

Chapter 1: Instructions for the Administrative Application Section

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1. Overview

This section of the Qualified Health Plan (QHP) Application collects administrative information about the insurance company and any holding company associated with an issuer submitting an application. This administrative information is used to support the operations of the Federally-facilitated Marketplace (FFM), including tracking of issues, communications, and data submission. When possible, much of the information in this and other sections is prepopulated with data previously submitted to the Health Insurance Oversight System (HIOS).

In this section, issuers supply information about their organization. They must complete the Administrative Template, which contains items related to the legal entity, organization web address, National Association of Insurance Commissioners (NAIC) affiliation, proposed market types, and company contacts, such as chief executive officer (CEO), chief financial officer (CFO), and customer service.

2. QHP Data Display

Some data collected in the Administrative Template is also contained in HIOS. The data displayed on www.healthcare.gov for the individual market is pulled from the data contained in HIOS, and not the Administrative Template. Therefore, it is imperative that you ensure the information contained in HIOS is correct and the data fields are populated (see Section 4.2 for specific fields displayed on www.healthcare.gov). However, you must still submit a completed Administrative Template with your application.

The *Issuer Marketing Name* displayed for the Federally-facilitated Small Business Health Options Programs (FF-SHOP) plan is pulled from the Administrative Template. Issuers who offer plans in the FF-SHOP will need to ensure that their *Issuer Marketing Name* is updated both

in HIOS and on the Administrative Template. If the issuer has not provided an *Issuer Marketing Name*, the *Issuer Legal Name* name will be displayed.

3. Purpose

This chapter guides you through completing the Administrative section of your QHP Application.

4. Administrative Data Requirements

To complete this section, you need the following information:

1. HIOS Issuer ID
2. Issuer state
3. HIOS Product ID for proposed QHPs
4. NAIC company and group codes
5. Taxpayer Identification Number (TIN) or Employer Identification Number (EIN), also known as Federal Employer Identification Number (FEIN)
6. Proposed exchange market coverage: Individual, Small Business Health Options Program (SHOP), or both
7. Current sales market: Individual, SHOP, or both
8. Names, phone numbers, e-mail addresses, and website addresses (i.e., URLs) for company contacts, such as CEO, CFO, and customer service.

5. Application Instructions

The Administrative section of the QHP Application uses an Excel template to collect issuer administrative information. Figure 1-1 shows key items in these instructions for completing the Administrative section.

Figure 1-1. Administrative Section Highlights

- Download the latest versions of the Administrative Template from <http://cciio.cms.gov/programs/exchanges/qhp.html>.
- Using the correct template version is critical. The current and correct version of template includes 2015 in the banner.
- To initiate the template and allow data entry, enable template macros using the **Options** button on the Security Warning toolbar, and select **Enable this content**.
- The Administrative Template contains 12 sections.
- If you are a registered HIOS user, your template may have prepopulated fields that are highlighted in yellow and cannot be changed.
- The data displayed on www.healthcare.gov is pulled from the data contained in HIOS, and not the Administrative Template. Therefore, it is imperative that you ensure the information contained in HIOS is correct and the data fields are populated (see Section 4.2 for specific fields displayed on www.healthcare.gov).
- All header fields in the template marked with an asterisk (*) are required.
- All state values must be selected from the drop-down menu.
- The template requires you to select a *Current Sales Market*. If you are not currently selling products in either the Individual or SHOP markets, select **Both** in the *Current Sales Market* field.
- Dual product issuers should submit the primary dental contact where indicated in the Administrative Template, and indicate your main customer service line in Section 9 (individual market) or Section 10 (small group). Only a single customer service line can be entered.
- Dual product issuers can only enter a single customer service number in HIOS. Issuers should communicate directly with members and/or route calls regarding dental questions to the right support. Issuers should work with their account managers, when assigned, to indicate additional contact information as appropriate.

All issuers must complete the Administrative Template. When the template is completed, issuers must upload it to the Administrative Data section of the Issuer Module in the QHP Application system.

5.1 Template Instructions

Using the 2015 version¹ of the template downloaded from the Administrative Data section of the Issuer Module in the QHP Application system, follow the instructions below to complete the Administrative Template. Figures 1-2 through 1-5 show samples of completed Administrative Template sections.

¹ The 2015 version of the template must be used. The banner section of each template will specify 2015.

Figure 1-2. Administrative Template (Sections 1 through 4)

	A	B	C	D	E
1	2015 Administrative Data v4.0	The QHP Application requires submission of certain administrative data that will be utilized for operational purposes. This information includes identifying information and contact information. Some of this information will be pre-populated based on the information you have previously entered in HIOS.			
2	Validate	All fields marked with an asterik (*) are required. Depending on the Proposed Exchange Market Coverage selected, certain additional fields may be required.			
3	Finalize	On validation, missing or incorrect data is highlighted.			
4		To validate the template, use the Validate button or press Ctrl + Shift + V. To finalize the template, press the finalize button or press Ctrl + Shift + F.			
5					
6	Issuer ID:	12345	Proposed Exchange Market Coverage:	SHOP (Small Group)	
7	Issuer State:	MD	Current Sales Market:	Both	
8	1. Administrative Data				
9	Company Legal Name:	Issuer Legal Name:	Issuer Marketing Name:		
10	Maryland Insurance Company, DKS	MIC	Md Ins Co		
11					
12	Associated Health Plan ID:	TIN:	NAIC Company Code:	NAIC Group Code:	
13	1234567890	52-2113333	54771	0812	
14	2. Company Address				
15	Address:	Address 2 (optional):	City:	State:	Zip Code:
16	2222 Md Insurance Way	Suite 2	Hyattsville	MD	20784
17	3. Issuer Address				
18	Address:	Address 2 (optional):	City:	State:	Zip Code:
19	2222 Md Insurance Way	Suite 2A	Hyattsville	MD	20784
20	4. Select Your Primary Contact:				
21	SHOP (Small Group)				

Figure 1-3. Administrative Template (Sections 5 through 10)

	A	B	C	D	E
1	2015 Administrative Data v4.0	The QHP Application requires submission of certain administrative data that will be utilized for operational purposes. This information includes identifying information and contact information. Some of this information will be pre-populated based on the information you have previously entered in HIOS.			
2	Validate	All fields marked with an asterik (*) are required. Depending on the Proposed Exchange Market Coverage selected, certain additional fields may be required.			
3	Finalize	On validation, missing or incorrect data is highlighted.			
4		To validate the template, use the Validate button or press Ctrl + Shift + V. To finalize the template, press the finalize button or press Ctrl + Shift + F.			
5					
6	Issuer ID:	12345	Proposed Exchange Market Coverage:	SHOP (Small Group)	
7	Issuer State:	MD	Current Sales Market:	Both	
8	5. Issuer Individual Market Contact				
9	First Name:	Last Name:	E-mail Address:	Phone Number:	Phone Extension:
10	Ralph	Thompson	rathompson@ddins.org	301-123-4567	
11	6. Issuer SHOP (Small Group) Contact				
12	First Name:	Last Name:	E-mail Address:	Phone Number:	Phone Extension:
13	Susan	Smith	ssmith@mdins.org	301-123-4568	
14	7. CEO				
15	First Name:	Last Name:	E-mail Address:	Phone Number:	Phone Extension:
16	Betsy	Randolph	barandolph@mdins.org	301-123-4569	
17	8. CFO				
18	First Name:	Last Name:	E-mail Address:	Phone Number:	Phone Extension:
19	Henry	Jones	hajones@mdins.org	301-111-1111	
20	9. Customer Service - Individual Market				
21	Customer Service Phone:	Customer Service Phone Extension:	Customer Service Toll Free:	Customer Service TTY:	Customer Service URL:
22	800-123-4569		800-123-4569	866-111-1112	MDINS.COM
23	10. Customer Service - SHOP (Small Group)				
24	Customer Service Phone:	Customer Service Phone Extension:	Customer Service Toll Free:	Customer Service TTY:	Customer Service URL:
25	800-123-4570		800-123-4570	866-111-1113	MDINS-SHOP.COM

Figure 1-4. Administrative Template (Section 11)

	A	B	C	D	E	F
1	2015 Administrative Data v4.0	The QHP Application requires submission of certain administrative data that will be utilized for operational purposes. This information includes identifying information and contact information.				
2	Validate	Some of this information will be pre-populated based on the information you have previously entered in HIOS.				
3	Finalize	All fields marked with an asterik (*) are required. Depending on the Proposed Exchange Market Coverage selected, certain additional fields may be required.				
4		On validation, missing or incorrect data is highlighted.				
5		To validate the template, use the Validate button or press Ctrl + Shift + V. To finalize the template, press the finalize button or press Ctrl + Shift + F.				
6	Issuer ID:	12345	Proposed Exchange Market Coverage:	SHOP (Small Group)		
7	Issuer State:	MD	Current Sales Market:	Both		
11	11. Contacts					
52	Contact Type	First Name	Last Name	Phone Number	Extension	E-mail Address
53	Enrollment Contact					
54	Online Enrollment Center Contact (Primary)					
55	Online Enrollment Center Contact (Backup)					
56	System Contact					
57	Appeals/Grievances Contact					
58	Customer Service Operations Contact					
59	User Access Contact					
60	Backup User Access Contact					
61	Marketing Contact					
62	Medical Director					
63	Chief Dental Director					
64	Pharmacy Benefit Manager					
65	Government Relations Contact					
66	HIPAA Security Officer					
67	Complaints Tracking Contact					
68	Quality Contact					
69	Compliance Officer					
70	Payment Contact					
71	APTC/CSR Contact					
72	Financial Reporting Contact					
73	Financial Transfers Contact					
74	Risk Corridors Contact					
75	Risk Adjustment Contact					
76	Reinsurance Contact					

Figure 1-5. Administrative Template (Section 12)

	A	B	C	D	E	F
1	2015 Administrative Data v4.0	The QHP Application requires submission of certain administrative data that will be utilized for operational purposes. This information includes identifying information and contact information.				
2	Validate	Some of this information will be pre-populated based on the information you have previously entered in HIOS.				
3	Finalize	All fields marked with an asterik (*) are required. Depending on the Proposed Exchange Market Coverage selected, certain additional fields may be required.				
4		On validation, missing or incorrect data is highlighted.				
5		To validate the template, use the Validate button or press Ctrl + Shift + V. To finalize the template, press the finalize button or press Ctrl + Shift + F.				
6	Issuer ID:	12345	Proposed Exchange Market Coverage:	SHOP (Small Group)		
7	Issuer State:	MD	Current Sales Market:	Both		
12	12. Third Party Administrator(s):					
79	Do you have a TPA for the following processes:					
80	Enrollment*	Yes				
81	Claims Processing*	Yes				
82	Edge Server Host*	No				

Complete the following fields in the Administrative Template:

1. Enable template macros using the **Options** button on the Security Warning toolbar, and select **Enable this content**. If macros are not enabled before entering data, the template will not recognize the data and they will have to reenter.
2. *HIOS Issuer ID* (required). Enter your five-digit HIOS issuer ID, if not prepopulated.
3. *Proposed Exchange Market* (required). Use the drop-down menu to select the correct proposed exchange market (**Individual**, **SHOP**, or **Both**). An application can be associated with both an Individual market plan and SHOP. If you intend to offer both Individual and SHOP plans in the FFM, select **Both**. An issuer should not fill out two separate applications: submitting a second Administrative Template overwrites the first submission in HIOS.
4. *Issuer State* (required). Select the state in which you propose to offer coverage using the drop-down menu.

5. *Current Sales Market* (required). Select the markets in which you currently sell products using the drop-down menu:
 - a. If you are not currently selling products in either the Individual or SHOP markets, select **Both**.
6. *Administrative Data* (Section 1). Enter administrative data:
 - a. *Company Legal Name* (required). Enter the company's legal name. (This may be your parent or holding company. If you do not have a parent or holding company, your company legal name and issuer legal name are the same.)
 - b. *Issuer Legal Name* (required). Enter the issuer's legal name. If the *Issuer legal name* on the template does not match exactly the name associated with your Issuer ID in HIOS, the template returns an invalid issuer legal name system error when you upload it.
 - c. *Issuer Marketing Name* (required). Enter any marketing name you use for the plans you offer.
 - d. *Associated Health Plan ID (HPID)*. Enter your HPID (the controlling HPID for the company licensed to operate within the state), if applicable.
 - e. *TIN* (required). Enter your nine-digit tax identification number (TIN). The TIN field accepts nine numbers (no hyphen) or 10 characters (including the hyphen). If users enter 10 numbers, it will not pass validation.
 - f. *NAIC company code*. Enter your NAIC company code, if applicable.
 - g. *NAIC group code*. Enter your NAIC group code, if applicable.
7. *Company Address* (Section 2). Enter company address information:
 - a. Enter the address, city, state, and ZIP code information, as required.
 - b. Enter any additional address information in the Address 2 field, if applicable.
8. *Issuer Address* (Section 3). Enter issuer address information:
 - a. Enter the address, city, state, and ZIP code information, as required.
 - b. Enter any additional address information in the Address 2 field, if applicable.
9. *Primary Contact* (required) (Section 4). Using the drop-down menu, select the market (**Individual or SHOP**) associated with the person designated as the primary Marketplace contact for your organization.
10. *Issuer Individual Market Contact* (section 5). If you chose **Individual** as your primary contact, enter the contact information for the Individual market contact:

- a. Enter the first name, last name, e-mail address, and phone number of your Individual market contact.
 - b. Enter a phone extension for your Individual market contact, if applicable. If the phone extension begins with a zero, copy and paste the number from another Excel document (format the cell in the other Excel document as text) into the cell (it will be accepted and pass validation); do not type a phone extension beginning with a zero directly into the template because Excel reformats the entry.
11. *Issuer Small Group Contact* (Section 6). If you chose **SHOP** as your primary contact, enter the contact information for the SHOP (Small Group) market contact:
- a. Enter the first name, last name, e-mail address, and phone number of your SHOP contact.
 - b. Enter a phone extension for your SHOP contact, if applicable. If the phone extension begins with a zero, copy and paste the number from another Excel document (format the cell in the other Excel document as text) into the cell (it will be accepted and pass validation); do not type a phone extension beginning with a zero directly into the template because Excel reformats the entry.
12. *CEO* (Section 7). Enter the contact information for your CEO contact:
- a. Enter the first name, last name, e-mail address, and phone number of your CEO contact.
 - b. Enter a phone extension for your CEO contact, if applicable. If the phone extension begins with a zero, copy and paste the number from another Excel document (format the cell in the other Excel document as text) into the cell (it will be accepted and pass validation); do not type a phone extension beginning with a zero directly into the template because Excel reformats the entry.
13. *CFO* (Section 8). Enter the contact information for your CFO contact:
- a. Enter the first name, last name, e-mail address, and phone number of your CFO contact.
 - b. Enter a phone extension for your CFO contact, if applicable. If the phone extension begins with a zero, copy and paste the number from another Excel document (format the cell in the other Excel document as text) into the cell (it will be accepted and pass validation); do not type a phone extension beginning with a zero directly into the template because Excel reformats the entry.
14. *Customer Service Individual Market* (Section 9). If you chose **Individual** as your proposed exchange market, enter your customer service contact:
- a. Enter the proposed Individual market coverage customer service phone, toll-free number, TTY, and customer service URL.

- i. Use your *Customer service phone number* if there is no 10-digit TTY number.
 - ii. The customer service phone number, toll-free number, and TTY need to be final as entered into the QHP Application, but the numbers themselves do not need to be live until open enrollment.
 - b. Enter a phone extension for your Individual market customer service contact, if applicable. If the phone extension begins with a zero, copy and paste the number from another Excel document (format the cell in the other Excel document as text) into the cell (it will be accepted and pass validation); do not type a phone extension beginning with a zero directly into the template because Excel reformats the entry.
15. *Customer Service SHOP* (Small Group) (Section 10). If you chose **SHOP** as your proposed exchange market, enter your customer service contact:
- a. Enter the proposed SHOP market coverage customer service phone, toll-free number, TTY, and customer service URL.
 - i. Use your *Customer service phone number* if there is no 10-digit TTY number.
 - ii. The customer service phone number, toll-free number, and TTY need to be final as entered into the QHP Application, but the numbers themselves do not need to be live until open enrollment.
 - b. Enter a phone extension for your SHOP customer service contact, if applicable. If the phone extension begins with a zero, copy and paste the number from another Excel document (format the cell in the other Excel document as text) into the cell (it will be accepted and pass validation); do not type a phone extension beginning with a zero directly into the template because Excel reformats the entry.
16. *Contacts* (Section 11). Enter other contacts, as applicable:
- a. Contact information is optional, but very useful. The contacts you provide should reflect the person at the issuer who can answer Department of Health and Human Services (HHS) questions on the specific topic. The contacts are not made public.
 - i. The User Access Contact is used to identify the single point of contact for addressing issues related to HIOS access.
 - ii. The Quality Contact is the person who should be contacted for issues related to QHP quality reporting requirements such as accreditation, the Quality Rating System and the QHP Enrollee Experience Survey (also known as the Enrollee Satisfaction Survey).
 - b. Enter the first name, last name, phone number, and e-mail address of each applicable contact.

- c. Enter a phone extension for each contact, if applicable. If the phone extension begins with a zero, copy and paste the number from another Excel document (format the cell in the other Excel document as text) into the cell (it will be accepted and pass validation); do not type a phone extension beginning with a zero directly into the template because Excel reformats the entry.
 - d. The pharmacy benefit manager and reinsurance contacts do not apply to dental plans.
17. *Third Party Administrator* (required) (Section 12). Identify whether you have third-party administrators (TPAs) by selecting **Yes** or **No**, as applicable. Use the drop-down menu to select the correct response. This information identifies whether the issuer works with a TPA (any vendor that provides services in the functional areas listed); indicating “Yes” does not require that a TPA perform *all* functions.
- a. Enrollment
 - b. Claims Processing
 - c. Edge Server Host.
18. Click the **Validate** button in the template. The template identifies any data issues that require attention. Resolve any identified errors and click **Validate** again. Repeat until all errors are resolved.
19. Click the **Finalize** button in the template to create the template document to be uploaded. The function creates an XML file. It is also recommended to save the template to your hard drive as an XLSM.
20. Save the XML file using your default drive or store the file where you will be able to find it to upload to the Administrative Data section of the Issuer Module in the QHP Application system.
21. Upload the completed Administrative Template in the Administrative Data section of the Issuer Module in the QHP Application system.

5.2 Data Updates

Figure 1-6 shows the fields displayed on www.healthcare.gov.

Figure 1-6. Plan Compare—QHP Landscape

Data element	Displayed on Plan Compare?	Displayed on QHP Landscape?	Displayed on My Account?	SHOP Display
Issuer ID	No	Yes	No	No
Issuer State	No	Yes	Yes	No
Issuer Address	No	No	Yes	No
Issuer Legal Name	Only if Issuer marketing name is blank	Only if Issuer marketing name is blank	Only if Issuer marketing name is blank	Only if Issuer marketing name is blank
Issuer Marketing Name	Yes	Yes	Yes	Yes*
Customer Service-Individual Market-Customer Service Phone	Yes	Yes	Yes	No
Customer Service-Individual Market-Customer Service Phone Extension	Yes, if extension exists	Yes, if extension exists	Yes, if extension exists	No
Customer Service-Individual Market-Customer Service Toll Free	Yes	Yes	Yes	No
Customer Service-Individual Market-Customer Service TTY	Yes, if different from toll free	Yes, if different from toll free	Yes, if different from toll free	No
Customer Service-Individual Market-Customer Service URL	Yes	Yes	Yes	No
Customer Service-SHOP (Small Group)-Customer Service Phone	No	Yes	Yes	No
Customer Service-SHOP (Small Group)-Customer Service Phone Extension	No	Yes, if extension exists	Yes, if extension exists	No
Customer Service-SHOP (Small Group)-Customer Service Toll Free	No	Yes	Yes	No
Customer Service-SHOP (Small Group)-Customer Service TTY	No	Yes, if different from toll free	Yes, if different from toll free	No
Customer Service-SHOP (Small Group)-Customer Service URL	No	Yes	Yes	No

**Issuer Marketing Name for SHOP Display is pulled from the Administrative template.*

Updates to the data displayed for plan compare, QHP Landscape, and My Account must be completed in HIOS Plan Finder. Updates to the *Issuer Marketing Name* for display in FF-SHOP must be completed in the Administrative Template.

1. If you need to change your customer service information (phone numbers or URL), please note the following:
 - a. You must have a submitter role in HIOS to make changes.
 - b. Instructions on how to make these changes in the HIOS Plan Finder Module are contained in Section 5.1 of the *Health Insurance Oversight System Plan Finder—Issuer User Manual* at <http://www.cms.gov/CCIIO/Resources/Forms-Reports-and-Other-Resources/Downloads/hios-plan-finder-issuer-user-manual.pdf>.
2. If you need to change your *Issuer Marketing Name*, take the following steps (you must have an Issuer Administrator role in order to make issuer-level changes):
 - a. Log in to HIOS.
 - b. Select “Manage an Organization” on the left hand side of the bar.
 - c. Enter the FEIN, and click “Search.” The issuers associated with the company will display.

- d. Select “Edit” next to the issuer where the change is needed.
- e. The *Issuer Marketing Name* is the third data element.
- f. After making the desired change, scroll to the bottom of the page, select the “Submit” button.
- g. The change is then committed to the database and seen on the screen.

The *Issuer Marketing Name* does not need to be changed in the Administrative Template unless you want to change other data elements in the Administrative Template, or want to update the FF-SHOP display. If you want to change other data in the Administrative Template, first change the *Issuer Marketing Name* in the HIOS web edit feature (instructions above) and then download a new version of the Administrative Template with the revised *Issuer Marketing Name* prepopulated in the template. The template then can be resubmitted into the QHP Issuer Module.

3. Other:

- a. Instructions on how to update data contained in HIOS (but not displayed on www.healthcare.gov) are found at <http://www.cms.gov/CCIIO/Resources/Forms-Reports-and-Other-Resources/Downloads/hios-portal-user-manual-10-09-2013.pdf>.
- b. If you determine that information in HIOS for the following fields is incorrect, you need to submit a change request to the CMS Help Desk, Exchange Operations Support Center (XOSC) at 1-855-CMS-1515 or via e-mail at CMS_FEPS@CMS.HHS.gov. Specify your issuer ID, the updates that need to be made, and that the update needs to be made to the data in the HIOS Plan Finder Module.
 - i. NAIC Company Code
 - ii. NAIC Group Code
 - iii. Issuer Legal Name
 - iv. Issuer Address.
- c. Updates to contacts should be provided to your account manager, when assigned.