How to Use the Sample Retiree File Spreadsheet

Use the Sample Retiree File Spreadsheet to create a retiree list in a format that easily converts to a Comma Separated Value (CSV) file format for upload to CMS' RDS Center on the RDS Secure Website.

Note: Leading zeros may be truncated when entering numeric fields such as a Social Security Number (SSN), Health Insurance Claim Number (HICN), or Unique Benefit Option Identifier (UBOI). To help with this issue, the Sample Retiree File Spreadsheet has been formatted with data validation rules to prevent the leading zeros from being truncated. Copying and pasting values into the cells will overwrite the data validation rules, so be sure to check for truncated leading zeros prior to submitting the retiree file.

To use the Sample Retiree File Spreadsheet:

1. **Download the Sample Retiree File Spreadsheet Excel File from the RDS Program Website:** https://www.rds.cms.hhs.gov/resource-library/sample-retiree-file-spreadsheet.

2. **Save the file on your local drive (C:/) using a unique file name**.

3. **Open the file in Microsoft Excel and enter retiree data in the spreadsheet**. Tips for entering data:

   - Use the Header row in the spreadsheet to identify the information needed in each column.

   - The asterisk (*) indicates required elements.

   - Enter only one retiree per row for each coverage period.

   - If subsidy is being requested for the spouse or dependant of a Qualifying Covered Retiree (QCR), make sure the information provided in this record is that of the spouse or dependant, not the retiree. The Relationship to Retiree must have the leading zero. For example, 01, 02, or 03.

   - The Transaction Type must be capitalized. For example, ADD, UPD, or DEL.

   - Dates must be entered in the format CCYYMMDD.

   - The Application ID must match the Application ID as it appears on the RDS Secure Website.

   - The Health Insurance Claim Number (HICN) field cannot have spaces, must be alphanumeric, and a maximum of 12 characters.

   - Some information such as HICN may be left blank. Blank means the field does not include any data including spaces. If you need to remove the contents of the field, delete the contents. Do not use the spacebar to erase the contents.

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Match information in the following table to the Columns in the Sample Retiree File Spreadsheet to learn more about each data element.

Sample Retiree Spreadsheet Format

Excel Column	Data Element	Max Size	Data Type	Notes
A	*Application ID	10	Number	The RDS Application ID under which you are submitting this beneficiary for subsidy. This Application ID must match the Application ID EXACTLY as it appears on the RDS Secure Website and must correspond to the application's Plan Year Start Date and Plan Year End Date for the coverage periods you are submitting.
B	*SSN (can be blank if HICN is entered)	09	Text	The Social Security Number (SSN) of the beneficiary for whom you are seeking subsidy. This field can be blank if the Health Insurance Claim Number (HICN) was provided. **Note**: The SSN contains nine numbers without hyphens. The Data Type in the Sample Retiree File Spreadsheet is configured as a text field to avoid truncating leading zeros.
C	*HICN (can be blank if SSN is entered)	12	Text	The Medicare Health Insurance Claim Number (HICN) of the beneficiary for whom you are seeking subsidy. This field can be blank if the SSN was provided. **Note**: The HICN must be alphanumeric and contain at least one letter. The Data Type in the Sample Retiree File Spreadsheet is configured as a text field to avoid truncating leading zeros.
D	*First Name	30	Text	The First Name of the beneficiary for whom you are seeking subsidy.
E	Middle Initial	01	Text	The Middle Initial of the beneficiary for whom you are seeking subsidy. This field is optional. Enter the field in upper case or select from the dropdown box.
F	*Last Name	40	Text	The Last Name of the beneficiary for whom you are seeking subsidy.
G	*Date of Birth	08	Number	The Date of Birth of the beneficiary for whom you are seeking subsidy. Format: CCYYMMDD
H	*Sex	01	Number	The Sex of the beneficiary for whom you are seeking subsidy. Select a value from the dropdown box: 0 = Sex Unknown 1 = Male 2 = Female

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Excel Column	Data Element	Max Size	Data Type	Notes
I	*Coverage Effective Date	08	Number	The date the beneficiary's (retiree, spouse, or dependant) coverage under the Plan Sponsor's Prescription Drug Benefit Option begins. Format: CCYYMMDD
J	*Coverage Termination Date	08	Number	The date the beneficiary's (retiree, spouse, or dependant) coverage under the Plan Sponsor's Prescription Drug Benefit Option ends. Format: CCYYMMDD This field accepts 99999999 or may be left blank if the date is unknown.
K	*Unique Benefit Option Identifier	20	Number	The Unique Benefit Option Identifier (UBOI) corresponding to the benefit under which you are submitting this beneficiary for subsidy. You MUST enter the UBOI in this field exactly as it is listed on the RDS application, including any leading or trailing zeros, spaces, or punctuation. Refer to the UBOI column on the Benefit Option Summary page in the RDS Secure Website for the exact identifier to enter in this field. **Note**: The UBOI may contain numbers, but the Data Type in the Sample Retiree File Spreadsheet is configured as a Text field to avoid truncating leading zeros.
L	*Relationship to Retiree	02	Number	The beneficiary's relationship to the retiree. Select a value from the dropdown: 01 = Self 02 = Spouse 03 = Other
M	Transaction Type	03	Text	Select a value from the dropdown: ADD = The beneficiary has either never been submitted for the corresponding RDS application, or was submitted but never accepted for a Subsidy Period. UPD = The beneficiary and the corresponding UBOI have been previously accepted for a Subsidy Period for the corresponding RDS application, and updated information is being sent. DEL = The beneficiary has been previously approved for subsidy for the corresponding RDS application and Benefit Option. All coverage under this Benefit Option for this Qualifying Covered Retiree (QCR) should be removed.

4. **Delete the Header row.** The Header row is provided as guidance to assist in identifying the retiree data required. This row must be removed before converting the spreadsheet to a Comma Separated Value (CSV) file.

5. **Save the spreadsheet as a Comma Separated Value (.CSV) file**. This file is also referred to as a "flat file" or "comma delimited file." Computer systems use this type of file to pass information back and forth between databases. Each line represents one entry or record, and a comma separates each data element within a record.

   When saving as a .CSV file you will see the following messages:

   a. **The selected file type does not support workbooks that contain multiple sheets.**

      Select OK to continue.

   b. **The spreadsheet may contain features that are not compatible with CSV (Comma delimited). Do you want to keep the workbook in this format?**

      Select Yes to continue saving the file as .CSV.

   Note: Once the .CSV file is created, it may be opened in an Excel spreadsheet, but must be imported using the Text Import Wizard. This step avoids truncating any leading zeros found in the file including the fields for the Social Security Number (SSN), the Health Insurance Claim Number (HICN), and the Unique Benefit Option Identifier (UBOI).

6. **Upload the Comma Separated Value (CSV) file to the RDS Secure Website**. Upload the file from a local drive (C:/). If it takes more than five minutes to upload the file, stop the upload and try uploading from a local drive again. For more information, review Submit a Valid Initial Retiree List and Monthly Retiree List in the RDS User Guide: https://www.rds.cms.hhs.gov/user-guide/submit-valid-initial-retiree-list-and-monthly-retiree-list.