

Section 1332 of the Patient Protection and Affordable Care Act (PPACA) State Innovation Small Business Health Options Program (SHOP) Waiver Quarterly/Annual Report

Reporting Instructions: Use the following template to capture data for quarterly and annual 1332 waiver reporting, as specified in 31 CFR 33.124 and 45 CFR 155.1324, and referenced in your grant specific terms and conditions. Enter data requested for quarterly reporting into Sections A through E below. Quarter 4 data should be combined with the submittal of the annual report, therefore the entire template (Sections A through G) should be completed for annual reporting purposes. Check specific grant terms and conditions for quarterly and annual report due dates. Please answer all questions in the space provided. Text boxes are not character limited and will expand to accommodate responses.

STATE:

A. GRANTEE INFORMATION		
1. Reporting Period End Date December 31, 2018	2. Report Due Date March 30, 2019	
3. Quarterly Report <input type="radio"/> Annual Report <input checked="" type="radio"/>		
4. Federal Agency and Organization Element to Which Report is Submitted Consumer Information & Insurance Oversight		
5. Federal Grant Number Assigned by Federal Agency [REDACTED]	6a. DUNS Number [REDACTED]	6b. EIN [REDACTED]
7. Recipient Organization Name State of Hawaii		
Address Line 1 Department of Labor and Industrial Relations		
Address Line 2 830 Punchbowl Street		
Address Line 3 Room 309		
City Honolulu	State Hawaii	Zip Code 96813
Zip Extension 5080	8. Grant Period Start Date October 27, 2017	9. Grant Period End Date December 31, 2021
10. Other Attachments (attach other documents as needed or as instructed by the awarding Federal agency)		
No additional attachments at this time.		

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B. REPORT CERTIFICATION

11. Certification: I certify to the best of my knowledge and belief that this report is correct and complete for performance of activities for the purposes set forth in the award documents.

11a. Typed or printed name and title of Authorized Certifying Official

Scott T. Murakami

11b. Signature of Authorized Certifying Official



11c. Telephone (area code, number, and extension)

██████████

11d. E-mail address

████████████████████

11e. Date report submitted (month/day/year)

March 29, 2019

C. PROGRESS OF SECTION 1332 WAIVER - General

12. Provide an update on progress made in implementing and/or operating the approved 1332 waiver. In Quarter 4, DLIR coordinated efforts with the Hawaii Insurance Council, various Certified Public Accountants, and meet with Hawaii Department of Agriculture and Hawaii Farm Bureau and Hawaii Farmers Union (two of the largest farming organizations in the state) to promote the program.

From our efforts we received 11 applications. DLIR authorized payments totalling \$18,972 bringing the Federal share of expenditures to \$30,301.

13. Describe any implementation and/or operational challenges, and plans for and results of associated corrective actions.

1. Data lag: We will address with CMS during annual follow up meeting. Note: Quarters 1 - 3 changes reflect reconciled numbers.

2. Staffing: We continue to address staffing issues (DCCA and DLIR). We are actively recruiting for an Auditor and anticipate filling the position during Quarter 1 - 2019. Additionally, our Health Care Chief resigned unexpectedly in December.

14. Provide an update on the waiver's implementation and/or operational timeline. Describe any changes.

No direct changes.

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15. Describe any changes to state law that might impact the waiver and the date(s) these changes occurred.

No changes to state law that may have impacted the waiver nor the Prepaid Health Care Act.

16. Describe the overall methodology for data collection.

The State Innovation waiver date is reported to address health insurance coverage levels in the State's post-waiver marketplace. Tracking indicators include small group enrollment uptake, small group premium costs, employee out-of-pocket costs, and additional measures exploring the pass through of the ACA small employer tax credits to the PSF.

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D. PROGRESS OF SECTION 1332 WAIVER - State-Specific					
17. Metrics to assist evaluation of the waiver's compliance with the statutory requirements in section 1332(b)(1)					
	Q1	Q2	Q3	Q4	Notes
a. Projected small group enrollment	129,045	129,045	129,045	129,045	
Actual small group enrollment	128,898	128,852	128,892	113,899	
b. Projected individual plan enrollment through the Marketplace	58,203 (includes off MP)	58,203 (includes off MP)	58,203 (includes off MP)	58,203 (includes off MP)	
Actual individual plan enrollment through the Marketplace	18,327	16,653	15,994	15,667	
c. Projected individual plan enrollment off Marketplace	58,203 (includes off MP)	58,203 (includes off MP)	58,203 (includes off MP)	58,203 (includes off MP)	
Actual individual plan enrollment off Marketplace	20,146	19,136	18,227	17,856	
d. Projected average small group premium (total premiums paid for the quarter divided by enrollment in (a) above)	\$490.51	\$490.51	\$490.51	\$490.51	Average Projected: \$490.51
Actual average small group premium (total premiums paid for the quarter divided by enrollment in (a) above)	\$431.13	\$435.63	\$447.91	\$465.40	
e. Projected average employee out-of-pocket cost (premium contribution and cost-sharing) in the small group market	\$97.35	\$97.35	\$97.35	\$97.35	Average Projected: \$97.35
Actual average employee out-of-pocket cost (premium contribution and cost-sharing) in the small group market	\$91.39	\$88.08	\$83.60	\$79.21	

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18. Reporting of Federal pass-through funding spent on:					
	Q1	Q2	Q3	Q4	Notes
a. Payments to eligible employers under the Prepaid Health Care Premium Supplementation Fund or otherwise	NA	NA	NA	NA	
b. Outreach and enrollment	NA	NA	NA	NA	
c. Other purposes including a breakdown of how funds were spent by activity	NA	NA	NA	NA	
19. Describe any changes to eligibility under the Prepaid Health Care Act or other program changes and the date(s) these changes occurred. No changes made.					
E. POST-AWARD FORUM <i>(for Quarter Post-Award Forum was held)</i>					
20. Was the date, time, and location of the Post-Award Forum advertised 30 days in advance? <input checked="" type="radio"/> Yes <input type="radio"/> No					
21. State website address where Post-Award Forum was advertised http://labor.hawaii.gov					
22. Date Post-Award Forum took place September 21, 2018					
23. Summary of Post-Award Forum, held in accordance with §155.1320(c), including all public comments received and actions taken in response to concerns or comments. As a follow up to the September 21, 2018 Employment and Labor Workshop educational forum we met with various Certified Public Accountants, and the Hawaii Department of Agriculture, Hawaii Farm Bureau and Hawaii Farmers Union (two of the largest farming organizations in the state) to promote the program. We concluded with a question and answer session and fielded a few questions regarding funding availability (through 2021) and submittal requirements.					

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24. Other Attachments (attach other documents as needed or as instructed by the awarding Federal agency)	
No attachments at this time.	
F. ANNUAL REPORT QUESTIONS	
25. Describe how the approved waiver is complying with section 1332(b)(1)(A) through (C) of the Affordable Care Act. Provide data in support of each requirement, if not already provided.	
25a. Comprehensiveness	A majority of employers are covered by "premium" equivalent health care plans. The rest are covered by "gold" equivalent plans.
25b. Affordability	An eligible employee may pay up to half the costs of the premium, but no more than 1.5% of their wages. For "gold" equivalent plans, the employer must also pay at least half the cost of dependent coverage.
25c. Scope of Coverage	Every private employer with one or more eligible worker must cover them with an approved health care plan (unless the employee signs an approved waiver).
26. Provide the amount of state funding appropriated for the Prepaid Health Care Premium Supplementation Fund.	None for 2018.
27. Provide the number of employers receiving funds through the Prepaid Health Care Premium Supplementation program or through other uses of pass-through funding.	7
28. Provide the number of employees provided health coverage by employers receiving funds through the Prepaid Health Care Premium Supplementation program or through other uses of pass-through funding.	26
G. STATE INTERNAL IMPLEMENTATION REVIEW - ATTESTATION	
29. Attestation: The state attests that periodic implementation reviews related to the implementation of the waiver have been conducted in accordance with 31 CFR 33.120(b) and 45 CFR 155.1320(b).	
<input checked="" type="radio"/> Yes <input type="radio"/> No	
30. Describe the state's implementation review process.	
The State's Affordable Care Act Transitional Team (ATT) meets on a monthly basis to discuss State waivers (implementation and updates), including the Section 1332 SHOP Waiver and Reinsurance Program. The	

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ATT includes the Department of Labor, Department of Health and Human Services, and the Department of Commerce and Consumer Affairs. Additionally, the Department of Labor's Disability Compensation Division holds meetings on a regular basis to review waiver progress and monitor application status.