Centers for Medicare & Medicaid Services

Center for Consumer Information and Insurance Oversight (CCIIO)

ACA Transitional Reinsurance Program

2015 Supporting Documentation Job Aid Manual

Version 2.0

9/17/2015

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1 Overview

Section 1341 of the Affordable Care Act established a transitional reinsurance program to stabilize premiums inside and outside of Marketplaces. The transitional reinsurance program requires the collection of contributions from health insurance issuers and self-insured group health plans for reinsurance payments to non-grandfathered individual market plans, program costs, and the General Fund of the US Treasury. CMS has implemented a streamlined process for the collection of reinsurance contributions where a Contributing Entity, or a third party administrator (TPA) or administrative services-only (ASO) on behalf of the Contributing Entity, is able to complete all required steps for the ACA Transitional Reinsurance Contributions Process on the Pay.gov website at https://www.pay.gov by submitting the 2015 ACA Transitional Reinsurance Program Annual Enrollment Contributions Form (Form) via Pay.gov.

Contributing Entities or a third party on its behalf, must complete and submit the Form in order to report its Annual Enrollment Count by Contributing Entity. For the 2015 benefit year, the submission of Supporting Documentation (.csv file) **is required** when reporting for four or more Contributing Entities within a single Form submission. Supporting Documentation (.csv file) **is not required** when reporting for three or fewer Contributing Entities.

The Job Aid referenced in these instructions is designed to support Reporting Entities in the creation of the Supporting Documentation; to complete step 4 of the reinsurance contributions process as shown in Figure 1.

The Job Aid is an MS Excel workbook that allows users to enter, validate, and convert Contributing Entity information in the proper layout and into a Comma Separated Value (.CSV) file format. A Contributing Entity, or a third party on its behalf, 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 from within the Job Aid. The .csv file is then uploaded as Supporting Documentation with the Form on Pay.gov.

> ⚠️ Supporting Documentation is required when reporting for four or more Contributing Entities.
>
> Supporting Documentation is **NOT** required when reporting for three or fewer Contributing Entities.

Figure 1: Transitional Reinsurance Process Overview
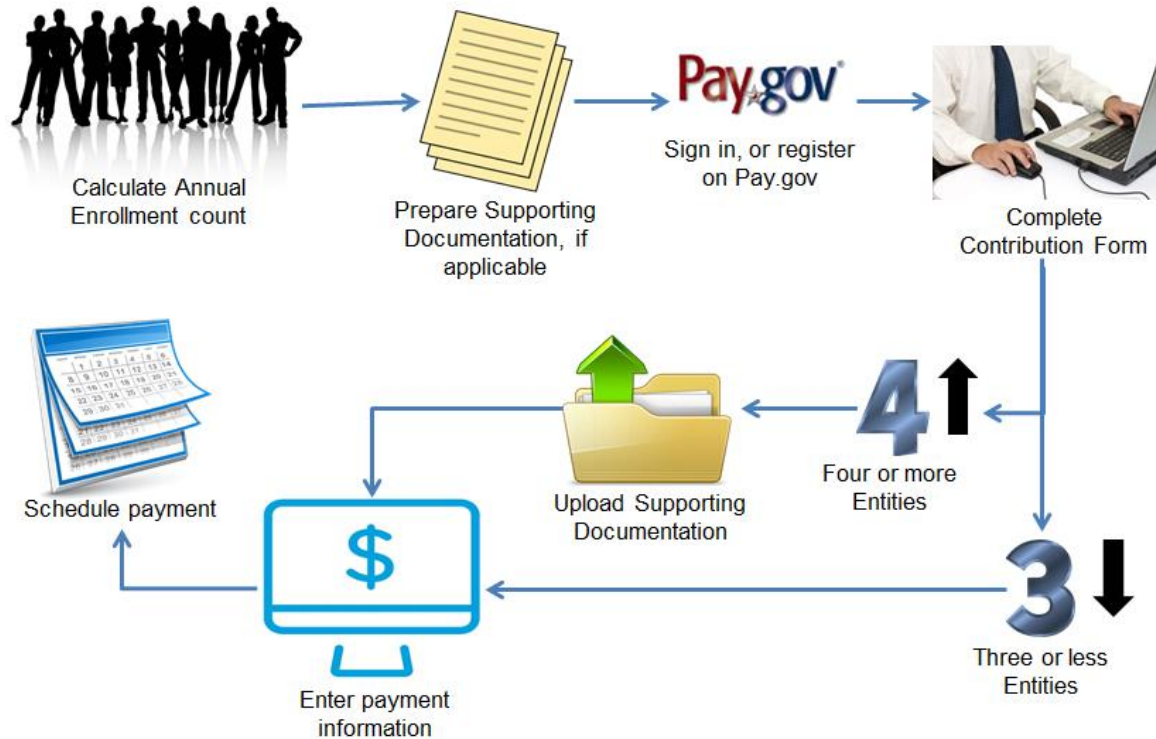
For the purposes of this document, the entity completing the process will be referred to as the "Reporting Entity". We define a Reporting Entity as a Contributing Entity, or a TPA, ASO, or any other party filing the reinsurance contribution on behalf of a Contributing Entity.

> For additional information regarding the transitional reinsurance program contribution submission process, including the 2015 Supporting Documentation file layout requirements, go to: https://www.regtap.info, select Library, and then Filter by Program Area: Reinsurance-Contributions or visit the CCIIO webpage: https://www.cms.gov/CCIIO/Programs-and-Initiatives/Premium-Stabilization-Programs/The-Transitional-Reinsurance-Program/Reinsurance-Contributions.html.

2 Instructions for Enabling Macros in the Job Aid

2.1 Compatibility/Requirements

In order to successfully use the Job Aid, you must have Microsoft Excel 2007 or higher, and a Windows operating system.

> ⚠️ The Job Aid is not compatible with MAC operating systems.

2.2 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.

2.3 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 "Protected View" message in the yellow banner at the top of your screen, click on the button "Enable Editing." Upon doing that, 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

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

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 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 **Error! Reference source not found.**.

Figure 3: 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	Raven Health	12-3456789
2	Raven Health	12-3456789
3	Raven Health	12-3456789
4	Raven Health	12-3456789

To enter data manually row-by-row, follow the steps as shown in **Error! Reference source not found.** through **Error! Reference source not found.**.

Figure 4: 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)
ABC Company	12-3456788	For Profit	23 Main Street
XYZ Company		Nonprofit / For Profit	5 Test Drive
Josiah Inc	12-0142015	For Profit	879 West Side Drive
Axel Corporation	50-2521986	For Profit	1898 Fifth Avenue

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

Figure 5: 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 (5- or 9-digit)	Domiciliary State (2-letter code)
	San Jose	CA	5101	CO
	Beverly Hills	CA / CO / CT / DE / DC / FL / GA / HI	CO / CT / DE / DC / FL / GA / HI / ID	
	New Orleans			
	New York			

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 6: Enter Contributing Entity Information, Steps 10-12

Benefit Year (2015)	Annual Enrollment Count (nnnnnn.nn)	Entity Type (HII, SI, MGHPS, MGHPM, OTHER)
2015	250.00	SI
2015	150.25	HII
2015	124.00	SI / MGHPS
2015	126.48	MGHPM / OTHER

Entity Type
HII - Health Insurance Issuer
SI - Self-Insured
MGHPS - Multiple Group Health Plan Aggregate Reporting
MGHPM - Multiple Group Health Plan Separate Reporting
OTHER - Other Type

10. Select "2015" as the Benefit Year from the drop-down menu
11. Enter the Annual Enrollment Count

> The Annual Enrollment Count must be rounded to the nearest hundredth.

12. Select the Type of Contributing Entity from the drop-down menu

> A call out box will appear when selecting your Contributing Entity's Entity Type with an explanation of each Entity Type acronym.

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 **Error! Reference source not found.**.

Figure 7: 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	
Complete	Unique	
Complete	Unique	
Complete	Unique	

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 **Error! Reference source not found.**.

Figure 8: Copy and Paste Contributing Entity Information

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)

3.3 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 by auto-calculating the total records entered, total completed records, sum of annual enrollment counts, and file size, as shown in **Error! Reference source not found.**

Figure 9: Data Entry Status

| Data entry status:	
Records entered:	Total = 4, Complete = 4
Sum of annual enrollment (maximum 2,272,727.27):	650.73

⚠ The **Sum of annual enrollment** in the Job Aid **must match** the Annual Enrollment Count entered on the Form.

3.4 Validate and Create the .CSV File

You have the option to run the Validation Check before creating the .CSV File, as shown in **Error! Reference source not found.**. When copying and pasting data into the Job Aid, it is recommended that you run Data Validation after pasting the data but prior to creating the .CSV File.

Figure 10: Validate and Create the .CSV File
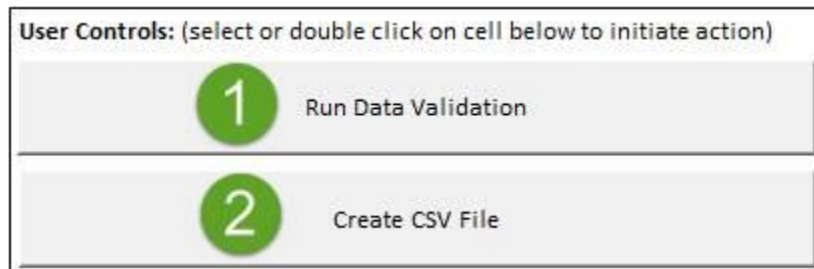
1. Under User Controls, select the Run Data Validation button
   - A User Input box will verify that you either want to run data validation or not
   - A dialogue box displays a summary of the errors, with the option to display the first field that has an invalid value or format or to close the dialogue box and begin manual correction
2. Under User Controls, select the Create the .CSV File button
   - 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
   - When saving the .CSV File on your computer there is no required naming convention, but it is encouraged that you use the following format: Insert ReportingEntityLBN_BY2015_Insert SubmissionDate. Using XYZ Company for example, the filing name convention would be XYZCompany_BY2015_11_07_2015

> ⚠️ All identified errors must be corrected before the Job Aid will create the .CSV File.
>
> Saving the spreadsheet using the .CSV file extension will **NOT** create a .CSV file. You must select the "Create CSV File" button in the Job Aid to create 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.

4 Troubleshooting, Errors, and Warnings

If you are having issues accessing and/or operating the Job Aid, there may be compatibility/requirements issues that you will need to troubleshoot.

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

4.1 Compatibility/Requirements

In order to successfully use the Job Aid, you must have Microsoft Excel 2007 or higher, and a Windows operating system.
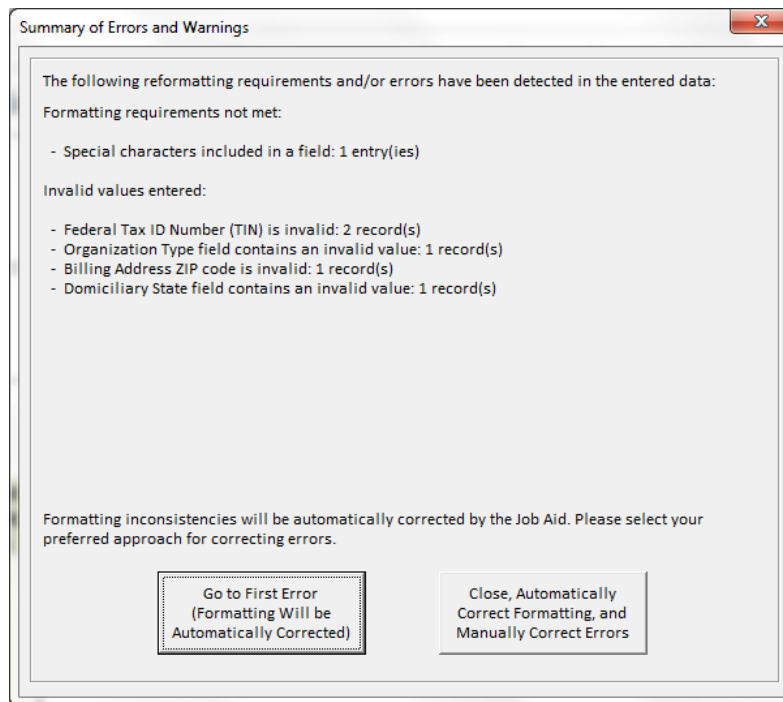
> ⚠️ The Job Aid is not compatible with MAC operating systems.

4.2 Errors that Require Manual/Automatic Revision

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

* A summary of errors displays when you run the Data Validation, as shown in **Error! Reference source not found.**

Figure 11: Sample Summary of Error 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 exceeds 3,030,303.00 and the user has selected Two-Part Collection for Type of Payment
- The total value of the Annual Enrollment Count field exceeds 2,272,727.27 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 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 4 is not five-digits or nine-digits
- The Benefit Year field is not "2015"
- The Annual Enrollment Count field is not a numeric value with two places beyond the decimal point
- The Type of Contributing Entity field is not "HII," "SI," "MGHPS," "MGHPM," or "OTHER." (For a full description of the Type of Contributing Entity field, please see the call out box that will appear when selecting the Entity Type or the 2015 ACA Transitional Reinsurance Program Annual Enrollment and Contributions Submission Form Manual available at https://www.regtap.info)

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.

- A summary of warnings displays when you run the Data Validation, as shown in **Error! Reference source not found.**

Figure 12: Sample Single Automatic Reformatting Message
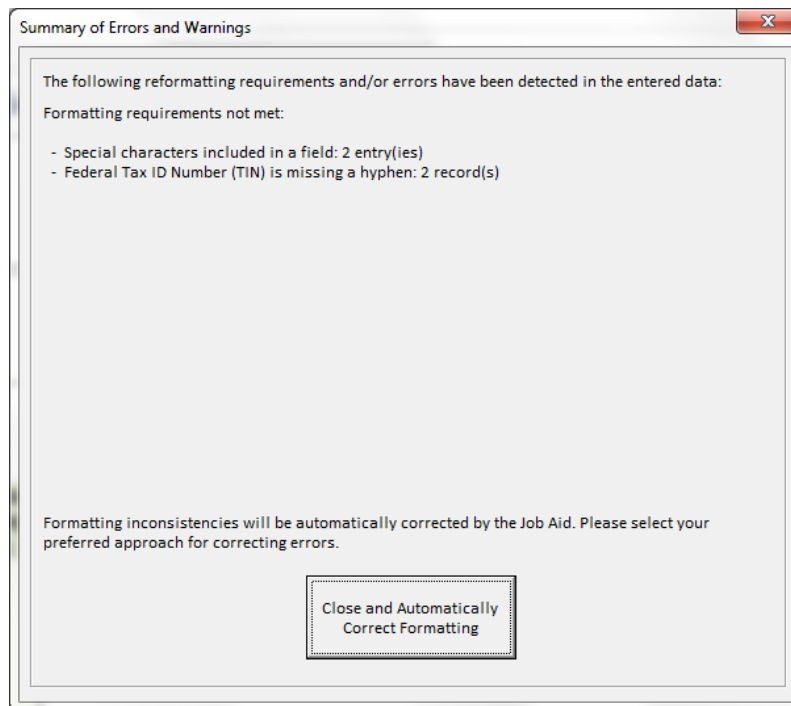
The following invalid values or formats are automatically reformatted:

- 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 13 depicts a sample user notification warning message.

Figure 133: Sample User Notification Warning Message
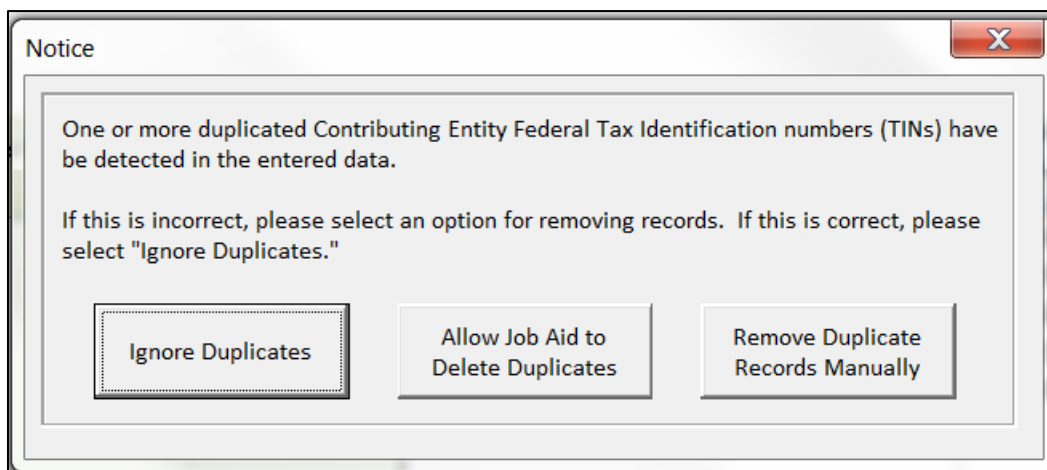
Scenarios that trigger a user notification include:

- 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

4.4 What to Check before Uploading the .CSV File

- Be sure that there are no special characters in the file name of the .CSV File or else it will be rejected
- If any of the Contributing Entity's Zip Codes entered in the Job Aid have a leading zero, be sure that you do not open the .CSV File in Excel to make edits. The .CSV File should only be opened using NotePad or WordPad