider2.com	
99806ND014	Katie's Product IFP 1 HMO		HMO		No	11	Individual	http://www.benefits1.com	http://www.formulary1.com	http://www.provider1.com	
99806ND015	Katie's Product IFP 2 HMO		HMO		No	12	Individual	http://www.benefits2.com	http://www.formulary2.com	http://www.provider2.com	

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 **<u>highly recommended</u>** to perform the validation process and **<u>resolve all issues</u>** prior to the ***Validate & Finalize*** step.

5.5.3.4 Saving the File

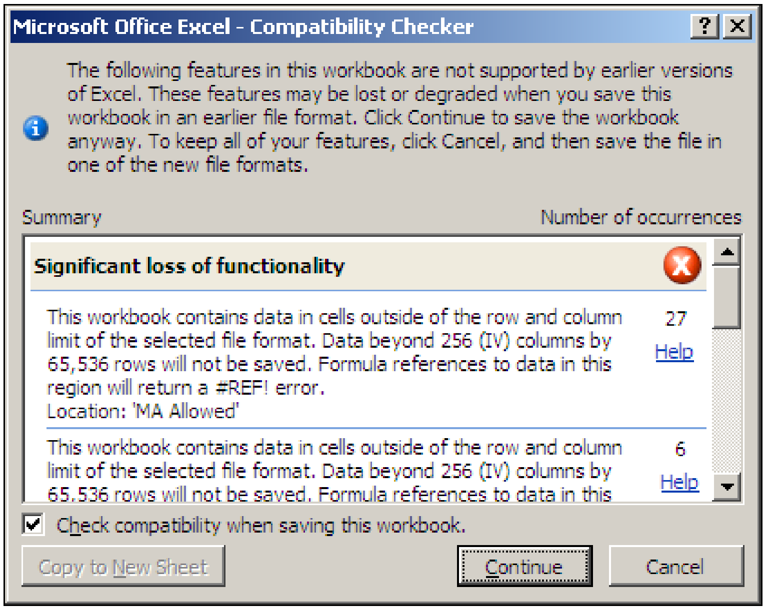
There are two save processes available within the Issuer Data Template: a non-finalized and a finalized save.

- 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



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

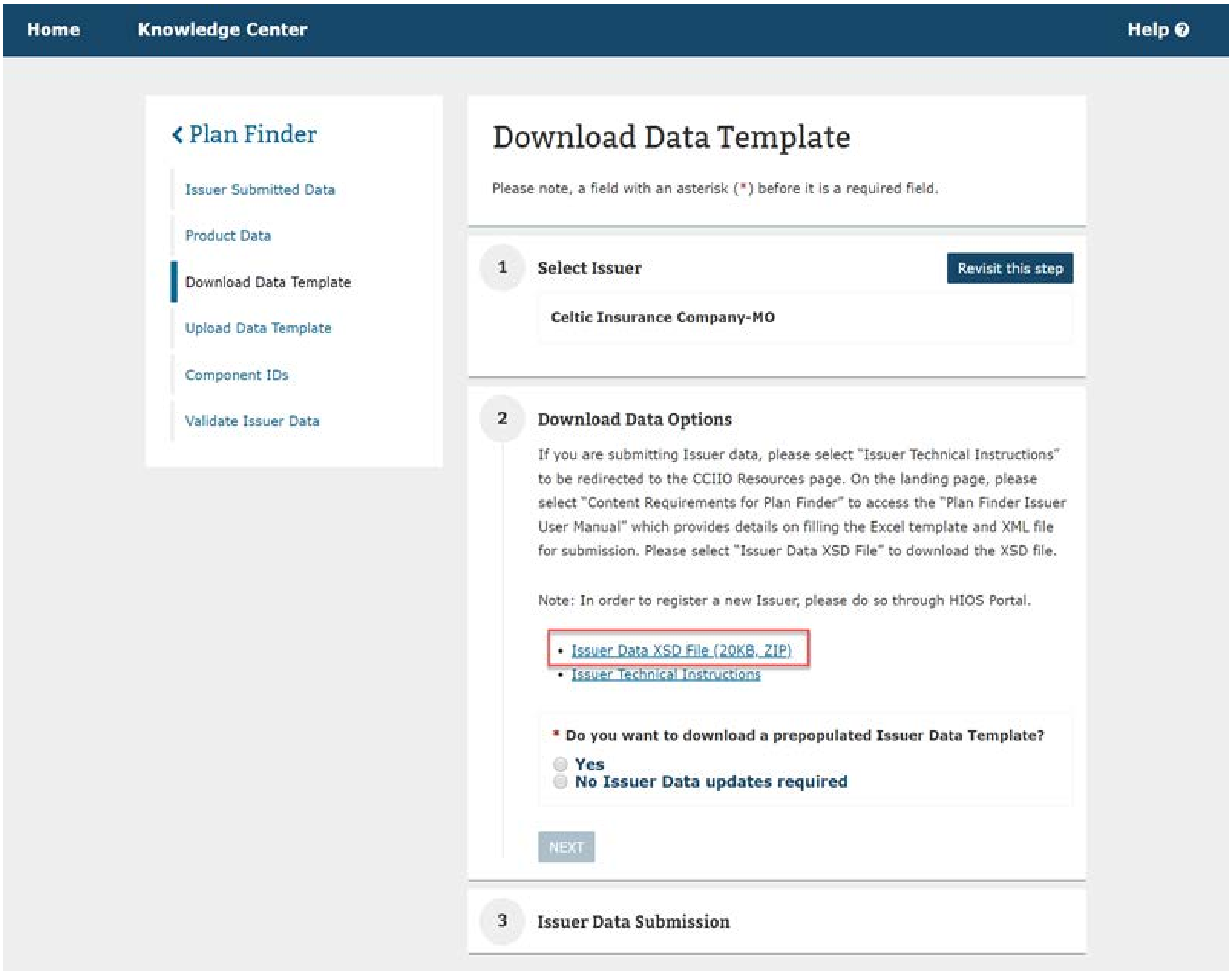
The Issuer Data XSD file can be used to manually create an XML file template for submission to Plan Finder. The XSD file can be used with any XML editor software. Instructions for loading the file into the XML software will vary depending on the software being used. Please consult the directions for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

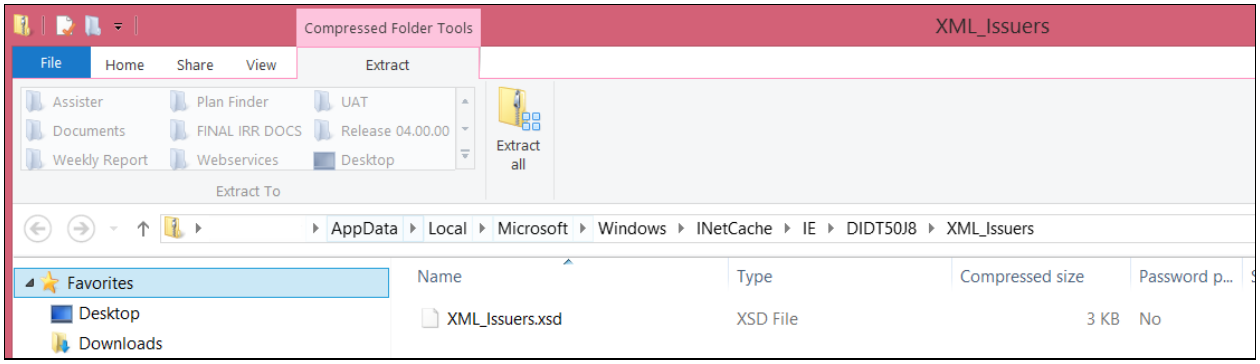
The Download Data Template – XSD File is depicted below in Figure 34.

Figure 34: Download Data Template – XSD File



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

<u>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.</u>

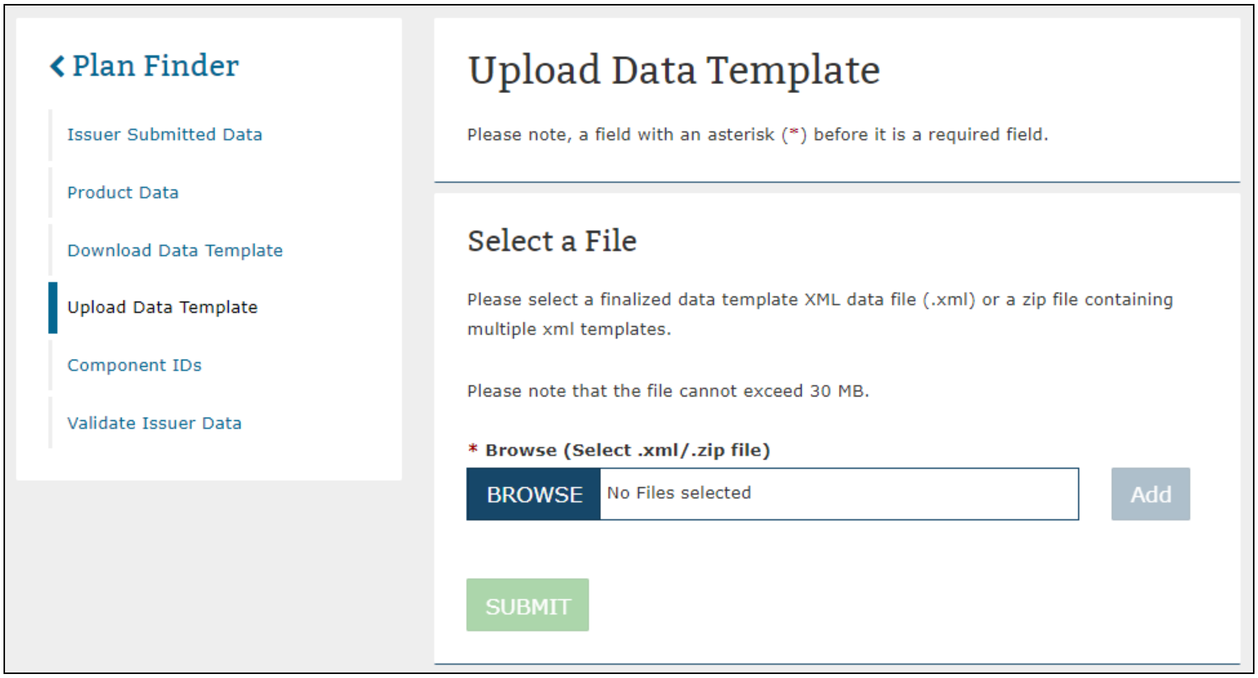
The following is an example of the finalized file format to be submitted:

- 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 finiliazed 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

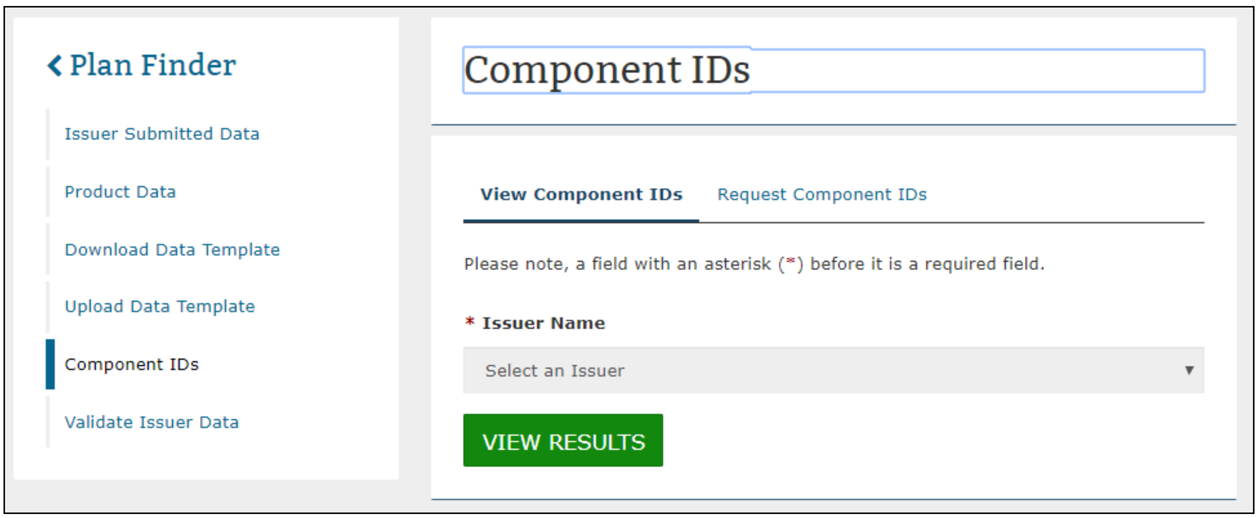
A SCID (Standard Component ID) is the base identification of an insurance plan prior to it being submitted as an “On exchange”, “Off exchange”, or “Both” plan. The SCID is used to create the official Plan ID once it is processed by the receiving system (e.g., FFE PM, RBIS). It is comprised of the Issuer’s 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.

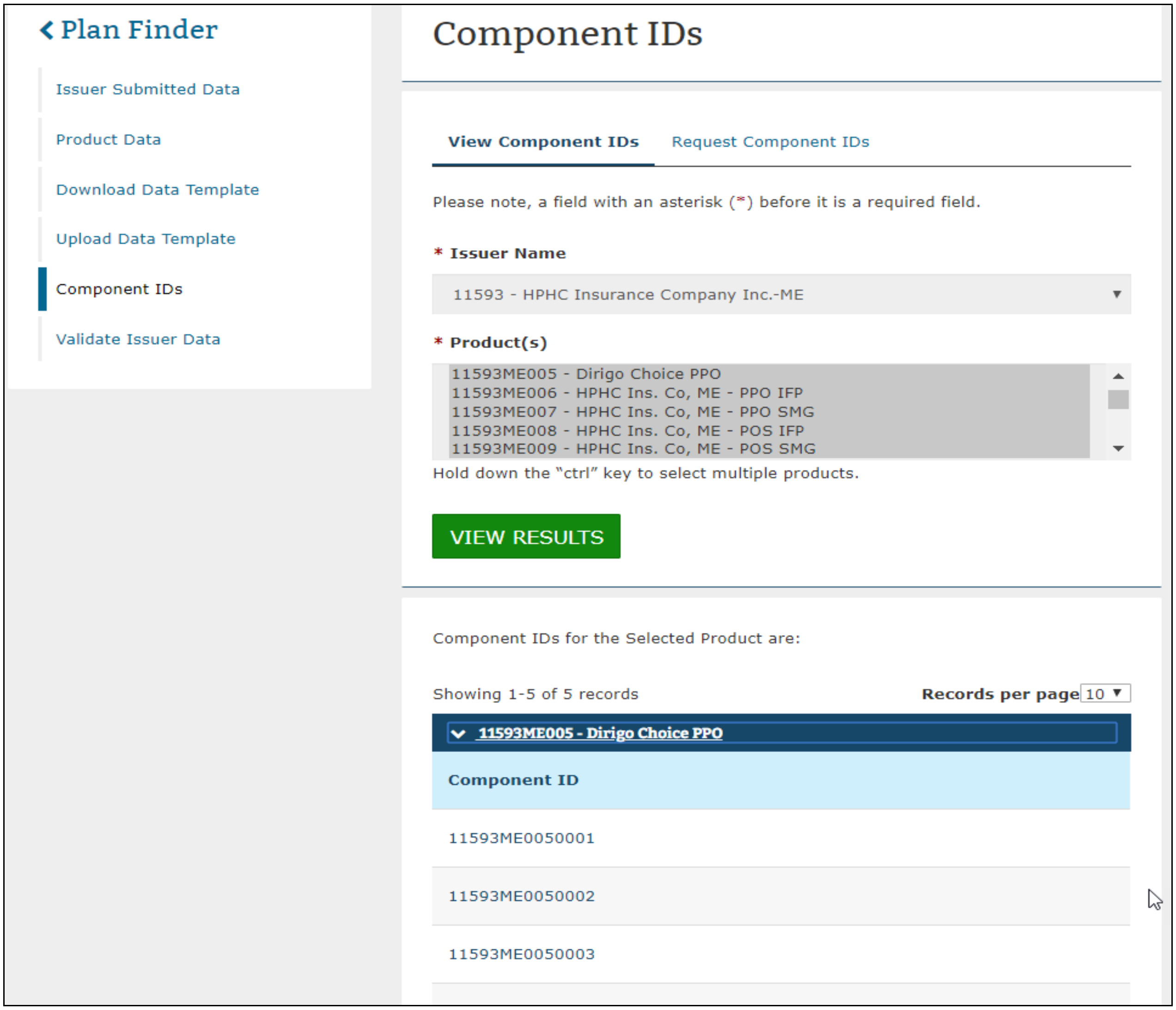
Figure 37: Component IDs Page



7.1 View Component IDs

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

Figure 38: View Component IDs page



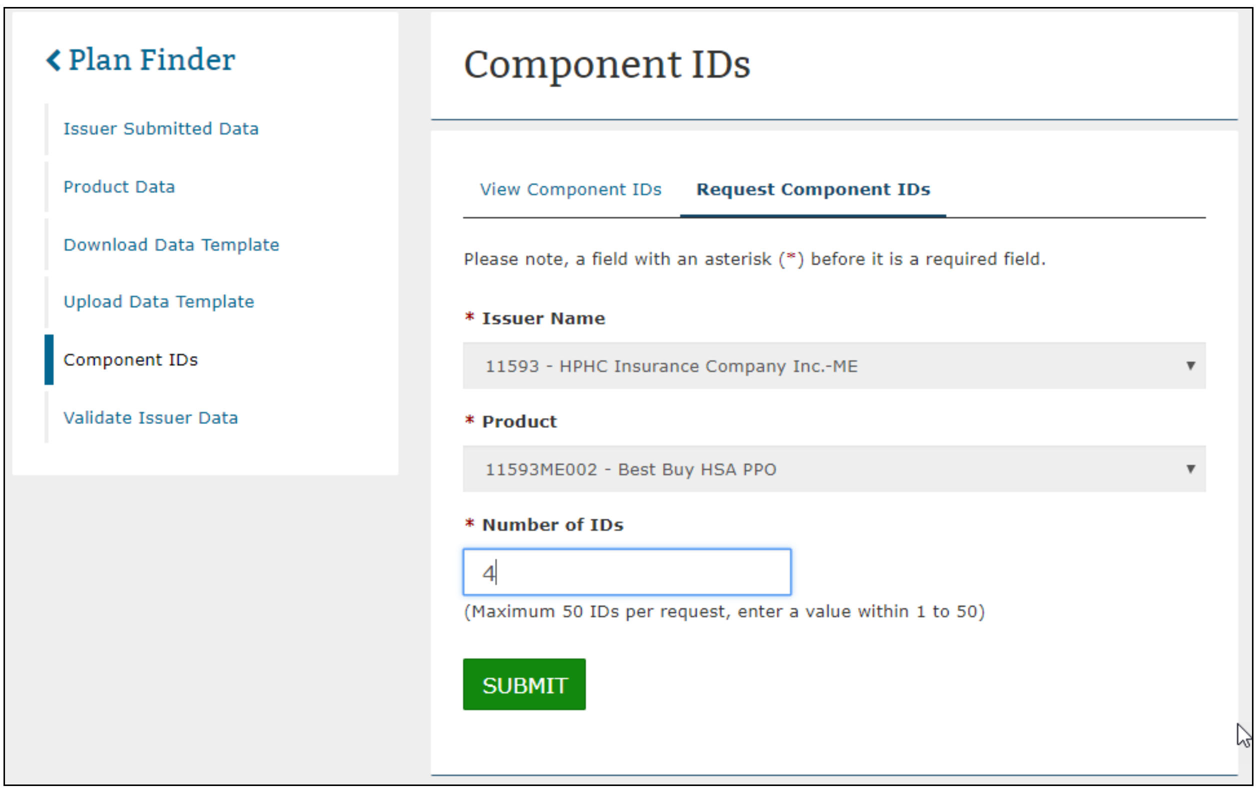
Below are the steps necessary to view the existing component IDs registered for a specific product:

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

Section	Field	User Editable
Corporate Information	Issuer Legal Name	No
Corporate Information	State	No
Corporate Information	Issuer ID	No
Corporate Information	Issuer Marketing Name	No
Corporate Information	Market Coverage	No
Corporate Information	Federal EIN	No
Corporate Information	NAIC Company Code	No
Corporate Information	NAIC Group Code	No
Address	Address Line 1	No
Address	Address Line 2	No
Address	City	No
Address	State	No
Address	Zip	No
Individual and Small Group Market	Do you offer Individual Market?	No
Individual and Small Group Market	Individual Market website.	Yes
Individual and Small Group Market	Do you offer Small Group Market?	No
Individual and Small Group Market	Small Group Market website.	Yes
Customer Service Contact – Individual Market	Local Number	Yes
Customer Service Contact – Individual Market	Extension	Yes
Customer Service Contact – Individual Market	Toll Free Number	Yes
Customer Service Contact – Individual Market	TTY:	Yes
Customer Service Contact – Individual Market	Website	Yes
Customer Service Contact – Small Group Market	Local Number	Yes
Customer Service Contact – Small Group Market	Extension	Yes
Customer Service Contact – Small Group Market	Toll Free Number	Yes

Section	Field	User Editable
Customer Service Contact – Small Group Market	TTY:	Yes
Customer Service Contact – Small Group Market	Website	Yes
Ratings – Individual Market	Is Issuer rated by any rating company in the last two years?	Yes
Ratings – Individual Market	Rating Company	Yes
Ratings – Individual Market	Rating Type	Yes
Ratings – Individual Market	Rating	Yes
Ratings – Individual Market	Rating Company Other/Describe	Yes
Ratings – Individual Market	Rating Type Other/Describe	Yes
Ratings – Small Group Market	Is Issuer rated by any rating company in the last two years?	Yes
Ratings – Small Group Market	Rating Company	Yes
Ratings – Small Group Market	Rating Type	Yes
Ratings – Small Group Market	Rating	Yes
Ratings – Small Group Market	Rating Company Other/Describe	Yes
Ratings – Small Group Market	Rating Type Other/Describe	Yes

Table 5: Marketplace General Information Fields on Web Entry Interface

Section	Field	User Edits
Corporate Information	Issuer Legal Name	No
Corporate Information	Issuer Marketplace Marketing Name	Yes
Corporate Information	Market Coverage	No
Corporate Information	State	No
Marketplace Billing Information	Marketplace Billing Name	Yes
Marketplace Billing Information	Marketplace Address Line 1	Yes
Marketplace Billing Information	Marketplace Address Line 2	Yes
Marketplace Billing Information	Marketplace City	Yes
Marketplace Billing Information	Marketplace State	Yes
Marketplace Billing Information	Marketplace Zip (5 digits)	Yes
Marketplace Billing Information	Marketplace Zip Extension (4 digits)	Yes
Customer Service Contact – Individual Market	IFP Customer Service Phone	Yes

Section	Field	User Edits
Customer Service Contact – Individual Market	IFP Customer Service Phone Extension (Max 6 digits)	Yes
Customer Service Contact – Individual Market	IFP Customer Service Toll Free	Yes
Customer Service Contact – Individual Market	IFP Customer Service TTY	Yes
Customer Service Contact – Individual Market	IFP Customer Service URL	Yes
Customer Service Contact – Small Group Market	SHOP Customer Service Phone	Yes
Customer Service Contact – Small Group Market	SHOP Customer Service Phone Extension (Max 6 digits)	Yes
Customer Service Contact – Small Group Market	SHOP Customer Service Toll Free	Yes
Customer Service Contact – Small Group Market	SHOP Customer Service TTY	Yes
Customer Service Contact – Small Group Market	SHOP Customer Service URL	Yes

Table 6: Product Information Fields on Web Entry Interface

Section	Field	User Edits
Product Information	Product ID	No
Product Information	Product Name	No
Product Information	Product Enrollment	Yes
Product Information	Enrollment Code / Group Number	Yes
Product Information	Approved Product	Yes
Product Information	SERFF Number	Yes
Product Information	Product Type	No
Product Information	Open or Closed	Yes
Product Information	Closed Reason	Yes
Product Information	Other Closed reason	Yes
Product Information	Association Product	Yes
Product Information	Individual or Small Group Market	No
Product Information	Website Address (Benefit at a Glance)	Yes
Product Information	Effective State Date	Yes
Product Information	Website Address (Provider)	Yes
Product Information	Effective End Date	Yes
Product Information	Website Address (Formulary)	Yes

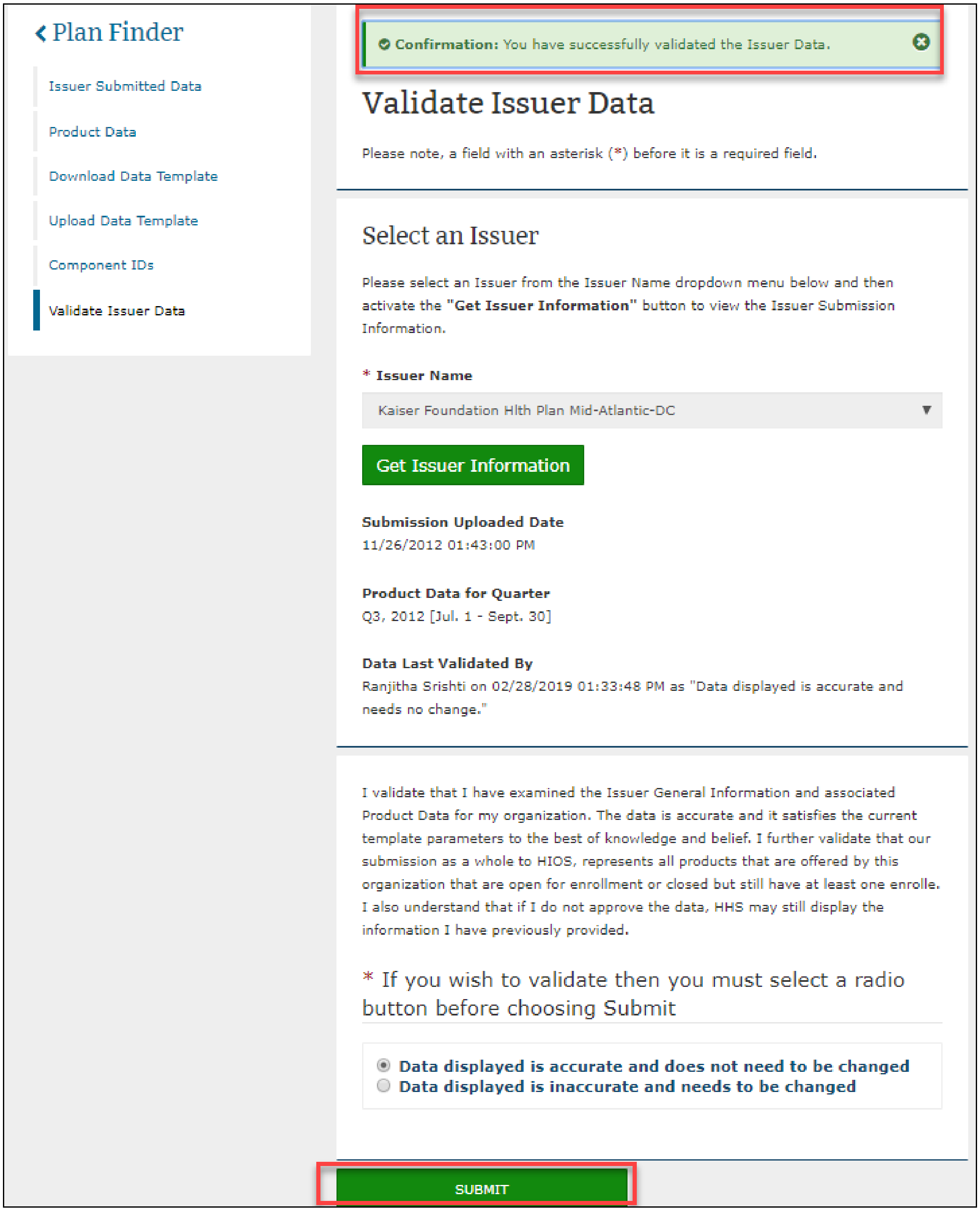
9 Validator Role – Data Validation

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:

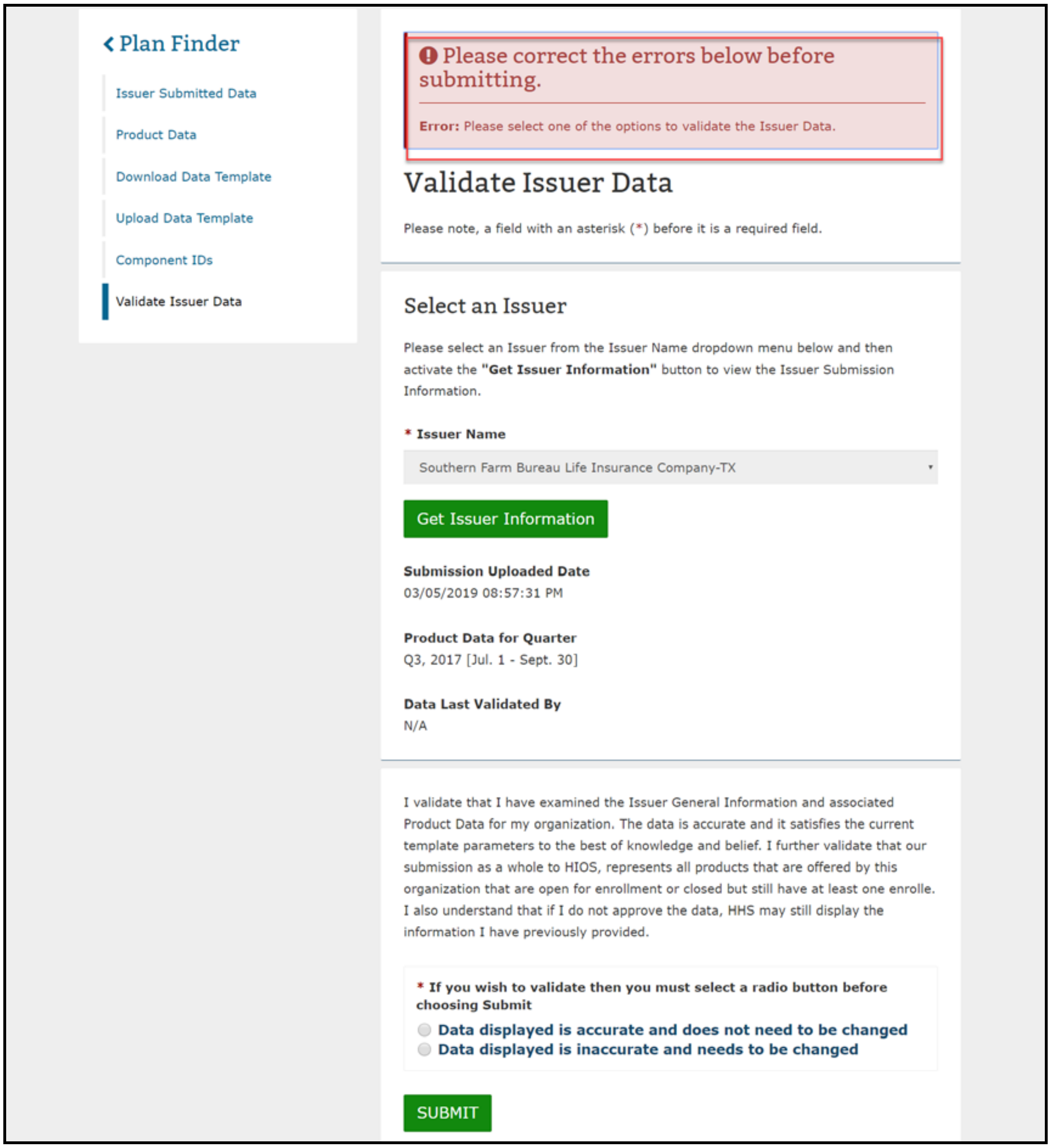
1. Select an Issuer Name from the dropdown and select ***Get Issuer Information.***
2. Read the Issuer Validation message and select the appropriate radio button for the validation status.
3. Select the ***Submit*** button.
4. The system will display a confirmation message on top of the page upon successful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

Figure 40: Issuer Validation Message



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

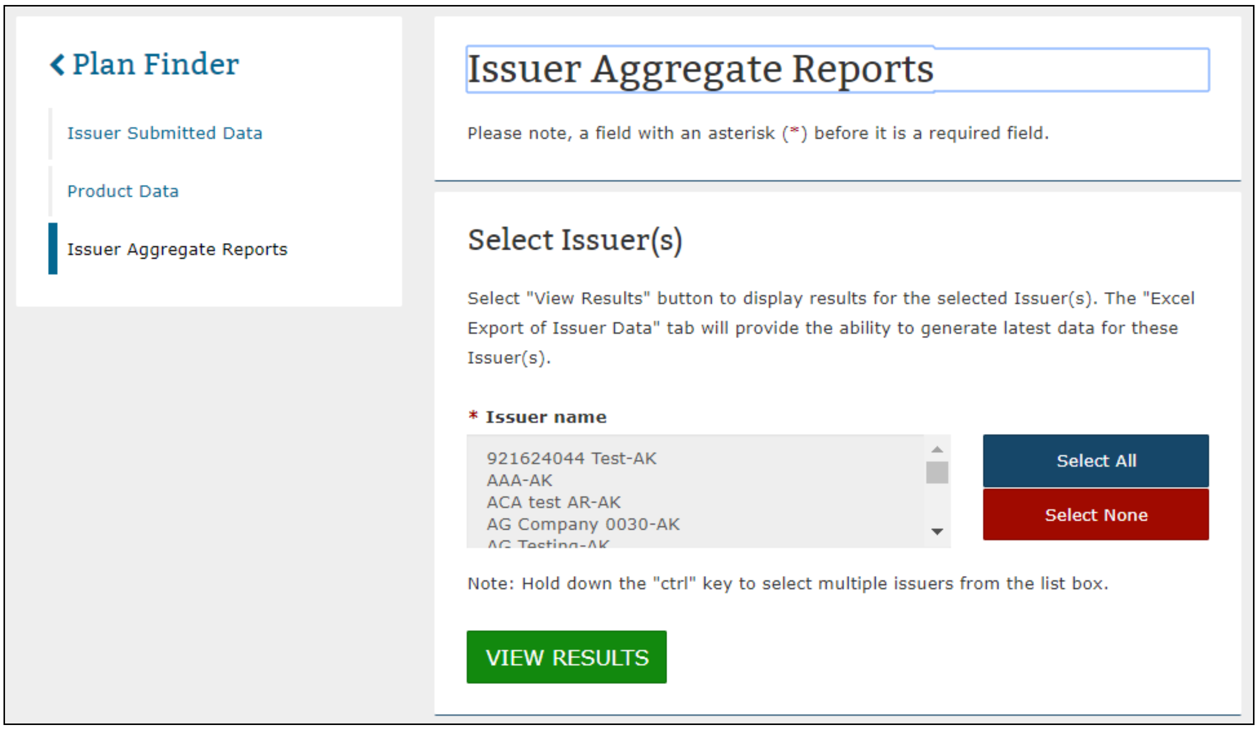
The State user can navigate through all Issuer data however, they do not have the option to edit or request additional Component IDs (Please refer to Section 2.1.4 for additional information).

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



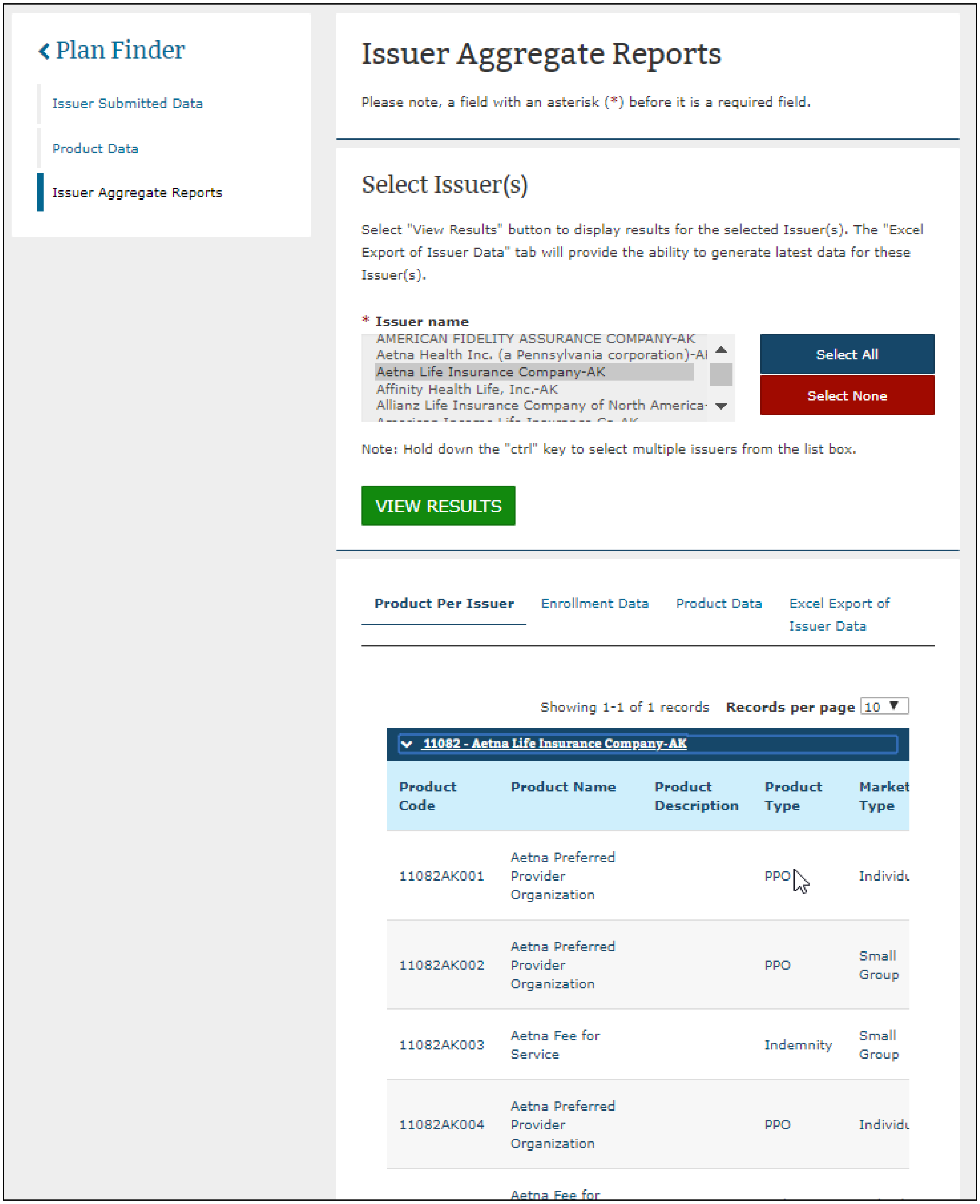
10.1.1 Issuer Aggregate Reports – Report Generation

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

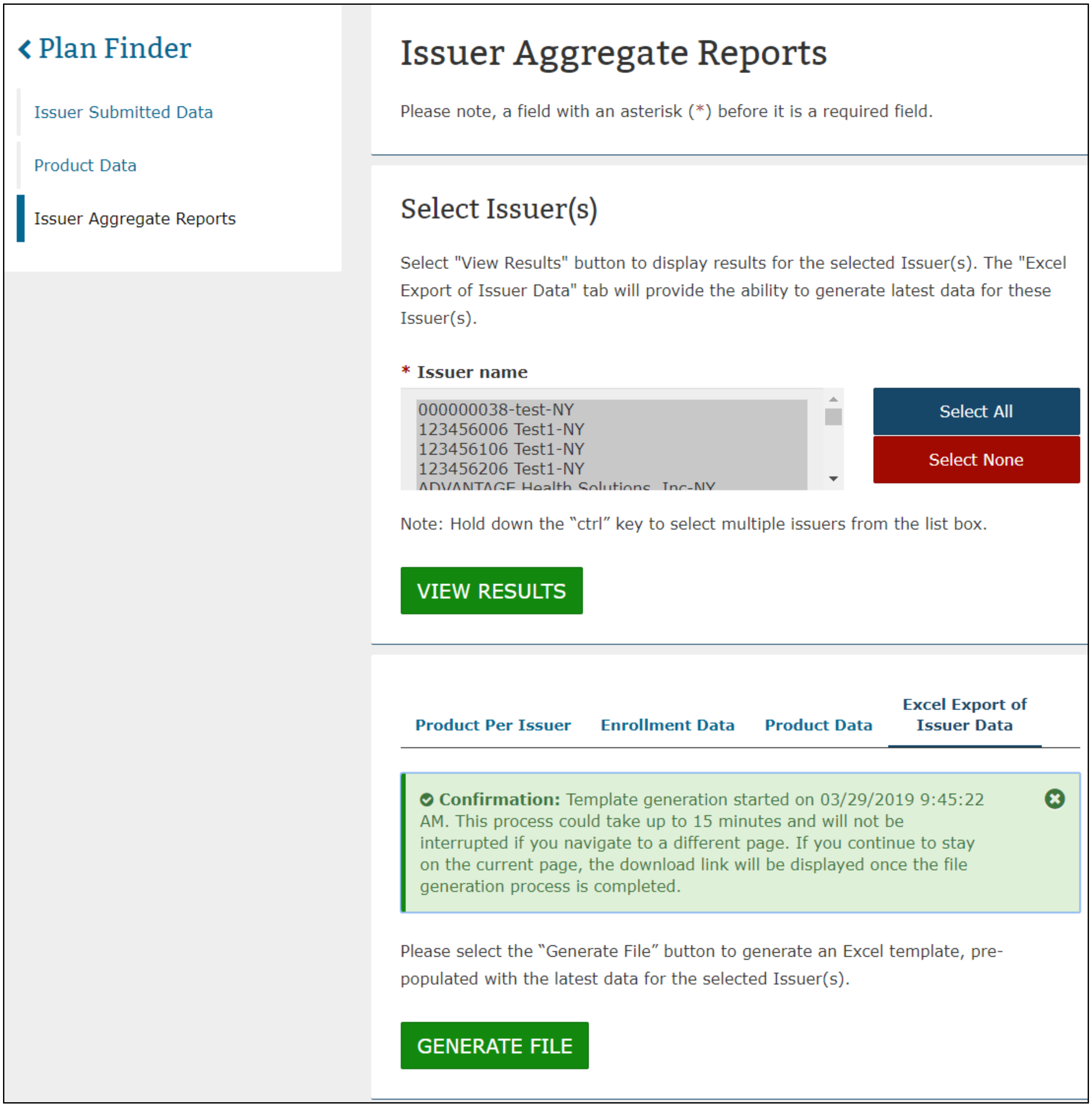


10.1.2 Excel Export of Issuer Data

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 triggerred 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.

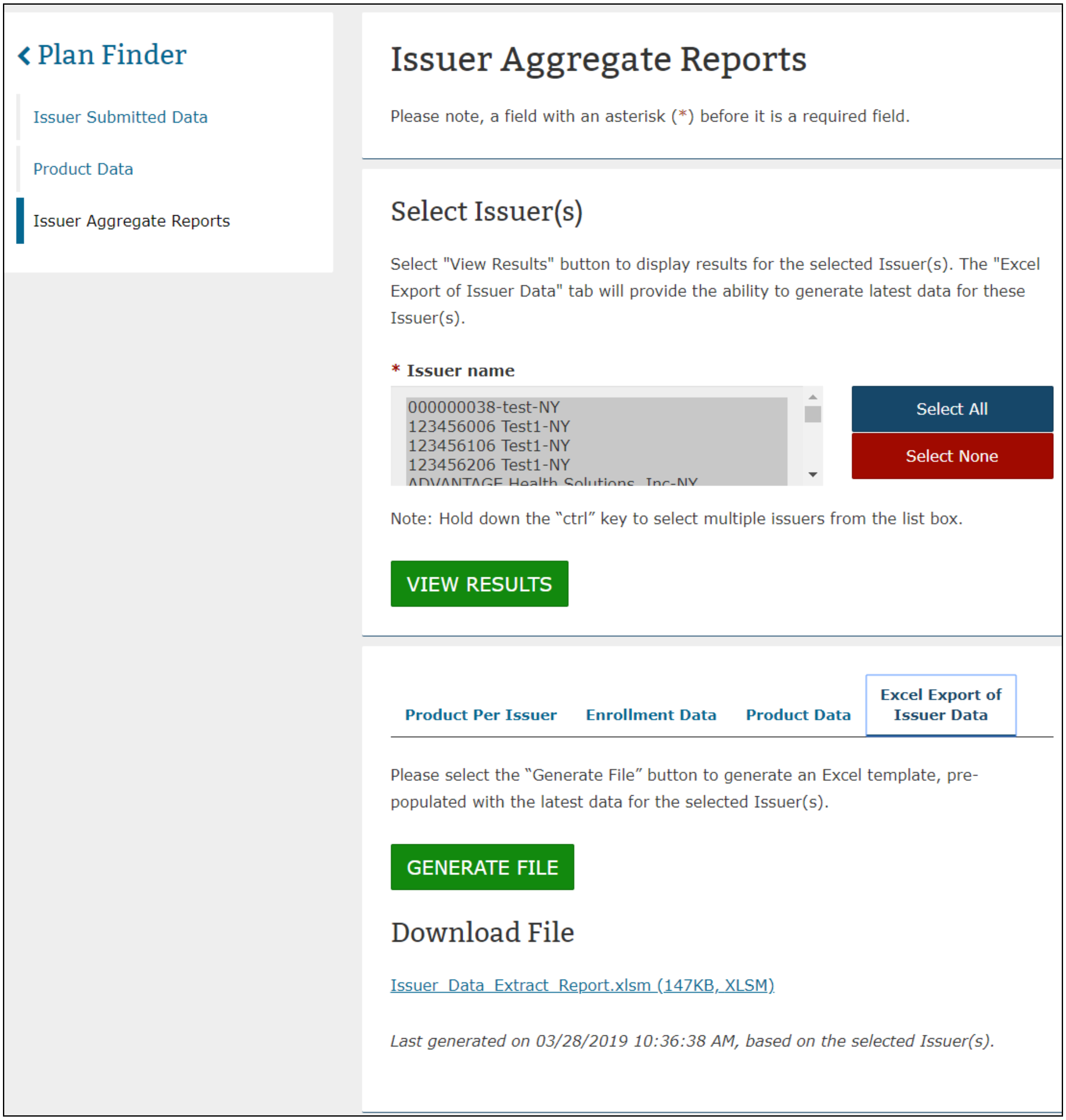
Once the file generation is completed, users can download the file by selecting the available link as displayed below in Figure 45.

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



11 Frequently Asked Questions (FAQ's)

Table 7: Frequently Asked Questions

Question	Answer
My issue is not listed in this manual. Whom can I contact?	• For additional assistance, please call the CMS Help Desk, Exchange Marketplace Service Desk (MSD) at 1-855-CMS-1515 or email them at CMS_FEPS@CMS.HHS.gov. • 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).

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.