1A Payment and Enrollment Data Workbook User Guide

Workbook Guide as of: 08/04/2016

Contents

Introduction 2

Workbook Naming Convention 2

Current Workbook Process 2

Step 1: Open the workbook file and enable macros 2

Step 2: Enter or paste data into worksheets 3

Step 3: Validate data in current worksheet 3

Step 4 (Optional): Clear validation results in current worksheet 4

Auto-Validating Workbook Process Walkthrough 5

Step 5: Close the workbook to start automatic data validation 5

Step 6: Acknowledge any informational or error messages that appear on the screen 5

Step 7: Acknowledge Post-Validation messages 7

Step 8: Review Automatic Data Validation results on each worksheet 9

Step 9: Save and close the workbook 9

Step 10: Send the completed workbook to CMS 10

EFT Usage Guidelines 11

Introduction

This guide is intended to provide information on the proper usage of updated workbooks that contain automatic data validation capabilities. In these workbooks, when macros are enabled in Excel and the user closes the workbook, data validation will run on all worksheets before the workbook closes.

Workbook Naming Convention

When you received your workbook it should have had a filename with the following format: SBM**XXXXXYYMM**V01.xlsm for individual issuer submissions or SBM**XXYYMM**V01.xlsm for state submitters where:

- XXXXX or XX is the 5 digit issuer ID (SBM Issuers) or 2 digit state code (SBM States)
- YY is the submission year
- MM is the submission month (the month you are submitting in, not the month you are submitting for. For example, when submitting for September, the workbook would be submitted in August and have 08 as the month)
- E.g. SBM123451608V01.xlsm for Issuer 12345's September submission

Please do not change this filename. If it has been changed, please change it back to the original naming convention using the guidelines above.

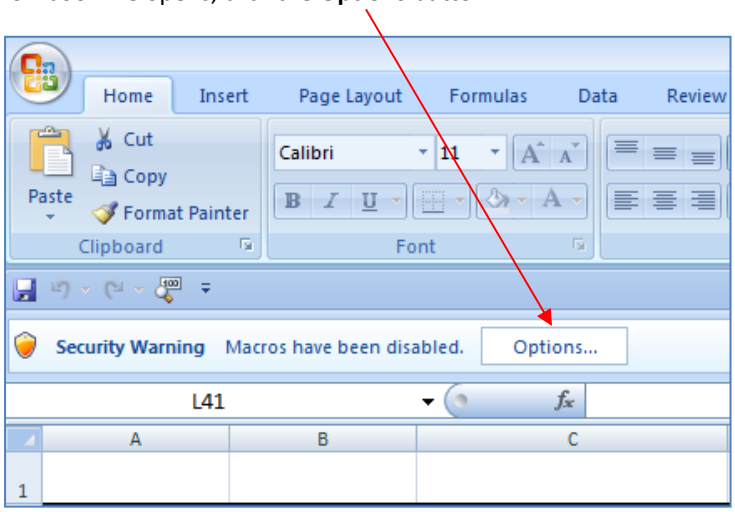
Current Workbook Process

The following steps describe how to use the workbook and manual validation functionality:

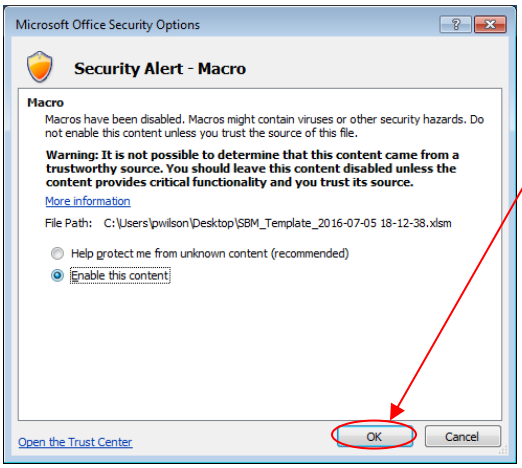
1. Macros must be enabled for proper use of the workbook;
2. Data entry, by typing or pasting values;
3. Manual data validation on a single worksheet, by clicking the **Validate Template Data** button;
4. Clear data validation results on a single worksheet, by clicking the **Clear Validation Results** button.

Step 1: Open the workbook file and enable macros

a. After the workbook file opens, click the **Options** button.



b. The **Security Alert – Macro** dialog opens. Click **Enable this content** and click the **OK** button to enable macros.

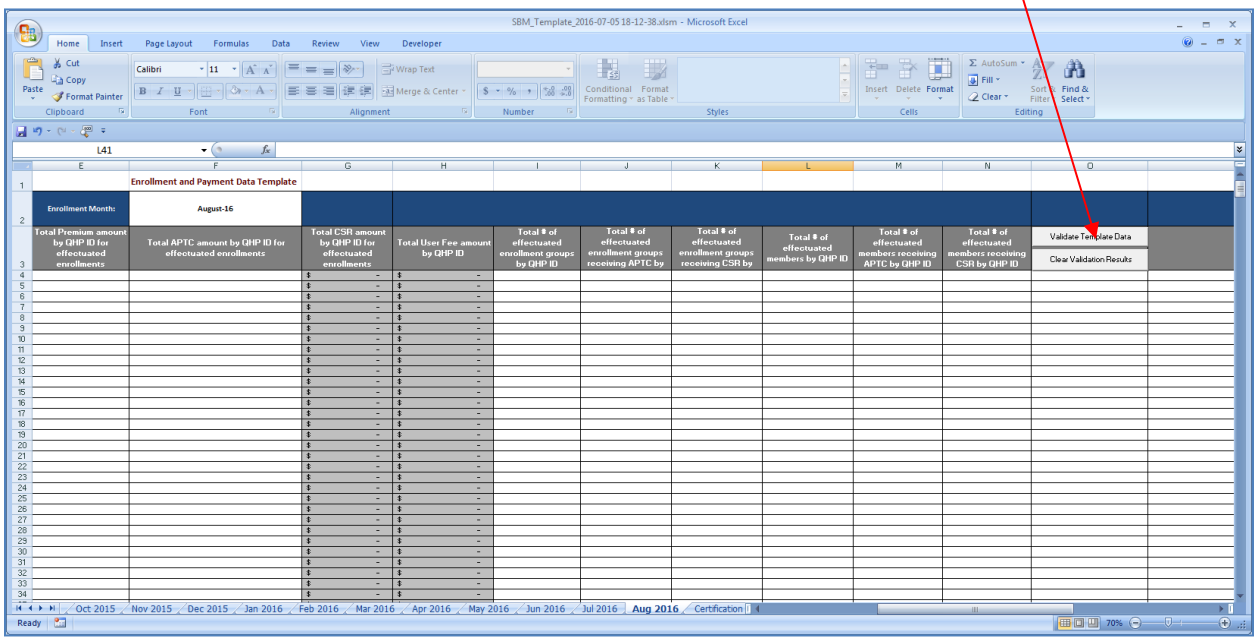


Step 2: Enter or paste data into worksheets

a. Enter data or paste data into each worksheet, as needed.
b. Do not change the name of the Excel workbook file when saving.
c. Save your work frequently.

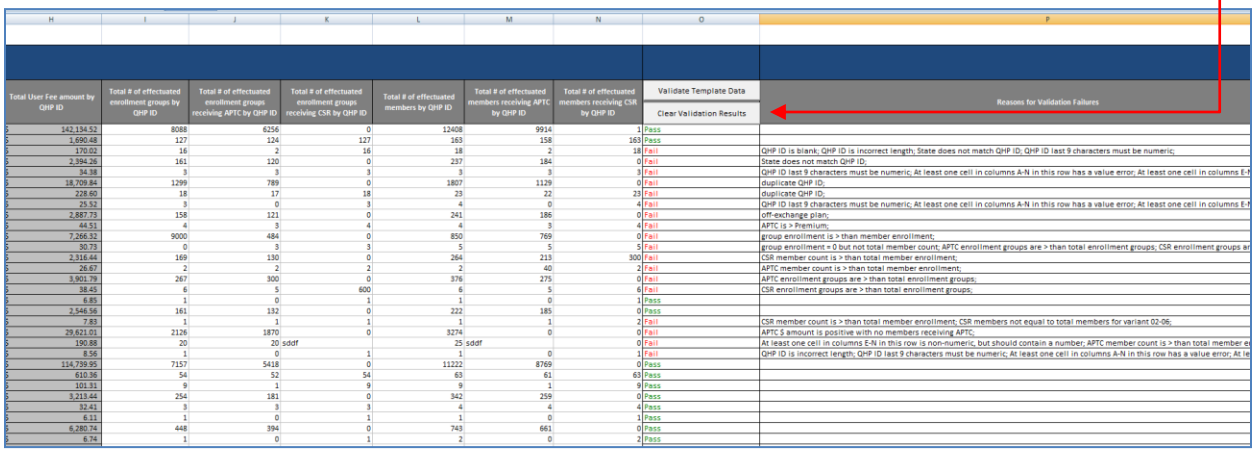
Step 3: Validate data in current worksheet

a. To validate data in a current worksheet, click the **Validate Template Data** button.
b. Data validation results appear in columns O and P.
c. Column O contains the validation status (Pass, Fail, or Please Review).
d. Column P contains the Fail or Please Review description.



Step 4 (Optional): Clear validation results in current worksheet

a. To clear validation results (if needed) from the current worksheet, click the **Clear Validation Results** button.
b. Data validation results will be removed from columns O and P. This is useful if data has been changed, and validation needs run again.
c. Modify and/or correct data, and run data validation again. Repeat as needed until all rows Pass.



H	I	J	K	L	M	N	O	P
Total User Fee amount by QHP ID	Total # of effectuated enrollment groups by QHP ID	Total # of effectuated enrollment groups receiving APTC by QHP ID	Total # of effectuated enrollment groups receiving CSR by QHP ID	Total # of effectuated members by QHP ID	Total # of effectuated members receiving APTC by QHP ID	Total # of effectuated members receiving CSR by QHP ID	Validate Template Data Clear Validation Results	Reasons for Validation Failures
142,134.52	8088	6256	0	12408	9914	1	Pass	
1,690.48	127	124	127	163	158	163	Pass	
170.02	16	2	16	18	2	18	Fail	QHP ID is blank; QHP ID is incorrect length; State does not match QHP ID; QHP ID last 9 characters must be numeric;
2,394.26	161	120	0	237	184	0	Fail	State does not match QHP ID;
34.38	3	3	3	3	3	3	Fail	QHP ID last 9 characters must be numeric; At least one cell in columns A-N in this row has a value error; At least one cell in columns E-N
18,709.84	1299	789	0	1807	1129	0	Fail	duplicate QHP ID;
228.60	18	17	18	23	22	23	Fail	duplicate QHP ID;
25.52	3	0	3	4	0	4	Fail	QHP ID last 9 characters must be numeric; At least one cell in columns A-N in this row has a value error; At least one cell in columns E-N
2,887.73	158	121	0	241	186	0	Fail	off-exchange plan;
44.51	4	3	4	4	3	4	Fail	APTC is > Premium;
7,266.32	9000	484	0	850	769	0	Fail	group enrollment is > than member enrollment;
30.73	0	3	3	5	5	5	Fail	group enrollment = 0 but not total member count; APTC enrollment groups are > than total enrollment groups; CSR enrollment groups ar
2,316.44	169	130	0	264	213	300	Fail	CSR member count is > than total member enrollment;
26.67	2	2	2	2	40	2	Fail	APTC member count is > than total member enrollment;
3,901.79	267	300	0	376	275	0	Fail	APTC enrollment groups are > than total enrollment groups;
38.45	6	5	600	6	5	6	Fail	CSR enrollment groups are > than total enrollment groups;
6.85	1	0	1	1	0	1	Pass	
2,546.56	161	132	0	222	185	0	Pass	
7.83	1	1	1	1	1	2	Fail	CSR member count is > than total member enrollment; CSR members not equal to total members for variant 02-06;
29,621.01	2126	1870	0	3274	0	0	Fail	APTC $ amount is positive with no members receiving APTC;
190.88	20	20 sddf		25 sddf		0	Fail	At least one cell in columns E-N in this row is non-numeric, but should contain a number; APTC member count is > than total member e
8.56	1	0	1	1	0	1	Fail	QHP ID is incorrect length; QHP ID last 9 characters must be numeric; At least one cell in columns A-N in this row has a value error; At le
114,739.95	7157	5418	0	11222	8769	0	Pass	
610.36	54	52	54	63	61	63	Pass	
101.31	9	1	9	9	1	9	Pass	
3,213.44	254	181	0	342	259	0	Pass	
32.41	3	3	3	4	4	4	Pass	
6.11	1	0	1	1	0	1	Pass	
6,280.74	448	394	0	743	661	0	Pass	
8.74	1	0	1	2	0	2	Pass	

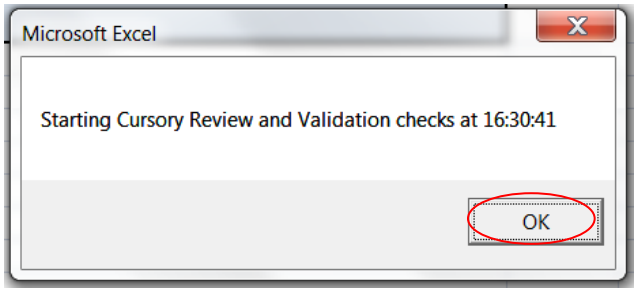
Auto-Validating Workbook Process Walkthrough

The following functions refer to the steps involved in the automatic validation capabilities that happen on close:

5. Automatic data validation runs for each worksheet when the user attempts to close the workbook (This will occur even if all worksheets have previously had data validation run on them individually);
6. Informational and error messages may appear on the screen during the automatic data validation;
7. Post-validation messages appears after automatic data validation has completed;
8. Worksheet tabs change color to indicate Pass, Fail, or Please Review status, and validation results will be displayed in columns O and P in each worksheet upon completion;
9. The workbook is not automatically saved. The user must save the workbook after auto-validation completes. Do not change the name of the workbook file when saving.
10. Send the completed workbook to CMS:
    a. For the August cycle, via email or electronic file transfer (EFT)
    b. After the August cycle, via electronic file transfer (EFT) - **REQUIRED**

Step 5: Close the workbook to start automatic data validation

a. Validation Start: A new pop-up message appears when the user attempts to close the workbook, signifying the start of the validation process:

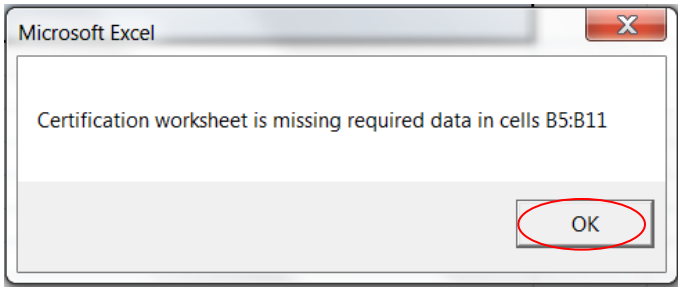


b. **Action Required**: Click the **OK** button.
c. Automatic Data Validation will begin and should take less than 30 seconds to complete, for all worksheets in the workbook.

Step 6: Acknowledge any informational or error messages that appear on the screen

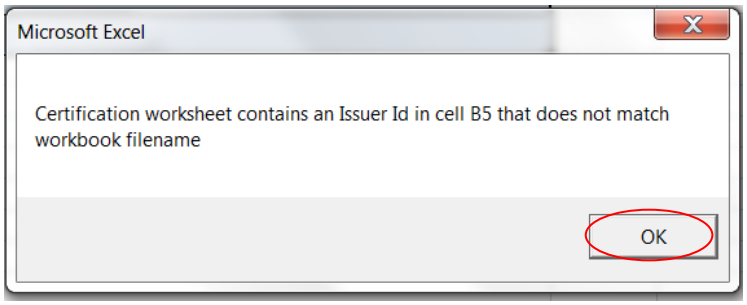
Multiple messages may appear on the screen during data validation. Below are the types of messages that may occur.

a. Certification Tab Blank: Data in the certification tab is missing. Data validation will fail and stop after this error.



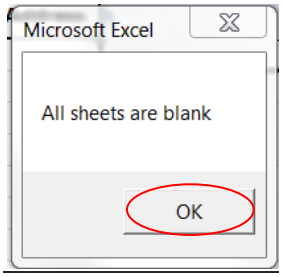
Action Required: Click the **OK** button. Correct data in Certification worksheet, and save the workbook. Then close the workbook again. Automatic Data Validation will rerun.

b. Filename Mismatch: Issuer ID in the certification tab does not match the Issuer ID in the filename. Data validation will fail and stop after this error.



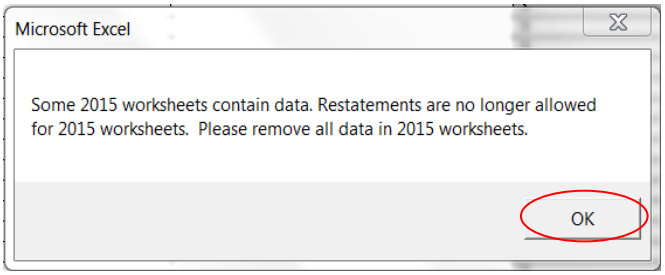
Action Required: Click the **OK** button. Correct data in Certification worksheet, and save the workbook. Then close the workbook again. Automatic Data Validation will rerun.

c. Workbook Contains no Data: If the workbook has the certification tab filled out but all the data tabs are blank, the following error will appear.

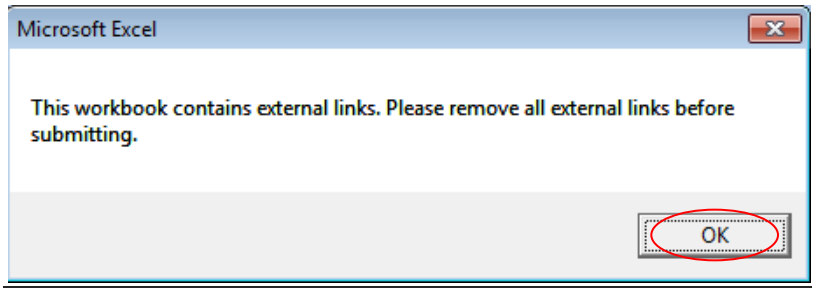


Action Required: Click the **OK** button. Correct data in Certification worksheet, and save the workbook. Then close the workbook again. Automatic Data Validation will rerun.

d. 2015 Data entered: Data submissions for 2015 are no longer allowed and the workbook will provide the following message box if 2015 data appears in the workbook

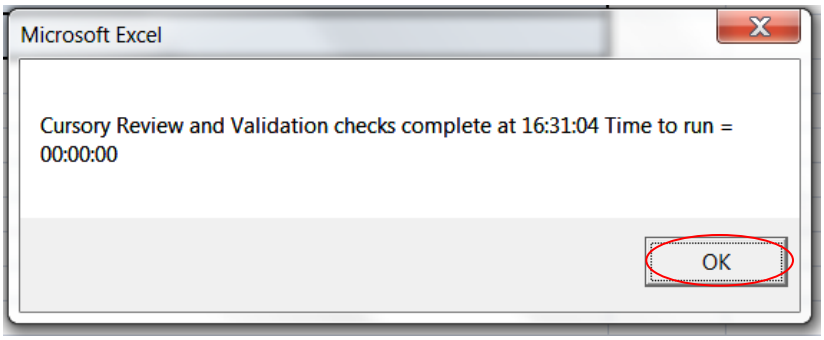


e. Workbook File Contains External Links: One or more worksheets in the workbook contain references (usually in formulas) to external Excel files. Links to external files are not permitted in the workbook. Data validation will continue and indicate rows with formulas in them.



Action Required: Click the **OK** button. Remove any external links from each worksheet, and save the workbook. Then close the workbook again to rerun validation.

f. Validation End: Pop-up message appears when Automatic Data Validation has completed.

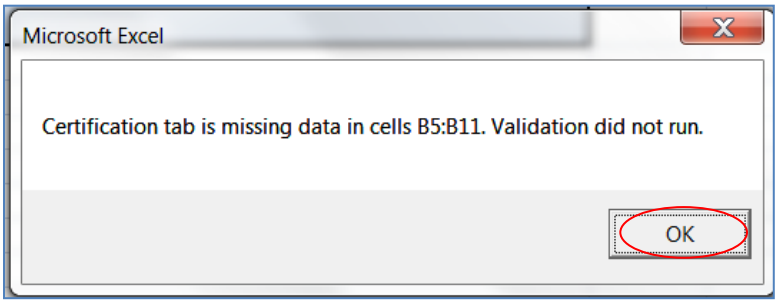


Action Required: Click the **OK** button.

Step 7: Acknowledge Post-Validation messages

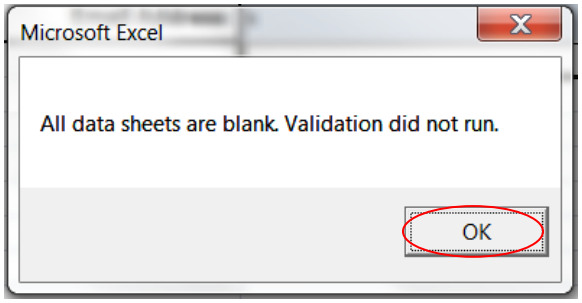
Post-Validation Messages: Additional pop-up message(s) will appear in order to provide additional information regarding the validation.

a. Case One: An error occurred in Step 6, above.



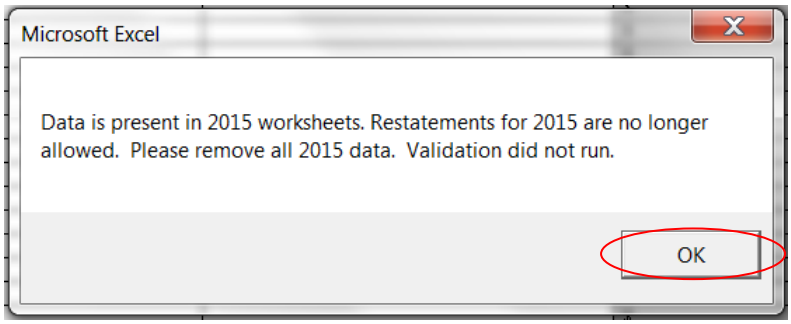
Action Required: Click the **OK** button and populate missing cells in the Certification Tab

b. Case Two: No Data in Workbooks.



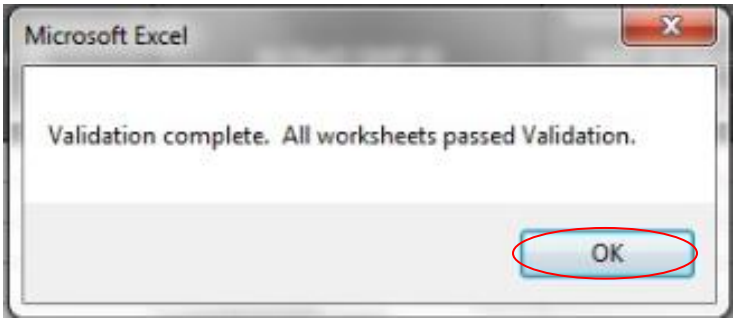
Action Required: Click the **OK** button and populate data in the appropriate Workbooks.

c. Case Three: 2015 Data Present in Workbook



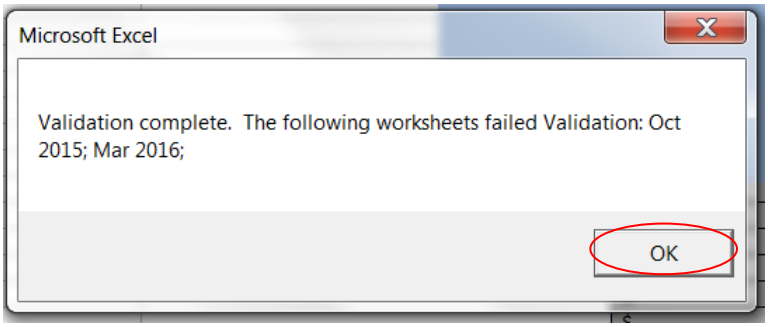
Action Required: Click the **OK** button and delete all 2015 data in the Workbooks.

d. Case Four: All tabs passed validation.



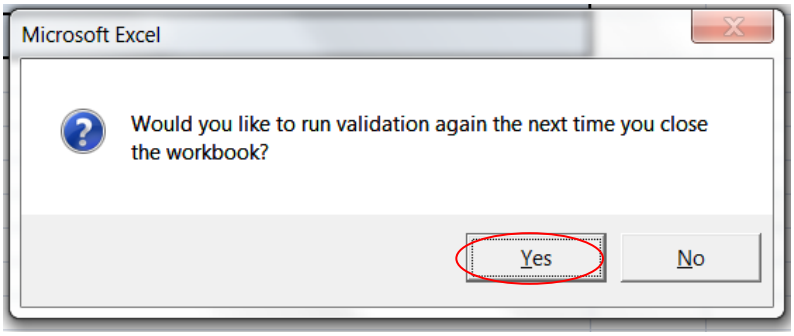
Action Required: Click the **OK** button.

e. Case Five: Some or all tabs contained rows that failed validation



Action Required: Click the **OK** button. Examine the rows and the error message and correct data as appropriate.

Validation Reset: This is the final pop-up message that appears on the screen after Automatic Data Validation runs.

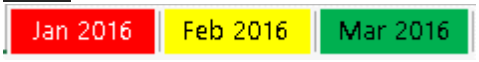


Action Required: Click **Yes** button or click **No** button.
Click Yes: The next time the workbook is closed, Automatic Data Validation will run again.
Click No: The next time the workbook is closed, validations will not run and the workbook will close.
Important Note: Click No once all data validation has passed, so that the workbook may be successfully closed.

Step 8: Review Automatic Data Validation results on each worksheet

After Automatic Data Validation completes, the worksheet tabs will be colored red, yellow or green, according to the following logic:

Red: Cursory or Validation Error
Yellow: Please Review
Green: No Errors



Action Required: Review and correct problems in the Red & Yellow Tabs. Close the workbook again to restart Automatic Data Validation. Repeat until all tabs are green and no error messages appear.

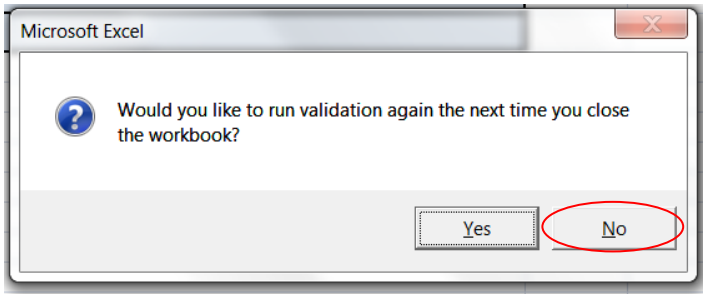
Step 9: Save and close the workbook

Save and close the Excel workbook. Automatic data validation may run one final time upon close, if the Validation Reset value is yes (see Step 7). If it does, when Validation Reset message appears, click the No

button. Save and close the workbook again, and it will successfully close. Do not change the name of the workbook upon save.

Important Notes

- The Automatic Data Validation routine does not automatically save the workbook. The user must save by clicking the Save tool on the toolbar, or by clicking Save on the File menu.
- Please paste values only and do not include links to other Excel files. External files links in the workbook will cause a validation error.
- In order to exit the workbook, after the data validation runs the first time, "No" must be selected when the following pop-up message appears:



- After clicking **No**, save the workbook and continue to close the workbook normally.
- Do not change the name of the workbook when saving.

Step 10: Send the completed workbook to CMS

a. For the August cycle, via electronic file transfer (EFT) or email

For the August payment cycle, SBM States and SBM Issuers that have electronic file transfer setup and tested should use EFT to send files to CMS. See the section on EFT Usage Guidelines below. SBM States and SBM Issuers that DO NOT yet have electronic file transfer setup and tested may continue to email workbooks to the CMS email address.

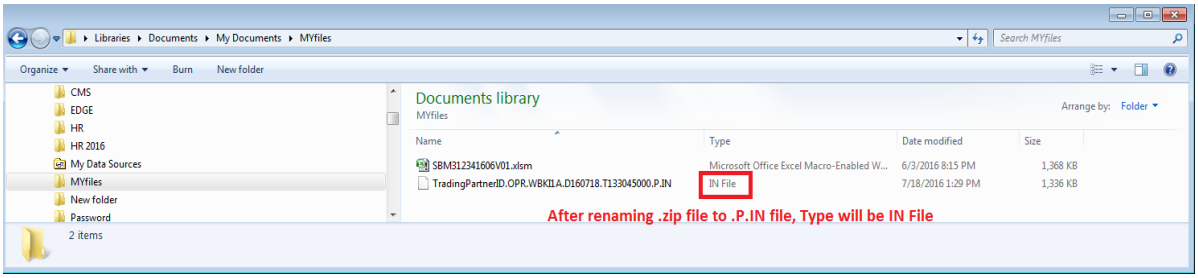
b. After the August cycle, via electronic file transfer (EFT) – **REQUIRED**

For the September payment cycle and after, all SBM States and SBM Issuers are required to submit monthly workbooks via EFT. See the section on EFT Usage Guidelines below.

EFT Usage Guidelines

To send a file to CMS using EFT, complete the steps below.

1. Zip the workbook (or workbooks, if you are submitting multiple) and submit ONLY ONE (1) zipped file.
2. Zipped files should NOT be password protected.
3. If using a single TPID for multiple Issuer IDs, submit ONLY ONE (1) zipped file with all Issuer ID workbooks included.
4. Rename the zipped file using the naming convention shown below.
   Zip File Name: **<TradingPartnerID>.OPR.WBKI1A.DYYMMDD.THHMMSSmmm.P.IN**



5. Make sure the File Type is a **.P.IN** file - not a .ZIP, .XLSX, or XLSM file.
6. EFT the **.P.IN** file to CMS using the existing established CMS EFT procedures.
   a. Use the same location used for your current EFT file submissions.
   b. Typically that would be your eft.feps.cms.gov/inbound30 upload folder.
   c. Link to EFT Portal -> https://eft.feps.cms.gov/cfcc/login/login.jsp
7. If you are *RE-SUBMITTING* zipped files, be sure to update your filename timestamp for your NEW Zip File. <TradingPartnerID>.OPR.WBKI1A.DYYMMDD. **THHMMSSmmm.P.IN**
8. If any Issuer submits a file with an incorrect file name, the file will end up in their 'SPOE /outbound30/error/' folder and the Issuer will not receive a notification email from CMS.
9. CMS recommends that Issuers check the SPOE's error folder following file submission to ensure the file was submitted and did not end in delivery failure.

EFT File Naming Convention Details

File Direction	Function Code	File Name
CMS to Issuers	**WBKO1A**	**File Name:** <TradingPartnerID>.WBKO1A.DYYMMDD.THHMMSSmmm.**P**.OUT **Example:** <TPID>.WBKO1A.D160415.T142521001.**P**.OUT **Please note-in order to save and open this file:** This is a zip file and should be renamed from a file with a .**P**.OUT extension to a .ZIP extension in order to open it. **Renaming & Saving Example:** <TPID>.WBKO1A.D160415.T142521001.P.OUT.ZIP
Issuers to CMS	**WBKI1A**	**File Name:** <TradingPartnerID>.OPR.WBKI1A.DYYMMDD.THHMMSSmmm.**P**.IN **Example:** <TPID>.OPR.WBKI1A.D160415.T142521001.**P**.IN **Please note:** All Issuer workbooks should be added to a zip file and the zip file should be renamed with a .**P**.IN file extension using the file naming format shown above where DYYMMDD (Y=Year, M=Month, D=Day) is the current date and the THHMMSSmmm (H=Hour, M=Minute, S=Second, and m=Millisecond) is the time as shown in the sample name above. NOTE: Milliseconds can be entered as "000."