

2019

Using the Regulatory Data Collection (RDC) to submit Short-Term Limited Duration Health Plan data

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Using RDC to Submit Short Term Limited Duration Health Plan Data

October 2019

RDC Overview:

The Regulatory Data Collection system (RDC) facilitates community-wide large data collection in a systematic fashion that enables data analysis.

RDC is a technology-based solution for a community-wide data collection and management system whose primary function is to:

- Provide a secure and appropriate method for insurers and other data providers to submit, store and protect data.
- Provide a method and associated technology capable of loading large data sets in any data file format (structured or unstructured), fast.
- Automate manual processes associated with submitting, accepting, validation, aggregating and transforming the data for use by any analytical tool set chosen by the business.
- Improve the quality of the data coming in, minimizing lengthy delays associated with the back and forth communications between the reviewers and submitters of the data.
- Improve data collection and aggregation system's speed to market, performance, scalability and maintainability.

Before Accessing RDC:

Before accessing RDC, you will need to have an NAIC userid and have the STLD_USER_PR role assigned to your userid. To obtain a userid and/or to have the STLD_USER_PR role assigned, go to the [STLD Data Call Web Page \(https://naic-cms.org/naic_data_call_2018.htm\)](https://naic-cms.org/naic_data_call_2018.htm).

and click in the red box that says "Don't have an RDC login? **Click Here** to get it."

NAIC DATA CALLS

Short-Term Limited Duration | | Contacts

Log In

Don't have an RDC login?
Click Here to get it.



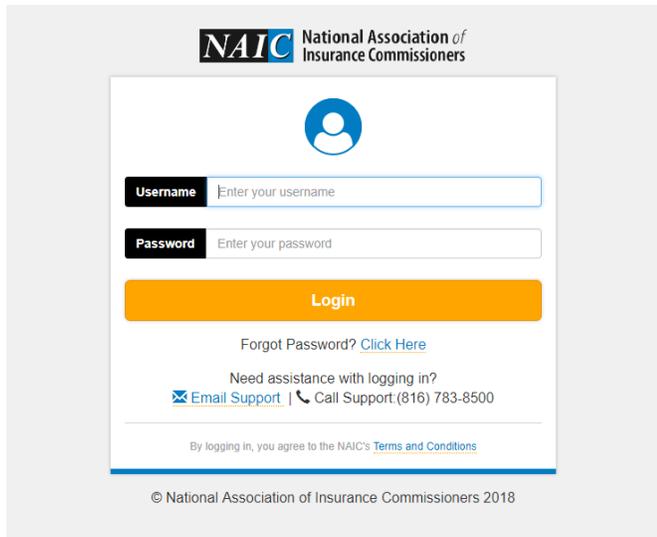
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Accessing RDC:

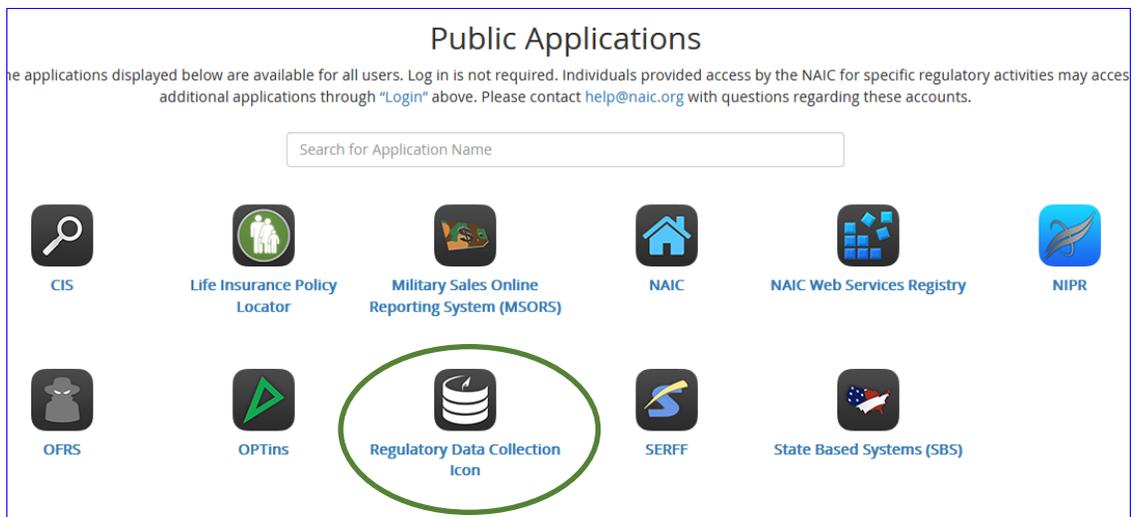
Once you have the proper userid and role assigned, you can access RDC using one of the following methods.

1. Click on the Regulatory Data Collection (RDC) icon on the myNAIC landing page
 - Go to the NAIC homepage (www.naic.org)
 - Click the 'Login' option at the top right corner of the page
 - Once the login screen appears, enter your NAIC userid and password to log in to myNAIC



The image shows the NAIC login page. At the top left is the NAIC logo with the text "National Association of Insurance Commissioners". Below the logo is a white login box with a blue user icon. Inside the box, there are two input fields: "Username" with the placeholder "Enter your username" and "Password" with the placeholder "Enter your password". Below these fields is an orange "Login" button. Under the button, there is a link "Forgot Password? Click Here" and a section "Need assistance with logging in?" with links for "Email Support" and "Call Support (816) 783-8500". At the bottom of the box, it says "By logging in, you agree to the NAIC's Terms and Conditions". Below the box is the copyright notice "© National Association of Insurance Commissioners 2018".

- After logging in, the Regulatory Data Collection (RDC) icon will appear (if it does not appear, contact the NAIC help desk to have the STLD_USER_PR role assigned)



The image shows a "Public Applications" page. At the top, it says "Public Applications" and "The applications displayed below are available for all users. Log in is not required. Individuals provided access by the NAIC for specific regulatory activities may access additional applications through 'Login' above. Please contact help@naic.org with questions regarding these accounts." Below this is a search bar labeled "Search for Application Name". There are ten application icons arranged in two rows. The icons are: CIS, Life Insurance Policy Locator, Military Sales Online Reporting System (MSORS), NAIC, NAIC Web Services Registry, NIPR, OFRS, OPTins, Regulatory Data Collection Icon (circled in green), SERFF, and State Based Systems (SBS).

- Click on the Regulatory Data Collection icon

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2. Click on the 'Login' button found on the [STLD Data Call Web Page \(https://naic-cms.org/naic_data_call_2018.htm\)](https://naic-cms.org/naic_data_call_2018.htm).

NAIC DATA CALLS

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Log In

Don't have an RDC login?
[Click Here](#) to get it.

Once the link to the application has been clicked (either on the myNAIC screen or on the STLD data call web page), the RDC Login screen will appear. Enter your NAIC userid and password to login to the RDC application.

General RDC Application Information:

Refresh application

The RDC logo on the menu bar will refresh the application (page) when clicked. Please do not use the back arrow while in the application. Using the back arrow will result in unknown and unstable results.





Datacall Selection

The Datacall Selection window is where users can select which data call to work with. This may be bypassed if there is only one RDC datacall role assigned.

The Datacall Selection window has two drop down options. The first is the 'Select data call group' (select 'STLD' as the datacall group). The second drop down is for the 'Select datacall' 'select 'STLD-Health' as the datacall.

How to get there:

1. Login to the RDC.
2. The Data call Selection (RCD Home) page displays.
3. The Data Type options that display in the drop-down menu are based on your User ID Role(s).
Note: If Users only have one role assigned this page may be bypassed.



Datacall Selection

Select datacall group:

Select datacall:

User - Legal Disclaimer

The Legal Disclaimer will display on a scheduled basis (once a year or upon entry). The disclaimer information and display schedule are established by the RDC Administrator.

Once the 'Agree' button has been accepted the operator can continue into the application and will not see this page again until the next scheduled display period.

User - RDC Landing/Welcome Page

The Landing/Welcome page displays a Welcome message that helps first time users with steps to use the Upload process.

Welcome to the XLSX-test-datacall Data Collection System

Follow these steps to submit a file:

1. Click [File Dashboard](#) on the navigation bar.
2. Click on the boxed area in the center of the window to navigate to the file, or drag/drop the file to this area.
3. Click Upload!

Your file submission and status will display underneath the upload button on the [File Dashboard](#) window. After the system validates the data file, if any exceptions occur, the exception count will display. Select the exception count link to view the exception details.

The available RDC User navigation options are:

- RDC Home
- File Dashboard

File Dashboard/Uploading a file

The File Dashboard screen allows the user to upload and validate STLD datacall Excel files for submission to the NAIC.

After selecting the File Dashboard there is a space to upload files and a list of any previously uploaded files.

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The screenshot shows the RDC File Dashboard interface. At the top, there is a navigation bar with 'RDC Home' and 'File Dashboard'. Below this is the 'CsvAutoTest File Dashboard' header. A large text box contains the instruction 'Click to browse or drag & drop to upload your file' with 'Upload' and 'Cancel' buttons. Below this is a section titled 'Your Uploaded Files' with a 'Refresh' button. A table lists the uploaded files with columns for File Name, Naic Company Code, Observation Year, Status, Modified, Created, Exceptions, and Number Of Records. The table contains 14 rows of data, including file names like 'RdcExceptionsTest1.csv', company codes like '94580', and observation years like '0 20.18 2018 -2018 abc'. Some rows show a status of 'File Pending NAIC Review' and others show an exception count.

| File Name | Naic Company Code | Observation Year | Status | Modified | Created | Exceptions | Number Of Records |
|------------------------|-------------------|------------------------|---|-------------------|-------------------|---------------------|-------------------|
| RdcExceptionsTest1.csv | 94580 | 0 20.18 2018 -2018 abc | File Pending NAIC Review | 10/8/19, 4:47 PM | 10/8/19, 4:47 PM | 127 | 172 |
| RdcExceptionsTest1.csv | 94580 | 0 20.18 2018 -2018 abc | This file has an exception count of 127 | 10/8/19, 4:25 PM | 10/8/19, 12:30 PM | 127 | 172 |
| RdcExceptionsTest1.csv | 94580 | 0 20.18 2018 -2018 abc | File Pending NAIC Review | 10/8/19, 10:16 AM | 10/8/19, 10:16 AM | 127 | 172 |
| RdcExceptionsTest1.csv | 94580 | 0 20.18 2018 -2018 abc | File Pending NAIC Review | 10/8/19, 9:36 AM | 10/8/19, 9:36 AM | 127 | 172 |
| RdcExceptionsTest1.csv | 94580 | 0 20.18 2018 -2018 abc | This file has an exception count of 127 | 10/8/19, 9:33 AM | 10/8/19, 9:12 AM | 127 | 172 |
| RdcExceptionsTest1.csv | 94580 | 0 20.18 2018 -2018 abc | File Pending NAIC Review | 10/8/19, 9:00 AM | 10/8/19, 9:00 AM | 127 | 172 |
| RdcExceptionsTest1.csv | 94580 | 0 20.18 2018 -2018 abc | File Pending NAIC Review | 10/7/19, 3:16 PM | 10/7/19, 3:16 PM | 127 | 172 |
| RdcExceptionsTest1.csv | 94580 | 0 20.18 2018 -2018 abc | File Pending NAIC Review | 10/7/19, 3:15 PM | 10/7/19, 3:15 PM | 127 | 172 |
| RdcExceptionsTest1.csv | 94580 | 0 20.18 2018 -2018 abc | File Pending NAIC Review | 10/7/19, 2:26 PM | 10/7/19, 2:26 PM | 127 | 172 |
| RdcExceptionsTest1.csv | 94580 | 2018 | This file has an exception count of 125 | 10/7/19, 1:57 PM | 10/7/19, 12:59 PM | 125 | 168 |

The file selection options for uploading are:

- Click to Browse function
- Drag/Drop function

After selecting a file, the Upload option becomes available. After the file has been imported the Filename displays under the 'Your Uploaded Files' section.

How to Upload a file:

Upload via Click to Browse option:

1. When you click the 'Click to Browse' option, the computer directory displays with a 'Choose a file to upload' pop up window.
2. Select the file from the list of available files and click Open to select the file or Cancel to discard.
3. Click the Upload button.
4. While the file is uploading, a progress bar displays the progress.

Upload via Drag/Drop option:

1. Drag your file into the Upload box, release the file.
2. Click the Upload button.
3. While the file is uploading, a progress bar displays the progress.

For the STLD datacall, the required submission file format is Microsoft Excel. Find more information related to the STLD datacall Excel file in the STLD Excel Template Instructions document found on the [STLD Data Call Web Page \(https://naic-cms.org/naic_data_call_2018.htm\)](https://naic-cms.org/naic_data_call_2018.htm).

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'Your Uploaded Files' section

The 'Your Uploaded Files' section displays any submitted files with file details and current file status.

Your Uploaded Files

Refresh

| File Name | Naic Company Code | Observation Year | Status | Modified | Created | Exceptions | Number Of Records |
|------------------------|-------------------|------------------------|---|-------------------|-------------------|---------------------|-------------------|
| RdcExceptionsTest1.csv | 94580 | 0 20.18.2018 -2018 abc | File Pending NAIC Review | 10/8/19, 4:47 PM | 10/8/19, 4:47 PM | 127 | 172 |
| RdcExceptionsTest1.csv | 94580 | 0 20.18.2018 -2018 abc | This file has an exception count of 127 | 10/8/19, 4:25 PM | 10/8/19, 12:30 PM | 127 | 172 |
| RdcExceptionsTest1.csv | 94580 | 0 20.18.2018 -2018 abc | File Pending NAIC Review | 10/8/19, 10:16 AM | 10/8/19, 10:16 AM | 127 | 172 |
| RdcExceptionsTest1.csv | 94580 | 0 20.18.2018 -2018 abc | File Pending NAIC Review | 10/8/19, 9:36 AM | 10/8/19, 9:36 AM | 127 | 172 |
| RdcExceptionsTest1.csv | 94580 | 0 20.18.2018 -2018 abc | This file has an exception count of 127 | 10/8/19, 9:33 AM | 10/8/19, 9:12 AM | 127 | 172 |
| RdcExceptionsTest1.csv | 94580 | 0 20.18.2018 -2018 abc | File Pending NAIC Review | 10/8/19, 9:00 AM | 10/8/19, 9:00 AM | 127 | 172 |
| RdcExceptionsTest1.csv | 94580 | 0 20.18.2018 -2018 abc | File Pending NAIC Review | 10/7/19, 3:16 PM | 10/7/19, 3:16 PM | 127 | 172 |
| RdcExceptionsTest1.csv | 94580 | 0 20.18.2018 -2018 abc | File Pending NAIC Review | 10/7/19, 3:15 PM | 10/7/19, 3:15 PM | 127 | 172 |
| RdcExceptionsTest1.csv | 94580 | 0 20.18.2018 -2018 abc | File Pending NAIC Review | 10/7/19, 2:26 PM | 10/7/19, 2:26 PM | 127 | 172 |
| RdcExceptionsTest1.csv | 94580 | 2018 | This file has an exception count of 125 | 10/7/19, 1:57 PM | 10/7/19, 12:59 PM | 125 | 168 |

Newly submitted files may not appear in the 'Your Uploaded Files' section until you have clicked on the refresh button that will refresh the page and update the file status.

The column headers include:

- File Name
- Fields coded as 'submission key' fields
- Status
- Modified
- Created
- Exceptions
- Number of Records

The columns can be sorted by clicking the file headers.

File Exceptions

When a file completes processing and the screen has been refreshed, the file will display in the top row of the 'Your Uploaded Files' section.

If no validation exceptions are encountered, the file 'Status' will be **'File Processed'**. If one or more validation exceptions are identified, the file 'Status' will be **'System Rejected File'**.

You will not be able to submit any filings with validation exceptions. Exceptions indicate that you have failed to complete a required field, used inappropriate values, etc. The 'Exceptions' column of the 'Your Uploaded Files' section will display a count of encountered validation exceptions. The displayed count will be a link that can be clicked to find more information regarding the validation exceptions.

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Your Uploaded Files

| File Name | Form Field1 | Form Field3 | General Field1 | Status | Modified | Created | Exceptions |
|---------------|-------------|-------------|----------------|----------------------|-------------------|-------------------|-------------------|
| 22222 DC.xlsx | DC | 22456 | 22222 | System Rejected File | 10/21/19, 7:19 AM | 10/21/19, 7:19 AM | 2 |
| 22222 DC.xlsx | DC | 22456 | 22222 | System Rejected File | 10/17/19, 3:24 PM | 10/17/19, 3:24 PM | 1 |
| 22222 DC.xlsx | DC | 22456 | 22222 | System Rejected File | 10/17/19, 1:55 PM | 10/17/19, 1:55 PM | 1 |
| 22222 DC.xlsx | DC | 22456 | 22222 | System Rejected File | 10/17/19, 1:51 PM | 10/17/19, 1:51 PM | 1 |
| 22222 DC.xlsx | DC | 22456 | 22222 | System Rejected File | 10/17/19, 1:50 PM | 10/17/19, 1:50 PM | 1 |
| 22222 DC.xlsx | DC | 22456 | 22222 | System Rejected File | 10/17/19, 1:44 PM | 10/17/19, 1:44 PM | 2 |
| 22222 WY.xlsx | WY | 22456 | 22222 | System Rejected File | 10/17/19, 1:16 PM | 10/17/19, 1:16 PM | 1 |
| 64321 WA.xlsx | WA | 22456 | 64321 | System Rejected File | 10/17/19, 1:13 PM | 10/17/19, 1:13 PM | 1 |
| 64321 WA.xlsx | WA | 22456 | 64321 | File Processed | 10/17/19, 1:12 PM | 10/17/19, 1:12 PM | 0 |
| 64321 MO.xlsx | MO | 22456 | 64321 | System Rejected File | 10/17/19, 1:09 PM | 10/17/19, 1:09 PM | 1 |

When the Exceptions link is selected the File Exceptions page displays and provides high level information related to the validation exceptions encountered.

File Dashboard / 22222 DC.xlsx

| Exception Count | Exception Type |
|-------------------|----------------|
| 1 | form_field38 |
| 1 | Validation_29 |

The 'Exception Count' column values are links. When these links are selected, more detailed validation exception information is provided. The exception message and corresponding Excel worksheet are displayed.

| worksheet_name | general_field1 | general_field2 | general_field3 | general_field4 | general_field5 | general_field6 | general_field7 |
|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|
| Form_Sheet 1 | 22222 | 2 | ABC Ins Co | | Data Contact | | |

Exception Message:

You indicated applications for policy holders were taken by Other. You must provide information on line 39a.

When the RDC application uploads a filing, an email is sent to the user. The email message indicates if the file was successfully processed, or if it was rejected by the system due to validation exceptions.

Please note: If you upload data for the same NAIC company code/State/Form number more than once you will receive an exception indicating that you are trying to submit a duplicate record. If the duplicate submission was done to update/correct a previous submission, NAIC staff will need to update the original filing status to allow for the updated filing to be submitted.

Questions related to the use of the RDC application should be directed to marketdatacall@naic.org.