

# CMS Issuer Technical Workgroup



- ***Housekeeping***
- ***Open Enrollment 2017 Update***
  - ✓ Highlights for Production Week 11
  - ✓ DE Updates (NPN refresher and Effective Date Updates)
  - ✓ Batch Auto Renewal (BAR) Summary & Conclusion

***January 10, 2017***

# Access to CMSzONE & the Private Web-broker Community

## User Access Quick Guide

A copy of the comprehensive User Access Quick Guide is posted on zONE @:

<https://zone.cms.gov/document/zone-access-troubleshooting> (pre-log in required to access zONE links)

### Three audiences:

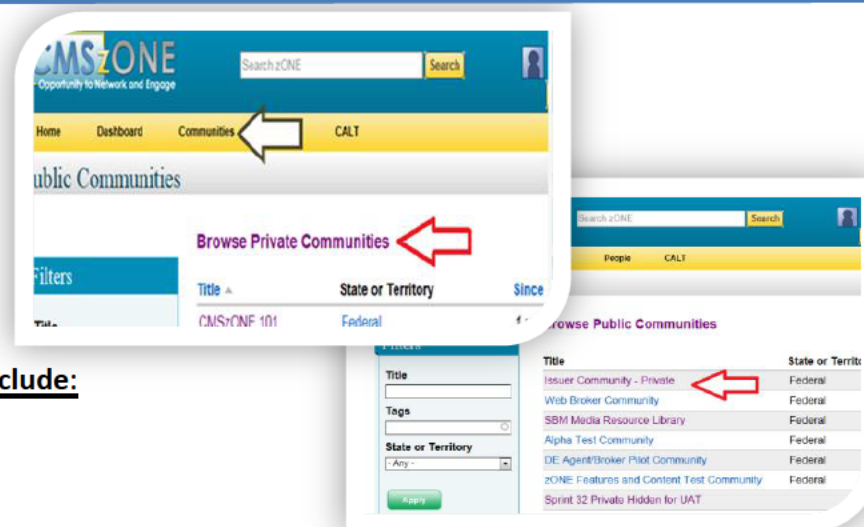
1. **New Users** (new to zONE & EIDM)
2. **Existing EIDM Users** (new user to zONE)
3. **Existing zONE Users** (unable to log-in since the EIDM transition)

## EIDM Registration Process: (Pre-requisite to CMSzONE Access)

1. Register for access at EIDM Enterprise Portal Here: <https://portal.cms.gov/>
2. Log in with your EIDM credentials and click on "Request Access Now"
3. Click on "Request New Access" and choose CMSzONE

## CMSzONE Private Web-broker Community Access: (After being granted EIDM access)

1. Log into zONE; click on the Communities tab
2. Click Browse Private Communities
3. Click Web-broker Community – Private
4. Click Join Community
5. Provide explanation of why you need access to this community; Include:
  - name and contact information
  - web-broker POC contacts
  - specific work for web-broker (i.e. access web-broker resources, etc.)



# Troubleshooting access to CMSzONE

## REGISTRATION, PASSWORD RESETS, & FORGOTTEN PASSWORDS

- **New Users:** Registration & community approval are typically completed in 1-3 business days, if not sooner.

If you are unable to access zONE, and/or the web-broker community after 3 business days you may email a follow up request to the helpdesk & the web-broker support team (addresses below) for an update. Please include any provided ticket numbers & applicable context for reference.

- **Existing zONE Users :** Password resets are also typically completed in 1-3 business days, if not sooner.

If your request is not completed after 3 business days, you may email a follow up request to the helpdesk & the web-broker support team (addresses below) for an update. Please include any provided ticket numbers & applicable context for reference.

## ALL OTHER CMSzONE ACCESS ISSUES

### Prerequisite Details

- Capture screenshots of any errors received so our teams can troubleshoot

☐ PC = Ctrl + PrtScn to capture, Ctrl + V to paste / Mac = Command+Shift+4 to capture & send to a desktop file

### Email

- Provide screenshots and applicable prerequisite information above, in an email body, as follows:

- ❖ With the subject line: "zONE Access Issues"
- ❖ To: [CMS\\_FEPS@cms.hhs.gov](mailto:CMS_FEPS@cms.hhs.gov)

Follow-Up Cc: or Bcc: [WebBroker@cms.hhs.gov](mailto:WebBroker@cms.hhs.gov)

- If the issue is not resolved within 3 business days, you may email a follow up request:

- ❖ With the subject line: "zONE Access Issues : 3+day follow up"
- ❖ To: [CMS\\_FEPS@cms.hhs.gov](mailto:CMS_FEPS@cms.hhs.gov) & [WebBroker@cms.hhs.gov](mailto:WebBroker@cms.hhs.gov)
- ❖ Include (where possible) explanation message, screenshots, ticket #(s) received, and number of days outstanding

### Reminder: Supported Browser Versions

- ✓ Internet Explorer Version 9.0
- ✓ Internet Explore Version 10.0
- ✓ Google Chrome
- ✓ Safari

# Open Enrollment 2017 Update



- ✓ Highlights for Production Week 11
- ✓ TLS 1.2 Migration Reminder (Feb. 17<sup>th</sup>)
- ✓ DE Update: NPN Refresher & Effective Dates
- ✓ BAR Update

**January 10, 2017**

# Open Enrollment 2017: Production Highlights for Week 11

- Issues Update for Week 11:

- TLS 1.2 Action Needed by Feb. 17th: Transport Layer Security (TLS) is a protocol that ensures privacy between communicating applications and their users on the Internet. When a server and client communicate, TLS ensures that no third party may eavesdrop or tamper with any message. TLS is the successor to the Secure Sockets Layer (SSL). Since the summer we have announced we have moved to TLS 1.2; all of the data partner connections to the Hub that are not currently connected via TLS 1.2 will need to migrate from their current version. All DE partners using the Hub should make sure they have upgraded to using TLS 1.2. See the following slides and please make sure this occurs by **February 17<sup>th</sup>**.
- DE Update: Reviewing tickets, issuers and web brokers using Direct Enrollment: Please see following slides on NPN Refresher and Effective Dates.
- BAR Update: BAR is essentially done. See slides on details.



# Reminder on TLS 1.2 Upgrade for the Hub

## (Repeat on the Slides We Presented in the Summer & November)

### Overview

- Transport Layer Security (TLS) and its predecessor, Secure Sockets Layer (SSL), both of which are frequently referred to as 'SSL', are an industry standard designed to protect the privacy and data integrity of information communicated over the Internet
- The Data Services Hub (DSH) has migrated to TLS 1.2 in order to support the NIST and GAO recommendation that requires all governmental communications use either Transport Layer Security (TLS) v1.1 or TLSv1.2
- The Hub has enabled support for TLS 1.0 and 1.2 in the Implementation and Production regions
- The Hub will continue supporting TLS 1.0 and 1.2 concurrently to allow all Partners to verify successful connectivity using TLSv1.2

### Issues & Hub Partner Readiness

- DE partners leveraging the Data Services Hub (DSH) need to ensure that they are able to support TLS 1.2 version by their existing infrastructure
- As part of the upgrade the Hub will not be introducing any new endpoint/ports.
- The Hub security policy requires that all partner certificates have:
  - Signature algorithm of SHA-2 or greater
  - Key length of at least 1024 bits



# TLS 1.2 Timeline & Testing Requirements:

## Please make sure you have migrated by Feb. 17<sup>th</sup>!

- Partners can test TLS 1.2 connectivity with the Hub at any time.
- Our goal remains to successfully migrate the majority all partners to TLS 1.2 before the close of Open Enrollment.
- Hub will stop supporting TLS versions below 1.2 for all CMS Interfaces on **Friday, February 17<sup>th</sup>**. (Previously we communicated end of January.)
- Partners can use the H74 Hub Connectivity service to ensure that they are able to connect to HUB: <https://zone.cms.gov/document/hub-connectivity-service>
- **Partners MUST ensure that they are able to connect to the IMP1A environment via TLS 1.2 before moving to Production.**
- Upon successful connectivity to each environment, Partner will send an email to [dsh.support@qssinc.com](mailto:dsh.support@qssinc.com) with the following:
  - **Subject Line: “TLS 1.2 Testing Completion– [HUB Partner ID]”**
  - **Environment**
  - **Request Timestamp**
- CMS will be monitoring the site traffic to validate which version of TLS Partners are using.
- Any issues identified during testing should be sent via email to [DSH.Support@qssinc.com](mailto:DSH.Support@qssinc.com). Copy the CMS Helpdesk [CMS\\_FEPS@cms.hhs.gov](mailto:CMS_FEPS@cms.hhs.gov) to create a ticket. Please include the subject **“TLS 1.2 Testing Issue – [HUB Partner ID]”** with details on timestamp, environment, and screenshot/details of any errors you encounter.

# Direct Enrollment (DE) Update



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

*January 10, 2017*

# NPN Refresher

- The best practice for Agents/Brokers is for them to always enter their National Producer Number (NPN) on the FFM application, even if the NPN is also being submitted via a DE Submit Enrollment transaction.
  - NPNs are only written to the FFM application when they are directly entered on the FFM application.
  - NPNs submitted via the DE Submit Enrollment transaction are not written to the FFM application; they are only written to the consumer's policy.
- When changes are made to a consumer's application outside of the DE flow, an A/B's NPN will only pre-populate on the change application if the A/B previously entered the NPN directly on the FFM application.
  - For example, let's say that an A/B enrolls a consumer in December for 1/1 coverage via DE. The A/B submits their NPN via the DE Submit Enrollment transaction, however the A/B does not enter the NPN directly on the FFM application.
  - Then, let's say the consumer reports a Change in Circumstances (CIC) in January directly via healthcare.gov. When this CIC is reported, the A/B's NPN will not pre-populate on the FFM application (since the NPN was only submitted via the DE Submit Enrollment transaction and it was not entered on the FFM application), which could result in the A/B's NPN being inadvertently dropped at the Issuer (unless the consumer proactively finds and enters the A/B's NPN).

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- **Batch Auto-Renewal (BAR) currently creates the renewal policies using the NPN associated with the consumer's most recent policy.**
  - **Thus, an A/B's NPN should always be carried over on the renewal policy, whether the NPN was submitted via DE Submit Enrollment transaction, or whether the NPN was entered directly on the FFM application.**
  - **Please note however, if the NPN wasn't entered directly on the FFM application previously, the NPN still won't be written to the FFM application during BAR. Subsequently, any future changes to the consumer's application will not include the A/B's NPN being pre-populated on the application.**
- **Future Changes:**
  - **We have created a Change Request (CR) to have the NPN pre-populated on the FFM application using the NPN that is on the consumer's most recent policy.**
    - **This will result in the FFM application always having an A/B's NPN pre-populated, whether it was submitted only in the DE Submit Enrollment transaction, or whether it was previously submitted on the FFM Application.**
    - **Please note, a consumer will still be able to remove an A/B's NPN during any changes they make to their application, if an A/B is no longer assisting them.**
    - **Again, the best practice will still be for an A/B to always enter their NPN on the FFM application, even if it is also being submitted in the DE Submit Enrollment transaction.**

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# Effective Date Reminder

- **DE Fetch Eligibility Responses will return both IEP/AEP Earliest and Latest QHP Effective Dates, as well as SEP Earliest and Latest QHP Effective Dates.**
- **DE Partner should always be submitting the earliest effective date from these fields.**
- **Due to a recent system release, the DE Submit Enrollment Request validations are incorrectly allowing for any Start Date (effective date) that falls within the Earliest and Latest QHP Effective Date range.**
  - **This is resulting in incorrect effective dates for some consumers.**
    - **This is what occurred during the extension period for 1/1 coverage, where some consumer enrolled via DE incorrectly received 2/1 effective dates.**
    - **We believe some consumers that are eligible for both a SEP and Open Enrollment, are still receiving incorrect effective dates due to DE Partners submitting effective dates that don't correspond with the earliest of the effective dates provided on the Fetch Eligibility Response (either the IEP/AEP Earliest QHP Effective Date or the SEP Earliest QHP Effective Date).**
      - **We are currently researching to determine how many consumers have been affected.**
      - **We will update DE Partners once we have more information.**
- **We currently have a ticket created to update the Submit Enrollment Request validations, so that only the Earliest QHP Effective Date on the Fetch Response will be accepted, which should resolve this issue.**
- **We will update DE Partners when this fix has been implemented.**

# 2017 Batch Auto Re-enrollment (BAR) Update



**January 10, 2017**

## Summary:

- Batch Auto-Reenrollment is complete, essentially ending 12/23/17
- A small amount of auto-reenrollments were updated on 1/6/17, typically via a Maintenance (M834) transaction, but occasionally via CANCELIC and I834AR (BAR)
- **BAR Failure Report – Delivered in one installment 1/6/17**
  - As with previous years of auto-reenrollment, a very small portion of applications can't be processed in BAR due to technical issues.
  - The BAR Failure Report was delivered to issuers in the DATAM format for voluntary outreach to enrollees: goal is for enrollee to actively reenroll at the FFM
  - The Marketplace will also conduct outreach
  - The Marketplace Call Center will flag these enrollments for optional January 1<sup>st</sup> effective dates if the enrollee actively returns to the FFM.
  - The quantity of BAR failures is similar to less than OE 2016

# 2017 BAR Update

## **BAR Eligibility Notices and Enrollment Confirmation Messages began 12/29/16 and continue the week of 1/9/17**

- Every enrollee successfully auto-reenrolled receives an Eligibility Determination Notice (EDN) and an Enrollment Confirmation Message (ECM)
  - **Eligibility Determination Notice**  
See *Marketplace Eligibility Determination Notice (November 2016)* at <https://marketplace.cms.gov/applications-and-forms/notices.html>
  - **Enrollment Confirmation Message**  
See *Marketplace Automatic Enrollment Confirmation Messages (December 2016)* at <https://marketplace.cms.gov/applications-and-forms/notices.html>
- Enrollees processed through BAR but for whom no auto-reenrollment is created receive only an Enrollment Confirmation Message

## Conclusion:

**Issuers should not provide 2017 Marketplace Coverage without an enrollment transaction from the FFM (or evidence of Marketplace coverage by the subscriber's inclusion in a Pre Audit File)**

Issuers who are concerned that they did not receive auto-renewals for eligible members should remember to check the following 2017 files that CMS distributed:

- Check most current 2016 Pre Audit File: Only Policies current as of 12/31/16 are BARed
- Remember that actual alternate enrollments sent averaged 60% of estimated maximum provided by CMS in September/October
- Orphan Incremental Pre-Audit File [TPID].ISUIPA.D161230.T145715043.P
- Pre-Audit file: [TPID].AUD17.D161219.T205617031.P (current as of 12/16/16 5am)
- CMS Orphan Finder File: [TPID].MISC.D161222.T120044643.P (current as of 12/16/16 5am)
- Deadline Extension Incremental Pre-Audit Files: [TPID].ISUIPA.D161220.T142337791.P
- Orphan Incremental Pre-Audit (ISUIPA) Files: [TPID].ISUIPA.D161216.T113124779.P (current as of 12/15/16)
- Earlier deliveries of the SWTFL files (which indicates that an enrollee actively selected a different issuer for 2017 coverage before being BARed)