

RDS User Guide

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1 Welcome To The RDS User Guide

Introduction And Purpose Of The RDS User Guide

The Centers for Medicare & Medicaid Services' (CMS') Retiree Drug Subsidy (RDS) Center is committed to providing quality outreach and educational materials for current and potential RDS participants.

The RDS User Guide is a comprehensive reference resource that includes detailed information about participating in the RDS Program.

The purpose of the RDS User Guide is to:

- Inform potential participants about the RDS Program
- Educate current participants about RDS Program operations and how to use the RDS Secure Website

Audience

The RDS User Guide is designed to give all participants the information they need to take advantage of the RDS Program. Participants can follow the chapters in the RDS User Guide or browse for specific information to complete RDS tasks.

CMS Website Endorsement

References from this website to any non-governmental entity, product, service, or information do not imply endorsement or recommendation by CMS, the U.S. Department of Health & Human Services (HHS) or any other HHS agency or employees.

CMS' RDS Center is not responsible for the contents of any "off-site" web pages referenced from this server. CMS does not endorse ANY specific products or services provided by public or private organizations. In addition, CMS does not necessarily endorse the views expressed by such sites, nor do we warrant the validity of any site's information or its fitness for any particular purpose.

Access The RDS User Guide PDF

The RDS User Guide is located on the RDS Program Website: <u>http://www.rds.cms.hhs.gov/</u> and the RDS Secure Website.

The RDS User Guide is available in Portable Document Format (PDF) and is designed to be accessible to all users.

Open The RDS User Guide PDF

Adobe Reader can be used to open a PDF. A link to the free version of Adobe Reader is available on the <u>RDS Program Website</u> or you may <u>download a free copy of Adobe Reader</u> from Adobe's website.

Use The Current Version Of The RDS User Guide

Changes to the RDS User Guide may occur frequently. It is recommended that you use the current RDS User Guide located on the <u>RDS Program Website</u> instead of using a printed or locally saved copy.

CMS' RDS Center will send an email to all RDS Secure Website users and post an announcement on the <u>RDS Program Website</u> when a new version of the RDS User Guide is available.

Using The RDS User Guide PDF

The following instructions are applicable to the Adobe Reader. For more information about using Adobe Reader, go to: <u>http://help.adobe.com/en_US/Reader/9.0/index.html</u>.

Table of Contents

A Table of Contents organizes the topics and sub-topics. The Table of Contents appears in the beginning of the RDS User Guide and in the Table of Contents pane in Adobe Reader. Click the topics or sub-topics in the Table of Contents pane to jump to that page in the RDS User Guide.

Navigating

The following are suggested ways to navigate the RDS User Guide using Adobe Reader.

Scroll To A Specific Page

- Use the mouse to drag the vertical scroll bar until the desired page number appears in the small pop-up display or Page Number text box
- Use Up Arrow key and Down Arrow key

Jump To A Specific Page

- Enter the page number in the Page Number text box
- Click the desired topic or sub-topic in the Table of Contents or Bookmark pane

Go To The Next Page

- Click the Next Page (right arrow) on the Adobe Reader Toolbar
- Use Page Down key and Right Arrow key

Go To The Previous Page

- Click the Previous Page (left arrow) on the Adobe Reader Toolbar
- Use Page Up key and Left Arrow key

Searching

The following are suggested ways to search for information in the RDS User Guide:

- Enter a search term or keyword in the Find box on the Adobe Reader Toolbar
 - Click the arrow located after the Find box to select Advanced Search options
- Manually browse for topics in the Table of Contents or Glossary

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Bookmarking

A bookmark is a customized shortcut to a specific page within a document.

The RDS User Guide contains predefined bookmarks that make it easy to jump to a specific topic. You can also create customized bookmarks for the RDS User Guide.

Create A Bookmark

- 1. Navigate to the page you wish to bookmark.
- 2. From the Navigation pane, select the Bookmark icon. The Bookmarks pane opens.
- 3. Select New Bookmark.
- 4. Enter a description for the bookmark.

Links

The RDS User Guide contains links that navigate to more information in specific locations within the RDS User Guide, to the <u>RDS Program Website</u>, and to other web locations related to the material as needed. All links appear in underlined blue font.

Click the link or use Tab to move to a link and use Enter to access the link.

Printing

Read the Printing Warning before you consider printing.

The RDS User Guide is designed to be printer-friendly. The following are suggested ways to print the RDS User Guide:

- From the File menu select Print
- From the Adobe Reader Toolbar click the Print icon

Printing Warning

All versions of the RDS User Guide are identified by the release date and version number located on the cover page and in the footer. The most current version of the RDS User Guide is posted online. Printed or saved versions of this document may be obsolete and may not reflect current information. Ensure that your printed or saved version is the most current version by comparing the version number on the cover page to the online version. Do not use obsolete versions.

Accessibility Of The RDS User Guide

CMS' RDS Program is committed to making all RDS websites accessible to the widest possible audience. In keeping with its mission, CMS' RDS Center complies with the regulations of Section 508 of the Rehabilitation Act and the Department of Health & Human Services (HHS) Section 508 Implementation Policy. The information contained within the RDS Websites is intended to be accessible through screen readers and other accessibility resources.

Alternative Means Of Access

If alternative means of access to any information contained on RDS Websites are needed, or interpreting any information proves difficult, contact CMS' RDS Center Help Line.

- Call 877-RDS-HELP or 877-737-4357
- TTY for hearing impaired: 877-RDS-TTY0 or 877-737-8890

- Send an email to: <u>RDS@cms.hhs.gov</u>
- In an email, indicate:
 - The nature of the accessibility problem
 - The accessibility tool used
 - The web browser used
 - The web page address that is causing difficulty
 - Your Name
 - Your Email Address
 - Your Phone Number

Note: Do not include any Protected Health Information (PHI), as defined in the Health Insurance Portability and Accountability Act (HIPAA) in the email.

Synopsis Of Section 508 Accessibility Requirements

<u>Section 508</u> requires that individuals with disabilities seeking information or services from this document have access to and the ability to use information and data that is comparable to that provided to the public who are not disabled. Section 508 also requires that Federal employees with disabilities have access to and the ability to use information and data that is comparable to Federal employees who are not disabled. To learn more about regulations governing the accessibility of Federal electronic information, read the Summary of Section 508 Accessibility Requirements on the <u>Section508.gov</u> website, accessibility guidelines that are consistent with Section 508 Law, and web standards developed by the <u>World Wide Web Consortium's (W3C)</u> <u>Web Accessibility Initiative (WAI)</u>.

2 Communicating With CMS' RDS Center

Contact CMS' RDS Center Help Line

Call Toll-Free

- Phone Number: 877-RDS-HELP or 877-737-4357
- TTY for hearing impaired: 877-RDS-TTY0 or 877-737-8890
- For help in Spanish: 877-737-4357 and select option 2
- Para ayuda en español llame al 877-737-4357 y seleccione la opción 2

Send An Email

CMS' RDS Center Help Line Email Address: RDS@cms.hhs.gov.

CMS' RDS Center will respond to an email with an email reply or a phone call depending on the nature of the inquiry. If the inquiry is about a specific RDS Application, include the following information in an email:

- Your Name
- Your Email Address
- Your Phone Number
- Your Organization Name
- Plan Sponsor ID
- Application ID

Do not include any Protected Health Information (PHI), as defined in the Health Insurance Portability and Accountability Act (HIPAA), in the email.

Do not send emails with attachments larger than 25mb.

Hours Of Operation

CMS' RDS Center Help Line is available Monday through Friday between 10:30AM – 7:00PM Eastern Time.

Send An Authorized Representative (AR) Verification Form

To view and print the form, go to: <u>Authorized Representative Verification Form</u>.

Send the form using fax, email, or US Mail:

- Fax Number: 646-458-2280
- Email Address: <u>RDS_Forms@cms.hhs.gov</u>
- Mailing Address:

Retiree Drug Subsidy Center Attn: Authorized Representative Verification Unit P.O. Box 5032 New York, NY 10274-5032

Set Up A Voluntary Data Sharing Agreement (VDSA)

Email Address: COBVA@ghimedicare.com

Report Fraud, Waste, Or Abuse

Contact <u>CMS' RDS Center Help Line</u> to report fraud, waste, or abuse.

Send A Check To Satisfy An Overpayment

Mailing Address:

Retiree Drug Subsidy Center Attn: Payments PO Box 6865 Towson, MD 21204

Report A Change Of Plan Sponsor EIN Or Company Name

Contact CMS' RDS Center Help Line to report a change of Plan Sponsor EIN or Company Name.

Email Addresses From Which RDS Correspondence May Be Sent

CMS' RDS Center's official means of communication to the Plan Sponsor is through email.

It is important that all RDS Secure Website participants take the necessary steps to ensure that all emails are received and not marked as "spam" or automatically deleted for any other reason.

Make the necessary adjustments to your email account or contact your network administrator to ensure that emails sent from the following email addresses are not blocked by any spam filters or Blocked Senders Lists:

- RDS_Hearings@cms.hhs.gov
- RDSAppeals@cms.hhs.gov
- RDSPayment@cms.hhs.gov
- RDSCtr@rds.cms.hhs.gov
- RDSOutreach@vips.com
- RDSOutreach@rds.cms.hhs.gov

RDS Program-Related Website Addresses

Title	Address
CMS Website	http://www.cms.gov/
RDS Program Website	http://www.rds.cms.hhs.gov/
Freedom of Information Act (FOIA)	http://www.hhs.gov/foia

Employer Retiree Drug Subsidy Overview Page	http://www.cms.gov/EmployerRetireeDrugSubsid/01_Overview.asp
Rilles For Employer-	http://www.socialsecurity.gov/OP_Home/ssact/title18/1860D- 22.htm

3 The RDS Program Big Picture

Overview Of The RDS Program

The Retiree Drug Subsidy (RDS) Program was enacted in December 2003. Subsidy payments to Plan Sponsors equal 28 percent of each Qualifying Covered Retiree's costs for prescription drugs otherwise covered by Medicare Part D that are attributable to such drug costs between the applicable Cost Threshold and Cost Limit. For more information about the Cost Thresholds and Cost Limits, go to: <u>Cost Threshold and Cost Limit by Plan Year</u>. Such incurred costs (including dispensing fees) that the Plan Sponsor pays, and that the retiree pays, are eligible for subsidy. Rebates received are subtracted from the amount eligible for subsidy.

To qualify for the subsidy, a Plan Sponsor must show that its coverage is "actuarially equivalent" to, or at least as generous as, the defined standard Medicare Part D coverage.

The RDS statutory provisions are published at 42 U.S.C. 1395§-132 (Section 1860D-22 of the Social Security Act). The regulations are published at 42 C.F.R. Part 423, Subpart R.

Mission Of CMS' RDS Center

The mission of the Centers for Medicare & Medicaid Services' (CMS') RDS Center is to maximize the participation of Plan Sponsors in the RDS Program. The primary goal is to provide Plan Sponsors with education and training to assist them in participating in the RDS Program and to provide excellent customer service to the community.

Resources And Communication For The RDS Program

The RDS Program is virtually paperless. All communication is through the RDS Program Website, RDS Secure Website, email, and phone calls with <u>CMS' RDS Center Help Line</u>.

RDS Program Website

The RDS Program Website is a comprehensive resource center for the RDS Program. Educational tools and Announcements are available, as well as specific instructions to complete processes in the RDS Program.

RDS Secure Website

The RDS Secure Website allows participants to register and complete the tasks required to participate in the RDS Program and request subsidy.

For security purposes, RDS Secure Website users are required to complete a registration process and maintain an active Login ID and Password.

RDS Secure Website users may only function in one user role in the RDS Secure Website, so an individual must be assigned the same user role for each Plan Sponsor they are associated with. CMS' RDS Center validates an individual's Date of Birth and Social Security Number to ensure that each individual has only one user account at a time.

Email

CMS' RDS Center sends emails to RDS Program participants regarding account activity, notifications, deadline reminders, and updated information for both the RDS Program Website and the RDS Secure Website. It is important to keep your personal information accurate and up to date on the RDS Secure Website so that you may receive this information.

Benefits Of The RDS Program

The RDS Program has flexible rules that permit Plan Sponsors to continue providing drug coverage to their Medicare-eligible retirees at a lower cost.

RDS Program benefits include:

- 28% Federal subsidy payments
- Program flexibility that supports the Plan Sponsor's current prescription drug plan structure
- Extensive educational materials and support

Requirements Of The RDS Program

Actuaries act on behalf of Plan Sponsors and complete a two-part Actuarial Equivalence Test indicating that the Prescription Drug Plan offered by the Plan Sponsor is as generous as, or more generous than the defined standard coverage under the Medicare Part D Prescription Drug Benefit.

Retirees must not be currently enrolled in Medicare Part D.

Plan Sponsors must use the RDS Secure Website to participate in the RDS Program and submit a timely Application prior to the expiration of the Application Deadline, which includes a list of retirees for whom the Plan Sponsor is seeking subsidy.

Qualifications For The RDS Program

To participate in the RDS Program, an organization must:

- Have a valid Employer Identification Number (EIN)
- Fall under one of the following categories:
 - Commercial
 - Government
 - Nonprofit
 - Religious
 - Union
- Demonstrate that the coverage is as generous as, or more generous than the defined standard coverage under the Medicare Part D Prescription Drug Benefit

RDS Program Lifecycle

Participating in the RDS Program begins with creating a Plan Sponsor Account, and submitting a timely RDS Application prior to the expiration of the Application Deadline. For more information about the Application Deadline, including what is required to be submitted by the Application Deadline, go to: <u>Important Application Deadline Information</u>.

Ongoing maintenance of an approved RDS Application is recommended throughout the Application Plan Year. These tasks include managing RDS Secure Website User Roles, managing retiree information, completing Payment Setup, performing Cost Reporting, submitting interim payments if the Plan Sponsor has elected an Interim Payment Frequency, and completing Reconciliation.

Creating A Plan Sponsor Account

A Plan Sponsor starts in the RDS Program by designating an Account Manager who will create a new Plan Sponsor Account, register the organization, and assign other key players required to complete RDS tasks.

Creating An RDS Application

After creating a Plan Sponsor Account, the Account Manager or Authorized Representative must create an RDS Application on the RDS Secure Website for each Plan Year for which the Plan Sponsor would like to request subsidy.

For more information about the Application Deadline, including what is required to be submitted by the Application Deadline, go to: <u>Important Application Deadline Information</u>.

Managing RDS Secure Website User Roles

Tasks are completed by the key players who act on the Plan Sponsor's behalf. RDS user roles are granted specific tasks and privileges in the RDS system. The RDS Secure Website user roles include: Authorized Representative, Account Manager, Actuary, and Designee.

RDS Secure Website users must maintain an active Login ID and Password at all times.

To enforce a separation of duties, a user may report cost data or request payments on the same Application. A user cannot assume both duties in the same Application.

Managing Retiree Information

It is necessary to manage retiree information during the entire lifecycle of an RDS Application. Plan Sponsors specify the method used to submit retiree data, the source of the retiree data, and the method(s) that CMS' RDS Center should deliver the Retiree Response Files and Weekly Notification Files.

The Application Submission Process requires the Plan Sponsor to send a retiree file to CMS' RDS Center with demographic and benefit enrollment information about the beneficiaries for whom subsidy is requested. This file is called a Valid Initial Retiree List.

After an Application is approved, the Plan Sponsor should continue to send retiree files to CMS' RDS Center throughout the Application lifecycle to notify CMS' RDS Center of any additions, deletions, or changes in Qualifying Covered Retiree (QCR) information. CMS' RDS Center will respond to the Valid Initial Retiree List and subsequent retiree files with a Retiree Response File using the method specified.

In addition, Weekly Notification Files are sent as necessary to inform the Plan Sponsor of changes that may impact the approved subsidy for QCRs. CMS' RDS Center evaluates program eligibility and provides the Plan Sponsor with Subsidy Periods and benefits for each beneficiary.

The Plan Sponsor and its agents must continually process Retiree Response and Weekly Notification Files produced by CMS' RDS Center throughout the Plan Year to keep their internal retiree records updated to report accurate cost data to CMS' RDS Center.

Managing Retiree Electronic Data Interchange (EDI) Methods And Sources

Retiree EDI Methods and Sources are selected by the Plan Sponsor to indicate the methods by which Electronic Data files are sent and received. The selections may be changed at any time throughout the Plan Year after the appropriate connection has been established and tested.

Four methods of submission are available for exchanging retiree information with CMS' RDS Center:

- RDS Secure Website to RDS Center
- Vendor Mainframe to RDS Center Mainframe
- Coordination of Benefits (COB): Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR)
- Plan Sponsor Mainframe to RDS Center Mainframe

RDS Secure Website To RDS Center

Plan Sponsors and Vendors can upload retiree data formatted in a Comma Separated Value (CSV) file to the RDS Secure Website to submit retiree data.

Vendor Mainframe or Plan Sponsor Mainframe To RDS Center Mainframe

Data exchanged using a Vendor Mainframe or a Plan Sponsor Mainframe connection requires set up and testing before a retiree file can be accepted by CMS' RDS Center. Each retiree file must be formatted with a Header Record, Detail Record, and Trailer Record. A retiree file can include data for multiple Applications in the same transmission.

Coordination of Benefits (COB): Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR)

A Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR) facilitated by CMS' Coordination of Benefits (COB) Contractor requires setup and testing before a retiree file can be accepted by CMS' RDS Center.

A Coordination of Benefits (COB) Contractor authorizes the Centers for Medicare & Medicaid Services (CMS) and an employer, or agent on behalf of an employer, to electronically exchange health insurance benefit entitlement information.

Payment Setup

The Plan Sponsor will make decisions in Payment Setup to determine who will report cost data for each Benefit Option, how the information will be transmitted, and who will request interim payments if the Plan Sponsor has elected an Interim Payment Frequency.

The Plan Sponsor may submit data on their own behalf or elect a Vendor(s) to complete this Cost Reporter task.

Payment information may be transmitted using the RDS Secure Website or Mainframe connection.

All Benefit Options must be assigned to a Cost Reporter to complete Payment Setup.

Payment Setup must be complete prior to Cost Reporting or submitting Payment Requests.

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Cost Reporting

Cost Reporting is the process of reporting cost data for Qualifying Covered Retirees (QCRs) on an approved RDS Application. Interim cost data may be reported throughout the Plan Year if the Plan Sponsor has elected an Interim Payment Frequency. Final cost data must be reported for an Annual Payment Frequency and Final Reconciliation.

Federal law requires that cost data is submitted only for the QCRs, corresponding Subsidy Periods, and the Benefit Options in which each QCR is enrolled.

Cost Reporting assignments must be completed in Payment Setup prior to submission of cost data.

Reconciliation

Reconciliation is the process by which a Plan Sponsor who has received any interim payments must submit to CMS, after the end of the Plan Year, the total gross covered retiree plan-related prescription drug cost and actual cost adjustments for the Application. The sum of the interim payments is compared with the final subsidy payment determination for the Application. If the sum of the interim payments is larger than the final subsidy payment determination for the Application for the Application, CMS will initiate immediate overpayment recovery action.

Plan Sponsors that chose an Annual Payment Frequency, or otherwise did not receive any interim payments, and that wish to receive a subsidy, must use the Reconciliation process to submit final cost reports and submit their one and only subsidy payment request.

RDS Secure Website User Roles And Other Program Stakeholders

Introduction To RDS Secure Website User Roles

The RDS Secure Website user roles required to participate in the RDS Program are: Account Manager, Authorized Representative, and Actuary. In addition to these roles, the Plan Sponsor may choose to assign Designees to complete certain tasks.

The RDS Secure Website allows an individual to act in only one role at a time.

To enforce a separation of duties, a user may report cost data or request payments on the same Application. A user cannot assume both duties in the same Application.

Account Manager

Purpose Of The Account Manager

The Account Manager initiates and manages the Plan Sponsor's Applications throughout their lifecycle, by beginning the Application and completing its tasks. The Account Manager manages the reporting of retiree data, cost data, payment requests, Reconciliation, and assigns, manages, and reassigns other users within the Plan Sponsor's account to complete those tasks.

Account Manager Role And Responsibilities

The Account Manager may be an employee of the Plan Sponsor organization for which they initiate an RDS Program Application. If not directly employed by the Plan Sponsor, the Account Manager may act as an agent on behalf of the Plan Sponsor.

The Account Manager role and Authorized Representative role must not be fulfilled by the same person.

The role of Account Manager must always be active with a current valid user assigned.

The Account Manager may, at any time, reassign the role of the Account Manager or the Authorized Representative, remove the duties and privileges of Designees, add or delete Designees, and assign an Actuary.

An Account Manager is invited to register through an email from CMS' RDS Center.

An Account Manager is required to be a registered RDS Secure Website User and maintain an active Login ID and Password.

The RDS Secure Website allows an individual to act in only one role at a time.

Authorized Representative

Purpose Of The Authorized Representative

The Authorized Representative is a user chosen by the Plan Sponsor that is deemed to have sufficient authority to be legally responsible for the terms of the Plan Sponsor Agreement and the Reconciliation Agreement. The Authorized Representative has been granted the legal authority to bind the Plan Sponsor to the terms of the Plan Sponsor Agreement. The Authorized Representative takes responsibility for these agreements by signing them electronically during the Application and Reconciliation processes.

The Authorized Representative may also begin an Application, complete any step of the Application and assign or manage RDS Secure Website user roles as necessary. The Authorized Representative typically delegates these duties to the Account Manager or Designees and is not actively involved in the RDS Program other than verifying the work of other users.

The Authorized Representation must submit the RDS Application.

The Authorized Representative must submit the final Reconciliation payment request and may submit interim payment requests.

The Authorized Representative is a designated Payment Requester and may not report any costs.

Authorized Representative Role And Responsibilities

The Authorized Representative must be an employee of the Plan Sponsor. For multi-employer plans, the Authorized Representative does not have to be an employee of the Plan Sponsor, but may be a member of the jointly appointed board of trustees, which includes both labor and management trustees.

Common examples of positions within the Plan Sponsor organization that are held by the Authorized Representative are:

- Chief Executive Officer (CEO)
- Chief Financial Officer (CFO)
- President
- Human Resources Director
- General Partner

The Account Manager role and Authorized Representative role must not be fulfilled by the same person.

The role of Authorized Representative must always be active with a current valid user assigned to it.

The identity of the Authorized Representative must be verified using the Authorized Representative Verification Form.

An Authorized Representative is invited to register through an email from CMS' RDS Center.

An Authorized Representative is required to be a registered RDS Secure Website User and maintain an active Login ID and Password.

The RDS Secure Website allows an individual to act in only one role at a time.

Actuary

Purpose Of The Actuary

The Actuary is a professional contracted by the Plan Sponsor applying to the RDS Program to attest to the Actuarial Equivalence of the Benefit Option(s) specified in an RDS Application. The Plan Sponsor must show that its coverage is as generous as, or more generous than, the defined standard coverage under the Medicare Part D Prescription Drug Benefit.

Actuary Role And Responsibilities

To qualify for CMS' RDS Program, the Actuary must have a current membership and be in good standing with the American Academy of Actuaries.

An Actuary is invited to register through an email from CMS' RDS Center.

An Actuary is required to be a registered RDS Secure Website User.

Attesting to the Actuarial Equivalence of the Benefit Option(s) specified in the RDS Application is the only responsibility of the Actuary.

Designee(s)

Purpose Of Designees

A Designee is an optional user role created by the Account Manager or Authorized Representative to assist with RDS Secure Website tasks.

Designees are assigned privileges by the Account Manager or Authorized Representative. Designees can complete many different tasks. The following table identifies the name of the Designee privilege and the description of the task.

Designee Privileges

Privilege	Description
Assign Actuary(s)	Enter Actuary Information in Step 3: Assign Actuary in the Application Submission Process
Complete Electronic Funds Transfer Information	Enter Banking Information and Bank Contact information to set up Electronic Funds Transfer in Step 5: Electronic Funds Transfer (EFT) Information in the Application Submission Process
Retiree Electronic	Choose method and source of submission in Step 7: Retiree Electronic

Privilege	Description
Data Interchange (EDI) Methods and Sources	Data Interchange (EDI) Methods and Sources in the Application Submission Process. Available methods are: RDS Secure Website to RDS Center, Vendor Mainframe to RDS Center Mainframe, Coordination of Benefits (COB): Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR), or Plan Sponsor Mainframe to RDS Center Mainframe. Choose to receive copies of Retiree Response Files on the RDS Secure Website and choose Weekly Notification Method.
Define Benefit Options	Define Benefit Option Name, Unique Benefit Option Identifier, Benefit Option Type, and in Step 2: Benefit Option in the Application Submission Process
Define Payment Frequency	Choose between Monthly, Quarterly, Interim Annual, or Annual Payment Frequencies in Step 6: Payment Frequency in the Application Submission Process
Request Extension	Submit a request to extend the Application Deadline
Report Costs	Submit Interim Cost Report or Final Cost Report
Request Payment	Request Interim Payment and/or assist in preparing the Final Reconciliation Request
Submit Appeal	Request an Appeal to have a Determination reconsidered View requested Appeals
View Attestation Summary	After Actuarial Attestation, view the Attestation Status of the Benefit Options for an RDS Program Application
View/Send/Receive Retiree Data	 Manage retiree information using the RDS Secure Website. If authorized to view Protected Health Information (PHI), privileges include: Upload retiree files View Retiree Response Files sent to the RDS Secure Website View Weekly Notification Files sent to the RDS Secure Website View current Covered Retiree Counts Request a Covered Retiree List Download a Covered Retiree List View Medicare Part D Rejection Notifications

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Designee Role And Responsibilities

Designees may be, but are not required to be, employees of the Plan Sponsor.

Designees may be employees of Vendors contracted by the Plan Sponsor to report retiree data or cost data.

Designees can be assigned to one or more Applications.

Designees can be assigned to Applications for multiple Plan Sponsors. The assigned Designee privileges are specific to the Application.

Designee privileges may be specified for each Application.

Designees may be assigned multiple privileges on an Application. Designee privileges may differ across Applications.

To enforce a separation of duties, a user may report cost data or request payments on the same Application. A user cannot assume both duties in the same Application.

If a Designee is assigned to an Application, the user may not be assigned any other user role in the RDS Secure Website.

User Role For Multiple Plan Sponsors

The RDS Secure Website allows an individual to act in only one role at a time.

An Authorized Representative and an Account Manager may be assigned to multiple Plan Sponsors acting in the same single role.

A Designee and an Actuary may be assigned to multiple Applications acting in the same user role.

To reassign a user associated with multiple Plan Sponsors, contact CMS' RDS Center Help Line.

The Account Manager and Authorized Representative roles must be filled at all times.

The Account Manager and Authorized Representative may reassign one another if necessary.

An Account Manager or Authorized Representative may delete a Designee from an Application.

An Account Manager, Authorized Representative, or Designee with the Assign Actuary privilege may un-assign or change an Actuary.

Other Stakeholders

Vendor

A Vendor is a Pharmacy Benefit Manager (PBM), Health Plan, or other third-party company that a Plan Sponsor may contract to report cost data or manage retirees for the Plan Sponsor's Application(s).

Vendors must call <u>CMS' RDS Center Help Line</u> to register and obtain a Vendor ID.

If a Vendor will submit cost reports or retiree files using the RDS Secure Website, the Plan Sponsor must create a Designee role for the Vendor to access the RDS Secure Website. If the Vendor is submitting cost files or retiree files by Mainframe, a Designee user role may still be necessary to allow the Vendor to manage retiree information and cost submissions using the RDS Secure Website.

Coordination of Benefits (COB) Contractor: Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR)

A COB contractor may be responsible for managing retirees for the Plan Sponsor's Application through VDSA or MIR.

Authorized Representative Verifier

The Authorized Representative Verifier must be an employee of the Plan Sponsor. For multiemployer plans, the Authorized Representative Verifier may be an employee, or a member of the jointly appointed board of trustees, which includes both labor and management.

The Authorized Representative Verifier must complete the Authorized Representative Verification Form.

By signing the Authorized Representative Verification Form, the Verifier is representing to the Federal government **that they have actual knowledge** that the Plan Sponsor has granted the individual who is listed as the Authorized Representative for the Plan Sponsor on the RDS Secure Website, the legal authority to bind the Plan Sponsor to the terms of the Plan Sponsor Agreement in the RDS Application.

The Authorized Representative and the Authorized Representative Verifier cannot be the same person.

Interim payment requests and the final payment request cannot be submitted until the Authorized Representative is verified.

Bank Contact

The Bank Contact may be employed by the Plan Sponsor or employed by the Plan Sponsor's bank.

The Bank Contact's primary responsibility is to answer any questions asked by CMS' RDS Center regarding Electronic Funds Transfer of payments.

The Bank Contact is not granted an RDS Secure Website Login ID.

The Bank Contact is assigned during the RDS Program Application process by the Account Manager, Authorized Representative, or Designee with Complete Electronic Funds Transfer Information privileges.

The Bank Contact's information may be updated throughout the plan year. This information must be completed for each new Application and plan year.

Coordination Of Benefits (COB) Contractor

A Coordination of Benefits (COB) Contractor may set up retiree file data transfer for a Plan Sponsor using Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR).

The COB Contractor is not granted an RDS Secure Website Login ID.

Electronic Data Interchange Contact

This user role is no longer required in the RDS Secure Website under the new Retiree Electronic Data Interchange (EDI) Methods and Sources.

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For more information on the new Retiree Electronic Data Interchange (EDI) Methods and Sources, go to: <u>Chapter 7: Electronic Data Interchange (EDI): Exchanging Beneficiary Information</u> <u>With CMS' RDS Center</u>.

4 Becoming A Plan Sponsor

Introduction To Becoming A Plan Sponsor

The Retiree Drug Subsidy (RDS) Program allows companies and organizations to apply for subsidy of drug costs. For information on qualifying for coverage, go to: <u>Managing Retiree</u> <u>Information</u>.

Organizations and companies that participate in the RDS Program are called Plan Sponsors. Before registering to become a Plan Sponsor, there are several things to consider and prepare: RDS Secure Website User Roles and Required Registration Information.

RDS Secure Website User Roles

There are two user roles assigned during the Registration process: the Account Manager and the Authorized Representative.

Consider the following responsibilities when choosing individuals to fulfill these two roles:

Account Manager Responsibilities

The purpose of the Account Manager is to initiate and manage the Plan Sponsor account.

The Account Manager should be able to dedicate sufficient time for management tasks in the RDS Program Lifecycle, such as assigning and managing users, reporting costs, requesting payment, and managing retirees.

For more information about the Account Manager, go to: <u>Registering As An RDS Secure Website</u> <u>User</u>.

Authorized Representative Responsibilities

The purpose of the Authorized Representative is to verify and sign the Plan Sponsor Agreement and Reconciliation Agreement.

The Authorized Representative will have a significantly less active role than the Account Manager.

The Authorized Representative is granted the legal authority to bind the Plan Sponsor to the terms of the Plan Sponsor Agreement. The Authorized Representative typically delegates Application and Reconciliation tasks to the Account Manager or Designees.

For more information about the Authorized Representative, go to: <u>Registering As An RDS Secure</u> <u>Website User</u>.

Required Registration Information

The following organization contact and identification information should be gathered before you register.

Plan Sponsor Information

- Employer Identification Number (EIN)
 - Also known as the Federal Employer Tax Identification Number
 - Must be ten characters and must be in "00-0000000" format
 - A dash after the second number is required

- Organization Name
 - Also known as the legal organization name
 - Must be associated with Employer Identification Number
 - Organization Name field allows a maximum of 50 characters. Example: Entering the Legal Organization Name

If the entire legal organization name does not fit in the field, enter it without abbreviation, until the character limit is reached.

- Legal Organization Name: First America American Autoworkers Union Local Chapter 47
- Correct Entry: First America American Autoworkers Union Local Cha
- Incorrect Entry: First Amer American Autowkrs Union Local Chapt 47
- Phone Number
 - Must be ten numbers
- Extension (optional)
- Fax Number (optional)
- Website (optional)
- Organization Type
 - Select from: Commercial, Government, Nonprofit, Religious, or Union

Plan Sponsor Address (must be associated with Employer Identification Number (EIN))

- Street Line 1
- Street Line 2 (optional)
- City
- State
- Zip Code

Required Authorized Representative Information

- Email Address
- First Name
- Middle Initial (optional)
- Last Name

Required Account Manager Information

Account Manager Information

- First Name (must be associated with Social Security Number)
- Middle Initial (optional)
- Last Name (must be associated with Social Security Number)
- Social Security Number
- Date of Birth (must be associated with the Social Security Number)
- Job Title
- Email Address (must be active)
- Phone Number (must be 10 numbers)
- Extension (optional)
- Fax Number (optional)

Account Manager Mailing Address

- Street Address 1
- Street Address 2 (optional)
- City
- State
- Zip Code

For more information, go to: Registering As An RDS Secure Website User.

Create A New Plan Sponsor Account

1. Navigate to the RDS Program Website home page: http://www.rds.cms.hhs.gov.

On the RDS Program Website home page:

2. Click Register For The RDS Program.



On the Account Manager Introduction page:

- 3. Review the Account Manager Introduction.
- Click Continue to proceed or click Cancel to terminate this process and return to the RDS Program Website. (If you click Cancel, an Exit Warning will open in a new window.)



On the Plan Sponsor Account Registration page:

- 5. Enter the required information. An * indicates a required field.
- 6. Review the User Agreement. Use the scroll bar to scroll through and view the User Agreement or click the link to view and print the User Agreement in a new window.
- 7. Click the checkbox to accept the User Agreement.
- 8. Click **Continue** or click **Cancel** to terminate this process and return to the RDS Program Website. (If you click **Cancel**, an Exit Warning will open in a new window.)

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toentonication Number (CIN).	3. Account Manager
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*Organization Name C Revensid Incorporated	6. Account Manager
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*City O Baltmore	
*State V MARYLAND	
*Zip Code 3 21234 +	
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User Agreement and Privacy Policy THE FOLLOWING DESCRIBES THE TERMS AND CONDITIONS ON WHICH THE CENTERS FOR MEDICARE & MEDICARD SERVICES (CMS) OFFERS YOU ACCESS TO CMS' RDS CENTER'S SECURE WEB SITE. You must read and accept the terms and conditions contained in this	
User Agreement expressly set out below and incorporated by reference	
Click the checkbox to confirm that you have reviewed and agree to the User Agreement.	
Click Continue to proceed with Registration. Click Cancel to exit this process.	
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On the Assign Authorized Representative page:

- 9. Enter the Email Address for the person who will be invited to be the Authorized Representative. An * indicates a required field.
- 10. Click **Continue** to proceed or click **Cancel** to return to the Plan Sponsor Account Registration page.

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An * indicates a required field.	2. Assign Authonzed Representative
*Email Address 9 bhill@revenaid.com	3. Account Manager Information
Click Continue to assign an Authorized Representative, Click Cancel to return to the Plan Sponsor Account Registration page:	 Account Manager Log Information
formul limit	5. Account Manager Verification
SECURE AREA	6. Account Manager Confirmation

Note: You will navigate to one of the following pages based on the Email Address you entered for the Authorized Representative. Follow the instructions for the corresponding page name.

- <u>Authorized Representative Not Found page</u>
- Authorized Representative Found page
- <u>Authorized Representative Cannot Use page</u>

On the Authorized Representative Not Found page:

11. Click **Assign New Authorized Representative** to assign this person as the Authorized Representative or click **Return to Assign Authorized Representative** to enter a new Email Address.



On the Assign New Authorized Representative page:

- Enter the required information to assign a new Authorized Representative. An * indicates a required field.
- 13. Click **Continue** to proceed to the Account Manager Information page (skip to step 14) or click **Cancel** to return to the Assign Authorized Representative page.

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On the Authorized Representative Found page:

 Click Continue to assign this person as an Authorized Representative (skip to step 14) or click Return to Assign Authorized Representative to enter a new Email Address if this is not the Authorized Representative you want to assign.



On the Authorized Representative Cannot Use page:

11. Click Return to Assign Authorized Representative to enter a new Email Address.

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Authorized Representative Cannot Use	FOR ARE REPE
The Email Address entered was found, but is already associated with an active user holding a different RDS Secure Website user role. This user cannot be assigned as an Authonzed Representative.	1. Plan Sponsor Account Registration
Name: Bob Hill	 Assign Authonized Representative
Email Address: bhil2@ravenaid.com	 Account Manager Information Account Manager Log Information Account Manager Venification Account Manager Confirmation
SECURE AREA	

Note: A user cannot be assigned as an Authorized Representative when:

- Their RDS Secure Website user account is inactive. The user must contact <u>CMS'</u> <u>RDS Center Help Line</u> to resolve their inactive account before they can be assigned as an Authorized Representative.
- Their email address is associated with a user account that has a different RDS Secure Website user role.

On the Account Manager Information page:

- 14. Enter the required information to register as an Account Manager. An * indicates a required field.
- 15. Click **Continue** or click **Cancel** to return to the **Assign Authorized Representative** page.

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On the Account Manager Login Information page:

- 16. Enter a Login ID based on the Login ID Requirements.
- 17. Enter a Password based on the <u>Password Requirements</u>.
- 18. Re-enter Password for verification.
- 19. Select Security Questions and enter Answers.
- 20. Click Continue or click Cancel to return to the Account Manager Information page.

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On the Account Manager Verification page:

- 21. Review the information.
- 22. Click **Confirm** to accept the information, or click **Edit** to return to the Assign Authorized Representative page and make changes, or click **Cancel** to return to the Account Manager Login Information page.

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On the Account Manager Confirmation page:

- 23. Print this page for your records.
- 24. Click Exit to return to the RDS Program Website.

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What's Next After Creating A New Plan Sponsor Account?

CMS' RDS Center will process and validate the Plan Sponsor and Account Manager Registration information. When this process is successfully completed, the Account Manager will receive an email notification confirming the Registration.

The Account Manager can then access the RDS Secure Website using the Login ID and Password created. If the Account Manager does not receive an email within five business days, contact <u>CMS' RDS Center Help Line</u>.

The Authorized Representative will receive an email invitation to register with CMS' RDS Center and a copy of that email will be sent to the Account Manager. The Authorized Representative must follow the instructions in that email invitation to complete Registration. If the Authorized Representative does not receive an email within five business days, contact <u>CMS' RDS Center Help Line</u>.

5 Registering As An RDS Secure Website User

Introduction To User Registration

All Retiree Drug Subsidy (RDS) participants have to complete Registration to access the RDS Secure Website. The Registration process requires a user to enter their personal information and create a Login ID and Password. CMS' RDS Center will send an email confirming the activation of the user's Login ID and Password, within 48 hours after the Registration process is completed.

Federal Law About User Account Access Information Sharing

Individuals are responsible for maintaining and protecting their RDS Secure Website account access. It is a violation of Federal law to share or transfer User Accounts or Login and password information. This is stated on the Login Warning page of the RDS Secure Website:

Login Warning

You are accessing a U.S. Government information system, which includes: (1) this computer, (2) this computer network, (3) all computers connected to this network, and (4) all devices and storage media attached to this network or to a computer on this network. This information system is provided for U.S. Government-authorized use only.

Unauthorized or improper use of this system may result in disciplinary action, as well as civil and criminal penalties.

By using this information system, you understand and consent to the following:

- You have no reasonable expectation of privacy regarding any communication or data transiting or stored on this information system. At any time, and for any lawful Government purpose, the Government may monitor, intercept, and search and seize any communication or data transiting or stored on this information system.
- Any communication or data transiting or stored on this information system may be disclosed or used for any lawful Government purpose.

To access the RDS Privacy Policy, click the Privacy Policy link in the footer in the RDS Secure Website.

Click **Accept** to indicate your awareness of, and consent to, the terms and conditions for using this U.S. Government information system.

Click **Decline** if you are not authorized to access this U.S. Government system or if you do not agree to the conditions of use stated in this Login Warning.

Account Manager

The Account Manager Registration takes place during the new Plan Sponsor Registration, go to: <u>Create A New Plan Sponsor Account</u>.

Account Manager Reassigned for an existing Plan Sponsor

A new Account Manager reassigned for an existing Plan Sponsor will receive an invitation email to begin Registration within 48 hours after the role is reassigned. Registration can begin after the email invitation is received.

Authorized Representative, Designee, and Actuary

The Authorized Representative, Actuary, and Designee will receive an invitation email to begin Registration within 48 hours after the user role is assigned. Registration can begin after the email invitation is received.

Vendors

Vendors that are identified by the Plan Sponsor are asked to contact <u>CMS' RDS Center Help Line</u> to establish a Vendor ID and establish Electronic Data Interchange (EDI) requirements.

Required Registration Information

Information collection during Registration is limited to only that which is required to perform authentication, permit Retiree Drug Subsidy (RDS) Secure Website use, and allow contact with each user if necessary. Required Registration information varies depending on the user role.

Each individual assigned as an RDS user provides the following information during Registration:

Account Manager

- First Name
- Middle Initial (optional)
- Last Name
- Social Security Number
- Date of Birth
- Job Title
- Email Address
- Phone Number
- Fax Number (optional)
- Mailing Address

Authorized Representative

- First Name
- Middle Initial (optional)
- Last Name
- Social Security Number
- Date of Birth
- Job Title
- Email Address
- Phone Number
- Fax Number (optional)
- Mailing Address

Designee

- Pass Phrase
- First Name
- Middle Initial (optional)
- Last Name
- Social Security Number

- Date of Birth
- Job Title
- Email Address
- Phone Number
- Fax Number (optional)
- Mailing Address

Actuary

- American Academy of Actuaries Membership Number
- First Name
- Middle Initial (optional)
- Last Name
- Social Security Number
- Date of Birth
- Company (optional)
- Job Title (optional)
- Email Address
- Phone Number
- Fax Number (optional)
- Mailing Address

Security Questions

During Registration, each user selects two Security Questions and enters Answers to those Security Questions.

The Security Questions are used to protect personal information, allow RDS users to provide an Electronic Signature, and to reset their Password.

Note: Security Questions can only be changed once in a 24-hour period.

Locked Security Questions

The Security Questions will be locked after multiple incorrect Answers are entered to the Security Questions.

To unlock Security Questions, go to: <u>Change Or Reset Security Questions</u> or contact <u>CMS' RDS</u> <u>Center Help Line</u>.

Login ID Requirements

Each user creates a Login ID during Registration, which allows access to the RDS Secure Website.

Create a Login ID based on the following requirements:

- Can be 8 to 15 characters
- Cannot be the same as Password

Password Requirements

Each user creates a Password during Registration, which allows access to the RDS Secure Website.

Create a Password based on the following requirements:

- Must be 8 characters
- Must begin with a letter
- Must include 3 of the following 4 character types:
 - Lowercase letter
 - Uppercase letter
 - Number
 - Special character
- Must not contain the Login ID
- Must not contain a reserved word. For more information, go to: <u>Appendix L: Reserved</u> <u>Words List</u>
- Must not be a dictionary word or name
- Password cannot match 4 consecutive characters in the most recent Password
- Password cannot match any of the previous 6 Passwords

Note: A Password can only be changed once in a 24-hour period.

Password Expiration

A Password will expire every 60 days and must be changed to access the RDS Secure Website.

Locked User Account

The user account will be locked after multiple incorrect attempts to enter the Password.

To reset your Password, go to: Change Password If Account Is Locked.

Account Manager Registration

The Account Manager Registration takes place during the new Plan Sponsor Registration, go to: <u>Create A New Plan Sponsor Account</u>.

Reassigned Or Invited Account Manager Registration

An existing Account Manager can be reassigned to an existing Plan Sponsor account, or a new user may be assigned an Account Manager role.

Registration can begin after the user receives the invitation email. Follow the instructions in the invitation email to begin Registration.

From the Invitation Email sent from CMS' RDS Center:

1. Click the link to go to the Account Manager Registration page.

On the Account Manager Registration page:

2. Read the User Agreement. Use the scroll bar to scroll through and view the User Agreement or click the link to view and print the User Agreement in a new window.

- 3. Click the checkbox to accept the User Agreement.
- 4. Click **Continue** to proceed or click **Cancel** to terminate this process and go to the RDS Program Website. (If you click **Cancel**, an Exit Warning will open in a new window.)



On the Account Manager Information page:

- 5. Enter the required information to register as an Account Manager. An * indicates a required field.
- 6. Click **Continue** to proceed or click **Cancel** to return to the Account Manager Registration page.

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		and the second
Account Manager Information		June 2, 2009
Account manager miormation		YOU ARE HERE
Enter the required information to register as an Account	Manager.	1: Account Manager
An * indicates a required field.		Registration
		2: Account Manager Information
Account Manager Information		3. Account Manager Login
		Information 4. Account Manager
*First Name O Ave		Venfication
Middle Initial		5. Account Manager Confirmation
*Last Name V Anderson	-	Commission .
*Social Security Number 9 121 - 36 - 9951		Contraction of the
	Day 9 Year 1977	
*Job Title 0 Manager		
*Email Address 😺 aanderson@ravenaid.c *Re-enter Email Address 🔍 aanderson@ravenaid.c		
	212 Extension 9 558	
Fax Number 0 () 555 - 1	212 Extension Page	
Par Nomber 0 (1)1 -1		
Account Manager Mailing Address		
*Street Line 1 9 13 Company Drive		
Street Line 2 0		
*City 💟 Baltmore		
*State 9 MARYLAND	2	
*Zip Code 🔮 21234 -		
Click Continue to proceed with Registration. Click Cance	I to return to Assign Authorized Representative page	L
Service auto		
SECURE AREA		
17	Prescy Policy User Agreement Accessibility	
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		Approved OMB-0938-0977 Form CMS-10170

On the Account Manager Login Information page:

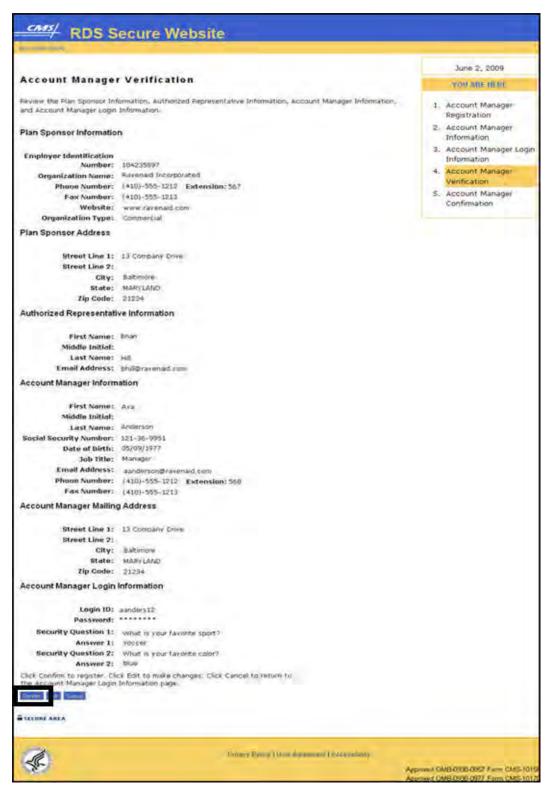
An * indicates a required field.

- 7. Enter a Login ID based on the Login ID Requirements*.
- 8. Enter a Password based on the Password Requirements*.
- 9. Re-enter Password for verification*.
- 10. Select Security Questions and enter Answers*.
- 11. Click **Continue** to proceed or click **Cancel** to return to the Account Manager Information page.

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and the second states in the second states	Dint the par	June 2, 2009
Account Manager Login Information		YOU ARE HERE
Login ID and Password Create your Login ID and Password based on these requirements: Login ID must be 8 to 15 characters Password must be 8 characters Password must begin with a letter Password must begin with a letter Duppercase letter Special character Password cannot contain the Login ID Password cannot contain the Login ID Password cannot contain a reserved word. For more inform Password cannot contain a reserved word. For more inform Password cannot contain a reserved word. For more inform Password cannot contain a reserved word. For more inform Password cannot contain a reserved word. For more inform Password cannot be a dictionary word or name An * indicates a required field. "Login ID @ anders12 "Re-enter Password @ ***********************************	and reset your Password.	 Plan Sponsor Accour Registration Assign Authorized Representative Account Manager Information Account Manager Lo Information Account Manager Verification Account Manager Confirmation
Contras - Carcoli-		
SECURE AREA		
Prinacy	Policy User Agreement Accessibility	
		Approved OMB-0938-0957 Form CMS-1 Approved OMB-0938-0977 Form CMS-1

On the Account Manager Verification page:

- 12. Review the information.
- Click Confirm to accept the information, or click Edit to return to the Account Manager Information page and make changes, or click Cancel to return to the Account Manager Login Information page.



On the Account Manager Confirmation page:

- 14. Print this page for your records.
- 15. Click Exit to go to the RDS Program Website.

And a state of the	ecure Website	
	2 Contraction	June 2, 2009
Account Manager	Confirmation	YOU ARE NERE
Account Manager Information validate this information. Wh confirming your Registration	Need the Plan Sponsor Information, Authorized Paipresentative Information, in, and Account Manager Login Information. CMS PDIS Center will process and en this process is placetes/ury completed, you will receive an email notification You can them access the PDIS Secure Website using the Login ID and Paisseord we an email within five Burness days, contact	Account Manager Registration Account Manager
Print this page for your reco		Information 3. Account Manager Logi
Plan Sponsor Informatio	n	Information 4. Account Manager
Loployer Identification		Venfication
Number:	154235897	5. Account Manager
Organization Name:	Ravenaid Incorporated	Confirmation
	(410)-595-1212 Extension: 5n7	
	(410)-595-1213	
	www.ranahad.com	
Organization Type:	Company Lak	
Plan Sponsor Address		
	13 Condeny Drive	
Streat Line 2:	Batinore	
	MARVLAND	
Zip Code:		
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	bhilithteannail cam	
Account Manager Inform		
First Name:	axe	
Middle Initial:		
Last Nome:	Anderson	
Social Security Number:		
Date of Birth:		
Job Title:		
Email Address:	aandersm@ravenad.som	
	(410)-555-1212 Extension: 566	
	(410)-555-1213	
Account Manager Mailin	Address	
Strent Line 1:	13 Company Grive	
Street Line 2:		
	Batroton	
	MARYUMO	
Zin Code:	21234	
rip conter.	information	
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Account Manager Login	assigned 2	
Account Manager Login Login ID:	aandorst2	
Account Manager Login Login ID: Password:		
Account Manager Login Legin ID: Password: Security Question 1:	While is your favorite sport?	
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Account Manager Login Legin JD: Password: Security Question 1: Answer 1:	What is your favority sport? What is your favorite costs	
Account Manager Login Login ID: Password: Security Question 2: Answer 1: Security Question 2: Answer 2:	While is your favorital sport? While is your favorita colort	
Account Manager Login Login ID: Password: Security Question 2: Answer 1: Security Question 2: Answer 2:	What is your favority sport? What is your favorite costs	
Account Manager Login Login ID: Password: Security Question 1: Answer 1: Security Question 7: Answer 2: Click Eat to return to the R	While is your favorital sport? While is your favorita colort	
Account Manager Login Login ID: Password: Security Question 2: Answer 1: Security Question 2: Answer 2:	While is your favorital sport? While is your favorita colort	
Account Manager Login Login ID: Password: Security Question 1: Answer 1: Security Question 7: Answer 2: Click Eat to return to the R	White we your favoritie sport? White we your favoritie coster White we your favoritie coster White we your favoritie coster White we your favoritie sport? White we your favoritie sport? White we your favoritie sport? White we your favoritie sport?	
Account Manager Login Login ID: Password: Security Question 1: Answer 1: Security Question 7: Answer 2: Click Eat to return to the R	Mhite is your favoritis spoint? White is your favoritis cossit White is your favoritis cossit White is your favoritis cossit White is your favoritis cossit Promay Press (Over Agreement) Assessed	opment CM/6-0935-0967 Farm CM/6-10

Authorized Representative Registration

Registration can begin after the user receives the invitation email. Follow the instructions in the invitation email to begin Registration.

From the Invitation Email sent from CMS' RDS Center:

1. Click the link to go to the Authorized Representative Registration page.

On the Authorized Representative Registration page:

- 2. Click the checkbox to confirm that you agree that the Account Manager is an approved agent for the Plan Sponsor.
- 3. Read the User Agreement. Use the scroll bar to scroll through and view the User Agreement or click the link to view and print the User Agreement in a new window.
- 4. Click the checkbox to accept the User Agreement.
- 5. Click **Continue** to proceed or click **Cancel** to terminate this process and go to the RDS Program Website. (If you click **Cancel**, an Exit Warning will open in a new window.)

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E Donathing page	June 2, 2009
Authorized Representative Registration	YOU ARE NEWE
The have been assigned as an Authonized Representative for the following Application: Plen Sponsor Name: 999999 Plan Sponsor Name: Ravenaid Incorporated Account Manager: Ava Anderson To access the RDS Secure Website, you must create an Authonized Representative Login ID. In * Indicates a required field. * * click the checkbox to confirm that you egree that the Account Manager is an approved agent for the Plan Sponsor. The Add print the Little Agreement Mer Adjoint the Little Agreement The FolLowing Describes The TERMS AND CONDITIONS ON WHICH the Confuse Sponsor Confirm that you have reviewed and agree to the User Agreement. The indicates a required field. * * indicates a required field. * * indicates a required field.	 Authonzed Pepesantative Registration Authonzed Representative Information Authonzed Representative Logi Information Authonzed Representative Venfication Authonzed Representative Confirmation
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Privacy Policy Diver Agreement Accessibility	coved OMB-0938-0957 Form CMS-1

On the Authorized Representative Information page:

- 6. Enter the required information to register as an Authorized Representative. An * indicates a required field.
- 7. Click **Continue** to proceed or click **Cancel** to return to the Authorized Representative Registration page.

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	June 2, 2009
authorized Representative Information	FOR THE NEWS
inter the required information to register as an Authorized Representative. In * indicates a required field.	1. Authorized Representative Pegistration 2. Authorized
Authorized Representative Information	Peptesentative Information
*First Name 🔍 Brian	3. Authorized Representative Login Information
Middle Initial 9	4. Authorized
*Last Name V Hill	Representative Ventication
*Social Security Number 220 - 69 - 3511 *Date of Birth Month March Day 4 Year 1965	5. Authorized Representative
*Job Title 0 CEO	Confirmation
*Phone Number (410) 555 - 1212 Extension (569	
Fax Number C (410) 555 - 1212 Authorized Representative Mailing Address	
*Street Line 1 0 13 Company Drive	
Street Line 2 0	
"City O Baltimore	
*State V MARYLAND	
*Zip Code 👽 21234 -	
Click Continue to proceed with Registration. Click Cancel to return to the Authonzed Representative Registration page.	
Filling Enling Liner Agreement Accessibility	

On the Authorized Representative Login Information page:

An * indicates a required field.

- 8. Enter a Login ID based on the Login ID Requirements*.
- 9. Enter a Password based on the Password Requirements*.
- 10. Re-enter Password for verification*.
- 11. Select Security Questions and enter Answers*.
- 12. Click **Continue** to proceed or click **Cancel** to return to the Authorized Representative Information page.

CMIS/ RDS Se	cure Webs	ite			
os usen neme					
Authorized Represe	atative Legin	Information	Print this	TROW	June 2, 2009
Authorized Represe	entative Login	ntormation			YOU ARE HERE
 Password cannot be a An * indicates a required field 	5 characters aracters ith a letter 3 of the following 4 cha r in the Login ID in a reserved word. For dictionary word or name	racter types: more information, go	to: <u>Reserved Word</u>	2. 3. 4. 5.	 Authorized Representative Registration Authorized Representative Information Authorized Representative Login Information Authorized Representative Verification Authorized Representative Confirmation
"Login ID "Password "Re-enter Password Security Questions and A	•				
Security Questions allow you		Signature and reset	your Password.		
Select Security Questions an	d enter Answers.				
An * indicates a required field					
*Security Question 1	🛿 What is your pet's nam	e?	-		
*Answer 1	Uzzie				
*Security Question 2	What is your favorite s	port?	-		
*Answer 2			_		
Click Continue to proceed with Representative Information par Convenue Canad SECURE AREA		el to return to the A	uthorized		
Æ	P	wacy Policy User Age	rement Accessibility	Annund OMD 0	938-0957 Ferm CMS-1
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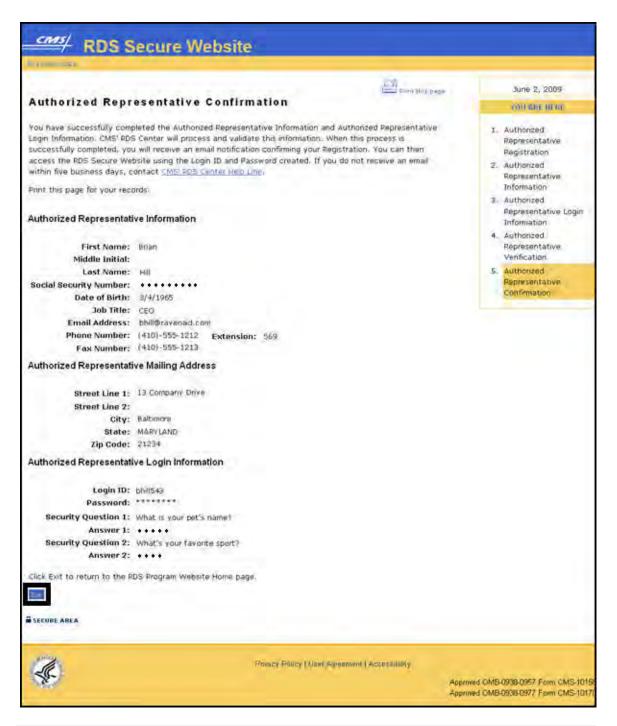
On the Authorized Representative Verification page:

- 13. Review the information.
- 14. Click **Confirm** to accept the information, or click **Edit** to return to the Authorized Representative Information page and make changes, or click **Cancel** to return to the Authorized Representative Login Information page.

			June 2, 2009
Authorized Repr	esentative Verification		FOR ARE NEW
	resentative Information and Authorized Representative Login Information.	3	Authorized Representative
Authorized Representati	veInformation	2	Pegistration Authorized
First Name:	Brian		Representative
Middle Initial:			Authorized
Last Name:	HAI .	3	Pepresentative Login
Social Security Number:	220-69-3511		Information
Date of Birth:	3/4/1965		Authorized
Job Title:	CEO		Pepresentative
Email Address:	bhill@ravenad.com		Verification
Phone Number:	(410)-555-1212 Extension: \$69	.5	Authorized
Fax Number:	(410)-555-1213		Representative
Authorized Representati	ive Mailing Address		Confirmation
Street Line 1;	13 Company Drive		
Street Line 2:			
City:	Baltinore		
State:	MARYLAND		
Zip Code:	21234		
Authorized Representati	ve Login Information		
Login ID:			
Password:			
Security Question 1:	What is your pet's name?		
Answer 1:	The form particular sector of the sector of		
	What's your favorite sport?		
Answer 2:	galf		
Click Confirm to register. Cli the outpoinzed Representat	ck Edit to make changes. Click Cancel to return to ve Login Information page.		
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On the Authorized Representative Confirmation page:

- Print this page for your records.
 Click Exit to go to the RDS Program Website.



Designee Registration

Registration can begin after the user receives the invitation email. Follow the instructions in the invitation email to begin Registration.

From the Invitation Email sent from CMS' RDS Center:

1. Click the link to go to the Designee Registration page.

On the Designee Registration page:

- Enter the Pass Phrase that was created by either the Account Manager or the Authorized Representative and communicated to you outside of the RDS Secure Website (maximum of 30 characters).
- 3. Read the User Agreement. Use the scroll bar to scroll through and view the User Agreement or click the link to view and print the User Agreement in a new window.
- 4. Click the checkbox to accept the User Agreement.
- 5. Click **Continue** to proceed or click **Cancel** to terminate this process and go to the RDS Program Website. (If you click **Cancel**, an Exit Warning will open in a new window.)

	ecure Website	
Water and		
	Eff press Marca	June 2, 2009
Designee Registr		YOU SHE NERE
You have been assigned as	a Designee for the following Application:	1. Designee Registration
Plan Sponsor ID:	999999	2. Designee Information
Plan Sponsor Name:	Ravenaid Incorporated	3. Designee Login Information
Application ID:	9292929	4. Designee Verification
Plan Name:	Gold Plan	5. Designee Confirmation
Invited By:	Ava Anderson	
Email Address:	aanderson@ravenaid.com	
Phone Number:	(410)-555-1212	
To access the RDS Secure V	Vebsite, you must create a Designee Login 1D.	
An * indicates a required fie *Enter the Pass Phrase View and print the User Ager	0 (maanaanaa	
THE FOLLOWING DESCRIBES THE CENTERS FOR MEDICAR ACCESS TO CMS' RDS CENT You must read and accept	and Privacy Policy THE TERMS AND CONDITIONS ON WHICH RE & MEDICAID SERVICES (CMS) OFFERS YOU FER'S SECURE WEB SITE. The terms and conditions contained in this iet out below and incorporated by reference	
	confirm that you have reviewed and agree to the User Agreement. Ith Registration. Click Cancel to exit this process.	
SECURE AREA		
₩.	Provey Princy Main Agreement Accessibility	Approved OMB-0939-0957 Form CMS-101 Approved OMB-0938-0977 Form CMS-101

On the Designee Information page:

- 6. Enter the required information to register as a Designee. An * indicates a required field.
- 7. Click **Continue** to proceed or click **Cancel** to return to the Designee Registration page.

RDS User Guides are identified by the version number and release date located on the cover page and footer. Printed or saved versions may be obsolete. Use the current version, which is always available online. Version 15: Released May 5, 2012

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	June 2, 2009
Designee Information	VON WHE HERE
Enter the required information to register as a Designee,	1. Designee Registration
An * indicates a required field.	2. Designee Information
CALL INTRACIAL A DESCRIPTION OF A	3. Designee Login Information
Designee Information	4. Designee Verification
Designee information	5. Designee Confirmation
*First Name 😈 Jamie	
Middle Initial 🔍	
*Last Name O Michaels	
*Social Security Number 🔮 133 - (89 - (4545	
"Date of Birth Venth January Day T year 1957 •	
*Job Title 💟 Manager	
*Phone Number • (410) 555 - 1212 Extension • 570	
Fax Number 🔮 (410) 555 ~ 1213	
Designee Mailing Address	
*Street Line 1 🔍 13 Company Drive	
Street Line 2 0	
*City 💟 Baltmore	
*State V MARYLAND	
*Zlp Code 🔮 21234 -	
Click Continue to proceed with Registration. Click Cancel to return to the Designee Registration	page.
SECURE AREA	
Finacy Princy Line Agreement Accura	arbitety.
1980 - Contract - Cont	Approved OMB-0938-0957 Form CMS-1015 Approved OMB-0938-0977 Form CMS-10170

On the Designee Login Information page:

An * indicates a required field.

- 8. Enter a Login ID based on the Login ID Requirements*.
- 9. Enter a Password based on the Password Requirements*.
- 10. Re-enter Password for verification*.
- 11. Select Security Questions and enter Answers*.
- 12. Click **Continue** to proceed or click **Cancel** to return to the Designee Information page.

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Direct Phila	June 2, 2009
Designee Login Information	TOO ARE NERE
Login ID and Password	
	Designee Registration Designee Information
Create your Login ID and Password based on these requirements:	3. Designee Login
Login ID must be 8 to 15 characters	Information
Password must be 8 characters	4. Designee Venfication
 Password must begin with a letter 	5. Designee Confirmatio
 Password must include 3 of the following 4 character types: 	
o Lowercase letter	
a Uppercase letter	
o Number	
o Special character	
 Password cannot contain the Login 1D 	
 Password cannot contain a reserved word. For more information, go to: <u>Penetyed Words Lin</u> 	
 Password cannot be a dictionary word or name 	
An * indicates a required field.	
*Login ID 🔮 imichaels423	
*Password 0	
*Re-enter Password 0	
Security Questions and Answers	
Security Questions allow you to provide an Electronic Signature and reset your Password.	
Select Security Questions and enter Answers.	
An * indicates a required field.	
and the second se	
Provide Contraction of the last of the second	
*Security Question 1 0 What is the name of your favorite beverage?	
*Answer 1 🔮 Tea	
*Answer 1 🔮 Tea	
*Answer 1 0 Tea *Security Question 2 0 What is the name of a childhood triend?	
*Answer 1 🔮 Tea *Security Question 2 🧐 What is the name of a childhood triend?	
*Answer 1 0 Tea *Security Question 2 0 What is the name of a childhood thind?	
*Answer 1 Tea *Security Question 2 O What is the name of a childhood thind?	
*Answer 1 Tee *Security Question 2 • What is the name of a childhood thind? *Answer 2 • Molly Click Continue to proceed with Registration. Click Cancel to return to the Designee Information page.	
*Answer 1 0 Tea *Security Question 2 0 What is the name of a childhood triend?	

On the Designee Verification page:

- 13. Review the information.
- 14. Click **Confirm** to accept the information, or click **Edit** to return to the Designee Information page and make changes, or click **Cancel** to return to the Designee Login Information page.

http://www.comp	ecure Website	
		June 2, 2009
Designee Verific	ation	YOU WHE NEWE
Review your Designee Infom	nation and Designee Login Information.	1. Designee Registration 2. Designee Information
Designee Information		3. Designee Login Information
First Name:	Jamin	4. Designes Ventication
Middle Initial:		S. Designee Confirmation
Last Name:	Michaels.	
Social Security Number:	133-89-4545	
Date of Birth:	1/1/1957	
Job Title:	Manager	
Email Address:	michaels@ravenad.com	
Phone Number:	(410)-555-1212 Extension: 570	
Fax Number:	(410)-555-1213	
Designee Mailing Addres	is and the second s	
Street Line 1:	13 Company Drive	
Street Line 2:		
City:	Baltimore	
State:	MARYLAND	
Zip Code:	21234	
Designee Login Informat	ion	
	(michaels423	
Password:	*******	
Security Question 1:	What is your favoree beverage?	
Answer 1:		
Security Question 2: Answer 2:	What is the name of a childhood friend? Molly	
lick Confirm to register. Click	Edit to make changes. Click Cancel to return to the Designee Login Information	on page.
And a second second		
and balant		
SECURE AREA		
and the second s		
Se	Privacy Policy [Unar Parenwind] Rocessibility	

On the Designee Confirmation page:

- 15. Print this page for your records.
- 16. Click Exit to go to the RDS Program Website.

	ecure Website	
/ 1000	ecule measure	
NO & PERSON ADDRESS		
	Event this page	June 2, 2009
Designee Confir	mation	FOUL WERE NEWE
will process and validate thi email notification confirming	bleted the Designee Information and Designee Login Information. CMS' RDS Cente s information. When this process is successfully completed, you will receive an your Registration. You can then access the RDS Secure Website using the Login Fyou do not receive an email within five business days, contact <u>CMS_TDS</u> center	2. Designee Information
Print this page for your reco	ands.	5. Designee Confirmation
Designee Information		
First Name:	15000	
Middle Initial:	20mb	
Last Name:	Michaels	
Social Security Number:		
Date of Birth:		
Job Title:		
Email Address:		
Phone Number:	And the second	
	(410)-555-1213	
Designee Mailing Addres		
Street Line 1:	13 Company Drive	
Street Line 2:		
City:	Baltimore	
State:	MARYLAND	
Zip Code:	21234	
Designee Login Informat	tion	
·		
	(michaels423	
Password:		
Security Question 1:	What is your favorite beverage?	
Answer 1:	****	
Security Question 2:	What is the name of a childhood friend?	
Answer 2:	*****	
Click Exit to return to the R	DS Program Website Home page.	
64		
SECURE AREA		
Ja .	Privacy Policy (User Agreement (Accessibility	
25		Approved DMB-0938-0957 Form CMS-1015 Approved DMB-0938-0977 Form CMS-1017

Actuary Registration

Registration can begin after the user receives the invitation email. Follow the instructions in the invitation email to begin Registration.

From the Invitation Email sent from CMS' RDS Center:

1. Click the link to go to the Actuary Registration page.

On the Actuary Registration page:

- 2. Enter your American Academy of Actuaries Membership Number.
- 3. Read the User Agreement. Use the scroll bar to scroll through and view the User Agreement or click the link to view and print the User Agreement in a new window.
- 4. Click the checkbox to accept the User Agreement.
- 5. Click **Continue** to proceed or click **Cancel** to terminate this process and go to the RDS Program Website. (If you click **Cancel**, an Exit Warning will open in a new window.)

RDS Secure Website		
KDA SECULE WEDSITE		
	Dues Mil page	June 2, 2009
Actuary Registration		YOU ARE HERE
You have been assigned as an Actuary for the following Application ID: 999999 Plan Sponsor Nome: Ravenaid Incorporated Application ID: 9292929 Plan Nome: Gold Plan To access the RDS Secure Website, you must create an Actual Actuaries Membership Number to begin the process. An * indicates a required field. *Amencan Academy of p59875221 Actuaries Membership		 Actuary Registration Actuary Information Actuary Login Information Actuary Ventication Actuary Ventication Actuary Confirmation
Number View and print the User Agreement User Agreement and Privacy Policy	1	
THE FOLLOWING DESCRIBES THE TERMS AND CONDITIONS ON THE CENTERS FOR MEDICARE & MEDICAID SERVICES (CMS) OF ACCESS TO CMS' RDS CENTER'S SECURE WEB SITE. You must read and accept the terms and conditions contained User Agreement expressly set out below and incorporated by r	FFERS YOU d in this	
Click the checkbox to confirm that you have reviewed and Click Continue to proceed with Registration. Click Cancel to exit		
Pina		rowd OMB-0936-0957 Form CMS-1015 rowd OMB-0936-0977 Form CMS-1017

On the Actuary Information page:

- 6. Enter the required information to register as an Actuary. An * indicates a required field.
- 7. Click **Continue** to proceed or click **Cancel** to return to the Actuary Registration page.

RDS User Guides are identified by the version number and release date located on the cover page and footer. Printed or saved versions may be obsolete. Use the current version, which is always available online. Version 15: Released May 5, 2012

RDS Secure Web	site	
Realised and		
		June 2, 2009
Actuary Information		POIL MHE HERE
Enter the required information to register as an Ac	tuary.	1. Actuary Registration
An * indicates a required field.		2. Actuary Information
		3. Actuary Login
Actuary Information		Information 4. Actuary Verification
Actuary monitation		5. Actuary Confirmation
*First Name 🤨 Kate	-	
Middle Initial		
*Last Name 🧕 Smith		
"Social Security Number 🤨 212 - 33 -	4444	
*Date of Birth 9 Month April	• Day 5 • Year 1971 •	
Company G RDSAd	-	
Job Title G Actuary		
*Phone Number 🤨 (410) (555	- 1111 Extension	
Fax Number 🤨 (410.) (555	- 1112	
Actuary Mailing Address		
*Street Line 1 0 14 Company Drive	1	
Street Line 2 0		
*City 😉 Baltmore		
*State G MARVLAND	X	
*Zip Code 0 21234 -	3	
Click Continue to proceed with Registration. Click o	Cancel to return to the Actuary Pegistration page.	
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a	Privacy Policy (User Agreement Accessibility	
120-		Approved OMB-0938-0957 Form CMS-1015 Approved OMB-0938-0977 Form CMS-1017

On the Actuary Login Information page:

An * indicates a required field.

- 8. Enter a Login ID based on the Login ID Requirements*.
- 9. Enter a Password based on the Password Requirements*.
- 10. Re-enter Password for verification*.
- 11. Select Security Questions and enter Answers*.
- 12. Click Continue to proceed or click Cancel to return to the Actuary Information page.

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	Dered The page	June 2, 2009
ctuary Login Information	0.000000	700 ARE RERE
Login ID and Password		A THE REAL PROPERTY.
		1. Actuary Registration
Create your Login ID and Password based on these requirements:		 Actuary Information Actuary Login
Login ID must be 8 to 15 characters		information
Password must be 8 characters		4. Actuary Verification
 Password must begin with a letter 		5. Actuary Confirmatio
· Password must include 3 of the following 4 character types:		
> Lowercase letter		
 Uppercase letter 		
o Number		
o Special character		
 Password cannot contain the Login ID 		
 Password cannot contain a reserved word. For more information, go to: 	Pasarived Worldg List	
 Password cannot be a dictionary word or name 		
An * indicates a required field.		
*Login ID 🤨 Katiesmith5		
*Password 0		
*Re-enter Password		
Security Questions and Answers		
Security Questions allow you to provide an Electronic Signature and reset your	Patsword.	
Select Security Questions and enter Answers		
An * indicates a required field.		
*Security Question 1 9 What it your favorite sport?		
*Answer 1 0 Surfog		
*Security Question 2 9 What is your favorite beverage?		
*Answer 2 0 Juice		
ick Continue to proceed with Registration. Click Cancel to return to the Actuar	y Information page.	
and their		
States & Research		
TEURE AREA		

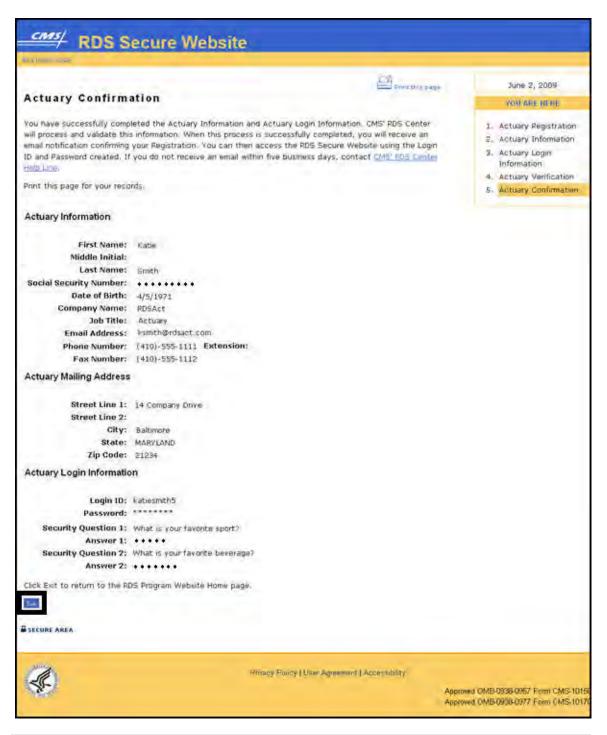
On the Actuary Verification page:

- 13. Review the information.
- 14. Click **Confirm** to accept the information, or click **Edit** to return to the Actuary Information page and make changes, or click **Cancel** to return to the Actuary Login Information page.

24		Service and and
Actuary Verifica	tion	June 2, 2009
Actuary vernica	tion	YOU ARE HERE
Review your Actuary Inform	ation and Actuary Login Information.	1. Actuary Registration
		2. Actuary Information
Actuary Information		3. Actuary Login
		Information
First Name:	Katie	4. Actuary Verification
Middle Initial:		5. Actuary Confirmation
Last Name:		
Social Security Number:		
Date of Birth:	4/5/1971	
Company Name:		
Job Title:	(이 같은 수 있는 것이 같은 것이 없다. 것이 같은 것이 같은 것이 없는 것이 같은 것이 없다. 것이 없는 것이 없는 것이 없는 것이 없는 것이 없는 것이 없다. 것이 없는 것이 없다. 것이 없는 것 않이	
	ksmith@rdsact.com	
	(410)-555-1111 (410)-555-1112	
Actuary Mailing Address		
Street Line 1:	14 Company Drive	
Street Line 2:		
	Baltimore	
	MARYLAND	
Zip Code:	21234	
Actuary Login Informatio	n	
Login ID:	katiesmith5	
Password:	*******	
Security Question 1:	What is your favorite sport?	
Answer 1:		
Security Question 2:	What is your favorite beverage?	
Answer 2:	juice	
Click Confirm to register. Cl the Actuary Login Informati	ck Edit to make changes. Click Cancel to return to on page.	
Cortern da Cancel		
and monormy-life Meridian (2		
Ch.	Privacy Policy User Agreement Accessibility	
L.	and the state of t	
menter and a second sec		Approved OMB-0938-0957 Form CMS-10

On the Actuary Confirmation page:

- 15. Print this page for your records.
- 16. Click Exit to go to the RDS Program Website.



View User Agreement

The User Agreement is an agreement put forth by the Centers for Medicare & Medicaid Services' (CMS') Retiree Drug Subsidy (RDS) Center that outlines the terms and conditions of accessing the RDS Secure Website. The agreement covers purpose, privacy policy, systems of records, links, pop-up advertisements, outdated information, accessibility, and the Freedom of Information Act (FOIA) along with all subsets of these topics.

To view the User Agreement language, go to: Appendix C: User Agreement.

View The User Agreement After Registration

The User Agreement appears during RDS Secure Website user Registration. To view after registering, click the link at the bottom of any RDS Secure Website page.

r List tion Summ ID to view a Plan s in the Account S nization Author Repres	n Sponsor's A Settings box prized		Applications	your account.	e e e estado esta	LOGIN INFORMATION Ava Anderson Account Manager June 2, 2009 ACCOUNT SETTINGS Create a New Flan Spons ACCOUNT Beassign Roles
in the Account S nization Author Repres	Settings box orized	to perform ac	Applications		e e e estado esta	Create a New Flan Spons Account
nization Author Repres	orized	Applications	Applications		e e e estado esta	Account
Repres		and the second		Applications	Applications	Reassign Roles
aid fring h		menubiece	Pending	Approved	Denied	Manage User Informatio
porated	HII	1	2	4	1	Start a New Application Change Password
		Priva	cy Policy User A	Agreement Acce	ssibildy	
			Priva	Privacy Policy User A	Privacy Policy User Agreement Acce	Privacy Policy User Agreement Accessibility

6 Applying For The RDS Program

Submitting The Valid Initial Online Application And The Valid Initial Retiree List By The Application Deadline

To participate in the Retiree Drug Subsidy (RDS) Program, the Plan Sponsor must submit a timely RDS Application prior to the expiration of the Application Deadline.

There are 9 steps in the Application Submission Process. Step 1 through Step 9 may be accessed from the Application Status page.

Use the Application Status page to complete the Application Submission Process, monitor the status of the Application, maintain the Application, and keep track of deadlines.

The Application Submission Process includes two components:

Valid Initial Online Application

The Valid Initial Online Application consists of 8 steps. In the first 7 steps of the Application Submission Process, a Plan Sponsor defines the details regarding their Application. Step 8 allows the Authorized Representative to sign the Plan Sponsor Agreement and submit the Valid Initial Online Application to CMS' RDS Center.

Valid Initial Retiree List

Step 9, submission of the Valid Initial Retiree List, is the first transfer of retiree information from the Plan Sponsor to CMS' RDS Center. The Valid Initial Retiree List is a collection of data about the beneficiaries for whom the Plan Sponsor is seeking subsidy.

A Valid Initial Retiree List can be received by CMS' RDS Center after the Application has been started, an Application Number is assigned, Benefit Options have been established, and Retiree Electronic Data Interchange (EDI) Methods and Sources have been defined.

Meet The Application Deadline

For more information about the Application Deadline, including what is required to be submitted by the Application Deadline, go to: Important Application Deadline Information.

Plan Sponsors can view the Application Deadline on the Application Status page of the RDS Secure Website.

User Role/Responsibility For Submitting An Application And Valid Initial Retiree List

The Authorized Representative is required to submit the Application. The Authorized Representative is the only user role that has the authority to sign the Plan Sponsor Agreement in the RDS Secure Website.

For step by step instructions on how to submit an Application to CMS' RDS Center using the RDS Secure Website, go to: <u>Submit An Application</u>. These instructions are only applicable to the Authorized Representative.

The Account Manager, Authorized Representative, and Designee(s) with the View/Send/Receive Retiree Data privilege can submit a Valid Initial Retiree List using the RDS Secure Website. For more information on submitting retiree information using the Mainframe, Voluntary Data Sharing Agreement, and Mandatory Insurer Reporting methods, go to: <u>Plan Sponsor Mainframe to RDS</u> <u>Center Mainframe</u> or <u>Voluntary Data Sharing Agreement or Mandatory Insurer Reporting through CMS' Coordination of Benefits (COB) Contractor</u>.

Retiree files must include current data for each retiree, including the Application ID and Unique Benefit Option Identifier (UBOI). For more information on the Retiree List Submission Process, go to: <u>Managing Retiree Information</u>.

Emails About The Application Deadline

If the Plan Sponsor has not submitted a Valid Initial Online Application or a Valid Initial Retiree List and the deadline to submit that RDS Application has passed, CMS' RDS Center sends an email to notify the Plan Sponsor.

For more information about the Application Deadline, including what is required to be submitted by the Application Deadline, go to: <u>Important Application Deadline Information</u>.

User Role/Responsibility For Requesting An Application Deadline Extension

The Account Manager, Authorized Representative, and Designee(s) with the Request Extension privilege can request a 30-day Application Deadline Extension. Application Deadline Extensions of 30 days may be requested before the Application Deadline using the RDS Secure Website. For more information about the Application Deadline, including what is required to be submitted by the Application Deadline, go to: Important Application Deadline Information.

For more information on requesting an Application Deadline Extension, go to: <u>Request An</u> <u>Application Deadline Extension</u>.

Before You Begin An Application

The Application Submission Process cannot be started until the Account Manager completes the Plan Sponsor account registration and the Employer Identification Number (EIN) is validated. Additionally, the Account Manager and the Authorized Representative user roles must be assigned and the Account Manager must complete registration in the RDS Secure Website after the Plan Sponsor ID has been created, before a new Application can be started.

Note: The Account Manager or Authorized Representative may also assign Designees to complete tasks within the Application Submission Process.

The RDS Program Application Submission Process requires preparation time to gather and verify information, and additional time to enter information into the RDS Secure Website. Take the time to prepare for this process.

For more information about the Application Deadline, including what is required to be submitted by the Application Deadline, go to: <u>Important Application Deadline Information</u>.

Application And Benefit Options Defined

A Plan Sponsor must determine how many Applications and how many Benefit Options should be established in the RDS Secure Website.

Application

A Plan Sponsor must submit one Application per RDS Plan Year for each group health plan for which it seeks subsidy. Among other information, the Plan Sponsor must specify a Plan Year Start Date, Plan Year End Date, and a Plan Name, within an Application. The duration of a plan year cannot exceed 12 months.

Benefit Option

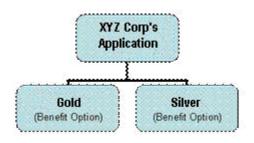
A Benefit Option is a particular benefit design, category of benefits, or cost-sharing arrangement offered within a group health plan.

A Plan Sponsor can set up Applications and Benefit Options in many ways. An Application may have a single Benefit Option or multiple Benefit Options; however, if a group health plan has only one Benefit Option, the Application must not include more than one Benefit Option.

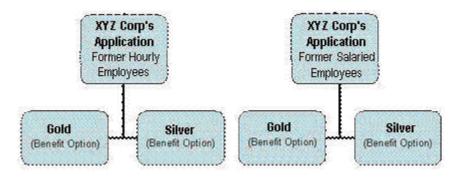
Example: One Application With One Benefit Option



Example: One Application With Multiple Benefit Options



Example: Multiple Applications With Multiple Benefit Options



User Roles For The Application Submission Process

This section describes the user roles required to complete and submit an Application.

RDS Secure Website users may only function in one user role in the RDS Secure Website, so an individual must be assigned the same user role for each Plan Sponsor they are associated.

The RDS Secure Website allows an individual to act in only one role at a time.

To enforce a separation of duties, a user may report cost data OR request payments on the same Application. A user cannot assume both duties in the same Application.

Account Manager

- Initiates the Application Submission Process
- Manages the completion of tasks within the Application Submission Process
- Designates a qualified Actuary or Actuaries on each Application (The Authorized Representative or Designee with Assign Actuary privilege may also designate a qualified Actuary or Actuaries on each Application)

Authorized Representative

- May begin a new Application after the Plan Sponsor ID has been created
- Is the ONLY individual who can sign the Plan Sponsor Agreement and submit the completed Application to CMS' RDS Center
- Designates a qualified Actuary or Actuaries on each Application (The Account Manager or Designee with Assign Actuary privilege may also designate a qualified Actuary or Actuaries on each Application)

Actuary

- A qualified Actuary completes the Electronic Signature for the attestation of the Actuarial Equivalence of the Benefit Option specified in the Application by a Plan Sponsor
 - A qualifying Benefit Option is one for which the actuarial value of the retiree prescription drug coverage under the plan is at least equal to the actuarial value of the defined standard prescription drug coverage under Medicare Part D
- A qualified Actuary chooses whether multiple Benefit Options will be combined to pass the Actuarial Equivalence Net Test
 - A qualified Actuary attests to the gross value of each Benefit Option and to the net value of the combined Benefit Options when combining Benefit Options
 - A qualified Actuary attests to both the gross and net values of each Benefit Option when NOT combining Benefit Options
- An RDS Secure Website user registered as an Actuary may not serve as the Account Manager, Authorized Representative, or Designee for any Application

Note: The Actuary's First Name, Last Name, and Membership Number must match the Actuary's American Academy of Actuaries Membership list.

The Actuary may test equivalence using one of two possible options:

Attest Single Benefit Options

- The Gross Value Test confirms that the total value of benefits provided to the beneficiary under the employer plan is at least as generous as what they could receive under Medicare Part D
- The Net Value Test takes into account the extent of the employer financing of the drug coverage so that the net value of the employer plan to the beneficiary is at least equal to the net value of what they would receive under Medicare Part D

Attest Combined Benefit Options

- A Gross Value Test for each separate option
- A Net Value Test for the combined options

Note: If an Application lists more than one Benefit Option, a qualified Actuary must designate whether two or more Benefit Options are being combined for the purpose of determining that the

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plan meets the Actuarial Equivalence Net Test. Additionally, if more than one Actuary is assigned to Benefit Options on an Application and Benefit Options are being combined to satisfy the Net Value Test, each Actuary assigned to that Application must answer whether they are combining Benefit Options to satisfy the Net Value Test.

Designee

The Designee role is optional. A Designee is assigned privileges by the Account Manager and Authorized Representative to assist in RDS Program activities:

- Assign Actuary
- Choose Retiree List Submission Method
- Complete Electronic Funds Transfer Information
- Define Benefit Option (UBOI)
- Define Payment Frequency
- Delete Application
- Report Costs
- Request Extension
- Request Payment
- Submit Appeal
- View Attestation Summary
- View/Send/Receive Retiree Data
- Withdraw Application

Vendor

- A Vendor may be responsible for submitting a Valid Initial Retiree List
- Vendors that are submitting Mainframe files must contact <u>CMS' RDS Center Help Line</u> to obtain a Vendor ID for registration purposes

Coordination of Benefits (COB) Contractor: Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR)

- A COB contractor may be responsible for submitting a Valid Initial Retiree List through VDSA or MIR
- A VDSA Plan Number or MIR Reporter ID is necessary to establish the method and source for retiree list Electronic Data Interchange (EDI)
- Contact the CMS Coordination of Benefits (COB) Contractor at <u>cobva@ghimedicare.com</u>. The usual timeframe for completing the agreement and testing with the CMS COB contractor is 60 to 90 days for new agreements

Application Submission Process User Role Table

The following table describes each step of the Application Submission Process and the user roles and privileges required to complete each step.

Step	Authorized Representative	Account Manager	Designee	Actuary	
------	------------------------------	--------------------	----------	---------	--

Step	Authorized Representative	Account Manager	Designee	Actuary
Creating an Application				
(Defines Plan Year Start and End Date and Plan Name)	~	•	No Access	No Access
Step 1: Application Number Assigned	System Generated	System Generated	System Generated	System Generated
Step 2: Benefit Option	J	~	~	No Access
			lf Assigned Privilege	
Step 3: Assign Actuary	J	~	v	No Access
			lf Assigned Privilege	
Step 4: Attestation Summary	View Only	View Only	View Only, If Assigned Privilege	v
Step 5: Electronic Funds Transfer (EFT) Information	•	•	lf Assigned Privilege	No Access
Step 6: Payment Frequency	•	~	•	No Access
			lf Assigned Privilege	
Step 7: Retiree Electronic Data Interchange (EDI) Methods and	v	~	、	No Access
Sources			lf Assigned Privilege	
Step 8: Plan Sponsor Agreement	v	View Only	View Only	No Access
Step 9: Valid Initial Retiree List	•	•	View Step Completion Only unless Assigned Privilege	No Access

Step	Authorized Representative	Account Manager	Designee	Actuary
Application Maintenance: Manage Retirees	•	、	lf Assigned Privilege	No Access
Application Maintenance: Assign Designee(s) - Optional	•	~	No Access	No Access

Information Required To Complete An Application

Plan Information

- Plan Sponsor ID cannot be changed
- Plan Year Start Date and Plan Year End Date cannot be changed
 - A plan year is whatever period of time a Plan Sponsor designates in the Valid Initial Online Application
 - The duration of a plan year cannot exceed 12 months
 - The retirees must be submitted with coverage dates within the plan year to receive the subsidy
- Plan Name cannot be changed

Note: After the Application is submitted, certain information may be changed using the RDS Secure Website.

Benefit Option Information

- Benefit Option Name
- Unique Benefit Option Identifier (For example: Rx Group Number)
- Benefit Option Type (Self-Funded or Fully-Insured)

Note: After the Application is submitted, Benefit Option Type may be changed. If the Benefit Option Type change involves any change to benefits, cost-sharing, or retiree premium contributions, the Actuary must re-evaluate whether the plan satisfies the Actuarial Equivalence Tests. The Actuary must be contacted to determine whether the Benefit Option and plan satisfies the Actuarial Equivalence Tests for the applicable 12-month annualized period, taking into account any such changes.

Actuary Information

- First Name (exactly as it is on file with the American Academy of Actuaries)
- Last Name (exactly as it is on file with the American Academy of Actuaries)
- Actuary's American Academy of Actuaries Membership Number
- Email Address
- Specific Benefit Options Assignments (only necessary if assigning more than one Actuary to the Application)

Note: After the Application is submitted, the Actuary's First Name, Last Name, and Email Address may be changed using the RDS Secure Website.

The Actuary must determine if two or more Benefit Options are being combined for the purpose of demonstrating that the plan meets the Actuarial Equivalence Net Test and answer either "Combining" or "Not Combining" to this question prior to completing attestation for the Application.

Electronic Funds Transfer (EFT) Information

- Bank Name
- Account Type (Checking or Savings)
- Organization Name associated with Account
- Account Number
- Bank Routing Number
- Bank Address
- Bank Contact
 - Name
 - Phone Number
 - Email Address

Designee Information (Optional)

- Designee Name
- Designee Email Address
- Desired Designee privileges
- Pass Phrase (Simple phrase for the Designee to use as identification during User Registration on the RDS Secure Website)

Note: After the Application is submitted, Designee Information may be changed using the RDS Secure Website except for the Pass Phrase.

Payment Frequency

The selected Payment Frequency cannot be changed after the Application is submitted.

Select one:

Interim Monthly: The Interim Monthly Payment Frequency allows Plan Sponsors to make a maximum of twelve Interim Payment Requests for a Plan Year. Although twelve Interim Payment Requests are allowed, a Plan Sponsor may choose to submit fewer than twelve. The first Payment Request can be submitted after one month from the start of the Plan Year once Interim Costs are reported. Subsequent Payment Requests can be made if either 15 days have passed since the last Payment approval (if the Payment amount was greater than zero) or 30 days have passed since the last Payment Request; whichever is later. Plan Sponsors may not submit an Interim Monthly Payment Request once Payment Request by the Reconciliation Deadline. Although up to twelve Interim Payment Requests are allowed, a Plan Sponsor may choose to not submit any Interim Payment Requests and only submit a Final Payment Request (similar to the Annual Payment Frequency option below) using the RDS Secure Website Payment Reconciliation feature.

Interim Quarterly: The Interim Quarterly Payment Frequency allows Plan Sponsors to make a maximum of four Interim Payment Requests for a Plan Year. Although four Interim Payment Requests are allowed, a Plan Sponsor may choose to submit fewer than four. The first Payment Request can be submitted after one quarter since the start of the Plan Year once Interim Costs are reported. Subsequent Payment Requests can be made

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if either 15 days have passed since the last Payment Approval (if the Payment amount was greater than zero) or 30 days have passed since the last Payment Request; whichever is later. Plan Sponsors may not submit an Interim Quarterly Payment Request once Payment Reconciliation has been initiated. Plan Sponsors are required to submit a Reconciliation Payment Request by the Reconciliation Deadline. Although up to four Interim Payment Requests are allowed, a Plan Sponsor may choose to not submit any Interim Payment Requests and only submit a Final Payment Requests (similar to the Annual Payment Frequency option below) using the RDS Secure Website Payment Reconciliation feature.

Interim Annual: The Interim Annual Payment Frequency allows Plan Sponsors to make a maximum of one Interim Payment Request for a Plan Year. The Interim Annual Payment Request cannot be made until one day after the Plan Year End Date. Plan Sponsors may not submit an Interim Annual Payment Request once Payment Reconciliation has been initiated. Plan Sponsors are required to submit a Reconciliation Payment request by Reconciliation Deadline. Although one Interim Payment Request is allowed, a Plan Sponsor may choose not to submit any Interim Payment Requests and only submit a Final Payment Request (similar to the Annual Payment Frequency option below) using the RDS Secure Website Payment Reconciliation feature.

Annual: The Annual Payment Frequency allows Plan Sponsors to make one Payment Request using the RDS Secure Website Payment Reconciliation feature. The Reconciliation, and thereby the single Annual Payment Request, cannot be made until one day after the Plan Year End Date. To be accepted, the Payment Request must be submitted by the Reconciliation Deadline.

Retiree Electronic Data Interchange (EDI) Methods And Sources

The Retiree EDI Methods and Sources should be selected based on who submits retiree files in the organization and how the retiree files are sent and received.

The following Retiree List Submission Method and Retiree List Response Methods are available for selection:

- RDS Secure Website to RDS Center
- Vendor Mainframe to RDS Center Mainframe
- Vendor Mainframe to RDS Center Mainframe with a copy of all Retiree Response Files sent to the RDS Secure Website
- Coordination of Benefits (COB): Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR)
- Coordination of Benefits (COB): Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR) with a copy of all Retiree Response Files sent to the RDS Secure Website
- Plan Sponsor Mainframe to RDS Center Mainframe

Plan Sponsor Mainframe to RDS Center Mainframe with a copy of all Retiree Response Files sent to the RDS Secure Website

Retiree EDI Methods and Sources	Possible Notification Methods
RDS Secure Website	RDS Secure Website
Vendor Mainframe	RDS Center Mainframe to Vendor Mainframe
	RDS Center Mainframe to Vendor Mainframe with a copy sent to the RDS Secure Website RDS Secure Website Only
Coordination of Benefits (COB): Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR)	Coordination of Benefits (COB): Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR)
	Coordination of Benefits (COB): Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR) with a copy sent to the RDS Secure Website
	RDS Secure Website Only
Plan Sponsor Mainframe	RDS Center Mainframe to Plan Sponsor
	RDS Center Mainframe to Plan Sponsor Mainframe with a copy sent to the RDS Secure Website
	RDS Secure Website Only

Start A New Application

To access the RDS Secure Website, and navigate to the Application List page, go to: <u>Appendix</u> <u>A: Access the RDS Secure Website</u>.

On the Plan Sponsor List With Application Summary page:

1. Select Start a New Application in the Account Settings box.

Note: Start a New Application is also available on the Application List page. The process is the same regardless of which page is accessed.

On the Start a New Application page:

An * indicates a required field.

- 2. *Select the Plan Sponsor ID.
- 3. *Enter the Plan Name.
- 4. *Select the Plan Start date.
- 5. *Select the Plan End date.

6. Select **Continue** to proceed or select **Cancel** to exit the process and return to either the Plan Sponsor List with Application Summary page or the Application List page depending on which page was used to access the Start a New Application process.

RDS Secure Website	
Start a New Application Select the Plan Start and Plan End dates to define the length of the Plan Start and Plan Plan End dates to define the length of the Plan Start and Plan Plan End dates to define the length of the Plan Start and Plan Sponsor designates, but cannot exceed 12 months. An * indicates a required field. **Plan Information **Plan Sponsor 10 100217:Ravenaid Incorporated * **Plan Sponsor 10 100217:Ravenaid Incorporated * **Plan Start: Month January * Day 1 Year 2011 **Plan End: Wonth December * Day 31 Year 2011 Ctck Continue to start a new Application. Click Cancel to exit this process. **procest exert	LOGIN NUMBER AND A CONTRACT
Privacy Policy (User Agreement Accessibility	Approved OMB-0938-0967 Form OMS-1015 Approved OMB-0938-0977 Form CMS-1017

Request An Application Deadline Extension

Introduction To Request An Application Deadline Extension

An Application Deadline Extension may be requested if necessary. For more information about the Application Deadline, including what is required to be submitted by the Application Deadline, go to: <u>Important Application Deadline Information</u>.

The RDS Secure Website action to Request an Application Deadline Extension is available before the Application Deadline has passed.

The Application Deadline Extension may only be requested once by the Account Manager, Authorized Representative, and Designee(s) with Request Extension privilege.

If an Application Deadline Extension is granted, the new Application Deadline is displayed on the Application Status page.

User Role For Requesting An Application Deadline Extension

The Account Manager, Authorized Representative, or Designee(s) with the Request Extension privilege can request a 30-day Application Deadline Extension. Application Deadline Extensions of 30 days may be requested before the Application Deadline using the RDS Secure Website. For more information about the Application Deadline, including what is required to be submitted by the Application Deadline, go to: Important Application Deadline Information.

Request An Application Deadline Extension

To access the RDS Secure Website, and navigate to the Application List page, go to: <u>Appendix</u> <u>A: Access The RDS Secure Website</u>.

On the Application List page:

1. Select **Request Extension** from the Actions dropdown menu for the chosen Application ID then select the **Go** button.

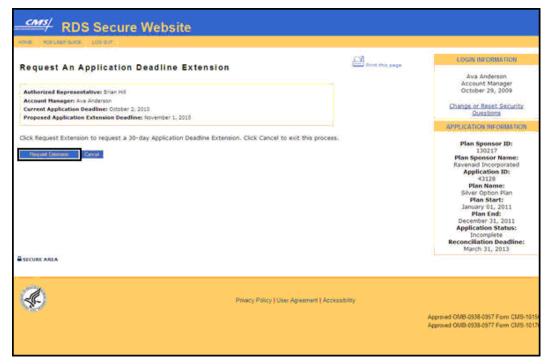
Or

On the Application Status page:

1. Select the Application Deadline Extension link.

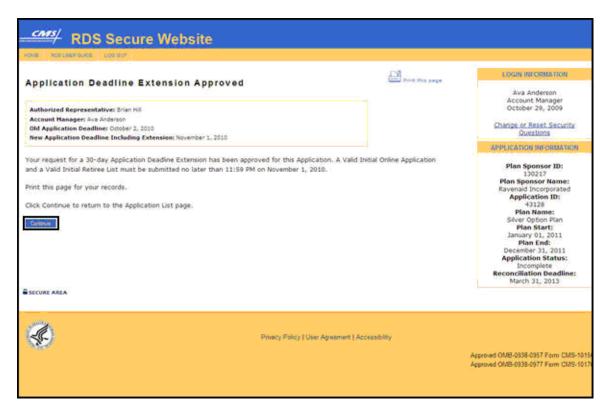
On the Request An Application Deadline Extension page:

2. Select **Request Extension** to request a 30-day Application Deadline extension or select **Cancel** to exit the process and return to the Application List page.



On the Application Deadline Extension Approved page:

3. Select **Continue** to return to the Application List page.



What's Next?

The Account Manager, Authorized Representative, and Designee with Request Extension privilege receive a confirmation email indicating an Application Deadline Extension has been granted, phone numbers for assistance, and a link to the RDS Program Website where the user can login to the RDS Secure Website.

If an Application Deadline Extension is granted, the new Application Deadline is displayed on the Application Status page.

Complete An Application

To access the RDS Secure Website, and navigate to the Application List page, go to: <u>Appendix</u> <u>A: Access The RDS Secure Website</u>.

On the Application List page:

1. Locate an **Application ID** or **Plan Name** and select **View Application** from the Actions dropdown menu then select the **Go** button.

Applicati	ion List				Port .	HA CASE	100	LOGIN INFORMATION
							1	Ellen R. Adams Authorized Representative
	n 1st Company of Am tepresentative: Dav							March 1, 2009
		fication Status: Approved fication Status Effective Date:	January 5, 2005					pe or Reset Security Duestio
	ager: Kyle Thompson							PPLICATION INFORMATION
lick any of t	he links in the Acco	ount Settings box to perform .	actions related to your account.					Ist Company of America Application ID: 41737 Plan Name: Gold Option Plan Plan Start: January 1, 2009 Plan End:
		Application		Payment	Total Paid	Number of		December 21, 2009 Application Status: Incomplete leconciliation Dendline: March 31, 2007
Application Application TD	Plan Name	Application Status	Plan Start and End Dates	Setup Status	Paid To Date	of Payment Requests		Application Status: Incomplete Reconciliation Dendline: March 31, 2007
Application ID		Status	Plan Start and End Dates January 01, 2009 - December 33, 2009	Setup	Paid	of Payment		Application Status: Incomplete Reconciliation Deadline:
Application ID	Plan Name	Status	January 01, 2009 - December	Setup Status	Paid To Date	of Payment Requests	Actions	Application Status: Incomplete Reconciliation Dendline: March 33, 2007
Application ID 41727	Plan Name Gold Option Plan Retriee Health	Status Reconciliation Initiated	January 01, 2009 - December 31, 2009 January 01, 2006 - December	Setup Status Completed	Paid To Date \$34,000,000.00	of Payment Requests 0	Actions Select One	Application Status: Incomplete leconciliation Deadline: March 31, 2007
Application 10 41727 41728 41728	Plan Name Gold Option Plan Retiree Health Plan B Retiree Health	Status Reconciliation Initiated Approved	January 01, 2009 - December 31, 2009 January 01, 2006 - December 31, 2006 January 01, 2006 - December	Setup Status Completed Completed	Paid To Date \$34,000,000.00 \$0.00	of Payment Requests 0	Actions Select One Select One	Application Status: Incomplete teconciliation Deadline: March 31, 2007
Application to 41727 4755 4754 4755	Plan Name Gold Option Plan Retrice Health Plan B Retrice Health Plan C Retrice Health	Status Reconciliation Initiated Approved Approved	January 01, 2009 - December 31, 2009 January 01, 2006 - December 31, 2006 January 01, 2006 - December 31, 2005 January 01, 2007 - December	Setup Status Completed Completed Payment Setup	Paid To Date \$34,000,000.00 \$0.00 \$0.00	of Payment Requests 0 0 0	Actions Select One Select One	Application Status: Incomplete teconciliation Deadline: March 31, 2007
	Plan Name Gold Option Plan Retiree Health Plan B Retiree Health Plan D Retiree Health Plan D Retiree Health	Status Reconciliation Initiated Approved Incomplete Reconciliation Step Status	January 01, 2009 - December 31, 2009 January 01, 2006 - December 31, 2006 January 01, 2006 - December 31, 2006 January 01, 2007 - December 31, 2007 January 01, 2007 - December	Setup Status Completed Completed Payment Setue Not Applicable	Paid To Date \$34,000,000,00 \$0,00 \$0,00 \$0,00	of Payment Requests 0 0 0 0	Actions Select One Select One Select One	Application Status: Incomplete teconciliation Deadline: March 31, 2007

On the Application Status page, the following important dates displays:

- **Application Deadline**: For information about the Application Deadline, go to: <u>Important</u> <u>Application Deadline Information</u>.
- Valid Initial Online Application Submitted Date: The date when an Authorized Representative signs the Plan Sponsor Agreement and submits the Application to CMS' RDS Center. A Valid Initial Online Application consists of 8 steps. A Plan Sponsor defines the details about their Application, which is done by completing the first 7 steps of the Application Submission Process.
- Valid Initial Retiree List Received Date: The date when the Plan Sponsor submits a properly formatted Valid Initial Retiree List to CMS' RDS Center as part of the Application Submission Process.

pplication Status	 LOGIN INFORMATION
Authorized Representative: Net Registered	Authorized Representative March 1, 2009
Account Haneger: Kyle Thompson Plan Sponeor Status: Active	Change or Reset Security Quest
Reconciliation Deadline: April 1, 2013 Application Status: Submitted	APPLICATION INFORMATION
Reason(s) for Application Denial: 1/4	
Application Deadline: November 3, 2010 Valid Initial Online Application Submitted Date: September 25, 2016 Valid Initial Returne List Received Date: September 20, 2010	Plan Sponsor ID: \$1781 Plan Sponsor Name: Ist Company of Amenca Application ID: 41737
If you would like to request a 30-day application deadline extension, go to <u>Application Deadline Extension</u> .	Plan Name: Gold Option Plan Plan Start:
Retiree Drug Subsidy (RDS) Application consists of two components: the Valid Initial Online Application and th it. Step 1 through Step 9 on this page may be used to complete and submit a Valid Initial Online Application grading the submission of a Valid Initial Retiree List.	January 1, 2011 Plan End: December 21, 2013 Application Status: Approved Reconciliation Dendline:
he Valid Initial Online Application	April 1, 2013

The Application Status page also displays the Application Submission Process checklist. Select one of the steps in the <u>Valid Initial Online Application</u> or Valid Initial Retiree List section to see more information about each task.

r.

2. Benefit Option Incomplet 3. Assign Actuary Incomplet 4. Attestation Summary Incomplet 5. Electronic Funds Transfer (EFT) Information Incomplet 6. Payment Frequency Incomplet 7. Retiree Electronic Data Interchange (EDI) Methods and Sources Incomplet 8. Plan Sponsor Agreement Incomplet Valid Initial Retiree List	Va	lid Initial Online Application	Status
3. Assign Actuary Incomplet 4. Attestation Summary Incomplet 5. Electronic Funds Transfer (EFT) Information Incomplet 6. Payment Frequency Incomplet 7. Retiree Electronic Data Interchange (EDI) Methods and Sources Incomplet 8. Plan Sponsor Agreement Incomplet Valid Initial Retiree List Status 9. Valid Initial Retiree List Incomplet Astus Incomplet Manage Retirees Manage Retirees	1.	Application Number Assigned	Complete
4. Attestation Summary Incomplet 5. Electronic Funds Transfer (EFT) Information Incomplet 6. Payment Frequency Incomplet 7. Retiree Electronic Data Interchange (EDI) Methods and Sources Incomplet 8. Plan Sponsor Agreement Incomplet Valid Initial Retiree List Status 9. Valid Initial Retiree List Incomplet Cation Maintenance Options Manage Retirees	2.	Benefit Option	Incomplete
5. Electronic Funds Transfer (EFT) Information Incomplet 6. Payment Frequency Incomplet 7. Retiree Electronic Data Interchange (EDI) Methods and Sources Incomplet 8. Plan Sponsor Agreement Incomplet Valid Initial Retiree List 9. Valid Initial Retiree List Incomplet cation Maintenance Options Manage Retirees Manage Retirees	з.	Assign Actuary	Incomplete
6. <u>Payment Frequency</u> Incomplet 7. <u>Retiree Electronic Data Interchange (EDI) Methods and Sources</u> Incomplet 8. <u>Plan Sponsor Agreement</u> Incomplet Valid Initial Retiree List Status 9. <u>Valid Initial Retiree List</u> Incomplet cation Maintenance Options <u>Manage Retirees</u>	4.	Attestation Summary	Incomplete
7. Retiree Electronic Data Interchange (EDI) Methods and Sources Incomplet 8. Plan Sponsor Agreement Incomplet Valid Initial Retiree List Status 9. Valid Initial Retiree List Incomplet cation Maintenance Options Manage Retirees	5.	Electronic Funds Transfer (EFT) Information	Incomplete
8. Plan Sponsor Agreement Incomplet Valid Initial Retiree List Status 9. Valid Initial Retiree List Incomplet cation Maintenance Options Manage Retirees	6.	Payment Frequency	Incomplete
Valid Initial Retiree List Status 9. Valid Initial Retiree List Incomplet cation Maintenance Options Manage Retirees	7.	Retiree Electronic Data Interchange (EDI) Methods and Sources	Incomplete
9. <u>Valid Initial Retiree List</u> Incomplet cation Maintenance Options <u>Manage Retirees</u>	8.	Plan Sponsor Agreement	Incomplete
cation Maintenance Options	Va	lid Initial Retiree List	Status
Manage Retirees	9.	Valid Initial Retiree List	Incomplete
	V a 9.	l id Initial Retiree List Valid Initial Retiree List	Sta
	tion Maintenance Options		
Assign Designee(s)(optional)	4	anage Retirees	
	As	sign Designee(s)(optional)	

Valid Initial Online Application

Select one of the links to see the step by step instructions to complete the task.

Step 1: Application Number Assigned

Step 2: Benefit Option

Step 3: Assign Actuary

Step 4: Attestation Summary

Step 5: Electronic Funds Transfer (EFT) Information

Step 6: Payment Frequency

Step 7: Retiree Electronic Data Interchange (EDI) Methods and Sources

Step 8: Plan Sponsor Agreement (Authorized Representative only)

Valid Initial Retiree List

Step 9: Valid Initial Retiree List

Application Maintenance Options

Manage Retiree Information

Assign Designee(s) (optional)

Complete Step 1: Application Number Assigned

An Application Number is automatically assigned when a Plan Sponsor starts a new Application. For more information about starting a new Application, go to: <u>Start A New Application</u>.

Complete Step 2: Benefit Option

For more information about Benefit Options, go to: <u>Application And Benefit Options Defined</u>.

To access the RDS Secure Website and navigate to the Application List page, go to: <u>Appendix A:</u> <u>Access The RDS Secure Website</u>.

On the Application List page:

1. Select an **Application ID** or select **View Application** from the Actions dropdown menu then select the **Go** button.

On the Application Status page:

2. Select Step 2: Benefit Option.

On the Benefit Option Summary page:

3. Select Add a Benefit Option link.

RDS Secure Website			
were weather and the set			
		and the same	200400-000000-0000
Benefit Option Summary Cick the Add a Benefit Option ink to add a new Senefit Option. Cick a tranefit Option name ta maintain that iteméfit Option.		Contraction and	Ava Anderson Account Manager October 29, 2009 Charge or Reset Security Questions
Add.a.Benefit.Option			APPERATION WE OBSERTED
Briedel Option Rame Designer Reserved Register (2000) Mail Option 12 Click Return to Application Status page to proceed. Reserved ANSA	() Beach Option Type Fully Insured		Plas Sportor ID: Plas Sportor ID: Plas 12023 Plas Nesset: Application ID: 4338 Plas Nesset: Silver Octon Plan Plas No. 2011 Plas No.
4	Privacy Policy (their Agramme		Aperoved OMB-0008-0157 Form OMS-10 Approved OMB-0028-0177 Form OMS-101

On the Add A Benefit Option page:

An * indicates a required a field.

- 4. *Enter the Benefit Option Name.
- 5. *Enter the Unique Benefit Option Identifier (UBOI).

Note: The Unique Benefit Option Identifier (UBOI) field cannot contain the following characters:

- Tilde ~
- Pipe |
- Backslash \
- Comma,
- Semicolon;
- Quotation mark "
- 6. *Select the Benefit Option Type.
- 7. Select **Continue** to add the Benefit Option or select **Cancel** to return to the Benefit Option Summary page.

deal Kosiveen ourse Loo avit			
Add A Benefit Option		and the page	LOGIN INFORMATION
Enter the required information and select the Ben	whit Option Type to add a Senefit Option.		Ava Anderson Account Manager October 29, 2009
In " indicates a required field.			Change or Reset Security Questions
Benefit Option Information			APPEICATION INFORMATION
Benefit Option Name Pharmacy Unique Benefit Option Unique Benefit Option Unique Benefit Option Benefit Option Type Folly-Insured Click Continue to add the Benefit Option. Click Ca Continue to add the Benefit Option. Click Ca Secure AREA	ancel to return to the Benefit Option Summary page.		Plan Sponsor ID; 130217 Plan Sponsor Name: Ravenad Incorporated Application ID: 43128 Plan Name: Silver Option Plan Plan Start: January 01, 2011 Plan Endi: December 31, 2011 Application Status: Incomplete Reconciliation Deadline; March 31, 2013
¢	Privacy Policy (User Agreemen	t Accessibility	Approved OMB-0935-0957 Form CMS-1 Approved OMB-0938-0977 Form CMS-1

On the Benefit Option Summary page:

8. To add another Benefit Option, select the **Add a Benefit Option** link and repeat the process. Select **Return to Application Status** to go back to the Application Status page.

NOVE NOT LEAVE	758 1553AV			
Benefit Opt	tion Summary		about your page	LOGN INFERDATION
Click the Add a Be	nefit Option link to add a new Benefit Option.			Ava Anderson Account Manager October 29, 2009
Click a Benefit Opt	ton Name to maintain that Benefit Option.			Change or Reset Security Questions
Add a Benefit Opt	90			APPENCATION INFORMATION
Benefit Option I	tame Unique Benefit Option Identifier (UBOI)	Benefit Option Type		Plan Sponsor ID:
Mail Order	12	Fully Insured		130217 Plan Sponsor Name:
Click Return to Ap	plication Status page to proceed.			Application ID: 43128 Plan Name: Silver Option Plan Plan Start: January 01, 2011 Plan End; December 31, 2011 Application Status: Incomplete Reconciliation Deadline: March 31, 2013
12				
34-		Privacy Policy User Agreemen	L Accessibility	Approved OMB-0938-0957 Form CMS-10 Approved OMB-0938-0957 Form CMS-10

Complete Step 3: Assign Actuary: Assign One Actuary To All Benefit Options

To access the RDS Secure Website, and navigate to the Application List page, go to: <u>Appendix</u> <u>A: Access the RDS Secure Website</u>.

On the Application List page:

1. Select an **Application ID** or select **View Application** from the Actions dropdown menu then select the **Go** button.

On the Application Status page:

2. Select Step 3: Assign Actuary.

On the Assign Actuary page:

An * indicates a required field.

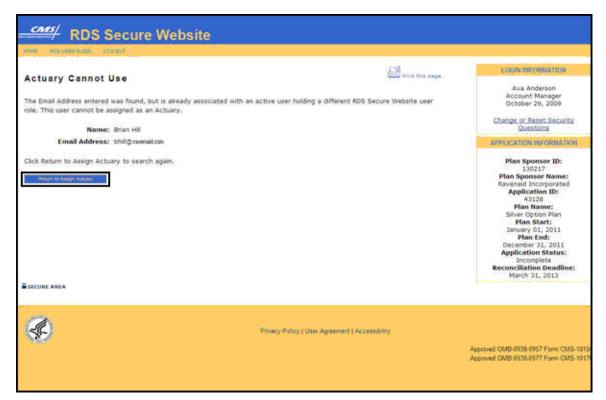
- 3. *Enter the Email Address.
- 4. Select **Continue** to proceed or select **Cancel** to return to the Application Status page.

Ne Rousesours 102-024		
ssign Actuary	and the segn-	LOGN-INFORMATION
ssign one or more Actuaries to attest to the Actuarial E		Ava Anderson Account Manager October 29, 2009
he RDS Secure Website allows an individual to act in on an established RDS Secure Website user.	ly one role at a time. Enter an Email Address to determine if this individual	Change or Reset Security Questions
ingle Actuary		APPLICATION INFORMATION
o assign a single Actuary to all Benefit Options on this A n = indicates a required field. Email Address II Ratie@raxenaid.com	Application, enter an Email Address and click Continue.	Plan Sponsor ID: 130217 Plan Sponsor Name: Ravenaid Incorporated Application ID: 431228 Plan Name: Silver Option Plan Plan Start:
Iultiple Actuaries	gn Multiple Actuaries.	January 01, 2011 Plan End: December 31, 2011 Application Status: Incomplete Reconciliation Deadline: March 31, 2013
lick Cancel to return to the Application Status page.		
SECURE AREA		
¢	Privacy Policy User Agreement Accessibility	
		Approved OMB-0938-0957 Form CMS- Approved OMB-0938-0977 Form CMS-

If the Actuary is found:

On the Actuary Cannot Use page:

1. Select Return to Assign Actuary to search again for a different Actuary.



On the Actuary Found page:

1. Select **Continue** to assign this user as an Actuary or select **Cancel** to return to the Assign Actuary page to search again for a different Actuary.

CM/S/ RDS Secure Website	
NOR ACCUMPTORE DOCIDE	
Actuary Found	LOGM INFORMATION
The Email Address entered matched the following information: Actuary Name: Kile Snith	Ava Anderson Account Manager October 29, 2009 Change or Reset Security Duestions
American Academy of Actuaries Membership Number: 0000000	APPLICATION INFORMATION
Email Address: Isoftdrawnations Actuary Validation Status: Active Actuary Validation Status is the status of the Actuary's registration in the RDS Secure Website. If the status is "Pendin "Locked", or "Expired", contact your Actuary. Click Continue to assign Kate Seth as an Actuary. Click Cancel to return to the Assign Actuary page.	Plan Sponsor ID: 100217 Plan Sponsor Name: Ravenaid Incorporated Application ID: 43128 Plan Name: Silver Option Plan Plan Start: January 01, 2011 Plan End: December 31, 2011 Application Status: Incomplete Reconciliation Deadline: March 31, 2013
Privacy Policy (User Agramment) Assessibility	Approved OMB-0333-0957 Form CMS-101 Approved OMB-0338-0377 Form CMS-101

On the Actuary Benefit Options Verification page:

2. Select **Confirm** to proceed with assigning this user as an Actuary or select **Cancel** to return to the Assign Actuary page to search again for a different Actuary.

HORE ADDUBBHOURE UDD BOT		
Actuary Benefit Options Verification	Direi via paga	LOGIN INFORMATION
Actuary Namei Kjøj (m) American Academy of Actuaries Hembership Number: 00000000 Email Address: kuthdgravnad.com Phone Number: (420) 555-1511		Ava Anderson Account Manager October 29, 2009 Change or Reset Security Questions
Actuary Validation Status: Active		APPLICATION INFORMATION
Kate Smith will be assigned to the following Benefit Options: Assign Benefit Options Benefit Option Name Unique Benefit Option Identifier Mail Order 12 Pharmacy 10 Cick Confirm to assign this Actuary. Cick Cancel to return to the Assign Actuary page. Except assa		Plan Sponsor ID: 130217 Plan Sponsor Name: Ravenael Incorporated Application ID: 43128 Plan Name: Silver Option Plan Blan Starti: January 01, 2011 Plan End: December 33, 2011 Application Status: Incomplete Reconciliation Deadline: March 31, 2013
Privacy Policy (Use	ei Agraement Accessibility	
		Approved OMB-0938-0957 Form CMS-10 Approved OMB-0938-0977 Form CMS-10

On the Actuary Benefit Options Confirmation page:

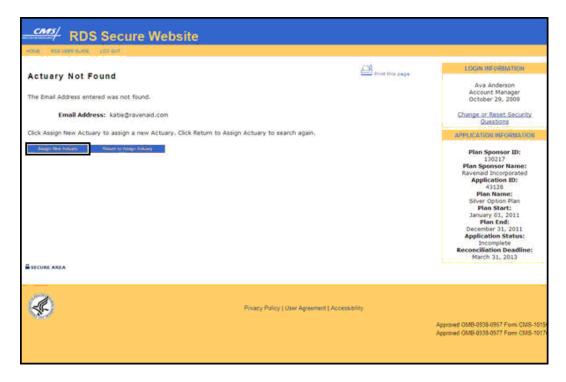
3. Select **Continue** to proceed to the Actuary Maintenance page.

Ctuary Benefit Options Confirmation Executive Section Se	E Rini the sage	Ava Anderson Account Manager October 29, 2009 Change or Resat Security Questions
Ava Anderson Ava Anderson Actuary Name: Ket Suith Manager Manerican Academy of Actuaries Hembership Number: 0000000 October 29, 2009 Change or Rest Security Change or Rest Security Phone Number: (at0) 535-1111 Application Status: Active Actuary Validation Status: Active Application Status: Active Change or Rest Security Int this page for your records. Plan Sponsor ID: 1 30217 Stigned Benefit Options Plan Sponsor Name: Ravenad Incorporated Application ID: 43128 Signed Benefit Option Name: Induce Benefit Option Identifier Plan Name: Sker Option Identifier Plan Name: Sker Option Identifier Plan Name: Sker Option Identifier Plan Sponsor ID: January 01, 2011 Application Status: Identifier Plan Name: Sker Option Identifier Plan Name: Sker Option Status: Change of the Actuary Maintenance page. Theoremark 1, 2011		Account Manager October 29, 2009 Change or Reset Security Questions
Int this page for your records. Plan Sponsor ID: 130217 Plan Sponsor Name: Ravenaid Incorporated Application ID: 43128 Plan Name: Silver Option Name Unique Benefit Option Identifier I2 harmacy 10 ck Continue to proceed to the Actuary Maintenance page. Plan Sponsor Name: Ravenaid Incorporated Application ID: Plan Sponsor Name: Ravenaid Incorporated Application ID: Plan Sponsor Name: Ravenaid Incorporated Application ID: Plan Sponsor Name: Plan Start: January 01, 2011 Plan End; December 31, 2011 Plan End; Decorporated Application Status: Incomplete Reconciliation Decadime: Ravenaid Incorporated Reconciliation Decadime: Reconciliation Decadime: Ravenaid Incorporated Reconciliation Decadime: Ravenaid Incorporated Reconciliation Decadime: Reconciliation Decadime: Reconciliation Decadime: Reconciliation Decadime: Ravenaid Incorporated Ravenaid Incorporated Reconciliation Decadime: Ravenaid Incorporated Ravenaid Inco		APPLICATION INFORMATIO
In this page for your records. 130217 Plan Sponsoro Name: Plan Sponsoro Name: ssigned Benefit Options 43128 ienefit Option Name: Unique Benefit Option Identifier ial Order 12 harmacy 10 ck Continue to proceed to the Actuary Maintenance page. ck Continue to proceed to the Actuary Maintenance page.		
		130217 Plan Sponsor Name: Ravenaid Incorporated Application ID: 43128 Plan Name: Silver Option Plan Plan Start: January 01, 2011 Plan End: December 31, 2011 Application Status: Incomplete Reconciliation Decadiline
	resibility.	
ECURE AREA	3	wishing

If the Actuary is not found:

On the Actuary Not Found page:

1. Select **Assign New Actuary** to assign this person as an Actuary or select **Return to Assign Actuary** to search again for a different Actuary.



On the Assign New Actuary page:

An * indicates a required a field.

- 2. *Enter the First Name.
- 3. Enter the Middle Initial.
- 4. *Enter the Last Name.
- 5. *Enter the American Academy of Actuaries Membership Number.
- 6. Select **Continue** to proceed or select **Cancel** to return to the Assign Actuary page to search again for a different Actuary.

ve: maluseriques, posisivit		
ssign New Actuary ter the required information to assign a new Actuary. a * indicates a required field. Email Address: katie@ravenaid.com Actuary Information *First Name © Katie Middle Inibial © *Last Name © Smith *American Academy of © 000000000 Actuaries Membership Number ck Continue to assign the new Actuary. Click Cancel to return to the	e Ange Actuary page.	ECOMM. INFORMATION Ava Anderson Account Manager October 29, 2009 Charge or Result Security Custilions APPLICATION INFORMATION Plan Sponsor Name: Ravenaid Incorporated Application Start: January 01, 2011 Plan Shart: January 01, 2011 Plan End: December 31, 2013
¢	Privacy Policy User Agreement Accessibility	Approved QMB-0038-0057 Form CMS

On the Actuary Verification page:

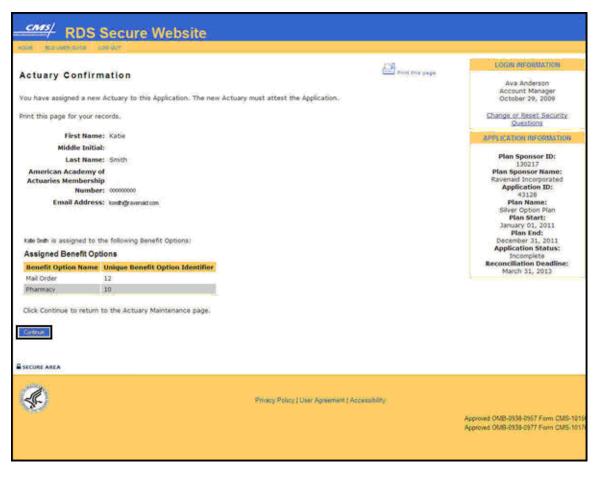
7. Select **Confirm** to assign the Actuary or select **Cancel** to return to the Assign Actuary page.



On the Actuary Confirmation page:

8. Select Continue to return to the Actuary Maintenance page.

Note: When the Actuary is assigned, an email is sent to the Actuary indicating assignment to the Application and instructing that they must attest to the Medicare Part D equivalence of the plan.



Complete Step 3: Assign Actuary: Assign Multiple Actuaries

To access the RDS Secure Website, and navigate to the Application List page, go to: <u>Appendix</u> <u>A: Access the RDS Secure Website</u>.

On the Application List page:

1. Select an **Application ID** or select **View Application** from the Actions dropdown menu then select the **Go** button.

On the Application Status page:

2. Select Step 3: Assign Actuary.

On the Assign Actuary page:

3. Select Assign Multiple Actuaries link.



On the Multiple Actuary Maintenance page:

- 4. Select the checkboxes next to the Benefit Option Name to assign an Actuary to those Benefit Options.
- 5. Select **Continue** to proceed or select **Return to Application Status** to return to the Application Status page.

NOVE RO	FUNDROUGE USG-BUT						179
Multipl	e Actuary Main	tenance			E	Dim this sage	LOGIN INFORMATION
12	r more checkboxes to se		that are not assig	med and click Continue			Ava Anderson Account Manager October 29, 2009
Select Cha	nge Actuary from the Ac	tions dropdown mer	u and click Go to	assign a different Actu	ary to a Benefit Opt	ion.	Change or Reset Security Questions
Select Una	ssign Actuary from the A	Actions dropdown me	enu and click Go to	remove this Actuary's	assignment from a	Benefit Option.	APPLICATION INFORMATION
	tuary's name to view Ac	tuary Information a	nd assigned Benefi	t Options.			Plan Sponsor ID: 10217 Plan Sponsor Name: Ravenaid Incorporated Application ID:
Check/ Uncheck	Benefit Option Name	Unique Benefit Option Identifier	Actuary Name	Attestation Status	Actions		43128 Plan Name:
п	Mail Order	12	Kate Smith	Not Attested	Unassign Actuary	100	Silver Option Plan Plan Start:
P Charle of Continue	Pharmacy andreased Media Physiotesia and a	10	Not Assigned	Not Attested	Select One		January 01, 2011 Plan End: December 31, 2011 Application Status: Incomplete Reconciliation Deadline: March 31, 2013
				Privacy Policy (User Agr	sement Accessibility		Approved OM8-0938-0957 Form CM5-1 Approved OM8-0938-0957 Form CM5-6

On the Assign Actuary to Selected Benefit Options page:

An * indicates a required a field.

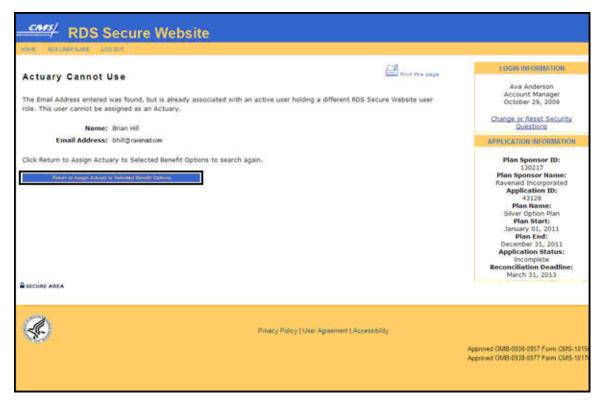
- 6. *Enter the Email Address.
- 7. Select **Continue** to proceed or select **Cancel** to return to the Multiple Actuary Maintenance page.

	ADE UDSHUT		73	LOGN INFORMATION
Selected Benefit Benefit Option I Pharmacy The RDS Secure V individual is an est To assign an Actu An = indicates a n "Email Address	tame Unique Benefit Option Identifier 10 vebsite allows an individual to act in only one rol ablahed RDS Secure Website user. ary to the isted Benefit Options, enter an Email	e at a time. Enter an Email Address to de	etermine if this	Ava Anderson Account Manager October 29, 2009 Charge or Reset Security Questions ARPT CATLON THE ORMANCE Plan Sponsor Name: 130217 Plan Sponsor Name: Ravenaid Incorporated Application ID: 43128 Plan Name: Silver Option Plan Plan Start: January 01, 2011 Plan End: December 31, 2013 Application Status: Incomplete Reconciliation Deadline: March 31, 2013

If the Actuary is found:

On the Actuary Cannot Use page:

1. Select **Return to Assign Actuary to Selected Benefit Options** to search again for a different Actuary.



On the Actuary Found page:

1. Select **Continue** to assign this user as an Actuary or select **Cancel** to return to the Assign Actuary to Selected Benefit Options page to search again for a different Actuary.

NAME TARECOME LOGIENT		
Actuary Found	And the same	LOGIN INFORMATION
The Email Address entered matched the following information:		Ava Anderson Account Manager October 29, 2009
Actuary Name: Kate Smith		Change or Reset Security
American Academy of Actuaries Membership Number: 00000000		Oversteins APPERLATION INFORMATION
Email Address: kuntidireversid.com		Plan Sponsor ID: 130217
Actuary Validation Status: Active Actuary Validation Status is the status of the Actuary's registration in t "Locked", or "Expired", contact your Actuary. Click Continue to assign Kae Seth as an Actuary. Click Cancel to return t Options page.		Plan Sponsor Name: Ravenaid Incorporated Application ID: 43128 Plan Name: Silver Ophon Plan Plan Start: January 01, 2011 Plan End: December 31, 2011 Application Status: Incomplete Reconciliation Deadline: March 21, 2013
	Privacy Policy (User Agreement (Accessibility	Approved OMB-0938-0957 Form CMS-101 Approved OMB-0938-0977 Form CMS-101

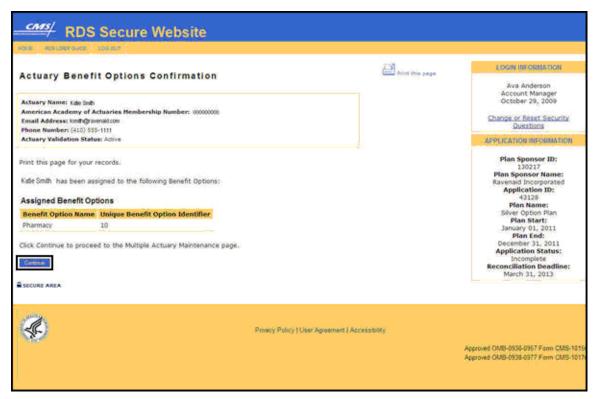
On the Actuary Benefit Options Verification page:

2. Select **Confirm** to proceed with assigning this user as an Actuary or select **Cancel** to return to the Assign Actuary to Selected Benefit Options page to search again for a different Actuary.

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RDS Secure Website		
HONE REFERENCES CENTRE		
Actuary Benefit Options Verification	and the same	LOCAL MECOLIMICS
Actuary Series (2010)		Ava Anderson Account Manager October 29, 2009
Event Address and Question (41) 555-599		Charge or Reset Security Detablish
Actuary Validation Status: Active		APPEAR AFICIAL MEDICALITICAL
Kide Stidt will be assigned to the Astering Benefit Options: Assign Benefit Options Benefit Option Nerver, Unkpric Records Option Identifier Pharmacy 10 Click Contem to assign this Actuary. Click Cancel to return to the Assign Actuary to Selected Benefit Option Formation Encode Encode	na page.	Plan Spersone ID: 333217 Plan Spassor Name: Revended Incorporated Application ID: 43123 Plan Nam: Ban
Printery Print y Court Agreement's Act	ensäitt _i	Approved CARE-003E-1817 Form CARE-181 Approved CARE-013E-0817 Form CARE-181

On the Actuary Benefit Options Confirmation page:

3. Select **Continue** to proceed to the Multiple Actuary Maintenance page.



If the Actuary is not found:

On the Actuary Not Found page:

1. Select **Assign New Actuary** to proceed with assigning this person as an Actuary or select **Return to Assign Actuary to Selected Benefit Options** to search again for a different Actuary.

RDS Secure Website	
sola, Roscathoute, Losator	
Actuary Not Found	Собан инсонистон
The Email Address entered was not found. Email Address: katie@ravenaid.com	Ava Anderson Account Manager October 29, 2009 Change or Reset Security Duestions
Click Assign New Actuary to assign a new Actuary. Click Return to Assign Actua	ry to Selected Benefit Options to search again. APPLICATION INFORMATION
Auger Hee Arbany	Plan Sponsor ID: 130217 Plan Sponsor Name: Ravenaid Incorporated Application ID: 43128 Plan Name: Silver Option Plan Plan Stort: January 01, 2011 Plan End: December 33, 2011 Application Status: Incomplete Reconciliation Deadline: March 31, 2013
Prac.	/ Policy [User Agreement] Accessability Approved OMB-0038-0957 Form CMS-1011 Approved OMB-0038-0977 Form CMS-1011

On the Assign New Actuary page:

An * indicates a required a field.

- 2. *Enter the First Name.
- 3. Enter the Middle Initial.
- 4. *Enter the Last Name.
- 5. *Enter the American Academy of Actuaries Membership Number.
- 6. Select **Continue** to proceed or select **Cancel** to return to the Assign Actuary to Selected Benefit Options page to search again for a different Actuary.

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ssign New Actuary	First the page	Ava Anderson
ster the required information to assign a new Actuary.		Account Manager October 29, 2009
n * indicates a required field.		Change or Reset Security Questions
Email Address: kate@ravenaid.com		APPLICATION INFORMATION
Actuary Information	m to the Assign Actuary to Selected Benefit Options page.	Plan Sponsor ID: 130217 Plan Sponsor Name: Ravenal Incorporated Application ID: 4328 Plan Name: Skiver Option Plan Plan Start: January 01, 2011 Plan End: December 31, 2011 Application Status: Incomplets Reconciliation Deadline: March 31, 2013
¢	Privacy Policy (User Agreement) Accessibility	Approved OMB-6938-6957 Form CMS-

On the Actuary Verification page:

7. Select **Confirm** to assign this Actuary or select **Cancel** to return to the Assign Actuary to Selected Benefit Options page.

Sector (Sector Contraction)	i si	LOGIN INFORMATION
ctuary Verification	EN Print this page	COOR INFORMATION
eview the Actuary information.		Ava Anderson Account Manager October 29, 2009
First Name: Kable		Change or Reset Security
Middle Initial:		Questions
Last Name: Smith		APPLICATION INFORMATION
American Academy of Actuaries Membership Number: 00000000		Plan Sponsor ID: 130217 Plan Sponsor Name:
Email Address: kontigravenad.co	• · · · · · · · · · · · · · · · · · · ·	Ravenaid Incorporated
(alle Smith will be assigned to the following	g Benefit Options:	Application ID: 43128 Plan Name: Silver Option Plan
Assign Benefit Options Senefit Option Name Unique Benefit C	Notifier Televitifier	Plan Start: January 01, 2011
taë Order 12	Cancel to return to the Assign Actuary to Selected Benefit Options page.	Plan End: December 31, 2011 Application Status: Incomplete Reconciliation Deadline: March 31, 2013
CONTRA AREA	an 1976 h. 23 Nei 22 A. 67 A for a 24 - Tearren 13 before 13 before 25 - 26 - 26 - 26 - 26 - 26 - 26 - 26 -	
¢.	Privacy Policy User Agraement Accessibility	
1499 m		Approved OMB-0938-0957 Ferm CMS Approved OMB-0938-0977 Ferm CMS

On the Actuary Confirmation page:

8. Select **Continue** to return to the Multiple Actuary Maintenance page.

Note: When the Actuary is assigned, an email is sent to the Actuary indicating assignment to the Application and instructing that they must attest to the Medicare Part D equivalence of the plan.

and the overside and the		
inde inde our fai	Print this page	LOGIN REFORMATION
Actuary Confirmation		Ava Anderson Account Manager October 29, 2009
nnt this page for your records.		Change or Reset Security Questions
First Name: Katie		APPLICATION INFORMATION
Middle Initial:		Area ana ana araa
Last Name: Smith		Plan Sponsor ID: 130217
American Academy of Actuaries Membership Number: 0000000 Email Address: keetigesenactoon Kate beth is assigned to the following Benefit Options: Assigned Benefit Options Benefit Option Name Unique Benefit Option Identifier Mail Order 12	3	Plan Sponsor Name: Ravenad Incorporated Application ID: 43126 Plan Name: Silver Option Plan Plan Start: January 01, 2011 Plan End: December 31, 2011 Application Status: Incomplete Reconciliation Deadline: March 31, 2013
Sick Continue to return to the Multiple Actuary Maintenance page.		
🐑 Princey Policy (User Agreement Accessibility	ed OM8-0338-0367 Form CM5-

View Step 4: Attestation Summary

The Account Manager, Authorized Representative, and Designee with View Attestation Summary privilege can view the Attestation Summary page. These individuals must view the Attestation Summary to determine whether or not a specific Benefit Option attestation is complete. The Actuary must view the Attestation Summary to attest to the Benefit Options. For information about the Actuary's completion of Actuarial Attestation, go to: <u>Attest Actuarial Equivalence</u>.

To access the RDS Secure Website, and navigate to the Application List page, go to: <u>Appendix</u> <u>A: Access The RDS Secure Website</u>.

On the Application List page:

1. Select an **Application ID** or select **View Application** from the Actions dropdown menu then select the **Go** button.

On the Application Status page:

2. Select Step 4: Attestation Summary.

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On the Attestation Summary page:

3. Select Return to Application Status to return to the Application Status page.

				124	LOGIN-NO-ORIENTION
Attestation S	Summary			Dini Uis sege	Ellen R. Adams
Attestation Summa	ary Status: Complete		Authorized Representativ March 1, 2009		
					Change or Reset Security Questions
he following Attest	tation Method was chosen for this i	Application:			APPLICATION INFORMATIO
Each Benefit Option	n individually meets the Net Value t	est as set forth at 42 C.F	.R. §423.884(d).		Plan Sponsor ID: 51781 Plan Sponsor Name: 1st Company of America
Benefit Option Name	Unique Benefit Option Identifier	Benefit Option Type	Actuary	Attestation Status	Application ID: 41737
RX1	4857983	Fully Insured	Katie Smith	Attested	Plan Name: Gold Option Plan Plan Start:
					January 1, 2009 Plan End: -December 31, 2009
Secreto Appindue	Salar .				Application Status: Incomplete Reconciliation Deadline March 31, 2007
Securi da Apondari	5.000 F				Application Status: Incomplete Reconciliation Deadline

Complete Step 5: Electronic Funds Transfer (EFT) Information

To access the RDS Secure Website, and navigate to the Application List page, go to: <u>Appendix</u> <u>A: Access The RDS Secure Website</u>.

On the Application List page:

1. Select an **Application ID** or select **View Application** from the Actions dropdown menu then select the **Go** button.

On the Application Status page:

2. Select Step 5: Electronic Funds Transfer (EFT) Information.

On the Edit Electronic Funds Transfer (EFT) Information page:

An * indicates a required a field.

Account Information:

- 3. *Enter the Bank Name.
- 4. *Select the Account Type.
- 5. *Enter the Organization Name Associated with Account.
- 6. *Enter the Account Number.
- 7. *Re-enter the Account Number.
- 8. *Enter the Bank Routing Number.
- 9. *Re-enter the Bank Routing Number.

Bank Contact Information:

- 10. *Enter the First Name.
- 11. Enter the Middle Initial.
- 12. *Enter the Last Name.
- 13. *Enter the Phone Number
- 14. Enter Extension.
- 15. Enter the Fax Number.
- 16. Enter the Email Address.
- 17. Re-enter the Email Address.

Bank Address:

- 18. *Enter the Street Line 1.
- 19. Enter the Street Line 2.
- 20. *Enter the City.
- 21. *Select the State.
- 22. *Enter the Zip Code.
- 23. Select Continue to proceed or select Cancel to return to the Application Status page.

908. 908.000 Julia. 105.01		
RE DESCRIPTION CONTRACTOR		
dit Electronic Funds Transfer (EFT) Information	Die vie sege	EDGEN INFORMATION
iter the required information to complete the Electronic Funds Transfer information.		Ava Anderson Account Manager October 29, 2009
n * indicates a required field.		Change or Reset Security Questions
Account Information		APPENDATION INFORMATION
*Bank Name O Unreal Bank		Plan Sponsor ID: 130217
*Account Type O Checking		Plan Sponsor Name: Ravenaid Incorporated
*Organization Name @ Revenued Incorporated		Application ID: 43128
Associated with Account		Plan Name: Silver Option Plan
"Account Number 0 12		Plan Start:
"Re-enter Account Number 0 12		January 01, 2011 Plan End:
"Bank Routing Number 0 5		December 31, 2011 Application Status:
"Re-enter Bank Routing 0 5 Number		Incomplete Reconciliation Deadline: March 31, 2013
Bank Contact Information		
*First Name 🕴 Paul		
Middle Initial		
"Last Name O Adams		
*Phone Number 0 (410) 555 . 1212 Extension 0 96		
Fax Number 0 /		
Email Address 🧿 padams@ravenaid.com		
Re-enter Email Address 0 gadams@ravenaid.com		
Bank Address		
"Street Line 1 0 21 Bank St		
Street Line 2 0		
*City Ø Baltimore		
"State O MARYLAND		
*Zip Code 🤨 21218		
ick Continue to proceed with the Application Submission process. Click Cancel to return to the	oplication Status page.	
Dergende (Derced)		
SECUNE AREA		
ICCURE AREA		
and a second		
Privacy Policy User Agree	ment Accessibility	
		Approved OMB-0938-0957 Form CMS-

Complete Step 6: Payment Frequency

To access the RDS Secure Website, and navigate to the Application List page, go to: <u>Appendix</u> <u>A: Access The RDS Secure Website</u>.

On the Application List page:

1. Select an **Application ID** or select **View Application** from the Actions dropdown menu then select the **Go** Button.

On the Application Status page:

2. Select Step 6: Payment Frequency.

On the Payment Frequency page:

An * indicates a required field.

- 3. *Select a Payment Frequency.
- 4. Select **Continue** to proceed or select **Cancel** to return to the Application Status page.

Note: The Payment Frequency cannot be changed for this plan year after the Application is submitted.

RDS Secure Website	
sare volcanistice cellar	
Payment Frequency	LOUIS APOBLATION
Fayment, Frequency Select the Payment Frequency.	äva Anderson Account Manager October 29, 2009
An * indicates a required field.	Change or Reset Security Overstory
The Payment Frequency cannot be changed after the Application is submitted and will remain in effect for the Plan Year.	APPLICATION INFORMATION
'Select Payment Frequency	Plan Sponsor ID: 130217
C Monthly - top to 12 interm payments per Plan Trian. 9	Plan Sponsor Name: Ravenad Incorporated Application ID:
# Quarterly - Up to 4 interim payments per Plan Year. 🗣	43128 Plan Name: Silver Option Plan
C Interm Annual - A single interm payment after the Plan Year ends.	Plan Start: January 01, 2011
C Annual - A single payment using Reconciliation.	Plan End: December 31, 2011 Application Status:
Cick Continue to complete your Rayment Frequency, Cick Cancel to return to the Application Status page.	Reconciliation Deadline: March 31, 2013
Lower Tarre	
R SECURE AND A	
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Complete Step 7: Retiree Electronic Data Interchange (EDI) Methods and Sources

The following steps can be used to initially select the Retiree Electronic Data Interchange (EDI) Methods and Sources as well as change them after Application submission. For more information on changing the Retiree EDI Methods and Sources, go to: <u>Managing Retirees Through The</u> <u>Application Lifecycle</u>. For information about the Retiree EDI Methods and Sources in RDS Program Applications submitted prior to June, 2010, go to: <u>Appendix O: Past Retiree Electronic</u> Data Interchange (EDI) Methodology.

To access the RDS Secure Website, and navigate to the Application List page, go to: <u>Appendix</u> <u>A: Access The RDS Secure Website</u>.

On the Application List page:

1. Select an **Application ID** or select **View Application** from the Actions dropdown menu then select the **Go** Button.

On the Application Status page:

2. Select Step 7: Retiree Electronic Data Interchange (EDI) Methods and Sources.

On the Retiree Electronic Data Interchange (EDI) Methods and Sources page:

- 3. Select one or more Benefit Options.
- Select Continue to assign or change the Retiree List Submission and Retiree List Response Method, and Weekly Notification File Delivery Method or select Return to Application Status page.

CMS		Secui	re Websit	e					
Check one or more Benefit Options and click Continue to assign or change the Retiree List Submission and Response Method, and Weekly Notification File Delivery Method. To view the Retiree EDI Method Job Aid, go to: <u>Retiree EDI Method Job Aid</u> . Retiree EDI Methods and Sources					,	LOGIN INFORMATION Ellen R. Adams Authorized Representative May 1, 2010 Change or Reset Security Questions APPLICATION INFORMATION			
Check/ Uncheck	Pharmacy Mail Order Uncheck Al Return to App	Unique Benefit Option ID 1 2 2	Retiree List Submission Method Not Assigned	Retiree List Response Method Not Assigned	Submitter ID Not Assigned Not Assigned	-	Weekly Notification File Delivery Method Not Assigned		Plan Sponsor ID: 51781 Plan Sponsor Nama: 1st Company of America Application ID: 41737 Plan Name: Gold Option Plan Plan Start: January 1, 2011 Plan End: December 31, 2011 Application Status: Incomplete Reconciliation Deadline: March 31, 2013
¢				Priva	cy Policy Use	Agreement Ac	cessibility		raved OMB-0938-0957 Form CMS-1019 raved OMB-0938-0977 Form CMS-1013

If multiple Benefit Options were selected, the Multiple Benefit Options Selected page displays. If a single Benefit Option was selected, the Retiree List Submission Method and Retiree List Response Method page displays.

On the Multiple Benefit Options Selected page:

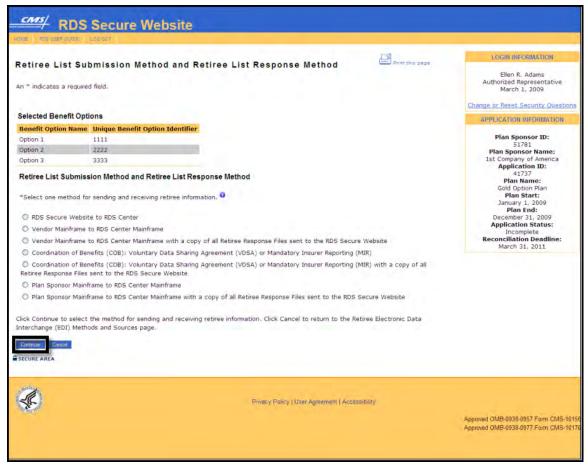
- 5. The selected Benefit Options display. Continuing with this process assigns the same properties to all selected Benefit Options.
- Select Continue to proceed to the Retiree List Submission Method and Retiree List Response Method page or select Cancel to return to the Retiree Electronic Data Interchange (EDI) Methods and Sources page.



On the Retiree List Submission Method and Retiree List Response Method page:

An * indicates a required field.

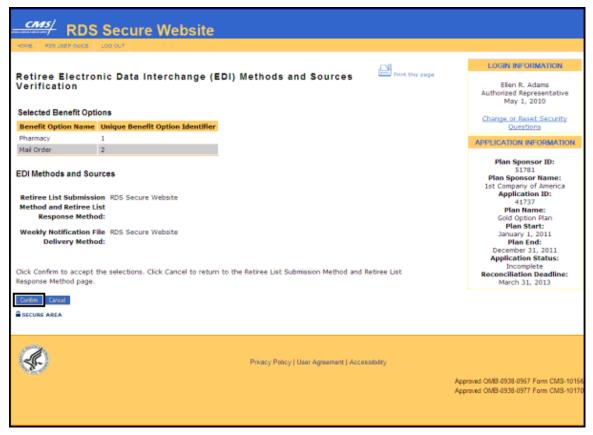
- 7. *Select one method for sending and receiving retiree information.
- Select Continue to select the method for sending and receiving retiree information or select Cancel to return to the Retiree Electronic Data Interchange (EDI) Methods and Sources page.



Selection: RDS Secure Website to RDS Center

On the Retiree Electronic Data Interchange (EDI) Methods and Sources Verification page:

1. Select **Confirm** to accept the selections or select **Cancel** to return to the Retiree List Submission Method and Retiree List Response Method page.



On the Retiree Electronic Data Interchange (EDI) Methods and Sources Confirmation page:

2. Select **Continue** to return to the Retiree Electronic Data Interchange (EDI) Methods and Sources page.



Selection: Vendor Mainframe to RDS Center Mainframe or Vendor Mainframe to RDS Center Mainframe with a copy of all Retiree Response Files sent to the RDS Secure Website

On the Vendor Mainframe to RDS Center Mainframe through CMS Extranet page:

An * indicates a required field.

- 1. Note the setup times for CMS Extranet.
 - For Plan Sponsors with a CMS Extranet account and a connection to CMS' RDS Center, the setup takes 1 to 2 weeks.
 - For Plan Sponsors with a CMS Extranet account, but no connection to CMS' RDS Center, the setup takes 1 to 2 months.
 - For Plan Sponsors without a CMS Extranet account, the setup takes 2 to 3 months.
- 2. *Enter the Vendor ID assigned by CMS' RDS Center.
- 3. Select **Continue** to search for the Vendor or select **Cancel** to return to the Retiree List Submission Method and Retiree List Response Method page.

HOME ROS LEER G	DS Secure Website	
0 - Y March		LOGIN INFORMATION
An * indicates a		Ellen R. Adams Authorized Representative March 1, 2009
Selected Bene	fit Options	Change or Reset Security Questions
Benefit Option	Name Unique Benefit Option Identifier	
Option 1	1111	APPLICATION INFORMATION
Option 2	2222	Plan Sponsor ID:
Option 3	3333	51781 Plan Sponsor Name:
	et Account ve a <u>CMS</u> Extranet account to connect to the <u>RDS</u> Center Mainframe through <u>CMS</u> Extranet. Contact : te a <u>CMS</u> Extranet account.	Ist Company of America Application ID: 41737 Plan Name: Gold Option Plan Plan Start: January 1, 2009 Plan End:
	Mainframe through CMS Extranet Connection Setup Times	December 31, 2009 Application Status: Incomplete Reconciliation Deadline:
The setup time to	o connect to the RDS Center Mainframe through CMS Extranet varies.	March 31, 2011
For Plan Sp	consors with a CMS Extranet account and a connection to CMS' RDS Data Center, the setup will take	1 to 2 weeks.
	ponsors with a CMS Extranet account, but no connection to CMS' RDS Data Center, the setup will tak	
For Plan Sp	ponsors without a CMS Extranet account, the setup will take 2 to 3 months.	
Specify Vendor	r ID	
To specify a Ven	dor to send and receive retiree data, enter the Vendor ID assigned by CMS' RDS Data Center.	
*Vendor ID		
Click Continue to page.	search for the Vendor. Click Cancel to return to the Retiree List Submission Method and Retiree List Re	sponse Method
Secure AREA		
Æ.	Privacy Policy User Agreement Accessibility	
and the second		Approved OMB-0938-0957 Form CMS-1015 Approved OMB-0938-0977 Form CMS-1017

On the Vendor Mainframe ID Found page:

4. Select **Continue** to assign the Mainframe Vendor or select **Cancel** to search again if this is not the correct Mainframe Vendor.



On the Weekly Notification File Delivery Method page:

An * indicates a required field.

- 5. *Select a Weekly Notification File Delivery Method.
- Select Continue to assign the Weekly Notification File Delivery Method or select Cancel to return to the Vendor Mainframe to RDS Center Mainframe through CMS Extranet page.



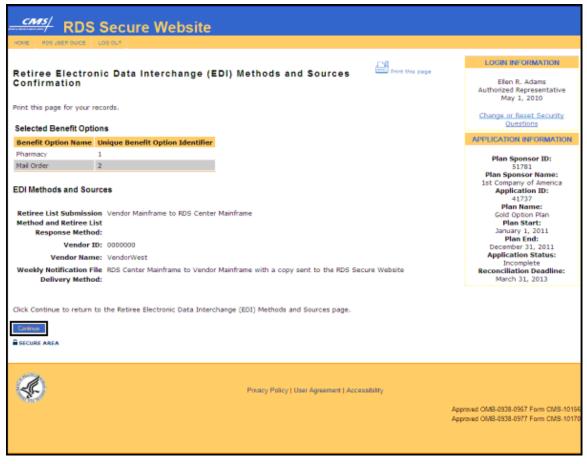
On the Retiree Electronic Data Interchange (EDI) Methods and Sources Verification page:

 Select Confirm to accept the selections or select Cancel to return to the Weekly Notification File Delivery Method page.



On the Retiree Electronic Data Interchange (EDI) Methods and Sources Confirmation page:

8. Select **Continue** to return to the Retiree Electronic Data Interchange (EDI) Methods and Sources page.



Note: For more information about submitting a Valid Initial Retiree List using the Mainframe, go to: <u>Covered Retiree Lists (CRL)</u>.

Selection: Coordination of Benefits (COB): Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR), or Coordination of Benefits (COB): Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR) with a copy of all Retiree Response Files sent to the RDS Secure Website

On the Coordination of Benefits (COB) through VDSA or MIR page:

An * indicates a required field.

- 1. Note the setup times for VDSA or MIR:
 - Contact the CMS Coordination of Benefits (COB) Contractor at <u>cobva@ghimedicare.com</u>. The usual timeframe for completing the agreement and testing with the CMS COB contractor is 60 to 90 days for new agreements.
- 2. *Enter the VDSA Plan Number or MIR Reporter ID.
- Select Continue to search for the VDSA Plan Number or MIR Reporter ID or select Cancel to return to the Retiree List Submission Method and Retiree List Response Method page.

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RDS Secure Website	
HOME RDS USER OUCE LOB OUT	
Coordination of Benefits (COB) through VDSA or MIR An * indicates a required field. Selected Benefit Options Encefit Option Name Unique Benefit Option Identifier Pharmacy 1 Nail Order 2 VDSA or MIR Setup If you do not currently have VDSA or MIR and would like to get additional information, contact the CMS Coordination of Benefits (COB) Contractor at cobva@ghimedicare.com. The usual timeframe for completing the agreement and testing with the CMS COB contractor is 60 to 90 days for new agreements. Specify VDSA Plan Number or MIR Reporter ID To specify a VDSA Plan or MIR Reporter to send and receive retiree data, enter the VDSA Plan Number or MIR Reporter ID. 'VDSA Plan Number or MIR Reporter ID Click Continue to search for the VDSA Plan Number or MIR Reporter ID. Click Cancel to return to the Retiree List Submission Method and Retiree List Response Method page.	LOGIN INFORMATION Elien R. Adams Authorized Representative May 1, 2010 Change or Reset Security Questions APPLICATION INFORMATION Plan Sponsor ID: 51781 Plan Sponsor Name: 151781 Plan Satus: 151781 Plan Name: Gold Option Plan Plan Start: 15281 December 31, 2011 Application Status: Incomplete Reconciliation Deadline: March 31, 2013
Contras Concel	
	Approved OMB-0938-0957 Form CMS-10156 Approved OMB-0938-0977 Form CMS-10170

On the VDSA Plan Number or MIR Reporter ID Found page:

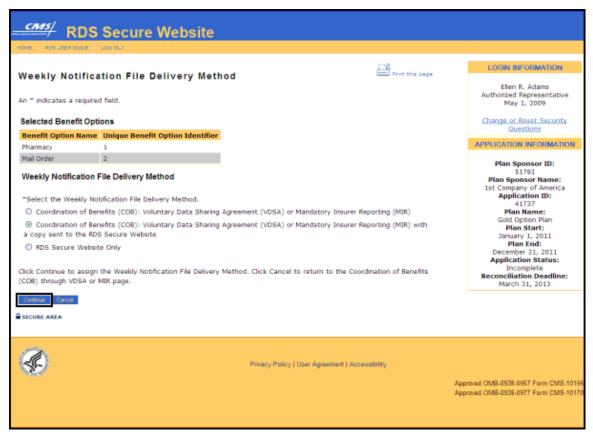
4. Select **Continue** to assign the VDSA Plan Number or MIR Reporter ID or select **Cancel** to search again if this is not the correct VDSA Plan Number or MIR Reporter ID.



On the Weekly Notification File Delivery Method page:

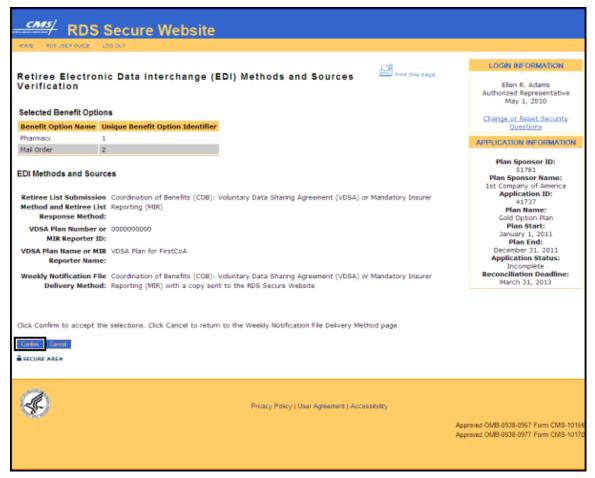
An * indicates a required field.

- 5. *Select the Weekly Notification File Delivery Method.
- 6. Select **Continue** to assign the Weekly Notification File Delivery Method or select **Cancel** to return to the Coordination of Benefits (COB) through VDSA or MIR page.



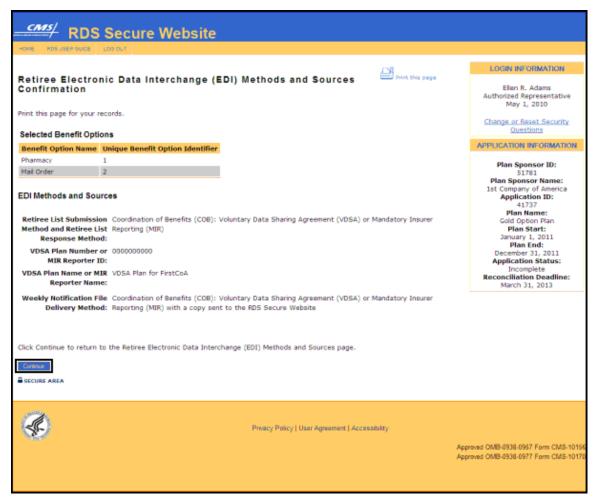
On the Retiree Electronic Data Interchange (EDI) Methods and Sources Verification page:

 Select Confirm to accept these selections or select Cancel to return to the Weekly Notification File Delivery Method page.



On the Retiree Electronic Data Interchange (EDI) Methods and Sources Confirmation page:

8. Select **Continue** to return to the Retiree Electronic Data Interchange (EDI) Methods and Sources page.



Selection: Plan Sponsor Mainframe to RDS Center Mainframe or Plan Sponsor Mainframe to RDS Center Mainframe with a copy of all Retiree Response Files sent to the RDS Secure Website

On the Plan Sponsor Mainframe to RDS Center Mainframe through CMS Extranet page:

- 1. Note the setup times for CMS Extranet.
 - For Plan Sponsors with a CMS Extranet account and a **connection** to CMS' RDS Center, the setup takes 1 to 2 weeks.
 - For Plan Sponsors with a CMS Extranet account, but **no connection** to CMS' RDS Center, the setup takes 1 to 2 months.
 - For Plan Sponsors **without** a CMS Extranet account, the setup takes 2 to 3 months.
- Select Continue to assign Plan Sponsor Mainframe to RDS Center Mainframe through CMS Extranet as the Retiree List Submission Method and Retiree List Response Method. Select Cancel to return to the Retiree List Submission Method and Retiree List Response Method page.

RDS	Secure Website			
HOME RDS USER GUIDE	LOG OUT			
			Print this page	LOGIN INFORMATION
Plan Sponsor M Selected Benefit Opt		er Mainframe through <u>CMS</u> Extranet	Print this page	Ellen R. Adams Authorized Representative March 1, 2009
Benefit Option Name	Unique Benefit Option Identifie	r		Change or Reset Security Questions
Option 1	1111			
Option 2	2222			APPLICATION INFORMATION
Option 3	3333			Plan Sponsor ID:
		ect to the <u>RDS</u> Center Mainframe through <u>CMS</u> Extranet.	Contact <u>CMS' RDS</u>	51781 Plan Sponsor Name: 1st Company of America Application ID: 41737 Plan Name: Gold Option Plan
The setup time to conn	ect to the RDS Center Mainframe th	anet Connection Setup Times rrough <u>CMS</u> Extranet varies. a connection to CMS' RDS Data Center, the setup will t	ake 1 to 2 weeks.	Plan Start: January 1, 2009 Plan End: December 31, 2009 Application Status: Incomplete Reconciliation Deadline: March 31, 2011
 For Plan Sponsors 	with a CMS Extranet account, but	no connection to CMS' RDS Data Center, the setup will	take 1 to 2 months.	
 For Plan Sponsors 	without a CMS Extranet account,	the setup will take 2 to 3 months.		
		nter Mainframe through <u>CMS</u> Extranet as the Retiree List o the Retiree List Submission Method and Retiree List Res		
N		Privacy Policy User Agreement Accessib	ility	Approved OMB-0938-0957 Form CMS-10156 Approved OMB-0938-0977 Form CMS-10170

On the Weekly Notification File Delivery Method page:

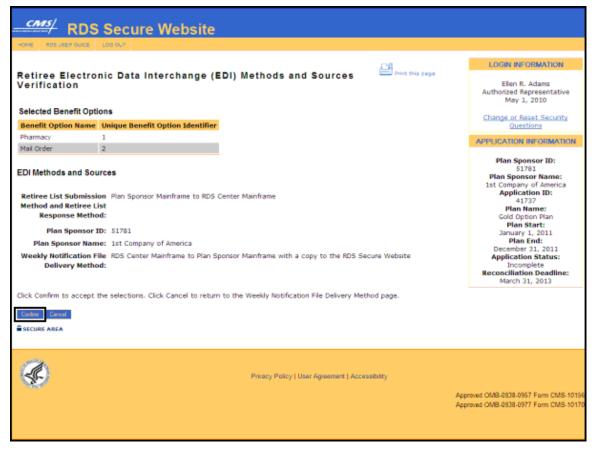
An * indicates a required field.

- 3. *Select the Weekly Notification File Delivery Method.
- Select Continue to assign the Weekly Notification File Delivery Method or select Cancel to return to the Plan Sponsor Mainframe to RDS Center Mainframe through CMS Extranet page.



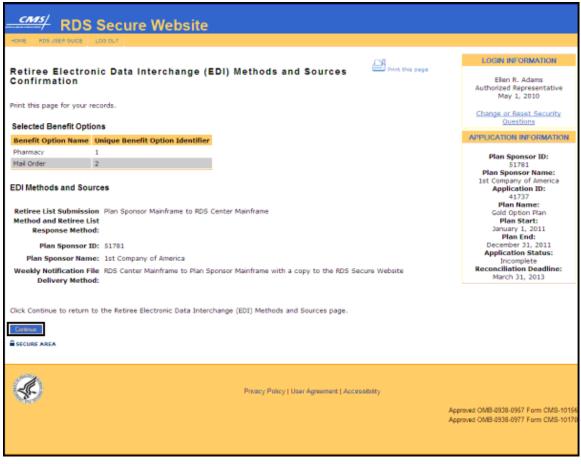
On the Retiree Electronic Data Interchange (EDI) Methods and Sources Verification page:

5. Select **Confirm** to accept the selections or select **Cancel** to return to the Weekly Notification File Delivery Method page.



On the Retiree Electronic Data Interchange (EDI) Methods and Sources Confirmation page:

6. Select **Continue** to return to the Retiree Electronic Data Interchange (EDI) Methods and Sources page.



Note: For more information about submitting a Valid Initial Retiree List using the Mainframe, go to: <u>Covered Retiree List (CRL)</u>.

Complete Step 8: Plan Sponsor Agreement

To access the RDS Secure Website, and navigate to the Application List page, go to: <u>Appendix</u> <u>A: Access The RDS Secure Website</u>.

Note: Only the Authorized Representative may complete this step.

On the Application List page:

1. Select an **Application ID** or select **View Application** from the Actions dropdown menu then select the **Go** button.

On the Application Status page:

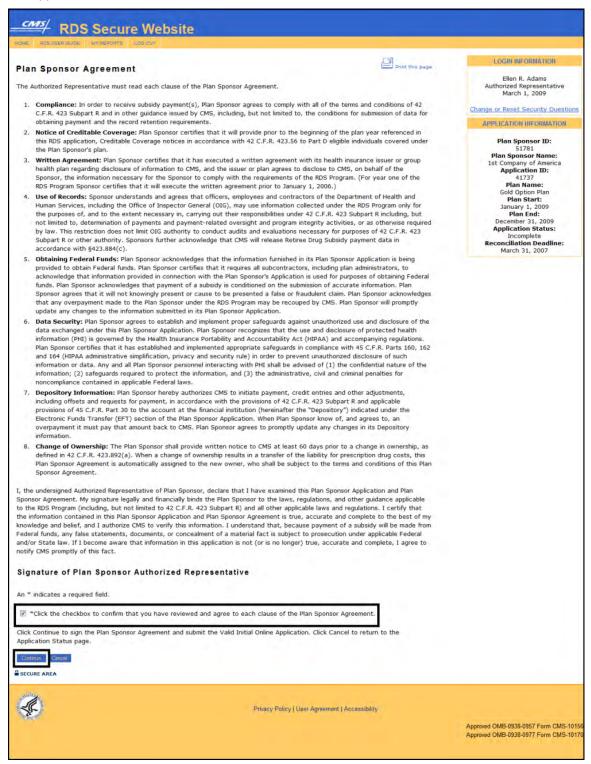
2. Select Step 8: Plan Sponsor Agreement.

On the Plan Sponsor Agreement page:

An * indicates a required field.

- 3. *Read the Plan Sponsor Agreement.
- 4. *Select the checkbox to confirm that you have reviewed and agreed to each clause of the Plan Sponsor Agreement.
- 5. Select **Continue** to sign the Plan Sponsor Agreement and submit the Valid Initial Online Application or select **Cancel** to return to the Application Status page.

Note: The Continue button is activated after successfully completing all of the required steps in the Application Submission Process.



On the Plan Sponsor Agreement Verification page:

6. *Enter answers to the two Security Questions.

7. Select **Confirm** to sign the Plan Sponsor Agreement and submit the Valid Initial Online Application or select **Cancel** to return to the Plan Sponsor Agreement page.

Note: Once the Authorized Representative signs the Plan Sponsor Agreement, a page displays that confirms the Plan Sponsor Agreement has been signed and the Valid Initial Online Application has been submitted. CMS' RDS Center strongly recommends that you print that page for your records.

RDS Secure Website	
The second	
	LOGIN INFORMATION
Plan Sponsor Agreement Verification	LOGIN INFORMATION
The Authorized Representative must read each clause of the Plan Sponsor Agreement.	Ellen R. Adams Authorized Representative March 1, 2009
 Compliance: In order to receive subsidy payment(s), Plan Sponsor agrees to comply with all of the terms and conditions of 42 C.F.R. 423 Subpart R and in other guidance issued by CMS; including, but not limited to, the conditions for submission of data f obtaining payment and the record retention requirements. 	
 Notice of Creditable Coverage: Plan Sponsor certifies that it will provide prior to the beginning of the plan year referenced in this RDS application, Creditable Coverage notices in accordance with 42 C.F.R. 423.56 to Part D eligible individuals covered und 	er Plan Sponsor ID:
the Plan Sponsor's plan. 3. Written Agreement: Plan Sponsor certifies that it has executed a written agreement with its health insurance issuer or group health plan regarding disclosure of information to CMS, and the issuer or plan agrees to disclose to CMS, on behalf of the Sponsor, the information necessary for the Sponsor to comply with the requirements of the RDS Program. (For year one of the RDS Program Sponsor certifies that it will execute the written agreement prior to January 1, 2006.)	51781 Plan Sponsor Name: 1st Company of America Application ID: 41737 Plan Name:
A Use of Records: Sponsor understands and agrees that officers, employees and contractors of the Department of Health and Human Services, including the Office of Inspector General (OIG), may use information collected under the RDS Program only for the purposes of, and to the extent necessary in, carrying out their responsibilities under 42 c.F.R. 423 Subpart R including, but not limited to, determiniation of payments and payment-related oversight and program integrity activities, or as otherwise requiby law. This restriction does not limit OIG authority to conduct audits and evaluations necessary for purposes of 42 C.F.R. 423 Subpart R or other authority. Sponsors further acknowledge that CMS will release Retiree Drug Subsidy payment data in accordance with §423.884(c).	Gold Option Plan Plan Start: January 1, 2009 Plan End: December 31, 2009 Application Status: Incomplete Reconciliation Deadline:
accordance with §423.884(c). 5. Obtaining Federal Funds: Plan Sponsor acknowledges that the information furnished in its Plan Sponsor Application is being provided to obtain Federal funds. Plan Sponsor certifies that it requires all subcontractors, including plan administrators, to acknowledge that information provided in connection with the Plan Sponsor's Application is used for purposes of obtaining Federal Funds. Plan Sponsor acknowledge that a poment of a subsidy is conditioned on the submission of accurate information. Plan Sponsor acknowledge that a payment of a subsidy is conditioned on the submission of accurate information. Plan Sponsor agrees that it will not knowingly present or cause to be presented a false or fraudulent claim. Plan Sponsor acknowled that any overpayment made to the Plan Sponsor under the R0S Program may be recouped by CMS. Plan Sponsor will promptly update any changes to the information submitted in its Plan Sponsor Application.	
6. Data Security: Plan Sponsor agrees to establish and implement proper safeguards against unauthorized use and disclosure of the data exchanged under this Plan Sponsor Application. Plan Sponsor recognizes that the use and disclosure of protected health information (PHI) is governed by the Health Insurance Portability and Accountability Act (HIPAA) and accompanying regulations Plan Sponsor certifies that it has established and implemented appropriate safeguards in compliance with 45 C.F.R. Parts 160, than 164 (HIPAA administrative simplification, privacy and security rule) in order to prevent unauthorized disclosure of such information or data. Any and all Plan Sponsor personnel interacting with PHI shall be advised of (1) the confidential nature of the information; (2) safeguards required to protect the information, and (3) the administrative, civil and criminal penalties for noncompliance contained in applicable Federal laws.	
7. Depository Information: Plan Sponsor hereby authorizes CMS to initiate payment, credit entries and other adjustments, including offsets and requests for payment, in accordance with the provisions of 42 C.F.R. 423 Subpart R and applicable provisions of 45 C.F.R. Part 30 to the account at the financial institution (hereinafter the "Depository") indicated under the Electronic Funds Transfer (EFT) section of the Plan Sponsor Application. When Plan Sponsor know of, and agrees to, an overpayment it must pay that amount back to CMS. Plan Sponsor agrees to promptly update any changes in its Depository information.	
8. Change of Ownership: The Plan Sponsor shall provide written notice to CMS at least 60 days prior to a change in ownership, defined in 42 C.F.R. 423.892(a). When a change of ownership results in a transfer of the liability for prescription drug costs, th Plan Sponsor Agreement is automatically assigned to the new owner, who shall be subject to the terms and conditions of this f Sponsor Agreement.	5
defined in 42 C.F.R. 423.892(a). When a change of ownership results in a transfer of the liability for prescription drug costs, th Plan Sponsor Agreement is automatically assigned to the new owner, who shall be subject to the terms and conditions of this f Sponsor Agreement. , the undersigned Authorized Representative of Plan Sponsor, declare that I have examined this Plan Sponsor Application and Plan iponsor Agreement. My signature legally and financially binds the Plan Sponsor to the laws, regulations, and other guidance applicable on the RDS Program (including, but not limited to 42 C.F.R. 423 Subpart R) and all other applicable laws and regulations. I certify that he information contained in this Plan Sponsor Application and Plan Sponsor Agreement is true, accurate and complete to the best of nowledge and belief, and I authorize CMS to verify this information. I understand that, because payment of a subsidy will be made fi ederal funds, any false statements, documents, or concealment of a material fact is subject to prosecution under applicable Federal mal/or State law. If I become aware that information in this application is not (or is no longer) true, accurate and complete, I agree i	s lan my om
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On the Plan Sponsor Agreement Confirmation page:

- 8. CMS' RDS Center strongly recommends that you print this page for your records.
- 9. Select **Continue** to return to the Application Status page.

Note: The Valid Initial Retiree List must also be submitted by the Application Deadline. For information about the Application Deadline, including what is required to be submitted by the Application Deadline, go to: <u>Important Application Deadline Information</u>.

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A Retiree Drug Subsidy (RDS) Application consists of both	a Valid Initial Online Application and a Valid Initial	APPLICATION INFORMATION
Retiree List. To submit a timely RDS Application for a given Initial Online Application AND a Valid Initial Retiree List by n Plan Year, unless a 30-day Application Deadline Extension I for Medicare & Medicaid Services (CMS) prior to the expira Application Deadline Extension is approved, a Plan Sponsor a Valid Initial Retiree List no later than 30 days after the p Sponsor Application that fails to meet these requirements in notification that its Application has been denied. Click Continue to return to the Application Status page.	to later than 90 days prior to the beginning of the has been requested and approved by the Centers tion of the Application Deadline. If a 30-day must submit a Valid Initial Online Application AND reviously mentioned Application Deadline. A Plan	Plan Sponsor ID: 130217 Plan Sponsor Name: Ravenaid Incorporated Application ID: 43128 Plan Name: Silver Option Plan Plan Start: January 1, 2011 Plan End: December 31, 2011 Application Status: Incomplete Reconciliation Deadline: March 31, 2013
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Complete Step 9: Valid Initial Retiree List

A Plan Sponsor must submit a Valid Initial Retiree List to CMS' RDS Center as part of the Application Submission Process. A Valid Initial Retiree List can be submitted to CMS' RDS Center after the following is complete:

- Application has been started;
- Application Number has been assigned in Step 1;
- Benefit Options have been established in Step 2;
- Retiree Electronic Data Interchange (EDI) Methods and Sources in Step 7 have been selected.

For more information about when a Valid Initial Retiree List is due, go to: <u>Important Application</u> <u>Deadline Information</u>.

For more information about submitting a retiree list, go to: Monthly Retiree List.

When the Valid Initial Retiree List is submitted and the format is validated, the Valid Initial Retiree List Received Date displays in the Details box on the Application Status page. In the Application Submission Process, Step 9 is marked with a green check and the status is marked "Received" to indicate that the Valid Initial Retiree List has been received by CMS' RDS Center.

The status of Step 9 changes to "Verified" when Qualifying Covered Retirees and subsidy periods are verified with the Medicare Beneficiary Database (MBD).

Note: Retiree lists are not processed until the Valid Initial Online Application is submitted. For the retiree list to be processed, the data exchange method and source must match the selections chosen for the Benefit Option in Step 7: Retiree Electronic Data Interchange (EDI) Methods and Sources. Retiree lists sent by any other method or source are not processed and a Response File is sent back to the source with the appropriate Reason Code.

Submit An Application

After Step 1 through Step 7 have been completed, the Application may be submitted by the Authorized Representative signing the Plan Sponsor Agreement in Step 8 of the Application. For information about signing the Plan Sponsor Agreement and submitting the Application, go to: Step 8: Plan Sponsor Agreement.

If the Authorized Representative has not completed the RDS Secure Website registration process, go to: <u>RDS Secure Website User Roles And Other Program Stakeholders</u>.

Note: The Authorized Representative is the ONLY individual who can sign the Plan Sponsor Agreement and submit the completed Application to CMS' RDS Center.

Making Changes To An Application After Submission

Overview

This section explains what Application information must be maintained after an Application has been submitted and approved, how information should be maintained, and what Application information cannot be changed.

Information That Must Be Maintained

Certain critical Application information must be kept current throughout the Application Lifecycle, while other information may be modified at the Plan Sponsor's discretion.

Information regarding Qualifying Covered Retirees (QCRs) is critical to determining accurate subsidy payment and must be maintained by both the Plan Sponsor and CMS' RDS Center on a regular basis.

Verifiable banking information must be maintained on the Application for CMS' RDS Center to render subsidy payments to the Plan Sponsor. If the Electronic Funds Transfer (EFT) information provided on the Application fails to be verified by the Plan Sponsor's bank, the Plan Sponsor must correct the banking information and re-submit the Application.

The role of Account Manager and Authorized Representative must always be active with a current valid user assigned.

Who Can Change Application Information?

Application information is maintained by the Account Manager, Authorized Representative or a Designee granted the appropriate privilege. Retiree data may also be supplied by a Vendor contracted by the Plan Sponsor or a Coordination of Benefits (COB) contractor.

Notifying The Plan Sponsor When Changes Occur

In the case of critical data such as Qualifying Covered Retirees (QCRs), corresponding Subsidy Periods, and associated Benefit Options, CMS' RDS Center provides a Retiree Response File to the Plan Sponsor whenever a retiree file is received. CMS' RDS Center also provides a

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notification file to the Plan Sponsor whenever Medicare notifies CMS' RDS Center of an event that could impact a Plan Sponsor's ability to receive subsidy for a beneficiary.

If CMS' RDS Center is unable to verify the banking information provided on the Application, CMS' RDS Center notifies the Plan Sponsor by email that the data must be updated. CMS' RDS Center also notifies the Plan Sponsor when role reassignments occur, Designee privileges are updated, and Electronic Funds Transfer (EFT) information is changed.

Managing Retirees Through The Application Lifecycle

Retiree information must be continually managed through the Application Lifecycle so that the Plan Sponsor's records and CMS' RDS Center records accurately reflect QCRs, the corresponding Subsidy Periods, and the associated Benefit Options. The Retiree Electronic Data Interchange (EDI) Methods and Sources may be changed after an Application is in a "Submitted" status, the Plan Sponsor can return to Step 7: Retiree Electronic Data Interchange (EDI) Methods and Sources and update or change the EDI information.

Removing Retirees From A Benefit Option

Benefit Option may not be changed or removed once the Application has been submitted to CMS' RDS Center.

If you need to remove a Benefit Option from your approved Application, it is necessary only to remove the retirees from that Benefit Option; the Benefit Option itself can stay within the Application. To remove the retirees associated with the Benefit Option, the Plan Sponsor needs to send a Monthly Retiree List with delete transactions for only those associated retirees. If necessary, the Plan Sponsor can assign those retirees to other UBOI(s) as applicable. For more information on sending retiree files go to: <u>Covered Retiree List (CRL)</u>.

Changing Retiree Electronic Data Interchange (EDI) Methods and Sources

The Retiree Electronic Data Interchange (EDI) Methods and Sources may be changed after an Application is in "Submitted" status, the Plan Sponsor can return to Step 7: Retiree Electronic Data Interchange (EDI) Methods and Sources and update or change the EDI information. However, if the Plan Sponsor is changing the Retiree List Submission Method to Mainframe, VDSA (Voluntary Data Sharing Agreement), or Mandatory Insurer Reporting (MIR), it is imperative that the Plan Sponsor does not change the Retiree List Submission Method until the appropriate connections to CMS' RDS Center are established and tested. Changing the Retiree List Submission Method before the new connection is established jeopardizes the Weekly Notification File process. If the Plan Sponsor selects Mainframe, VDSA, or MIR as the Weekly Notification File Delivery Method before the connection File until the connectivity is established.

The Plan Sponsor should consider the retirees that were submitted prior to the EDI Method or Source change and ensure that the Qualifying Covered Retirees' (QCR's) information matches the method or Plan Sponsor partner that is now assigned responsibility. The Plan Sponsor should then download the Covered Retiree List (CRL) for verification. Retirees that were submitted from a source that is no longer current should be removed using a delete transaction and added using the new Retiree List Submission method, or modified using an Update/Add transaction using the new Retiree List Submission method, for the Plan Sponsor or Vendor to properly receive Notification Files. For information about downloading the CRL, go to: <u>Covered Retiree List (CRL)</u>.

The Retiree EDI Methods and Sources may be changed using the same process in which they were initially set. For information about how to change Retiree EDI Methods and Sources, go to: <u>Complete Step 7: Retiree Electronic Data Interchange (EDI) Methods and Sources</u>.

CMS Extranet Connection Setup Times:

 For Plan Sponsors or Vendors with a CMS Extranet account and a connection to CMS' RDS Center, the setup takes 1 to 2 weeks.

- For Plan Sponsors or Vendors with a CMS Extranet account but have no connection to CMS' RDS Center, the setup takes 1 to 2 months.
- For Plan Sponsors or Vendors without a CMS Extranet account, the setup takes 2 to 3 months.
- For Plan Sponsors using Coordination of Benefits (COB) with VDSA or MIR, the usual timeframe for completing the agreement and testing with the CMS COB contractor is 60 to 90 days for new agreements.

Managing The Actuary Role

The Plan Sponsor may change or unassign an Actuary, or may switch from having a single Actuary assigned to all Benefit Options to assigning multiple Actuaries to specific Benefit Options. The Actuary may only be changed prior to the Application submission. If the Application has already been attested, the newly assigned Actuary must attest the Application prior to completion of the Application.

Switching From Single Actuary To Multiple Actuaries

To access the RDS Secure Website, and navigate to the Application List page, go to: <u>Appendix</u> <u>A: Access the RDS Secure Website</u>.

On the Application List page:

1. Select an **Application ID** or select **View Application** from the Actions dropdown menu then select the **Go** button.

On the Application Status page:

2. Select Step 3: Assign Actuary.

On the Actuary Maintenance page:

3. Select Assign Multiple Actuaries.

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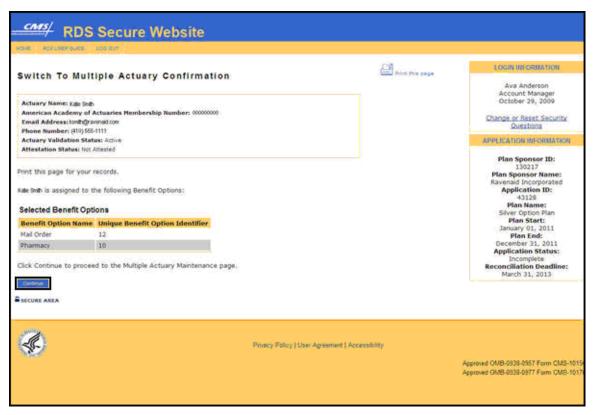
On the Switch To Multiple Actuary Verification page:

4. Select **Confirm** to proceed with switching to assign multiple Actuaries or select **Cancel** to return to the Actuary Maintenance page.

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On the Switch To Multiple Actuary Confirmation page:

5. Select Continue to proceed to the Multiple Actuaries Maintenance page.



Note: For detailed instructions on how to assign multiple Actuaries, go to: <u>Step 3: Assign Actuary:</u> <u>Assign Multiple Actuaries</u>.

Changing An Actuary When A Single Actuary Is Assigned

On the Application List page:

1. Select an **Application ID** or select **View Application** from the Actions dropdown menu then select the **Go** Button.

On the Application Status page:

2. Select Step 3: Assign Actuary.

On the Actuary Maintenance page:

3. Select **Change Actuary** to proceed with changing the Actuary or select **Return to Application Status** to return to the Application Status page.

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Click Assign Multiple	e Actuaries to assign different Actuaries to	different Benefit Options.		
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On the Change Actuary page:

An * indicates a required field.

- 4. *Enter the Email Address.
- 5. *If the Application is already attested, select the checkbox to confirm that you understand that assigning a new Actuary invalidates the attestation and that the newly assigned Actuary must attest the Application.
- 6. Select **Continue** to proceed or select **Cancel** to return to the Actuary Maintenance page.

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again after the new Albury is assigned.		APPENDATION INFORMATION
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If the Actuary is found:

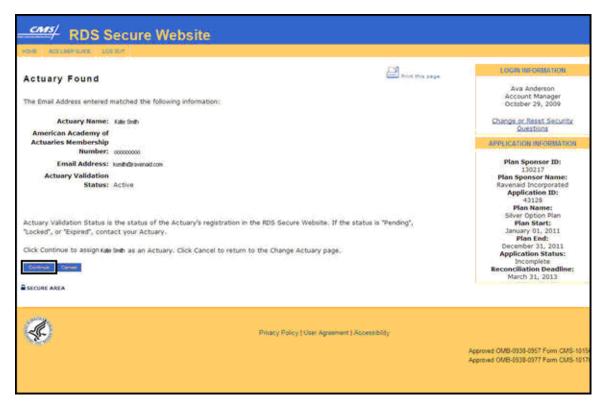
On the Actuary Cannot Use page:

1. Select Return to Change Actuary to search again for a different Actuary.

RDS Secure Website	
Actuary Cannot Use Descent address entered was found, but is already associated with an active user holding a different RDS Secure Website user for the user cannot be assigned as an Actuary. Mame: Brain Hill Email Address: bhilly travenation Clock Return to Change Actuary to search again. Mark Charge Network	AVX Anderson Account Manager October 29, 2009 Change or Reset Security Questions APPOLICATION INFORMATION Plan Sponsor ID: 130217 Plan Sponsor Name: Ravenaid Incorporated Application ID: 43128 Plan Name: Silver Option Plan Plan Start: January 01, 2011 Plan End: December 31, 2011 Application Status: Incomplete Reconciliation Deadline; March 31, 2013
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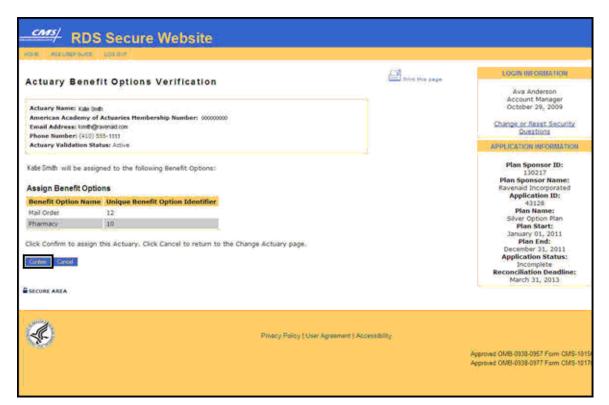
On the Actuary Found page:

1. Select **Continue** to assign the user as an Actuary or select **Cancel** to return to the Change Actuary page to search again for a different Actuary.



On the Actuary Benefit Options Verification page:

2. Select **Confirm** to proceed with assigning this user as an Actuary or select **Cancel** to return to the Change Actuary page to search again for a different Actuary.



On the Actuary Benefit Options Confirmation page:

3. Select **Continue** to proceed to the Actuary Maintenance page.

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If the Actuary is not found:

On the Actuary Not Found page:

1. Select Assign New Actuary to proceed with assigning this person as an Actuary or select Return to Change Actuary to search again for a different Actuary.

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Actuary Not Found	Division this page.	LOGN INFORMATION
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Email Address: katie@ravenaid.com		Change or Reset Security Questions
Click Assign New Actuary to assign a new Actuary. Click Retu	m to Change Actuary to search again.	APPLICATION INFORMATION
Alloyn Bro Vislan		Plan Sponsor ID: 130217 Plan Sponsor Name: Ravenal Incorporated Application ID: 43128 Plan Name: Silver Option Plan Plan Stort: January 01, 2011 Plan End: December 31, 2011 Application Status: Incomplete Reconciliation Deadline: March 31, 2013
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On the Assign New Actuary page:

An * indicates a required field.

- 2. *Enter the First Name.
- 3. Enter the Middle Initial.
- *Enter the Last Name.
 *Enter the American Academy of Actuaries Membership Number.
- 6. Select Continue to proceed or select Cancel to return to the Change Actuary page to search again for a different Actuary.

NE RECERCICE LOSIES		
Assign New Actuary Inter the required information to assign a new Actuary. In * Indicates a required field. Essail Address: katie@ravenaid.com Actuary Information **First Name @ fate Middle Initial @ **Last Name @ first *American Academy of @ 000000000 Actuaries Membership Number Number Number Nuck Continue to assign the new Actuary. Click Cancel to reture secure Actuary	n to the Change Actuary page.	2.0004:15070784377009. Ava Anderson Account Manager October 29, 2009 Change of Best Security Questions APPER Article MP OffMarGor Plan Sponsor ID: 130217 Plan Sponsor Name: Ravenad Incorporated Application ID: 43128 Plan Name: Silver Option Plan Plan Start: January 01, 2011 Plan Eds: December 33, 2011 Application Status: Incomplete Reconciliation Deadline: March 31, 2013
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On the Actuary Verification page:

7. Select **Confirm** to confirm the assignment of the Actuary to all listed Benefit Options or select **Cancel** to return to the Change Actuary page.

Actuary Verification Warning • Assigning a new Actuary will invalidate a previously attested Application. The new Actuary must attest the Application. First Name: Katie Middle Initial:	And the sage	Plan Sponsor ID:
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		43128
Last Name: Smith		Plan Name: Silver Option Plan
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Kale Smith will be assigned to the following Benefit Options:		Incomplete Reconciliation Deadline: March 31, 2013
Assign Benefit Options		
Benefit Option Name Unique Benefit Option Identifier		
Mal Order 12		
Pharmacy 10		
lick Confirm to assign this Actuary. Click Cancel to return to the Change Actuary page.		
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		Approved OMB-0938-0957 Form CMS-

On the Actuary Confirmation page:

8. Select **Continue** to return to the Actuary Maintenance page.

Note: When the Actuary is assigned, an email is sent to the Actuary indicating assignment to the Application and instructing that they must attest to the Medicare Part D equivalence of the plan.



Changing An Actuary When Multiple Actuaries Are Assigned

On the Application List page:

1. Select an **Application ID** or select **View Application** from the Actions dropdown menu then select the **Go** button.

On the Application Status page:

2. Select Step 3: Assign Actuary.

On the Multiple Actuary Maintenance page:

3. Select **Change Actuary** from the Actions dropdown for the Benefit Option to be unassigned then select the **Go** Button.

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					<u>a</u>		FORM MECONIATION
Click on Benefit (lect Benefit Option			ue to assign an Actuary to t		Ava Anderson Account Manager Deleter 29, 2009 Change or Reset Security Duestions
Select U	hassign Actuary from the A	Actions dropdown m	enu and click Go to	o remove this Actuary	's assignment from a Benefit	Option.	APPLICATION IN DRIVATION
	Actuary's name to view Ac Benefit Options	tuary Information a	nd assigned Benef	t Options.			Plan Sponsor ID: 130217 Plan Sponsor Nanset Revensed Incorporated Application ID:
	Benefit Option Name Hail Order Pharmacy	Option Identifier	Actuary Name UseStation Net Assigned	Attention State Not Attented Not Attented	n Actions Charge Actuary 1		43128 Plan Name: Silver Option Plan Plan Start: Jahnary 01, 2003 Plan End: December 31, 2011 Application Startes: Deconciliation Decelline: Percentiliation Decelline:
¢)			Praty Policy (See A	gaanaat j ki canabiliy		aproved CARD-0358-0857 Form CARD-10 aproved CARD-0338-0877 Form CARD-10

On the Change Actuary page:

An * indicates a required field.

- 4. *Enter the Email Address.
- 5. *If the Application is already attested, select the checkbox to confirm that you understand that assigning a new Actuary invalidates the attestation and that the newly assigned Actuary must attest the Application.
- 6. Select **Continue** to proceed or select **Cancel** to return to the Multiple Actuary Maintenance page.

None Locator Change Actuary Warning By completing this process, you are unassigning an Actuary on an Application that has been previously Attested. Click the checkbox to confirm that you understand that the Application must be attested again after the new Actuary is assigned. Actuary Information 	Diret this sage	ECOSIN INFORMATION Ava Anderson Account Manager October 29, 2009 Change or Reset Security Duestions APPR CATION INFORMATION Plan Sponsor ID:
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Attested. Click the checkbox to confirm that you understand that the Application must be attested again after the new Actuary is assigned.		APPLICATION INFORMATION Plan Sponsor ID:
		Plan Sponsor ID:
Actuary Information		
Actuary Name: Kale Smith American Academy of Actuaries Membership Number: cococcoo Email Address: kunifighteenad.con Attestation Status: Aleded		130217 Plan Sponsor Name: Ravenaid Incorporated Application ID: 43128 Plan Name: Silver Opton Plan Plan Start: January 01, 2011 Plan End: December 31, 2011 Application Status: Incomplete Reconciliation Deadline: March 31, 2013
Benefit Options		
Benefit Option Name Unique Benefit Option Identifier		
Mail Order 12		
Pharmacy 10		
The RDS Secure Website allows an individual to act in only one role at a time. Enter an Email Address to detern individual is an established RDS Secure Website user.	sine if this	
An * indicates a required field.		
"Email Address 0		
C *Click the checkbox to confirm that you understand that assigning a new Actuary will invalidate a previous Application. The new Actuary must attest the Application.	ly attested	
Click Continue to proceed with the Reassign Actuary process. Click Cancel to return to the Multiple Actuary Ma	intenance page.	
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If the Actuary is found:

On the Actuary Cannot Use page:

1. Select Return to Change Actuary to search again for a different Actuary.

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Actuary Cannot Use	Execution page Execution Provide Types
The Email Address entered was found, but is already associated with an active user holder role. This user cannot be assigned as an Actuary. Ramer, Brian Hill	p a different RDS Secure Weblite user October 29, 3009 Charles 78, 560-000 Dester 29, 3009 Charles 78, 560-0000 Dester 20, 3009
Email Address: bhild townstoon	APPRICATE IN THE APPRICATION
Gick Results to Change Actuary to search again.	Plan Spensor ID: 130027 Plan Spansor Hanser Rosenad Incorported Agging State of the Spansor State Option Plan Plan Reset Sher Option Plan Plan Reset Sher Option Plan Plan Reset Sher Option Plan Plan State Second State December 31, 2011 Aggingtation Market Becondistion Decilines Harch 32, 2001
& SECURE AREA	
Policy Delay (196	n Aguannur () Normalaite) Agenoue (MB-4031-0317 Fam CMS- agenoue (MB-918)-937 Fam CMS-

On the Actuary Found page:

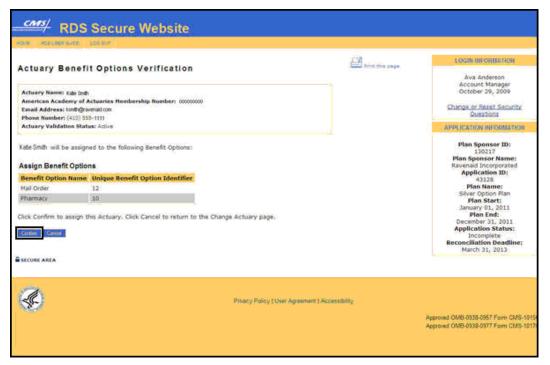
1. Select **Continue** to proceed with assigning this user as an Actuary or select **Cancel** to return to the Change Actuary page to search again for a different Actuary.

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Actuary Found	Drint this sage	LOGIN INFORMATION
The Email Address entered matched the following information:		Account Manager October 29, 2009
Actuary Name: Kate State		Change or Reset Security Questions
Actuaries Membership Number: 00000000		APPLICATION INFORMATION
Email Address: kuntugraverad.com Actuary Volidation Status: Active Actuary Validation Status is the status of the Actua	ry's registration in the RDS Secure Website. If the status is 'Pending',	Plan Sponsor ID: 130217 Plan Sponsor Name: Ravenad (ncorporated Application ID: 43128 Plan Name: Silver Option Plan Plan Start:
"Locked", or "Expired", contact your Actuary. Click Continue to assign Kae Smith as an Actuary. Click		January 01, 2011 Plan End: December 31, 2011 Application Status: Incomplete Reconciliation Deadline: March 31, 2013
SECORE AREA.	Privacy Policy (User Agreement) Accessibility	Approved OMB-0938-0957 Form CMS- Approved OMB-0938-0977 Form CMS-

On the Actuary Benefit Options Verification page:

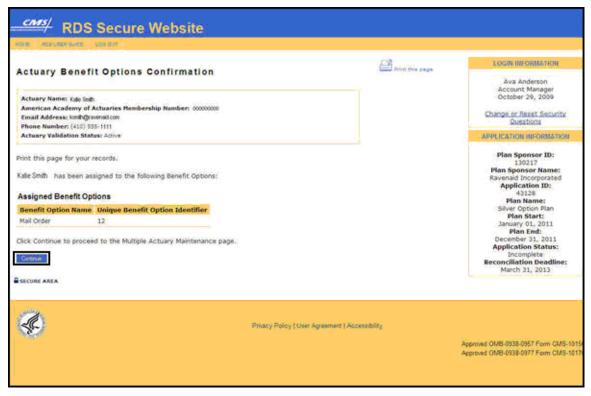
2. Select **Confirm** to proceed with assigning this user as an Actuary or select **Cancel** to return to the Change Actuary page to search again for a different Actuary.

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On the Actuary Benefit Options Confirmation page:

3. Select **Continue** to proceed to the Multiple Actuary Maintenance page.



If the Actuary is not found:

On the Actuary Not Found page:

1. Select **Assign New Actuary** to proceed with assigning this person as an Actuary or select **Return to Change Actuary** to search again for a different Actuary.

548 REFERENCEMENT LOGIST			
ctuary Not Found		and this sage	LOGIN INFORMATION
he Email Address entered was not found. Email Address: katie@ravenaid.com			Ava Anderson Account Manager October 29, 2009 Change or Reset Security Duestions
ick Assign New Actuary to assign a new Actuary. Cl	ck Return to Change Actuary to search again.		APPLICATION INFORMATION
SECURE AREA			Plan Sponsor ID: 130217 Plan Sponsor Name: Ravenaid Incorporated 43128 Plan Name: Silver Option Plan Plan Name: January 01, 2011 Plan End: December 31, 2011 Application Status: Incomplete Reconciliation Deadline: March 31, 2013
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On the Assign New Actuary page:

An * indicates a required field.

- 2. *Enter the First Name.
- 3. Enter the Middle Initial.
- 4. *Enter the Last Name.
- 5. *Enter the American Academy of Actuaries Membership Number.
- 6. Select **Continue** to proceed or select **Cancel** to return to the Change Actuary page to search again for a different Actuary.

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ssign New Actuary		E Print the page	Ava Anderson Account Manager
nter the required information to assign a new Act	uarý.		October 29, 2009
n * indicates a required field. Email Address: katie@ravenaid.com			Change or Reset Security Questions
Actuary Information			APPLICATION INFORMATION
"First Name © Katie Middle Initial © "Last Name © Smith "American Academy of © 000000000 Actuaries Membership Number lick Continue to assign the new Actuary: Click Cat Concurrence	ncel to return to the Change Actuary page.		Plan Sponsor ID: 130217 Plan Sponsor Name: Ravenaid Incorporated Application ID: 4328 Plan Name: Ssiver Option Plan Plan Start: January 01, 2011 Plan End: December 31, 2011 Application Status: Incomplete Reconciliation Deadline: March 31, 2013
¢	Privacy Policy User Agreement 5 Accesso	biny.	Approved DMB-6938-6967 Form CMS Approved DMB-6938-6977 Form CMS

On the Actuary Verification page:

7. Select **Confirm** to confirm the assignment of the Actuary or select **Cancel** to return to the Assign Actuary to Selected Benefit Options page.

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ctuary Verification	Print Die gage	LOGIN INFORMATION
Warning	1	Ava Anderson Account Manager October 29, 2009
 Assigning a new Actuary will invalidate a previously attested Application. The new Actuary must attest the Application. 		Change or Reset Security Questions
		APPLICATION INFORMATION
eview the Actuary information. First Name: Katje Middle Initial; Last Name: Smith American Academy of Actuaries Membership Number: 0000000 Email Address: kueltgraveration Kate Smith will be assigned to the following Benefit Options: Assign Benefit Options		Plan Sponsor ID: 130317 Plan Sponsor Name: Ravenad Incerporated Application ID: 43128 Plan Name: Silver Option Plan Plan Start: January 01, 2011 Plan End: December 31, 2011 Application Status: Incomplete Reconciliation Deadline: March 31, 2013
enefit Option Name Unique Benefit Option Identifier Ial Order 12		
ck Confirm to assign this Actuary. Click Cancel to return to the Assign Actuary to Selected Benefit Op	bons page.	
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On the Actuary Confirmation page:

8. Select **Continue** to proceed to the Multiple Actuary Maintenance page.

Note: When the Actuary is assigned, an email is sent to the Actuary indicating assignment to the Application and instructing that they must attest to the Medicare Part D equivalence of the plan.



Unassigning An Actuary When A Single Actuary Is Assigned

On the Application List page:

1. Select an **Application ID** or select **View Application** from the Actions dropdown menu then select the **Go** button.

On the Application Status page:

2. Select Step 3: Assign Actuary.

On the Actuary Maintenance page:

3. Select **Unassign Actuary** or select **Return to Application Status** to return to the Application Status page.

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Actuary Information			Ava Anderson Account Manager October 29, 2009
Actuary Name: Kdo Sni	ń		Change or Reset Security Questions
	Actuaries Hembership Number: 00000000		APPLICATION INFORMATION
Email Address: Isstift/Drawnal.com Phone Number: (410) 555-1111 Actuary Validation Status: Attive Attestation Status: Attested Benefit Options			Plan Sponsor ID: 130217 Plan Sponsor Name: Ravenaid Incorporated
			Application ID: 43128
enefit Option Name	Unique Benefit Option Identifier		Plan Name: Silver Option Plan
fail Order	12		Plan Start: January 01, 2011
Pharmacy 10 Sick Change Actuary to assign a different Actuary to the Application. Sick Unassign Actuary to remove this Actuary's assignment from this Application.			Plan End: December 31, 2011 Application Status: Incomplete Reconciliation Deadline: March 31, 2013
ick Assign Multiple Ac	tuaries to assign different Actuaries to dif	ferent Benefit Options.	
Change Automy Int	ungi Antony dange Matata Antonia	Hernard to disinformation Descent	
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On the Unassign Actuary Verification page:

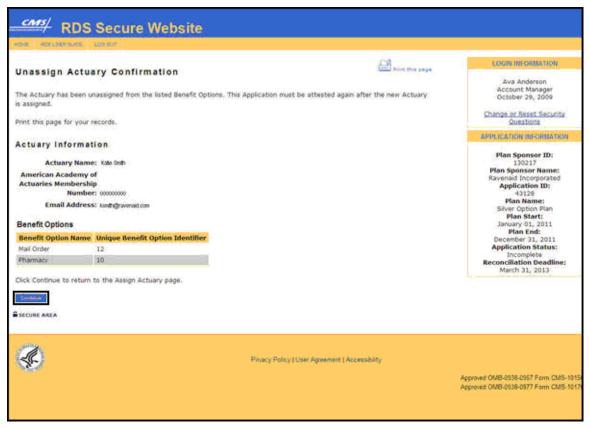
An * indicates a required field.

- 4. *If the Application is already attested, select the checkbox to confirm that you understand that assigning a new Actuary invalidates the attestation and that the newly assigned Actuary must attest the Application.
- 5. Select **Confirm** to proceed or select **Cancel** to return to the Actuary Maintenance page.

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Unassign Actuary Verification	and the star page.	COURT OF COMMITTEE
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 By completing this process, you are orised pring an Application that her been processly attached. One the develops to confirm that you understand that the Application must be attached 		Charge or Nexet Security Quantum
again after the new Actuary is assigned.		APPENDATION INFORMATION
Review the Actuary Information and Benefit Options To Be Unassigned. An " indicates a required field. Actuary Information Actuary Information Actuaries Academy of Actuaries Meetinguide Mandem comment Emetio Advinces: Unada Advinces		Plan Sponsor ID: 30317 Plan Sponsor Name: Rowend Stopparated Application ID: 4328 Plan Start January 01, 2001 Application Storas: Bene Fed. Stora Start: January 01, 2001 Application Storas: Becomplete Rector 32, 3623
Benefit Options To Be Unassigned Benefit Option Name: Beloge Benefit Option Identifier Toli Orde: 12 Pharmacy 10		
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On the Unassign Actuary Confirmation page:

6. Select **Continue** to return to the Assign Actuary page.



Unassigning An Actuary When Multiple Actuaries Are Assigned

On the Application List page:

1. Select an **Application ID** or select **View Application** from the Actions dropdown menu then select the **Go** button.

On the Application Status page:

2. Select Step 3: Assign Actuary.

On the Multiple Actuary Maintenance page:

3. Select **Unassign Actuary** from the Actions dropdown for the Benefit Option to be unassigned then select the **Go** button.

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Click one o Benefit Opr	In Actuary Main or more checkboses to se done. ange Actuary from the Ac	elect Benefit Options			e te anaige an Actuary	to these	Ava Anderson Account Manager Deleter 29, 2009 Change or Reset Security Durations
Select Una	assign Actuary from the A	Actions dropdown me	enu and click Go to	remove this Actuary's	assignment from a live	inefit Option.	APPLICATION INFORMATION
Click an Actuary's name to view Actuary Information and assigned Benefit Options. Assign Benefit Options					_	Plan Sponsor ID: 130217 Plan Sponsor Name: Ravenaid Incorporated Application ID:	
Check/ Uncheck	Benefit Option Name	Unique Besselit Option Identifier	Actuary Name	Attentation Status	Actions		43128 Plan Norme:
	Mail Order	12	Kide Shift	Not Attested	Unessign Actuary 2	iller -	Silver Option Plan Plan Start:
Course and Course and	Pharmacy Crockel and Super-Valman Sectors	58	Not Assigned	Not Attested	Select One	96 	January 01, 2015 Plan End: December 31, 2011 Application Status: Decembring Reconciliation Decadime: March 31, 2013
R SECOND AR	64						
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On the Unassign Actuary Verification page:

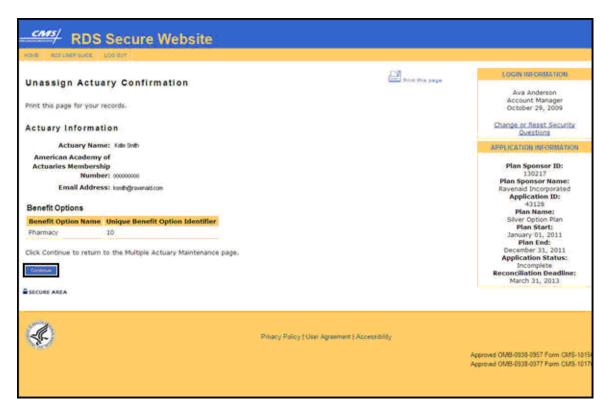
An * indicates a required field.

- 4. *If the Application is already attested, select the checkbox to confirm that you understand that unassigning the Actuary invalidates the attestation and the new Actuary must attest the Application after being assigned.
- 5. Select **Confirm** to proceed or select **Cancel** to return to the Multiple Actuary Maintenance page.

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Unassign Actuary Verification	Commonwinger
Review the Actuary Information and Benefit Options To Be Unassigned.	Ava Anderson Account Manager October 29, 2009
Actuary Information	Change or Beset Security Questions
Actuary Name: Kile Smb	APPLICATION INFORMATION
American Academy of Actuaries Membership Number: 00000000 Email Address: tastigravenation Benefit Options To Be Unassigned	Plan Sponsor ID: 130217 Plan Sponsor Name: Ravenad Incorporated Application ID: 43128 Plan Name: Silver Option Plan Silver Option Plan Plan Start: January 01, 2011 Plan End:
Benefit Option Name Unique Benefit Option Identifier Pharmacy 10 Cick Confirm to unassign this Actuary from the listed Benefit Options, Cick Care page. Control Internet SECURE AREA	December 33, 2011 Application Status: Incomplete Reconciliation Deadline: March 31, 2013
Prince	/ Policy [User Agreement] Accessibility Approved OMB-0938-0957 Form CMS-1015 Approved OMB-0938-0977 Form CMS-1017

On the Unassign Actuary Confirmation page:

6. Select **Continue** to return to the Multiple Actuary Maintenance page.



Managing Electronic Funds Transfer (EFT) Information

EFT Information must be maintained on the Application for CMS' RDS Center to send subsidy payments to the Plan Sponsor's bank. The Plan Sponsor may change EFT Information at their discretion or after CMS' RDS Center sends an email notification of payment or pre-note failure due to invalid or missing banking information. CMS' RDS Center validates certain information including Account Type, Account Number, and Bank Routing Number. If CMS' RDS Center is unable to validate certain banking information, the Application is marked "Application Error" and the EFT section of the Application is marked "Error - Needs Attention" and the Plan Sponsor is notified by email.

Notes:

- If the Account Type, Account Number, or Bank Routing Number is changed, the Authorized Representative must re-sign the Plan Sponsor Agreement. Changing this information impacts CMS' RDS Center's ability to process the EFT Information and may cause the pre-note to fail.
- If information other than the Account Type, Account Number or Bank Routing Number is changed the Plan Sponsor Agreement does not need to be re-signed and the terms and conditions of the original Plan Sponsor Agreement remain unchanged.

Some helpful hints when changing EFT Information are:

• Verify with your internal finance department that the bank has not merged or been purchased by another bank. If so, the Bank Routing Number may have changed.

- Verify with your internal finance department that the Bank Routing Number is for ACH (Automated Clearing House), not Wire Transfers.
- Verify with your internal finance department that the account is active.

Change Electronic Funds Transfer (EFT) Information On An Application After Submission

EFT Information may be changed on submitted Applications in any of the following statuses: "Approved", "Application Error", and "EFT Re-sign Application".

On the Application Status page:

1. Select Step 5: Electronic Funds Transfer (EFT) Information.

On the View Electronic Funds Transfer (EFT) Information page:

2. Select Edit to make changes or select Cancel to return to the Application Status page.



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On the Edit Electronic Funds Transfer (EFT) Information page:

- 3. Enter the updated information.
- 4. Select **Continue** to proceed and return to the Application Status page. Select **Clear Form** to remove all data from this form. Select **Cancel** to return to the Application Status page.

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Edit Electronic Funds Transfer (EFT) Information Enter the required information to complete the Electronic Funds Transfer informati	Ava Anderson Account Manager
An.* indicates a required field.	Change or Result Security Questions
Account Information	Plan Sponsor ID
*Bank Name O Useed Bank	130317 Plan Sponsor Name:
*Account Type O Checking	Revenued Incorporated Application ED:
*Organization Name @ Revenaid Associated with Account	43120 Plan Name: Silver Option Plan
*Account Number 🔍 5	Plan Start: January 01, 2013
*Re-enter Account Number 9 5	Plan End: December 31, 2011
*bank Foulting Number 9 10	Application Status: Incomplete
*Re-enter Bank Routing @ [10 Number	Reconciliation Deadline: March 31, 2013
Bank Contact Information	
*First Name O Paul	
Midde Initial O	
*Last Name S Adams	
*Phone Number 0 (410) 555 - 1211 Extension 0	7
Fax Number 9 () -	
Email Address 🔮 adams@revensid.com	
Re-enter Email Address 🛛 padams@ravenaid.com	
Bank Address	
*Street Line 1 🔮 23 Back Street	
Street Line 2 0	
*City O Baltmore	
*State • MARINAND	
*2p Code 0 21215 -	
Click Continue to proceed with the Application Submission Process. Click Clear For data from this form. Click Cancel to return to the View Electronic Funds Transfer (Information page.	
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E SECURE AREA	
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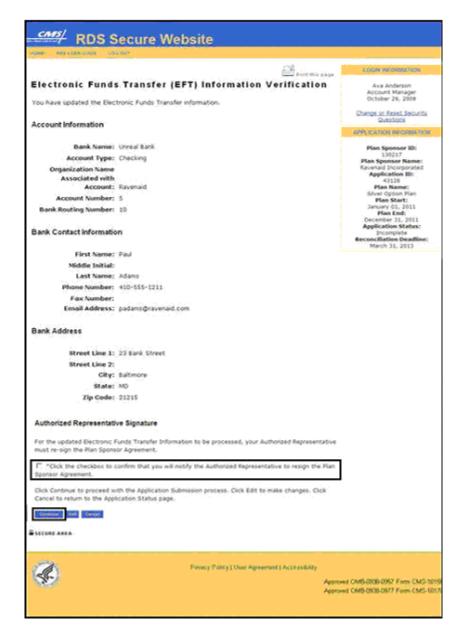
Note: Verify with your internal finance department that the EFT banking information is correct before you submit the information to the RDS Secure Website. After confirming the EFT banking information internally, exercise care when entering it to ensure prompt verification of the EFT Information and avoid rework on your Application.

On the Electronic Funds Transfer (EFT) Information Verification page:

- 5. Review the information.
- 6. Select the checkbox to confirm that you notified the Authorized Representative to re-sign the Plan Sponsor Agreement.

Note: The checkbox is enabled only if the Account Type, Account Number, or Bank Routing Number is changed. If information other than the Account Type, Account Number or Bank Routing Number is changed the Plan Sponsor Agreement does not need to be re-signed and the terms and conditions of the original Plan Sponsor Agreement remain unchanged.

7. Select **Continue** to proceed, select **Edit** to make changes or select **Cancel** to return to the Application Status page.



Impact To The Application When EFT Information Is Changed

EFT Information may be changed on submitted Applications in any of the following statuses: "Approved", "Application Error", and "EFT Re-sign Application".

The following 3 scenarios outline how an Application is processed after EFT Information on an Application is changed and sent to CMS' RDS Center for processing:

Scenario 1: Plan Sponsor changes Account Type, Account Number, or Bank Routing Number

When the Account Type, Account Number or the Bank Routing Number is changed, an email notification is sent to the Authorized Representative stating that changes have been made to EFT Information. The Authorized Representative must view, re-sign, and re-submit the Application in order for the EFT validation to be performed. The Application status changes to "EFT Re-sign Application" until the Authorized Representative validates this information by re-signing the Plan Sponsor Agreement. After the Application is re-submitted with the new EFT Information, the Application is placed back into the "Submitted" status until the this revised EFT Information can be verified by CMS' RDS Center.

Scenario 2: Plan Sponsor changes EFT Information other than Account Type, Account Number, or Bank Routing Number or does not change EFT Information while the Application is currently in "Approved" status and the EFT section is in "Verified" status.

If any information on the Edit Electronic Funds Transfer (EFT) Information page not including the Account Type, Account Number or Bank Routing Number is changed, the information is submitted and does not require the Authorized Representative to re-sign the Application. After the EFT Information Verification page is confirmed, the Application section and EFT section statuses do not change. The information is re-saved and the Application is then placed in an "Approved' status.

Scenario 3: Plans Sponsor changes EFT Information other than Account Type, Account Number, or Bank Routing Number or does not change EFT Information while the Application is currently in "Application Error" status and the EFT section is in "Error – Needs Attention" status.

This scenario results after the pre-note fails because of a bank processing error. The Plan Sponsor should select the Account Type, re-enter the Account Number and re-enter the Bank Routing Number on the Edit EFT Information page. The Application is then set to an "Approved" status if the Application was previously "Approved" or set to "Submitted" if pending approval. The EFT section is set to "Verification Pending". The pre-note is generated and sent to the Plan Sponsor's bank. After the pre-note is successful, the EFT section is set to "Verified" status.

Communication Of EFT Information Changes To The Plan Sponsor

- An email confirmation of Application changes is sent to the Authorized Representative, Account Manager, and Designee with Complete Electronic Funds Transfer Information privilege only when EFT Information including Account Type, Account Number, or Bank Routing Number is modified.
- An email notification regarding EFT failures are sent to the Authorized Representative, Account Manager, and Designee with Complete Electronic Funds Transfer Information privilege.
- CMS' RDS Center recommends that the Plan Sponsor notify their bank prior to CMS' RDS Center sending a \$0 pre-note for approval.

Managing The Account Manager And Authorized Representative Roles

The Plan Sponsor must maintain an active and current Account Manager and Authorized Representative on the Plan Sponsor account to participate in CMS' RDS Program. These roles may be reassigned to other individuals by the existing Account Manager and Authorized Representative. The new Account Manager or Authorized Representative have responsibilities for all Applications. For more information on reassigning roles go to: <u>Reassigning Or Terminating RDS Secure Website User Roles</u>.

Note: An <u>Authorized Representative Verification Form</u> for the new Authorized Representative must be submitted.

Managing Designees Through The Application Lifecycle

Designee assignments and privileges should be reviewed throughout the Application Lifecycle. After submission of the initial Application, Designee(s) may be necessary to manage retiree information, banking information, or an Appeal. As the Plan Sponsor moves toward subsequent steps in the Application Lifecycle, Designee(s) should be considered for reporting costs, requesting interim payments, and preparation of the Final Reconciliation Request. For more information on managing Designees go to: <u>Designee Maintenance</u>.

Deleting An Application

At this time, the feature to delete an Application is not available. CMS' RDS Center eventually deletes abandoned Applications from the RDS Secure Website, but until that time, CMS' RDS Center recommends that you determine which of the following scenarios apply to your Application and follow the provided suggestion.

Scenario 1: Submitted an Application and a retiree list, and received a Retiree Response File from CMS' RDS Center, but have not and will not submit a subsidy Payment Request.

It is imperative that Plan Sponsors who submitted an Application, a Valid Initial Retiree List, and received a Retiree Response File from CMS' RDS Center, but have not and will not submit a subsidy Payment Request, send a Monthly Retiree List with a delete transaction for all the retirees associated with that Application. This ensures that each retiree's Subsidy Period is deleted in the Medicare Beneficiary Database (MBD). Once the retiree list is sent with the delete transactions for all the associated retirees, the Plan Sponsor may abandon the Application. Contact <u>CMS' RDS Center Help Line</u> to notify them that no subsidy payment will be requested.

Scenario 2: Submitted an Application, but never submitted a Valid Initial Retiree List.

Plan Sponsors who had their Authorized Representative submit an Application, but never submitted a retiree list may abandon the Application. Contact <u>CMS' RDS Center Help Line</u> to notify them that no subsidy payment will be requested.

Scenario 3: Started an Application, but was never submitted.

Plan Sponsors who started an Application, but never had their Authorized Representative submit it to CMS' RDS Center may abandon the Application. Contact <u>CMS' RDS Center</u> <u>Help Line</u> to notify them that no subsidy payment will be requested.

Scenario 4: Already been paid, but want to withdraw.

Plan Sponsors should remit payment to CMS' RDS Center immediately upon withdrawing. This is considered an overpayment, meaning monies are owed to CMS' RDS Center, and CMS initiates proceedings to recover the funds. For more information, go to: <u>Reconciliation</u> User Guide Chapter 9: Satisfying An Overpayment.

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Information That May Not Be Changed

The following information may not be changed after submitting an Application:

Plan Information (including Plan Year Start/End Date and Plan Description)

- The Plan Description is not relevant to CMS' RDS Center and is not used for any reason other than to provide a reference to the Application ID that is generated by the Plan Name and Plan Start/End Dates as defined in the Application. Consequently, a Plan Sponsor cannot change the Plan Name in its Application once it is defined and submitted to CMS' RDS Center.
- If the Plan Year Start/End Dates on the submitted Application are incorrect, the Plan Sponsor must contact <u>CMS' RDS Center Help Line</u>.

Benefit Option - It is not possible to add, delete, rename, or change the Benefit Option once the Application has been submitted to CMS' RDS Center, except for changing the Benefit Option Type.

- If you need to remove a Benefit Option from your approved Application, it is necessary only to remove the retirees from that Benefit Options. For more information on removing retirees go to: <u>Managing Retiree Information</u>.
- When determining if it is necessary to ignore a Benefit Option previously defined in the Application, remember to consider any impact to the actuarial attestation previously provided to CMS' RDS Center for that Application. The Application still needs to pass the actuarial equivalence test. If a Benefit Option needs to be added to an approved Application, contact <u>CMS' RDS Center Help Line</u> for assistance.

Assign Actuary - Once the Actuary completes and submits the online actuarial equivalence test and the Application is submitted, the Plan Sponsor may not change the Actuary assigned to the Application.

Attestation Summary - Once the Actuary completes and submits the online actuarial equivalence test and the Application is submitted, the actuarial attestation may not be changed. However, if it is later determined that the plan and/or a Benefit Option do not pass the actuarial equivalence test, the Plan Sponsor must contact <u>CMS' RDS Center Help Line</u>.

Payment Frequency - Once the Application is submitted, the payment frequency cannot be changed. The chosen payment frequency applies to the Application for the entire plan year, and the Plan Sponsor may select a different payment frequency when applying for the next plan year.

Plan Sponsor Agreement - Once the Authorized Representative signs and submits the Plan Sponsor Agreement, the Plan Sponsor Agreement may not be withdrawn.

If the Account Type, Account Number or the Bank Routing Number is changed on the EFT Information page, the Authorized Representative must view, re-sign, and re-submit the Plan Sponsor Agreement to CMS' RDS Center. If a new Authorized Representative is assigned to the Application, the Plan Sponsor Agreement does not need to be re-signed - the terms and conditions of the original Plan Sponsor Agreement remain unchanged.

Re-apply For A New Plan Year With An Existing Plan Sponsor ID

Introduction To Re-applying For A New Plan Year With An Existing Plan Sponsor ID

Plan Sponsors who have previously participated in the Retiree Drug Subsidy (RDS) Program and wish to continue to participate must submit a timely RDS Application prior to the expiration of the Application Deadline. For more information about the Application Deadline, including what is required to be submitted by the Application Deadline, go to: <u>Important Application Deadline</u> Information.

Did You Know?

- Plan Sponsors do not have to register a new Plan Sponsor ID every plan year. Plan Sponsors should start each new Application using their existing Plan Sponsor ID.
- Existing RDS Secure Website users (Authorized Representative, Account Manager, Designee, and Actuary) do not have to re-register their user roles each plan year, as long as the users remain in the same role as the previous year. For more information about changing user roles, go to: <u>Reassigning Or Terminating RDS Secure Website User</u> <u>Roles</u>.

Business Advice

When re-applying to the RDS Program, the Plan Sponsor needs to re-examine the Application information that was provided the previous year.

Some items to consider when re-applying are:

- No previous Application information automatically carries over to the new Application Plan Year.
- Has the Plan Sponsor information changed? (For example: Plan Sponsor Address, Phone Number, Fax Number, Organization Type, or Website)
- Has personal information changed about the current Account Manager or Authorized Representative? (For example: Email Address, Phone Number, First Name, Last Name, or Job Title)
- Will a new person be serving as the Authorized Representative or Account Manager for the Plan Sponsor?
- Are there existing Designees who are RDS Secure Website users or new Designees who participate in the Application Submission Process? If the Designee is already registered, the Plan Sponsor requires the Designee's email address.
- What Benefit Options are to be included in the new Application Plan Year?
 - Benefit Option Name
 - Unique Benefit Option Identifier (UBOI) (For example: Rx Group Number)
 - Benefit Option Type (Self-Funded or Fully-Insured)
- Is this the Actuary who attests to the Actuarial Equivalence of the Benefit Option specified in the Application? If the Actuary is already registered, the Plan Sponsor requires the Actuary's email address.
- What bank account receives the subsidy payments?
- What is the payment frequency: Monthly, Quarterly, Interim Annual, or Annual?
- Who submits the retiree information and how does it get submitted?
 - If you are uploading using the RDS Secure Website, the Plan Sponsor may choose to assign Designees.

- If you are submitting using Vendor Mainframe to RDS Center Mainframe, The Vendor needs to inform CMS' RDS Center, establish a Technical Contact, and obtain a Vendor ID. The Vendor ID must be communicated to the Plan Sponsor.
 - For Vendors with a CMS Extranet account and a connection to CMS' RDS Center, the setup takes 1 to 2 weeks.
 - For Vendors with a CMS Extranet account, but no connection to CMS' RDS Center, the setup takes 1 to 2 months.
 - For Vendors without a CMS Extranet account, the setup takes 2 to 3 months.
- If you are submitting a Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR) using a Coordination of Benefits (COB) Contractor, the Plan Sponsor needs to contact the CMS COB Contractor at <u>COBVA@ghimedicare.com</u> to get additional VDSA or MIR information.
 - The usual timeframe for completing the agreement and testing with the CMS COB contractor is 60 to 90 days for new agreements.
 - The CMS COB contractor provides the Plan Sponsor with the VDSA information or MIR ID number.
- If you are submitting using Plan Sponsor Mainframe to RDS Center Mainframe, the Plan Sponsor needs to inform CMS' RDS Center and establish a Technical Contact.
 - For Plan Sponsors with a CMS Extranet account and a connection to CMS' RDS Center, the setup takes 1 to 2 weeks.
 - For Plan Sponsors with a CMS Extranet account, but no connection to CMS' RDS Center, the setup takes 1 to 2 months.
 - For Plan Sponsors **without** a CMS Extranet account, the setup takes 2 to 3 months.

For more information about starting a new Application, go to: Start A New Application.

For more information about the definition of a Benefit Option, go to: <u>Application And Benefit</u> <u>Options Defined</u>.

Designee Maintenance

Overview

A Designee is an authorized user of the RDS Secure Website that may perform tasks to assist the Account Manager and/or Authorized Representative in RDS Program participation and compliance. The Designee may be assigned multiple privileges to enable specific tasks to be performed. For more information about Designee privileges, go to: <u>Designee</u>.

The Designee role is optional, therefore the Plan Sponsor is not required to assign a Designee to the Application.

Managing Designees consists of the following:

- <u>Assigning a Designee</u>
- Changing a Designee's Privileges
- Deleting a Designee

User Roles - Who May Assign, Delete And Change Privileges?

- Account Manager
- Authorized Representative

Information Required Before Assigning A Designee

- Designee email address
- Designee name
- Pass Phrase
 - A Pass Phrase must be created if the Designee does not currently exist in the RDS Secure Website and the Plan Sponsor needs to add the Designee as a new user. This may be a word, short phrase, and/or numbers containing 4-30 characters.
 - This Pass Phrase must be provided to the Designee before registration, and it
 must be communicated to the Designee outside the RDS Secure Website. The
 Designee uses this Pass Phrase to complete the RDS Secure Website
 registration process.

Special Considerations

- The RDS Secure Website allows an individual to act in only one role at a time. RDS Secure Website Roles are Account Manager, Authorized Representative, Actuary, and Designee. The Designee can be assigned to multiple Plan Sponsors.
- Designee privileges are defined by the Application. Designees may be assigned different privileges on different Applications. Report Costs and Request Payment privileges may not be assigned to the same Designee.

After an individual is identified in the RDS Secure Website as a Designee, the Designee is only eligible to be reassigned to a different role if the Designee is first deleted from all Applications. Once deleted from all Applications, the Designee is terminated as an RDS Secure Website user. The individual may then be reassigned to a different role and re-invited to the RDS Secure Website. Allow one day after deleting the Designee before assigning the individual a new role. For more information about reassigning roles, go to: <u>Reassigning Or Terminating RDS Secure Website User Roles</u>.

Assign a Designee

To access the RDS Secure Website, and navigate to the Application List page, go to: <u>Appendix</u> <u>A: Access The RDS Secure Website</u>.

On the Application List page:

1. Select the appropriate Application ID.

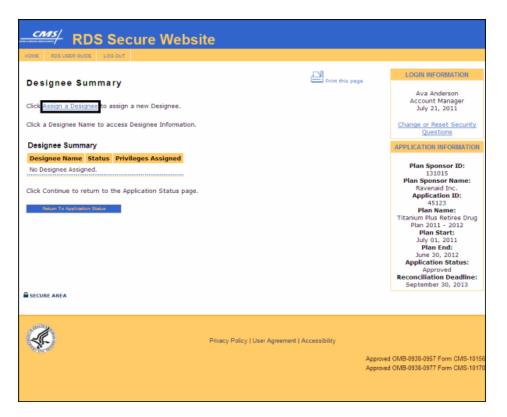
On the Application Status page:

2. Select **Assign Designee(s) (optional)** link in the Application Maintenance Options section.

RDS Secure Websit	te		
HOME HDS USER GUIDE LOG OUT			
		D.	LOGIN INFORMATION
Application Status		Print this page	LOOIN INFORMATION
Authorized Representative: Brian Hill			Ava Anderson Account Manager July 21, 2011
Account Manager: Ava Anderson			Change or Reset Security
Plan Sponsor Status: Active Reconciliation Deadline: September 30, 2013			Questions
Application Status: Approved			APPLICATION INFORMATION
Application Deadline: April 1, 2011 Valid Initial Online Application Submitted Date: July 11, 201 Valid Initial Retiree List Received Date: July 12, 2011	1		Plan Sponsor ID: 131015 Plan Sponsor Name: Ravenaid Inc.
A Retiree Drug Subsidy (RDS) Application consists of two (the Valid Initial Retiree List. Step 1 through Step 9 on this Initial Online Application and obtain information regarding t	page may be used to complete	and submit a Valid	Application ID: 45123 Plan Name: Titanium Plus Retiree Drug Plan 2011 - 2012 Plan Start:
The Valid Initial Online Application			July 01, 2011 Plan End:
The Valid Initial Online Application consists of 8 steps. A P Application, which is done by completing the first 7 steps allows the Authorized Representative to sign the Plan Spo Application to CMS' RDS Center.	of the Application Submission Pr	ocess. Step 8	June 30, 2012 Application Status: Approved Reconciliation Deadline: September 30, 2013
The Valid Initial Retiree List			
Submission Process. When Step 1 is marked "Complete", and Center. After Step 2 is marked "Complete", the Valid Initial Center. This is a collection of data about the beneficiaries subsidy. Note: Both the Valid Initial Online Application and the Valid submitted to CMS' RDS Center no later than the Application Return to this page to monitor, complete, and maintain yo Application Submission Process	l Retiree List may be submitted i for whom the Plan Sponsor has d Initial Retiree List must be con in Deadline.	to CMS' RDS applied for	
Valid Initial Online Application	Status		
 Application Number Assigned 	Complete		
 Z. Benefit Option 	Complete		
3. Assign Actuary	Complete		
✓ 4. Attestation Summary	Complete		
 5. Electronic Funds Transfer (EFT) Information 	Verified		
6. Payment Frequency	Complete		
 Retiree Electronic Data Interchange (EDI) Methods 			
V 8. Plan Sponsor Agreement	Complete		
Valid Initial Retiree List	Status		
✓ 9. <u>Valid Initial Retiree List</u>	Received		
Application Maintenance Options • Manage Retirees • Assign Designee(s)(optional) Return to Appleation Lot © SECURE AREA			
<u>ج</u>	Privacy Policy User Agreement /	Ap	proved OMB-0938-0957 Form CMS-10156 proved OMB-0938-0977 Form CMS-10170

On the Designee Summary page:

3. Select Assign a Designee link.



On the Assign Designee page:

An * indicates a required field.

- 4. *Enter the Email Address.
- 5. Select **Continue** to search for the email address or select **Cancel** to return to the Designee Summary page.

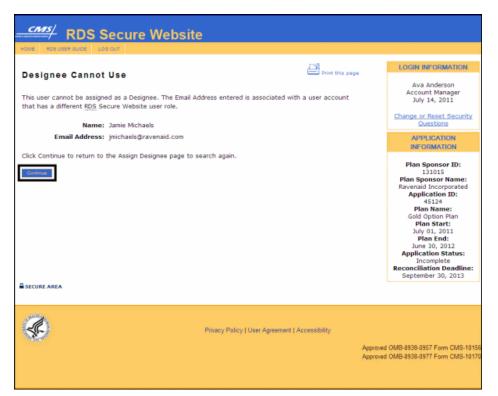


Scenario #1: Email address is found but cannot be used to assign a Designee

Reasons for this include if the email address entered is associated with a user account that already has a different RDS Secure Website user role, or if a user's RDS account is inactive.

On the Designee Cannot Use page:

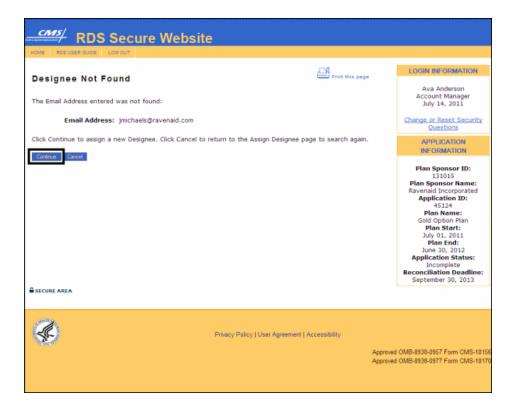
6. Select **Continue** to return to the Assign Designee page to search again.





On the Designee Not Found page:

6. Select **Continue** to proceed or select **Cancel** to return to the Assign Designee page to search again.



On the Assign New Designee page:

An * indicates a required field.

- 7. *Enter the First Name.
- 8. Enter the Middle Initial.
- 9. *Enter the Last Name.
- 10. *Enter a Pass Phrase.
- 11. *Re-enter the Pass Phrase.
- 12. Select **Continue** to proceed to the Assign Designee Privileges page or select **Cancel** to return to the Assign Designee page.

RDS Secure Website			
HOME ROSUSER GUIDE LOG OUT			
• · · · •		Print this page	LOGIN INFORMATION
Assign New Designee			Ava Anderson Account Manager July 14, 2011
An asterisk " indicates a required field.			Change or Reset Security Questions
Email Address: jmichaels@ravenaid.com			APPLICATION INFORMATION
Designee Information			Plan Sponsor ID: 131015
"First Name 🕡 Jamie			Plan Sponsor Name: Ravenaid Incorporated Application ID:
Middle Initial 🧿			45124 Plan Name:
*Last Name 🗿 Michaels			Gold Option Plan Plan Start:
"Pass Phrase 0 Goldx78 "Re-enter Pass Phrase 0 Goldx78			July 01, 2011 Plan End:
Click Continue to proceed or click Cancel to return to the Assi	gn Designee page.		June 30, 2012 Application Status: Incomplete Reconciliation Deadline: September 30, 2013
	ivacy Policy User Agreement Acce	Approved	OMB-0938-0957 Form CMS-10156
		Approved	OMB-0938-0977 Form CMS-10170

Scenario #3: Email address is found and can be used to assign a Designee

On the Designee Found page:

6. Select **Continue** to assign this Designee and proceed to the Assign Designee Privileges page or select **Cancel** to return to the Assign Designee page to search again.



On the Assign Designee Privileges page:

7. Select the checkbox next to privilege(s) you want to assign to the Designee. Select **Continue** to proceed or select **Cancel** to return to the Assign Designee page.

Note: If Report Costs, Request Payment, or View/Send/Receive Retiree Data are selected, the E-PHI Agreement page displays after selecting **Continue**. If other privileges are selected, the Assign Designee Verification page displays after selecting **Continue**.

RDS User Guides are identified by the version number and release date located on the cover page and footer. Printed or saved versions may be obsolete. Use the current version, which is always available online. Version 15: Released May 5, 2012

YORE RDS GREAT OUDE IN REPORTS LOD OUT		
	Print Him page	LOGIN INFORMATION
Assign Designee Privileges		Ava Anderson Account Manager February 6, 2012
Select one or more privileges for this Designee to perform on this Application.		Change or Reset Security Questions
Note: A Designee may not be assigned both the Report Costs privilege and the Request Payment privilege	6.	APPLICATION INFORMATION
Selected Designee		Plan Sponsor ID: 130217 Plan Sponsor Name:
First Name: Jame		Ravenaid Incorporated
Middle Initial:		Application ID: 43128
Last Name: Michaels		Plan Name: Silver Option Plan
Pass Phrase: Golds75		Plan Start:
Email Address: jmichaels@ravenaid.com		January 01, 2011 Plan End:
Designee Privileges		December 31, 2011 Application Status:
Application Submission		Incomplete Reconciliation Deadline: April 01, 2013
These privileges allow the Designee to complete tasks in the Application Submission process.		April 1 Lato
2 Assign Actuary		
Ø Define Benefit Options		
Define Payment Frequency		
V Request Extension		
Application Submission and Ongoing Maintenance		
These privileges allow the Designee to complete tasks in the Application Submission process and perfor Application throughout the Plan Year.	m ongoing maintenance on the	
2 Choose Retiree Electronic Data Interchange (EDI) Methods and Sources		
🗷 View/Send/Receive Retiree Data 🔍		
Complete Electronic Funds Transfer Information (EFT)		
 ☑ Complete Electronic Funds Transfer Information (EFT) ☑ View Attestation Summary 		
View Attestation Summary Costs and Payment These privileges allow the Designee to complete tasks for reporting costs and requesting payment.		
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 I vew Attestation Summary Costs and Payment I bese privileges allow the Designee to complete tasks for reporting costs and requesting payment. I equest Payment Tote Privileges Totes privileges allow the Designee to complete other tasks on the Application. I buthdraw Application I betes Application Cost continue to proceed or click Cancel to return to the Assign Designee page. I conte Attest 	: (Accessibility	Approved OMB-0938-0957 Form CMS-10156 Approved OMB-0938-0957 Form CMS-10156

On the E-PHI Agreement page:

 Read the E-PHI Agreement. Select Accept to authorize the Designee to access or use E-PHI associated with their Plan Sponsor's RDS Application. Select Decline to return to the Assign Designee Privileges page.

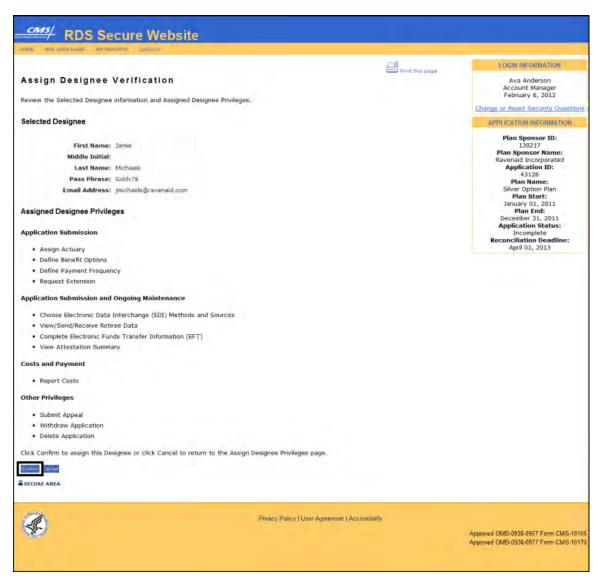
Note: To read the E-PHI Agreement, go to: Appendix D: E-PHI Agreement.

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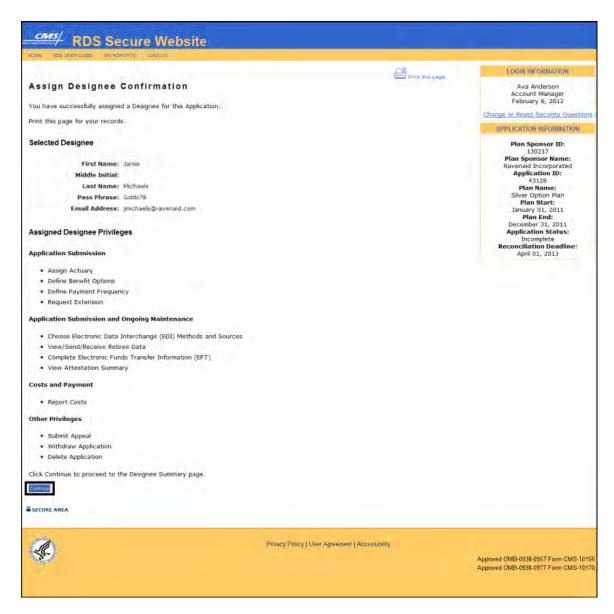
On the Assign Designee Verification page:

9. Select **Confirm** to assign the Designee or select **Cancel** to return to the Assign Designee Privileges page.



On the Assign Designee Confirmation page:

10. Select **Continue** to return to the Designee Summary page.



Changing Designee Privileges

On the Application Status page:

1. Select the Assign Designee(s) (optional) link.

RDS Secure Website			
HOME RDS USER SUICE LOS OUT			
		01	LOGIN INFORMATION
Application Status		Print this page	LOGIN INFORMATION
Authorized Representative: Brian Hill			Ava Anderson Account Manager July 21, 2011
Account Manager: Ava Anderson			Change or Reset Security
Plan Sponsor Status: Active Reconciliation Deadline: September 30, 2013			Questions
Application Status: Approved			APPLICATION INFORMATION
Application Deadline: April 1, 2011			
Valid Initial Online Application Submitted Date: July 11, 2011			Plan Sponsor ID: 131015
Valid Initial Retiree List Received Date: July 12, 2011			Plan Sponsor Name: Ravenaid Inc.
A Retiree Drug Subsidy (RDS) Application consists of two compone the Valid Initial Retiree List. Step 1 through Step 9 on this page m Initial Online Application and obtain information regarding the subm The Valid Initial Online Application	ay be used to complete	and submit a Valid	Application ID: 45123 Plan Name: Titanium Plus Retiree Drug Plan 2011 - 2012 Plan Start: July 01, 2011
			Plan End: June 30, 2012
The Valid Initial Online Application consists of 8 steps. A Plan Spor Application, which is done by completing the first 7 steps of the A allows the Authorized Representative to sign the Plan Sponsor Agr Application to CMS' RDS Center.	pplication Submission Pr	ocess. Step 8	Application Status: Approved Reconciliation Deadline: September 30, 2013
The Valid Initial Retiree List			
A Plan Sponsor must also submit a Valid Initial Retiree List to CMS' Submission Process. When Step 1 is marked "Complete", an Applica Center. After Step 2 is marked "Complete", the Valid Initial Retiree Center. This is a collection of data about the beneficiaries for who subsidy. Note: Both the Valid Initial Online Application and the Valid Initial I submitted to CMS' RDS Center no later than the Application Deadli Return to this page to monitor, complete, and maintain your Applic Application Submission Process	ation Number is assigned List may be submitted 1 Im the Plan Sponsor has Retiree List must be con ne.	l by CMS' RDS to CMS' RDS applied for	
Application Submission Process			
Valid Initial Online Application 1. Application Number Assigned	Complete		
 2. Benefit Option 	Complete		
3. Assign Actuary	Complete		
4. <u>Attestation Summary</u>	Complete		
 5. Electronic Funds Transfer (EFT) Information 	Verified		
6. Payment Frequency	Complete		
 Retiree Electronic Data Interchange (EDI) Methods and Sour 	rces Complete		
✓ 8. <u>Plan Sponsor Agreement</u>	Complete		
Valid Initial Retiree List	Status		
✓ 9. <u>Valid Initial Retiree List</u>	Received		
Application Maintenance Options Manage_Retirees Assign Designee(s)(optional) Retain to Application List Escure AREA			
Privacy	Policy User Agreement A	App	oved OMB-0938-0957 Form CMS-10156 oved OMB-0938-0977 Form CMS-10170

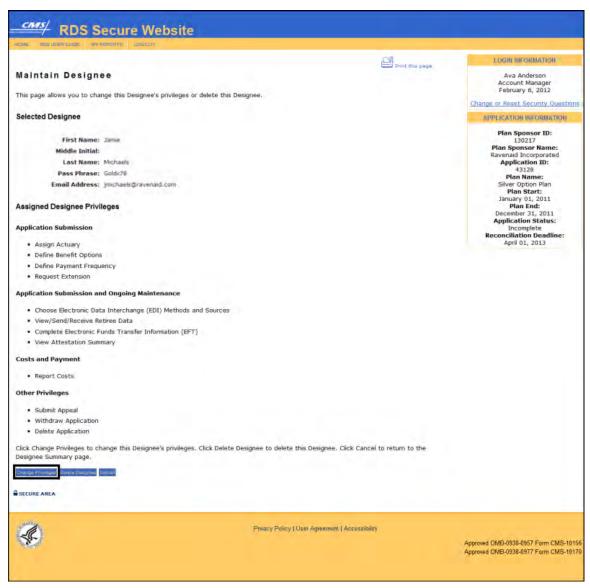
On the Designee Summary page:

2. Select the link with the name of the Designee whose privileges are changing.

	S Se	cure Website			
HOME ROS USER GUIDE					
				this page	LOGIN INFORMATION
Designee Sur	-	n a new Designee.	Phot	tris page	Ava Anderson Account Manager July 14, 2011
Click a Designee Nan	ne to acces	ss Designee Information.			Change or Reset Security Questions
Designee Summa	iry				APPLICATION
Designee Name	Status	Privileges Assigned			INFORMATION
Jamie Michaels	Pending	Assign Actuary			Plan Sponsor ID:
Ellen Adams	Active	Define Benefit Options View Attestation Summary			131015 Plan Sponsor Name:
		Application Status page.			Ravenaid Incorporated Application ID: 45124 Plan Name: Gold Option Plan Plan Start: July 01, 2011 Plan End: June 30, 2012 Application Status: Incomplete Reconciliation Deadline: September 30, 2013
۲			Privacy Policy User Agreement Accessibility		OMB-0938-0957 Form CMS-10156 OMB-0938-0977 Form CMS-10170

On the Maintain Designee page:

3. Select **Change Privileges** to change a Designee's privileges or select **Cancel** to return to the Designee Summary page.



On the Change Designee Privileges page:

 Select or unselect the checkboxes next to the privilege(s) you want to assign or unassign to the Designee. Select **Continue** to proceed or select **Cancel** to return to the Maintain Designee page.

Note: If Report Costs, Request Payment, or View/Send/Receive Retiree Data are selected, the E-PHI Agreement page displays after selecting **Continue**. If other privileges are selected, the Assign Designee Verification page displays after selecting **Continue**.

Acues albe cher outle an esporte und out	178	LOGIN INFORMATION	
Change Designee Privileges	Drint His page	Ava Anderson	
Select one or more privileges for this Designee to perform on this Application.		Account Manager February 6, 2012	
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Note: A Designee may not be assigned both the Report Costs privilege and the Request Payment privilege.	gned both the keport Costs privilege and the kequest Payment privilege,		
Selected Designee		Plan Sponsor ID: 130217	
First Name: Jamie		Plan Sponsor Name: Ravenaid Incorporated	
Middle Initial:		Application ID: 43128	
Last Name: Michaels		Plan Name:	
Pass Phrase: Golds78		Silver Option Plan Plan Start:	
Email Address: ymichaels@cavenaid.com		January 01, 2011 Plan End;	
Assigned Designee Privileges		December 31, 2011 Application Status: Incomplete	
Application Submission		Reconciliation Deadline: April 01, 2013	
These privileges allow the Designee to complete tasks in the Application Submission process.		A COMPANY	
Z Assign Actuary			
🕖 Define Benefit Options			
2 Define Payment Frequency			
Request Extension			
Application Submission and Ongoing Maintenance			
These privileges allow the Designee to complete tasks in the Application Submission process and perform ongoing maintenance on the			
Application throughout the Plan Year.			
Application throughout the Plan Year.			
Application throughout the Plan Year. I Choose Retiree Electronic Data Interchange (EDI) Methods and Sources I View/Send/Receive Retiree Data			
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Application throughout the Plan Year. Image: Choose Retiree Electronic Data Interchange (EDI) Methods and Sources Image: View/Send/Receive Retiree Data Image: Complete Electronic Funds Transfer Information (EFT)			
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Application throughout the Plan Year. Choose Retiree Electronic Data Interchange (EDI) Methods and Sources View/Send/Receive Retiree Data Complete Electronic Funds Transfer Information (EFT) View Attestation Summary Costs and Payment These privileges allow the Designee to complete tasks for reporting costs and requesting payment. Report Costs Request Payment These privileges These privileges allow the Designee to complete other tasks on the Application.			
Application throughout the Plan Year. Choose Retiree Electronic Data Interchange (EDI) Methods and Sources View/Send/Receive Retiree Data Complete Electronic Funds Transfer Information (EFT) View Attestation Summary Costs and Payment These privileges allow the Designee to complete tasks for reporting costs and requesting payment. Report Costs Request Payment Coster Privileges These privileges allow the Designee to complete other tasks on the Application. Submit Appeal Withdraw Application Delete Application Coster Application			
Application throughout the Plan Year.			
Application throughout the Plan Year.			
Application throughout the Plan Year. Choose Retiree Electronic Data Interchange (EDI) Methods and Sources View/Send/Receive Retiree Data Complete Electronic Funds Transfer Information (EFT) View Attestation Summary Costs and Payment These privileges allow the Designee to complete tasks for reporting costs and requesting payment. Report Costs Request Payment Coster Privileges These privileges allow the Designee to complete other tasks on the Application. Submit Appeal Withdraw Application Delete Application Coster Application			
Application throughout the Plan Year.			
Application throughout the Plan Year.		Approved OMB-0938-0957 Form CMS-101	

On the E-PHI Agreement page:

 Read the E-PHI Agreement. Select Accept to authorize the Designee to access or use E-PHI associated with their Plan Sponsor's RDS Application. Select Decline to return to the Change Designee Privileges page.

Note: To read the E-PHI Agreement, go to: Appendix D: E-PHI Agreement.

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On the Change Designee Privileges Verification page:

6. Select **Confirm** to assign these privileges to the Designee or select **Cancel** to return to the Change Designee Privileges page.



On the Change Designee Privileges Confirmation page:

7. Select **Continue** to return to the Designee Summary page.



Deleting a Designee

Note: If the Designee is assigned to the Vendor, the Vendor assignment must first be removed before deleting the Designee. If the Designee is assigned to one or more Benefit Options but has not reported costs, the assignments must be removed before deleting the Designee. If the Designee has reported costs, the Designee can be deleted without removing the assignments.

On the Application Status page:

8. Select the Assign Designee(s) (optional) link.

RDS Secure Website			
HOME RDS USER GUIDE LOS OUT			
Application Status		Print this page	LOGIN INFORMATION
Authorized Representative: Brian Hill			Ava Anderson Account Manager July 21, 2011
Account Manager: Ava Anderson			Change or Reset Security
Plan Sponsor Status: Active Reconciliation Deadline: September 30, 2013			Questions
Application Status: Approved			APPLICATION INFORMATION
Application Deadline: April 1, 2011 Valid Initial Online Application Submitted Date: July 11, 2011 Valid Initial Retiree List Received Date: July 12, 2011			Plan Sponsor ID: 131015 Plan Sponsor Name: Ravenaid Inc.
A Retiree Drug Subsidy (RDS) Application consists of two compon the Valid Initial Retiree List. Step 1 through Step 9 on this page n Initial Online Application and obtain information regarding the subr	may be used to complete	and submit a Valid	Application ID: 45123 Plan Name: Titanium Plus Retiree Drug Plan 2011 - 2012 Plan Start:
The Valid Initial Online Application			July 01, 2011 Plan End:
The Valid Initial Online Application consists of 8 steps. A Plan Spo Application, which is done by completing the first 7 steps of the J allows the Authorized Representative to sign the Plan Sponsor Ag Application to CMS ¹ RDS Center.	Application Submission Pr	ocess. Step 8	June 30, 2012 Application Status: Approved Reconciliation Deadline: September 30, 2013
The Valid Initial Retiree List			
A Plan Sponsor must also submit a Valid Initial Retiree List to CMS Submission Process. When Step 1 is marked "Complete", an Applic Center. After Step 2 is marked "Complete", the Valid Initial Retire Center. This is a collection of data about the beneficiaries for wh subsidy. Note: Both the Valid Initial Online Application and the Valid Initial submitted to CMS' RDS Center no later than the Application Dead Return to this page to monitor, complete, and maintain your Appli	ation Number is assigned e List may be submitted om the Plan Sponsor has Retiree List must be con line.	d by CMS' RDS to CMS' RDS applied for	
Application Submission Process			
Valid Initial Online Application	Status		
 Application Number Assigned 	Complete		
2. Benefit Option	Complete		
3. Assign Actuary	Complete		
4. <u>Attestation Summary</u>	Complete		
5. Electronic Funds Transfer (EFT) Information	Verified		
6. Payment Frequency 7. Betree Electronic Data Interchance (EDI) Methods and Sec	Complete		
7. <u>Retiree Electronic Data Interchange (EDI) Methods and Sou</u> 8. Plan Sponsor Agreement			
Valid Initial Retiree List	Status		
Valid Initial Retiree List 9. Valid Initial Retiree List	Received		
Application Maintenance Options • Manage Retirees • Assign Designee(s)(optional) Vector to Apploanten Lit SECURE AREA			
Pinacy	/ Policy User Agreement /	A	pproved OMB-0938-0957 Form CMS-10156 pproved OMB-0938-0977 Form CMS-10170

On the Designee Summary page:

9. Select the link with the name of the Designee to be deleted.

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RDS Secure Website					
HOME ROSUSER GUIDE LOG OUT					
			P .	rint this page	LOGIN INFORMATION
Designee Summary Click Assign a Designee to assign a new Designee.			P	ant this page	Ava Anderson Account Manager July 14, 2011
Click a Designee Nan	ne to acces	ss Designee Information.			Change or Reset Security Questions
Designee Summary					APPLICATION
Designee Name	Status	Privileges Assigned			INFORMATION
Jamie Michaels	Pending	Assign Actuary			Plan Sponsor ID:
Ellen Adams	Active	Define Benefit Options View Attestation Summary			131015 Plan Sponsor Name:
Click Continue to re Continue	tum to the	Application Status page.			Ravenaid Incorporated Application ID: 45124 Plan Name: Gold Option Plan Plan Start: July 01, 2011 Plan End: June 30, 2012 Application Status: Incomplete Reconciliation Deadline: September 30, 2013
۲			Privacy Policy User Agreement Accessibil	Approved	1 OMB-0938-0957 Form CMS-10156 1 OMB-0938-0977 Form CMS-10170

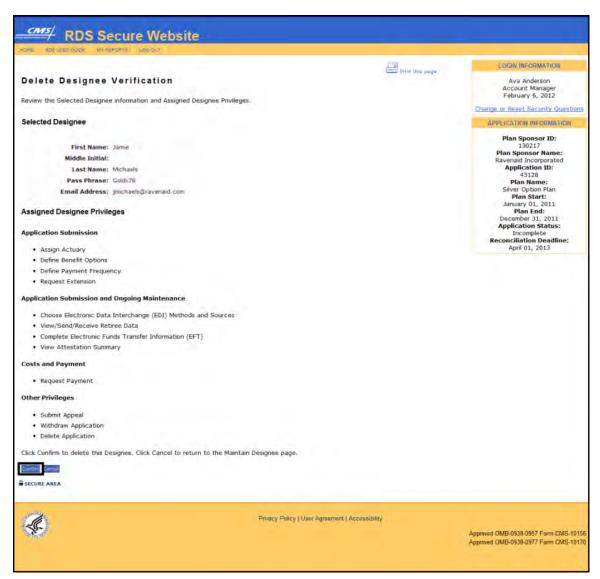
On the Maintain Designee page:

10. Select **Delete Designee** to delete a Designee or select **Cancel** to return to the Designee Summary page.



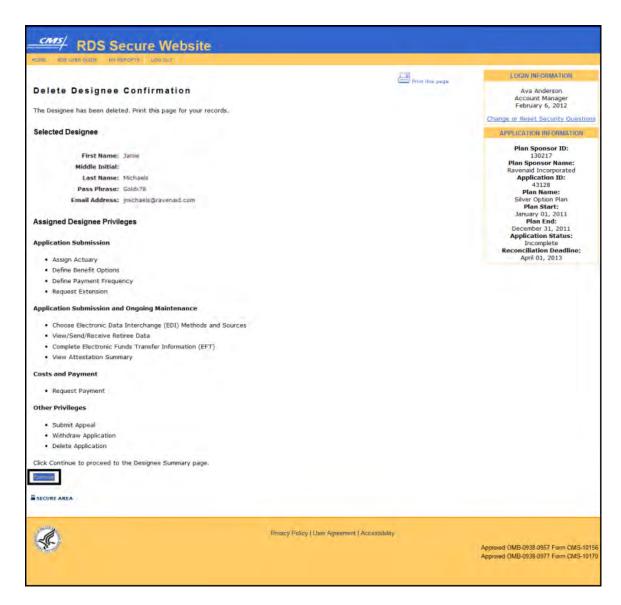
On the Delete Designee Verification page:

11. Select **Confirm** to delete this Designee or select **Cancel** to return to the Maintain Designee page.



On the Delete Designee Confirmation page:

12. Select **Continue** to return to the Designee Summary page.



Introduction To Electronic Data Interchange (EDI)

Electronic Data Interchange (EDI) is the electronic transmission of data between computer systems.

All participants in the RDS Program must use EDI to exchange retiree files with CMS' RDS Center throughout the Application Lifecycle.

Information is exchanged using a Comma Separated Value (CSV) file or Mainframe file where each line represents one beneficiary, Benefit Option, and Subsidy Period.

Examples of EDI include:

Pharmacy prescriptions: Data is exchanged between the Pharmacy and the Pharmacy Benefit Manager (PBM) at the point of sale when a prescription is presented. The patient's eligibility and cost information is verified and sent back to the Pharmacy.

Auto Loans: When applying for an automobile loan, several dealerships electronically request an applicant's credit history from a credit bureau. The information is electronically communicated to the dealership's computer for analysis and scoring without human intervention.

Merchants and Suppliers: EDI is utilized between merchants and suppliers to electronically communicate purchase orders, shipping invoices, shipping notices, etc.

Introduction To Retiree Processing

The Plan Sponsor provides demographic and benefit enrollment information about the beneficiaries for whom they are seeking subsidy. CMS' RDS Center evaluates program eligibility and provides the Plan Sponsor with approved Subsidy Periods for each Qualifying Covered Retiree (QCR).

The main components of Retiree Processing include:

- Selecting the Retiree Electronic Data Interchange (EDI) Methods and Sources on the RDS Secure Website during the Application Submission Process
- Sending a Valid Initial Retiree List to CMS' RDS Center as part of a timely and complete RDS Application prior to the expiration of the Application Deadline
- Sending Monthly Retiree Lists that only include detail records of individuals for whom there is a change of information from the Valid Initial Retiree List
- Processing Retiree Response Files so internal records reflect the correct Qualifying Covered Retiree (QCR) information and associated Subsidy Periods
- Processing Weekly Notification Files so internal records reflect the correct Qualifying Covered Retiree (QCR) information and associated Subsidy Periods
- Requesting, downloading, and reviewing Covered Retiree Lists (CRL) for comparison against the Plan Sponsor's internal records with those of CMS' RDS Center
- Reviewing Qualified Covered Retiree Counts for the most recent retiree data derived from the Retiree Response File and Weekly Notification Files

Retiree Files Sent To CMS' RDS Center: Overview

Retiree files must be sent to CMS' RDS Center throughout the Application Lifecycle to establish and maintain Qualifying Covered Retirees (QCRs) for an Application. Several methods of submission are available for exchanging retiree information with CMS' RDS Center, with options to send copies of the files to the RDS Secure Website.

Retiree List Submission Methods And Retiree List Response Methods

The Retiree Electronic Data Interchange (EDI) Methods and Sources are selected in Step 7 of the Application Submission Process.

Note: After an Application is in "Submitted" status, the Plan Sponsor can return to Step 7: Retiree Electronic Data Interchange (EDI) Methods and Sources and update or change the EDI information.

Retiree List Submission Methods and Retiree List Response Methods:

- RDS Secure Website to RDS Center
- Vendor Mainframe to RDS Center Mainframe
- Vendor Mainframe to RDS Center Mainframe with a copy of the response file sent to the RDS Secure Website
- Coordination of Benefits (COB): Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR)
- Coordination of Benefits (COB): Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR) with a copy of the response file sent to the RDS Secure Website
- Plan Sponsor Mainframe to RDS Center Mainframe
- Plan Sponsor Mainframe to RDS Center Mainframe with a copy of the response file sent to the RDS Secure Website

Exchanging And Protecting Retiree Information

CMS' RDS Center uses the current Retiree Electronic Data Interchange (EDI) Methods and Sources to determine which file transfer method to use to send the Weekly Notification File to the Plan Sponsor. If the retiree information does not match the source and data exchange method chosen by the Plan Sponsor for each Benefit Option, it is not processed.

If the RDS Secure Website to RDS Center submission method is specified by the Plan Sponsor, only the Authorized Representative, the Account Manager, and Designees with the View/Send/Receive Retiree Data privilege may upload retiree data on the RDS Secure Website and view response files sent to the RDS Secure Website. Retiree data sent by any other method is not processed and a response file is sent back to the source with the appropriate reason code.

If a method of submission other than RDS Secure Website is specified by the Plan Sponsor, the RDS Secure Website prevents the upload of retiree data. Retiree data sent by any other source (Plan Sponsor, Vendor or COB contractor) is not processed and a response file is sent back to the source with the appropriate reason code.

Weekly Notifications are sent to the RDS Secure Website if the Plan Sponsor specifies the RDS Secure Website as the Weekly Notification File Delivery Method or chooses to copy the RDS Secure Website for Weekly Notifications. Weekly Notifications are only sent to Vendors, COB contractors, or the Plan Sponsor's Mainframe if the most current retiree data was received and processed from that source and the Plan Sponsor's current EDI method election specifies that source and data exchange method.

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Valid Initial Retiree List

The Valid Initial Retiree List is the first transfer of retiree information from the Plan Sponsor to CMS' RDS Center. The Valid Initial Retiree List is a collection of data about the beneficiaries for whom the Plan Sponsor is seeking subsidy.

A Valid Initial Retiree List can be submitted to CMS' RDS Center after an Application has been started and an Application Number has been assigned in Step 1, Benefit Options have been established in Step 2, and the Retiree Electronic Data Interchange (EDI) Methods and Sources in Step 7 have been selected.

A Valid Initial Retiree List and subsequent retiree files are exchanged using the selected Retiree EDI Method chosen for the Benefit Option. In the Valid Initial Retiree List, each beneficiary (retiree, spouse, or dependant) should have at least one detail record or row in this file. If a beneficiary has more than one coverage period or Benefit Option within the Plan Sponsor's drug plan, a record must be sent for each Benefit Option and coverage period combination.

The Valid Initial Retiree List should include the retiree information available to date. If there is outstanding retiree information that prohibits sending a beneficiary with the Valid Initial Retiree List, the beneficiary's information can be sent at a later time in a Monthly Retiree List.

A Retiree Response File is sent by CMS' RDS Center in response to the Valid Initial Retiree List submitted by the Plan Sponsor.

Monthly Retiree List

Changes to retiree information throughout the Plan Year for a given Application should be included in Monthly Retiree Lists. The Monthly Retiree List is submitted by a Plan Sponsor or Vendor for a given Application to maintain accurate beneficiary data.

The first Monthly Retiree List should be sent to CMS' RDS Center approximately 30 days from the date the initial Retiree Response File was received and processed by the Plan Sponsor or Vendor. This list must be in the same format as the Valid Initial Retiree List, with only detail records of beneficiaries having a change of information.

A Monthly Retiree List is not required if no information has changed for a given month.

A Retiree Response File is sent for each Monthly Retiree List received by CMS' RDS Center.

Upload Retiree Files On The RDS Secure Website

The Valid Initial Retiree List and Monthly Retiree Lists may be uploaded to CMS' RDS Center using the Upload Retiree File page on the RDS Secure Website. If any Benefit Option contained in the retiree file is set to a submission method other than the RDS Secure Website, the RDS Secure Website will prohibit upload of the entire file.

Display List Of Uploaded Retiree Files

Use the Display List of Uploaded Retiree Files link located on the RDS Secure Website to display the successfully uploaded Valid Initial Retiree List and Monthly Retiree List files.

A retiree file does not appear in the list if:

- Retiree files were submitted to CMS' RDS Center by Mainframe transfer, VDSA, or MIR
- Retiree files were uploaded prior to February 1, 2006
- Retiree files had errors during the upload

Send Retiree Files By Mainframe Or COB

The Valid Initial Retiree List and Monthly Retiree List files may be sent to CMS' RDS Center using a Vendor Mainframe connection to the RDS Center Mainframe, or a Coordination of Benefits (COB): Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR), or using a Plan Sponsor Mainframe connection to the RDS Center Mainframe.

If a retiree file is submitted using Vendor Mainframe to RDS Center Mainframe or Plan Sponsor Mainframe to RDS Center Mainframe and contains records with a Benefit Option that is not set to Vendor Mainframe or Plan Sponsor Mainframe then the retiree file is not processed. Any records containing a Benefit Option that does not match the Mainframe method or source is returned with a Reason Code 29: **File Rejected – No Authority.**

If a retiree file is submitted using Coordination of Benefits (COB): Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR) and contains records with a Benefit Option that is not set to Coordination of Benefits (COB): Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR) then the retiree file is processed. Any records containing a Benefit Option that does not match the Coordination of Benefits (COB): Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR) then the retiree file is processed. Any records containing a Benefit Option that does not match the Coordination of Benefits (COB): Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR) method or source is returned with a Reason Codes 29: **File Rejected – No Authority.**

Retiree Processing And Reconciliation

When Reconciliation Step 4: Finalize Covered Retirees is marked "Complete" or the Reconciliation Deadline has passed for that Application, the Plan Sponsor is unable to upload retiree files through the RDS Secure Website. CMS' RDS Center no longer processes any retiree list submitted through the Mainframe, VDSA, or MIR when Reconciliation Step 4: Finalize Covered Retirees is marked "Complete" or the Reconciliation Deadline has passed for that Application. CMS' RDS Center no longer sends Retiree Response Files or Weekly Notification Files.

Retiree Information Created By CMS' RDS Center: Overview

Retiree Response Files are created whenever CMS' RDS Center receives and processes a retiree file on behalf of the Plan Sponsor.

Weekly Notification Files are sent by CMS' RDS Center after the Valid Initial Online Application is completed and submitted.

Weekly Notification Files are created when beneficiaries approved for subsidy under the Application have a notification event. Events that may affect a Plan Sponsor's ability to receive subsidy payments for a beneficiary include, but are not limited to: a change in Medicare entitlement, the death of a beneficiary, disenrollment, enrollment, or attempted enrollment into a Medicare Part D plan.

Retiree Response Files and Weekly Notification Files MUST be processed by Plan Sponsors and its agents so internal records reflect the correct Qualifying Covered Retiree (QCR) information, Benefit Options and associated Subsidy Periods. Cost data can only be reported for the QCRs, corresponding Subsidy Periods, and the Benefit Option in which each QCR is enrolled.

Retiree Response Files

When a Plan Sponsor submits a Valid Initial Retiree List or Monthly Retiree List for an RDS Application, CMS' RDS Center verifies the Medicare entitlement for each beneficiary by checking the Medicare Beneficiary Database (MBD) system of record for this information. CMS' RDS Center sends a Retiree Response File that includes a record for each Qualifying Covered Retiree (QCR) indicating the period of time during the Plan Year that the Plan Sponsor may claim subsidy.

The Retiree Response File records contain all the original fields sent by the Plan Sponsor, plus the Determination Indicator, Subsidy Dates, and Reason Codes. The Retiree Response File may contain multiple responses (records) for a single beneficiary in the event that there is a gap in subsidy based on Medicare entitlement.

Retiree response records should be reviewed and processed as soon as possible to assure accurate cost reporting. Response records containing Reason Codes may require research.

Reason Codes are identification numbers that correspond to a specific message about a record in a response file or a notification file. The reason code provided is from the last Retiree Response file record or Weekly Notification file record for a QCR.

Weekly Notification Files

When there is an event that may impact a Plan Sponsor's ability to receive subsidy for a beneficiary, CMS' RDS Center is notified by Medicare. When CMS' RDS Center receives notifications from Medicare, the system re-evaluates the beneficiary's eligibility for subsidy. Events that may affect a Plan Sponsor's ability to receive subsidy payments for a beneficiary include, but are not limited to: a change in Medicare entitlement, the death of a beneficiary, disenrollment, enrollment, or attempted enrollment into a Medicare Part D plan.

CMS' RDS Center conveys notifications and any resulting changes in approved subsidy periods to Plan Sponsors using Weekly Notification Files that are sent once a week when beneficiaries covered under the Application have a notification event.

CMS' RDS Center only sends a notification for retirees who have ever qualified for an RDS Subsidy Period. A notification record is not generated if the retiree never qualified for the RDS subsidy (regardless of the reason).

If the elected notification method is Mainframe to Mainframe, VDSA, or MIR, Weekly Notification Files do not appear on the RDS Secure Website unless the elected notification method specified a copy to the RDS Secure Website. If the elected notification method is RDS Secure Website to RDS Center and no Weekly Notification Files are available to download, there are no notification events.

Covered Retiree List

A Covered Retiree List (CRL) may be requested and downloaded using the RDS Secure Website. The purpose of requesting and downloading the CRL is for comparison of the Plan Sponsor's internal records with those of CMS' RDS Center. Plan Sponsors should request, download, and review the CRL on a regular basis to make sure that the Qualifying Covered Retirees (QCRs), Benefit Options, and Subsidy Periods correspond to the Plan Sponsor's internal records.

The CRL file includes the same fields contained in Retiree Response Files plus two additional fields that identify the source that last submitted each QCR. The CRL includes all Qualifying Covered Retirees (QCRs) having at least one Benefit Option where at least one Subsidy Period exists. A separate record is created for each unique QCR, Benefit Option, and Subsidy Period combination. Retiree records rejected by CMS' RDS Center will not be reflected in this list.

During Reconciliation, the Plan Sponsor is required to review and agree to the CRL. Plan Sponsors may only submit costs for the QCRs, Benefit Options, and corresponding Subsidy Periods listed in the CRL that has been downloaded from CMS' RDS Center.

Medicare Part D Enrollment Rejection Notifications

A Medicare Part D Enrollment Rejection Notification File is information provided by CMS' RDS Center advising the Plan Sponsor that a beneficiary, for whom they are requesting subsidy, has attempted to enroll in Medicare Part D. CMS' RDS Center sends a notification with the existing Subsidy Period(s) and appropriate Reason Code 20: **Beneficiary attempted to enroll in Medicare Part D and received an initial rejection** to the Plan Sponsor.

Medicare Part D Enrollment Rejection Notifications can be viewed at any time using the View Medicare Part D Enrollment Rejection Notifications link on the RDS Secure Website. There is no need to wait for the weekly file.

The Medicare Part D Enrollment Rejection Notification means that the beneficiary has been initially rejected for Medicare Part D. The notification is the Plan Sponsor's cue to contact the beneficiary who applied for Medicare Part D. If the beneficiary overrides the rejection and enrolls in Medicare Part D, the Plan Sponsor's subsidy period for that beneficiary is terminated and CMS' RDS Center notifies the Plan Sponsor as such in the Weekly Notification File.

Plan Sponsors may not receive subsidy for beneficiaries enrolled in Medicare Part D.

Current Covered Retiree Counts

Qualifying Covered Retiree (QCR) counts are available on the RDS Secure Website after the RDS Application is approved by CMS' RDS Center. The retiree counts are calculated from the approved retiree Subsidy Periods. The retiree counts are refreshed on a daily basis and reflect the most recent retiree data derived from the Retiree Response File and Weekly Notification Files. When Reconciliation Step 4: Finalize Covered Retirees is marked "Complete", the retiree counts are frozen and are no longer recalculated.

Retiree counts are displayed by Application, Benefit Option, and plan month within the Benefit Option. The unique retiree count is the total number of individual QCRs for the entire Application. The Benefit Option unique retiree count is the number of individual QCRs for the Benefit Option. The Application retiree count does not match the sum of the retiree counts for the Benefit Option if a retiree is covered under more than one Benefit Option. The monthly retiree count by Benefit Option displays the number of unique QCRs for a given plan month within a Benefit Option.

User Roles In Retiree Processing: Overview

Specific user roles may access and complete Retiree Processing tasks.

Individuals must be authorized to view Protected Health Information (PHI) to display and download retiree data. If a Vendor is managing retirees on behalf of the Plan Sponsor, a Designee who is an employee of the Vendor may be assigned by the Authorized Representative or Account Manager to utilize these resources.

Tasks/Duties/Privileges	Authorized Representative	Account Manager	Designee with View/Send/Receive Retiree Data privilege	Designee with the Choose Retiree List Submission Method privilege
Select the Retiree Electronic Data Interchange (EDI) Methods and Sources	x	X		x
Upload a Retiree File to the RDS Secure Website	X	x	x	

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Tasks/Duties/Privileges	Authorized Representative	Account Manager	Designee with View/Send/Receive Retiree Data privilege	Designee with the Choose Retiree List Submission Method privilege
View the List of Uploaded Retiree Files	X	x	X	
Request a Covered Retiree List	X	x	x	
Download the Covered Retiree List	X	x	x	
Download Retiree Response Files on the RDS Secure Website	x	x	x	
Download the Weekly Notification Files	X	x	x	
View the Current Covered Retiree Counts	X	x	x	
Access Part D Enrollment Rejection Notifications	x	x	x	

Valid Initial Retiree List and Monthly Retiree List

Important Information

Timing

It takes CMS' RDS Center approximately five to seven days to process the Valid Initial Retiree List. If more than seven days pass without receiving the Retiree Response File, contact <u>CMS'</u><u>RDS Center Help Line</u> for more information.

Approximately one business day after the Valid Initial Retiree List or a Monthly Retiree List has been successfully uploaded to the RDS Secure Website the list of uploaded retiree files is displayed.

The first Monthly Retiree List should be sent approximately 30 days from the date the Valid Initial Retiree Response File was received and processed.

Retiree Enrollment Changes

Plan Sponsors should utilize the Monthly Retiree List to add, update, or delete Subsidy Periods as applicable.

If the Plan Sponsor believes the beneficiary is now eligible for the subsidy, send an ADD record to CMS' RDS Center with the Subsidy Period requested.

If the Plan Sponsor's coverage of a Qualifying Covered Retirees (QCRs) or their demographic information has changed from what was previously reported, send an UPD record to CMS' RDS Center with the new data.

If the QCR is no longer eligible for the subsidy, send a DEL record to CMS' RDS Center. All coverage for this QCR for this Benefit Option is removed.

User Roles

The Authorized Representative, Account Manager, and Designee(s) with the View/Send/Receive Retiree Data privilege can submit the Valid Initial Retiree List and Monthly Retiree Lists using the RDS Secure Website.

Vendors and Plan Sponsors with pre-existing Mainframe connections can submit the Valid Initial Retiree List and Monthly Retiree Lists to CMS' RDS Center.

VDSA partners submitting non-Medicare Secondary Payer (MSP) records and Mandatory Insurer Reporting (MIR) participants using the expanded implementation model can submit the Valid Initial Retiree List and Monthly Retiree Lists to CMS' RDS Center.

Instructions To Upload A Retiree File Using The RDS Secure Website

To access the RDS Secure Website, and navigate to the Application List page, go to: <u>Appendix</u> <u>A: Access the RDS Secure Website</u>.

You may choose one of the following methods for accessing the Manage Retirees page:

From the Application List page:

- 1. Find the appropriate Application Number.
- 2. Select Manage Retirees from the Actions dropdown menu then select the Go button.

	n List					EPernt	this maps	LOGININFORMATION	100
Plan Sponsor; Ravenaid Incorporated Authorized Representative: Brian Hil Authorized Representative Verification Status: Approved								Ava Anderson Account Manager November 14, 2011	
Authorized Representative: Brian Hill								Chapped or Report Security Of	uestar
	Contraction of the second s	Approved						ACCOUNT SETUNGS	
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Application	ist Plan Kame	Application	Plan Start and End Dates	Payment Setup Status		Number of Payment Requests	Actions		
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Application ID	Plan Name	Status	and a second sec	Status	Paid To Date	of Payment Requests 1		Change Password	
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Application ID 45048 45047 45041	Plan Karne Rairenaid RDS Plan Raitese Group Drug Plan	Status Approved Approved	Jan 01,2011 - Dec 31,2011 Jan 01,2011 - Dec 31,2011	Status Complete Complete	Paid To Date \$0.00 \$0.00	of Payment Requests 1 0	Select One Minoce Bitmen Select One Select One	Sharge Paseword	
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OR

From the Application Status page:

- 1. Go to the Application Maintenance Options section at the bottom of the Application Status page.
- 2. Select the Manage Retirees link.

Initial Representative: Brian Hill and Manager: Ava Anderson Sponser Status: Active Cation Status: Application Status: Application Submitted Date: April 22, 2011. Initial Online Application Submitted Date: April 22, 2011. Initial Online Application Submitted Date: April 22, 2011. Initial Online Application consists of two components: the Valid Initial Online Application and beta information ing the submitsion of a Valid Initial Retiree List. Add Initial Online Application consists of 8 steps: A Plan Sponsor will define the details regarding the Application, which is done by steing the first 7 steps of the Application Submitsion Process. Step 8 allows the Authorized Representative to sign the Plan Sponsor tent and submit the Valid Initial Retiree List. Add Initial Online Application Sponsor must also submit a Valid Initial Retiree List to CMS' RDS Center as part of the Application Submission Process. When Step 2 is marked "Complete", in Application Humber is assigned by CMS' RDS Center. After Step 2 is marked "Complete", the Valid Initial Center is a collection of data about the baneficiaties for whom the Plan Sponsor has the submit avalid Initial Center Application and the Valid Initial Application Process. When Step Application Examples is a collection of data about the baneficiaties for whom the Plan Sponsor has the submit avalid Initial Center Application and the Valid Initial Retiree List to CMS' RDS Center. After Step 2 is marked "Complete", the Valid Initial Center not and the Valid Initial Retiree List must be completed and submitted to CMS' RDS Center no have the submitted to CMS' RDS Center not and the Valid Initial Center no have the Application Reumbers.	LOGIN INFORMATION Ava Anderson Account Managa November 2, 201 Change of Reset Sectors advanced Sectors Plan Sponsor B Plan Sponsor B Plan Sponsor Na Ravenal Incorpor Application D 45047 Plan Name: Retires Croup Ding Plan Start: January 01, 201 January 01, 201 Application Stat Approved Reconciliation Des Apri 61, 2013
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2. Benefit Option Complete	
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4. Attestation Summary Complete	
S. Electronic Funds Transfer (EFT) Information Verified	
Devent Frequency Complete	
7. Rebree Bestronic Data Interchanate IEDU Methods and Sources Complete	
0. Plan Sponsor Agreement Complete	
Valid Initial Retiree List Status	
O. Valid Technik Reflece List. Received	

From the Manage Retirees page:

3. Select the **Upload Retiree File** link.

This link is used to upload both the Valid Initial Retiree List and subsequent Monthly Retiree List.

RDS Secure Website		
Active Trace Later Automatic Later Date:		
		YOU ARE RERE
Manage Retirees		Plan Sponsor ID: 130992
Upload Retiree File		Company Name: Ravenaid Incorporated
Download Retiree Response Files		Application ID: 45047
Download Weekly Notification Files		Plan Start: January 01, 2011
View Part D Eprolment Rejection Notifications		Plan End: December 31, 2011
Display List of Uploaded Retires Files		OWER OF P
Deptay Current Covered Retries Counts		relp.about this page.
Request List of Covered Retness		Advanced Help
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(SF)	Privacy Policy Unit Agreement Accessibility	Approved OMB-6938-6957 Form CMS-101
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You may choose one of the following methods to upload a retiree file:

On the Upload Retiree File page:

- Provide the full path name of the file you would like to upload or select **Browse** to find the file on your computer. After you locate the file, double click on the File Name to select it. (This process is similar to attaching a document to an email message.)
- 5. Select **Continue** to start the upload.



6. The following message appears at the bottom of the page while the file uploads: "This process may take a while depending on the file size. Do not close your browser."

If CMS' RDS Center has problems reading the file or the format is incorrect, the Upload Errors page displays. For more information on errors received while uploading a file, go to: <u>Appendix N: Retiree File Upload Errors</u>.

If the file passes the initial validation and is formatted correctly, the **Upload Successful page** displays.

7. Select **Continue** to return to the Manage Retirees page.

Retiree File RDS Secure Website CSV File Layout

If subsidy is being requested for the spouse or dependant of a Qualifying Covered Retiree, make sure the information provided in this record is that of the spouse or dependant, not the retiree.

If a beneficiary's SSN has a leading zero and the field is numeric, leading zeros are truncated. Reformat the SSN field to "text" before creating the CSV file.

Note: An asterisk (*) indicates a required field.

Data Element	Max Size	NOTAS
*Application Number		RDS Application Number under which you are submitting this beneficiary for subsidy.
		This Application Number must match the Application Number EXACTLY as it appears on the RDS Secure Website and must correspond to the coverage periods you are submitting.

Data Element	Max Size	Notes
*SSN	09	Social Security Number (SSN) of the beneficiary for whom you are seeking subsidy. This field may contain spaces if the Health Insurance Claim Number (HICN) was provided.
*HICN	12	Medicare Health Insurance Claim Number (HICN) of the beneficiary for whom you are seeking subsidy. This field may contain spaces if the SSN was provided.
*First Name	30	First Name of the beneficiary for whom you are seeking subsidy.
Middle Initial	01	Optional field. Middle Initial of the beneficiary for whom you are seeking subsidy.
*Last Name	40	Last Name of the beneficiary for whom you are seeking subsidy.
*Date of Birth	08	Date of Birth of the beneficiary for whom you are seeking subsidy. Format: CCYYMMDD
*Gender	01	Gender of the beneficiary for whom you are seeking subsidy. Value '0' = Gender Unknown Value '1' = Male Value '2' = Female
*Coverage Effective Date	08	The date the beneficiary's (retiree, spouse, or dependant) coverage under the Plan Sponsor's Prescription Drug Benefit Option begins. Format: CCYYMMDD
*Coverage Termination Date	08	The date the beneficiary's (retiree, spouse, or dependant) coverage under the Plan Sponsor's Prescription Drug Benefit Option ends. Format: CCYYMMDD
Unique Benefit Option Identifier	20	Unique Benefit Option Identifier (UBOI) corresponding to the benefit under which you are submitting this beneficiary for subsidy.
		You MUST reference the UBOI in this field exactly as it was entered on the RDS Application, including any leading or trailing zeroes, spaces, punctuation, etc.
		Reference the Benefit Option Summary page in the RDS Secure Website if you are unsure what should be entered in this field.

-1

Data Element	Max Size	Notes
*Relationship to Retiree	02	Relationship to the retiree of the beneficiary for whom you are seeking subsidy. Value '01' = Self
		Value '02' = Spouse
		Value '03' = Other
Transaction Type	03	Value 'ADD' = The beneficiary has either never been submitted for the corresponding RDS Application Number, or was submitted but never accepted for a Subsidy Period.
		Value '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.
		Value '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.

Retiree File Mainframe Record Layout

Header Record

Data Element	Field Description	Notes
Record Type	PIC X(01)	Value 'H' = Header Record
Application Number	PIC X(10)	The number assigned to the Application by CMS' RDS Center. Includes leading zeroes as needed to completely fill field.
Creation Date	PIC X(08)	Date the file was created. Format: CCYYMMDD
Creation Time	PIC X(06)	Time the file was created. Format: HHMMSS
Filler	PIC X(175)	Spaces

Retiree File Submissions Record Layout

Note: 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.

Data Element	Field Description	Notes
Record Type	PIC X(01)	Value 'D' = Detail Record
*SSN		Social Security Number (SSN) of the beneficiary for whom you are seeking subsidy. This field may contain spaces if the HICN was provided.
*HICN	``'	Medicare Health Insurance Claim Number (HICN) of the beneficiary for whom you are seeking subsidy. This field may contain spaces if the SSN was provided.
*First Name	``'	First Name of the beneficiary for whom you are seeking subsidy.
Middle Initial		Optional field. Middle Initial of the beneficiary for whom you are seeking subsidy.

Note: An asterisk (*) indicates a required field.

Data Element	Field Description	Notes
*Last Name	PIC X(40)	Last Name of the beneficiary for whom you are seeking subsidy.
*Date of Birth	PIC X(08)	Date of Birth of the beneficiary for whom you are seeking subsidy. Format: CCYYMMDD
*Gender	PIC X(01)	Gender of the beneficiary for whom you are seeking subsidy. Value '0' = Gender Unknown Value '1' = Male Value '2' = Female
*Coverage Effective Date	PIC X(08)	The date the beneficiary's (retiree, spouse, or dependant) coverage under the Plan Sponsor's Prescription Drug Benefit Option begins. Format: CCYYMMDD
*Coverage Termination Date	PIC X(08)	The date the beneficiary's (retiree, spouse, or dependant) coverage under the Plan Sponsor's Prescription Drug Benefit Option ends. Format: CCYYMMDD
*Unique Benefit Option Identifier	PIC X(20)	Unique Benefit Option Identifier (UBOI) (for example, Rx Group number) corresponding to the benefit under which you are submitting this beneficiary for subsidy.
		You MUST reference the UBOI in this field exactly as it was entered on the RDS Application, including any leading or trailing zeroes, spaces, punctuation, etc.
		Reference the Benefit Option Summary page in the RDS Secure Website if you are unsure what should be entered in this field.
*Relationship to Retiree	PIC X(02)	Relationship to the retiree of the beneficiary for whom you are seeking subsidy.
		Value '01' = Self Value '02' = Spouse Value '03' = Other

RDS User Guides are identified by the version number and release date located on the cover page and footer. Printed or saved versions may be obsolete. Use the current version, which is always available online. Version 15: Released May 5, 2012

Data Element	Field Description	Notes
Transaction Type		Value 'ADD' = The beneficiary has either never been submitted for the corresponding RDS Application Number, or was submitted but never accepted for a Subsidy Period.
		Value '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.
		Value 'DEL' = The beneficiary has been previously accepted for a Subsidy Period for the corresponding RDS Application and all coverage under this Application should be removed.

Trailer Record

Data Element	Field Description	Notes
Record Type	PIC X(01)	Value 'T' = Trailer Record
Application Number	PIC X(10)	The number assigned to the Application by CMS' RDS Center. Includes leading zeroes as needed to completely fill field.
Creation Date	PIC X(08)	Date the file was created. Format: CCYYMMDD
Creation Time	PIC X(06)	Time the file was created. Format: HHMMSS
Number of Detail Records	PIC X(07)	Right justified and zero filled.
Filler	PIC X(168)	Spaces

Best Practices For CSV File Layout

- 1. Download the <u>Sample Retiree File Spreadsheet</u> or create your own spreadsheet or comma separated value (CSV) file.
- 2. Populate the retiree information for each beneficiary.
- 3. Confirm that the file is saved in CSV format.
- 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.

For instructions to upload a file to CMS' RDS Center, go to: <u>Instructions To Upload A Retiree File</u> <u>Using The RDS Secure Website</u>.

Best Practices For Mainframe Record Layout

For more information, go to: Appendix F: Mainframe Retiree List Copybook.

While submitting retiree files through the Mainframe, consider the following required format and information:

- One header record, one or more detail retiree records, and one trailer record.
- Fixed length file/records.
- Fixed field lengths.
- Unless otherwise stated, all fields are defined as alpha numeric (Cobol PIC X) and left justified.
- 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.

Processing Retiree Response Files

Important Information About Processing Retiree Response Files

RDS users can download Retiree Response Files from the RDS Secure Website if they have selected the RDS Secure Website Response Method for one or more Benefit Options on the Application and have submitted Qualifying Covered Retirees (QCRs) through this method. Additionally, RDS users that have selected Mainframe with a copy of all response files sent to the RDS Secure Website Response Method or Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR) through CMS' Coordination of Benefits (COB) Contractor with a copy of all response files sent to the RDS Secure Website Response Files from the RDS Secure Website Response Method may download Retiree Response Files from the RDS Secure Website.

When you receive a Retiree Response File, consider the following:

- CMS' RDS Center requests that you review and process the information in the Retiree Response Files as soon as possible.
- Plan Sponsors must process Retiree Response Files and post Subsidy Periods in their internal systems so that the appropriate cost calculations may be performed. Federal law requires that the Plan Sponsor submit cost data only for the Qualifying Covered Retirees (QCR), corresponding Subsidy Periods, and the Benefit Option in which the QCR is enrolled.
- If you receive a Retiree Response File and a retiree record has a Reason Code, it is an indicator that the beneficiary was not approved for the entire Subsidy Period you requested. Check the Determination Indicator and the Subsidy Period Begin and End Dates in addition to the Reason Code.
- Use all the information available to you on the RDS Program Website and in the RDS
 User Guide about the <u>Reason Codes</u> and their specific interpretations when applying the
 response data to your internal databases.
- 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 the spouses or dependants, and not that of the retiree.

 When Reconciliation Step 4: Finalize Covered Retirees is marked "Complete" or the Reconciliation Deadline has passed for that Application, CMS' RDS Center no longer processes any retiree list submitted through the Mainframe, VDSA, MIR, or the RDS Secure Website. As a result, Retiree Response Files are no longer sent. A Reason Code 28: File Rejected – Closed Application is sent in the Retiree Response File indicating that the file was not processed by CMS' RDS Center.

Timing: Processing Retiree Response Files

It takes CMS' RDS Center approximately five to seven days to process the Valid Initial Retiree List and approximately three to five days to process a Monthly Retiree List. Therefore, if more than seven days pass without receiving the Retiree Response File, contact <u>CMS' RDS Center</u> <u>Help Line</u>.

Note: CMS' RDS Center does not process a retiree file and sends a response file with the appropriate reason for rejection if the Application status is marked 'Denied', 'Deleted', 'Withdrawn', 'Abandoned', 'Reconsideration Requested', 'Reopening Requested' or 'Appeal Under Review'.

Emails About Retiree Response Files

The Account Manager and Designee with the View/Send/Receive Retiree Data privilege receives an email indicating that the monthly Retiree Response Files are available for download on the RDS Secure Website if this is the selected Retiree Electronic Data Interchange (EDI) Method.

This Email Notification Process is effective as of December 15, 2005. Any Retiree Response Files delivered by CMS' RDS Center prior to December 15, 2005 will not have an associated email.

Download Retiree Response Files From The RDS Secure Website

User Roles To Download Retiree Response Files

The Account Manager and Designee with View/Send/Receive Retiree Data privilege may download Retiree Response Files on the RDS Secure Website.

Instructions to Downloading Retiree Response Files from the RDS Secure Website

To access the RDS Secure Website, and navigate to the Application List page, go to: <u>Appendix</u> <u>A: Access The RDS Secure Website</u>.

You may choose one of the following methods for accessing the Manage Retirees page:

From the Application List page:

- 1. Find the appropriate Application Number.
- 2. Select Manage Retirees from the Actions dropdown menu then select the Go button.

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OR

From the Application Status page:

- 1. Go to the Application Maintenance Options section at the bottom of the Application Status page.
- 2. Select the Manage Retirees link.

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Close

On the Manage Retirees page:

3. Select the Download Retiree Response Files link.

RDS Secure Website	
HOME RDS USER BUDE MY REPORTS LOD OUT	
	YOU ARE HERE
Manage Retirees Upload Betiree File Download Betiree Response Files Download Weekly Notification Files View Part D Enrolment Rejection Notifications	Plan Sponsor ID: 133992 Company Name: Ravenaid Incorporated Application ID: 45047 Plan Start: January 01, 2011 Plan End:
Display List of Uploaded Retiree Files	December 31, 2011 GORCK HELP
Display Current Covered Retires Counts Request List of Covered Retires Operioad Covered Retires	Help about this page Advanced Help
Brante Audoola tar Beleno, Kolona Rela Secure AREA	
Privacy Policy Un	r Agreement Accessibility Approved OMB-0938-0957 Form CMS-101 Approved OMB-0938-0977 Form CMS-101

The Electronic Protected Health Agreement opens in a new window.

4. Select the **I Accept** button to proceed to the Download Covered Retiree List page or select the **Cancel** button to return to the Manage Retirees page.

E-PHI AGREEMENT

NOTE: The privileges ("View/Send/Receive Retiree Data" and/or "Report <u>Print</u>Costs" and/or "Request Payment") permit the Designee to access certain

Electronic Protected Health Information (E-PHI) associated with this Plan Sponsor's RDS application. E-PHI is subject to protection under the federal privacy and security regulations established at 45 CFR Parts 160 and 164 and promulgated pursuant to the Health Insurance Portability and Accountability Act of 1996 ("HIPAA") and is intended for the access and use by individuals only as authorized by the Plan Sponsor. Disclosure of this E-PHI to any other party, unless authorized by the Plan Sponsor or required to do so by law, is prohibited.

By clicking on "I accept" button below, you hereby authorize the Designee to access or use E-PHI associated with this Plan Sponsor's RDS application. Clicking the "Cancel" button will allow you to modify the privileges that you want to assign to this Designee.



RDS User Guides are identified by the version number and release date located on the cover page and footer. Printed or saved versions may be obsolete. Use the current version, which is always available online. Version 15: Released May 5, 2012

On the Download Retiree Response Files page:

5. Select a file name to download.



The File Download window displays showing the progress of the download.

Depending on the browser settings, the file download window may close automatically when the download is complete or you may need to close it manually.

6. You may now download another file or select the Return to Manage Retirees button.

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ownload Retiree Response Files writed any of the files listed by double clicking on the file m , or cancel. This file may be saved after opening by clicking dect "Reham to Manage Retirees" to return to the Manage Re lease of File Size of File Creation Date lease 43047.CSH 34664 bytes April-25-2011 03:13:32 PM EDT	Fits Doverload 12	h, sava to a	Plan Sponsor ID: 130092 Company Name: Ravanad Incorporated Application ID: 45047 Plan Start: Immary 02, 2011 Plan End: December 31, 2011 Calif.CR IRLIP Park: South the page Advanced Help

CSV File Layout Of Retiree Response Files On The RDS Secure Website

Note: Fields with a caret (^) are filled based on the information the Plan Sponsor has sent to CMS' RDS Center.

Data Element	Max Size	Notes
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Data Element	Max Size	Notes
^Application Number	10	The RDS Application Number that was submitted in the retiree file correlating to this Retiree Response File.
^SSN	09	Social Security Number (SSN) that was submitted for this beneficiary. This field may contain spaces if the HICN was provided.
^HICN	12	Medicare Health Insurance Claim Number (HICN) that was submitted for this beneficiary. This field may contain spaces if the SSN was provided.
^First Name	30	First Name that was submitted for this beneficiary.
^Middle Initial	01	Optional field. Middle Initial that was submitted for this beneficiary.
^Last Name	40	Last Name that was submitted for this beneficiary.
^Date of Birth	08	Date of Birth that was submitted for this beneficiary. Format: CCYYMMDD
^Gender	01	Gender that was submitted for this beneficiary. Value '0' = Gender Unknown Value '1' = Male Value '2' = Female
^Coverage Effective Date	08	The date that was submitted for this beneficiary's (retiree, spouse, or dependant) coverage to begin under the Plan Sponsor's prescription drug Benefit Option. Format: CCYYMMDD
^Coverage Termination Date	08	The date that was submitted for this beneficiary's (retiree, spouse, or dependant) coverage to end under the Plan Sponsor's prescription drug Benefit Option. Format: CCYYMMDD
^Unique Benefit Option Identifier	20	Unique Benefit Option Identifier (UBOI) (for example, Rx Group Number) corresponding to the benefit under which you submitted this beneficiary for subsidy.
^Relationship to Retiree	02	Relationship to retiree that was submitted for this beneficiary. Value '01' = Self Value '02' = Spouse Value '03' = Other

Data Element	Max Size	Notes
^Transaction Type	03	Transaction type that was submitted for this beneficiary. Value 'ADD' = Add Value 'UPD' = Update Value 'DEL' = Delete
Determination Indicator	01	Value 'Y' = Yes, the retiree qualifies for all or some portion of Subsidy Period for which you applied. Value 'N' = No, the retiree does not qualify for subsidy for the entire period for which you applied.
Reason Code	02	The Reason Code provides a reason that this beneficiary was not approved or only partially approved for subsidy for which you applied. For more information, go to: <u>Appendix M: RDS Reason</u> <u>Codes</u> .
Subsidy Period Effective Date	08	The effective date that the Subsidy Period for which this Qualifying Covered Retiree (QCR) has been approved. For a description of how these dates are filled in combination with specific scenarios, go to: <u>Appendix M: RDS Reason Codes</u> . Format: CCYYMMDD
Subsidy Period Termination Date	08	The termination date that the Subsidy Period for which this Qualifying Covered Retiree (QCR) has been approved. For a description of how these dates are filled in combination with specific scenarios, go to: <u>Appendix M: RDS Reason Codes</u> . Format: CCYYMMDD

Retiree Response Files Mainframe Record Layout

The retiree response records contains all the original fields (marked with a caret (^)) sent by the Plan Sponsor in the retiree file, plus the Determination Indicator, Subsidy Dates, and Reason Code. The Plan Sponsor may receive multiple responses (records) for a single beneficiary in the event that there is a gap in RDS Coverage Periods based on Medicare entitlement or multiple records have been submitted for the beneficiary.

For more information, go to: Appendix G: Mainframe Retiree Response File Copybook.

Header Record

Data Element	Field Description	Notes
Record Type	PIC X(01)	Value 'H' = Header Record

Data Element	Field Description	Notes
Application Number	, , , , , , , , , , , , , , , , , , ,	The RDS Application Number that was submitted in the retiree file correlating to this Retiree Response File. Includes leading zeroes as needed to completely fill field.
Creation Date	PIC X(08)	Date the file was created. Format: CCYYMMDD
Creation Time	PIC X(06)	Time the file was created. Format: HHMMSS
Filler	PIC X(175)	Spaces

Retiree Response Files Record Layout

Note: Fields with a caret (^) are filled based on the information the Plan Sponsor has sent to CMS' RDS Center.

Data Element	Field Description	Notes
Record Type	PIC X(01)	Value 'D' = Detail Record
^SSN	PIC X(09)	Social Security Number (SSN) that was submitted for this beneficiary. This field may contain spaces if the HICN was provided.
^HICN	PIC X(12)	Medicare Health Insurance Claim Number (HICN) that was submitted for this beneficiary. This field may contain spaces if the SSN was provided.
^First Name	PIC X(30)	First Name that was submitted for this beneficiary.
^Middle Initial	PIC X(01)	Optional field. Middle Initial that was submitted for this beneficiary.
^Last Name	PIC X(40)	Last Name that was submitted for this beneficiary.
^Date of Birth	PIC X(08)	Date of Birth that was submitted for this beneficiary. Format: CCYYMMDD
^Gender	PIC X(01)	Gender that was submitted for this beneficiary. Value '0' = Gender Unknown Value '1' = Male Value '2' = Female

Data Element	Field Description	Notes
^Coverage Effective Date	PIC X(08)	The date that was submitted for this beneficiary's (retiree, spouse, or dependant) coverage to begin under the Plan Sponsor's Prescription Drug Benefit Option. Format: CCYYMMDD
^Coverage Termination Date	PIC X(08)	The date that was submitted for this beneficiary's (retiree, spouse, or dependant) coverage to end under the Plan Sponsor's Prescription Drug Benefit Option. Format: CCYYMMDD
[^] Unique Benefit Option Identifier	PIC X(20)	Unique Benefit Option Identifier (UBOI) (for example, Rx group number) corresponding to the benefit under which you submitted this beneficiary for subsidy.
^Relationship to Retiree	PIC X(02)	Relationship to retiree that was submitted for this beneficiary. Value '01' = Self Value '02' = Spouse Value '03' = 0ther
^Transaction Type	PIC X(03)	Transaction type that was submitted for this beneficiary. Value 'ADD' = Add Value 'UPD' = Update Value 'DEL' = Delete
Determination Indicator	PIC X(01)	Value 'Y' = Yes, the retiree qualifies for all or some portion of Subsidy Period for which you applied. Value 'N ' = No, the retiree does not qualify for all or some portion of subsidy for which you applied.
Reason Code	PIC X(02)	The Reason Code provides a reason that this beneficiary was not approved or only partially approved for subsidy for which you applied. For more information, go to: <u>Appendix M:</u> <u>RDS Reason Codes</u> .
Subsidy Period Effective Date	PIC X(08)	The effective date that the Subsidy Period for which this Qualifying Covered Retiree (QCR) has been approved. For a description of how these dates are filled in combination with specific scenarios, go to: <u>Appendix M: RDS Reason</u> <u>Codes</u> . Format: CCYYMMDD

Data Element	Field Description	Notes
Subsidy Period Termination Date		The termination date that the Subsidy Period for which this Qualifying Covered Retiree (QCR) has been approved.
		For a description of how these dates are filled in combination with specific scenarios, go to: <u>Appendix M: RDS Reason</u> <u>Codes</u> . Format: CCYYMMDD
Filler	PIC X(38)	Spaces

Trailer Record

Data Element	Field Description	Notes
Record Type	PIC X(01)	Value 'T' = Trailer Record
Application Number	PIC X(10)	The RDS Application Number that was submitted in the retiree file correlating to this Retiree Response File. Includes leading zeroes as needed to completely fill field.
Creation Date	PIC X(08)	Date the file was created. Format: CCYYMMDD
Creation Time	PIC X(06)	Time the file was created. Format: HHMMSS
Number of Detail Records	PIC X(07)	Right justified and zero filled.
Filler	PIC X(168)	Spaces

Mainframe Response File Copybook

For more information, go to: Appendix G: Mainframe Retiree Response File Copybook.

Evaluating Retiree Response Files

The retiree response records contain all original fields (marked with a caret (^)) sent by the Plan Sponsor in the Retiree File, plus the Determination Indicator, Subsidy Period Effective Date and Subsidy Period Termination Date, and Reason Code. The Plan Sponsor may receive multiple responses (records) for a single beneficiary if there is a gap in the beneficiary's coverage or if the beneficiary is enrolled in multiple Benefit Options.

While evaluating Retiree Response Files, consider the following requirements:

- If Subsidy is being requested for the spouse or dependant of a Qualifying Covered Retiree make sure the information provided in this record is the spouses or dependants and not that of the retiree.
- The Retiree Response File has the same name as the retiree file to which it corresponds with the prefix of "Resp_". For example, if the file you uploaded was named 2010RetireeList.csv, the Retiree Response File will be named Resp_2010RetireeList.csv.

Response File Reason Codes

To review the possible Reason Codes for Retiree Response Files, go to: <u>Appendix M: RDS</u> <u>Reason Codes</u>.

Disclaimer: Due to the sensitive nature of this information, CMS' RDS Center is not at liberty to discuss specific entitlements with Plan Sponsors.

Processing Weekly Notification Files

Important Information About Processing Weekly Notification Files

The Plan Sponsor must process Weekly Notification Files and update Subsidy Period information in their internal systems so that the appropriate cost calculations may be performed. The Plan Sponsor may receive multiple notification records for a single Qualifying Covered Retiree (QCR) in the event that there is a gap in Subsidy Coverage Periods or the beneficiary is enrolled in multiple Benefit Options.

The Weekly Notification Files contain all the original data elements that you sent in the most recent retiree file, plus the Determination Indicator, Reason Codes, Subsidy Period Effective Date, and the Subsidy Period Termination Date as described below. The transaction type data element will be left blank.

For more information about how coverage dates are populated with regard to Reason Codes, go to: <u>Appendix M: RDS Reason Codes</u>.

Processing Notification Files

The Plan Sponsor must process Weekly Notification Files and update Subsidy Period information in their internal systems so that the appropriate cost calculations may be performed. The Plan Sponsor may receive multiple notification records for a single beneficiary in the event that there is a gap in Subsidy Coverage Periods.

If you receive a Reason Code 21: New Medicare Information, re-submit this beneficiary in the next Monthly Retiree List. The Determination Indicator is blank and the subsidy dates are zero. The new Medicare information may result in increased subsidy coverage.

If the notification event results in a change to the Subsidy Period, new dates are reported in the file.

If the notification event is regarding the beneficiary's initial Application for Medicare Part D or is a change that may result in an increased Subsidy Period, the original Subsidy Period Effective and Termination Dates will be reported in the file.

Timing: Processing Weekly Notification Files

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Plan Sponsors should expect to receive a Weekly Notification File as frequently as once a week, on Fridays. If no Weekly Notification File is received, none of the Qualifying Covered Retirees (QCRs) covered under that Application had notification events for that week.

Emails About Weekly Notification Files

The Account Manager and Designee with View/Send/Receive Retiree Data privilege receives an email indicating that Weekly Notification Files are available for download. This email process is effective as of December 15, 2005. Any Weekly Notification Files delivered by CMS' RDS Center prior to December 15, 2005 will not have an associated email.

Note: When Reconciliation Step 4: Finalize Covered Retirees is marked "Complete" or the Reconciliation Deadline has passed for that Application, CMS' RDS Center no longer creates or sends Weekly Notification Files.

Download Weekly Notification Files From The RDS Secure Website

User Roles to Download Weekly Notification Files

The Authorized Representative and the Account Manager may download the Weekly Notification Files. Designees with View/Send/Receive Retiree Data privilege may access the Download Weekly Notification Files page using the Manage Retirees page.

Instructions To Download Weekly Notification Files

To access the RDS Secure Website, and navigate to the Application List page, go to: <u>Appendix</u> <u>A: Access The RDS Secure Website</u>.

You may choose one of the following methods to access the Manage Retirees page:

From the Application List page:

- 1. Find the appropriate Application Number.
- 2. Select **Manage Retirees** from the Actions dropdown menu then select the **Go** button.

Applicatio						Pent	this maps	LOGICIEFORMATION
Application List								Ava Anderson Account Manager November 14, 2011
Plan Sponser: Ravenait Incorporated Authorized Representative: Bnan Hill								Change or Report Security Ou
Authorized Representative: Brian Hill Authorized Representative Verification Status: Approved								ACCOUNT SETUNGS
Authorized Representative Verification Status Effective Date: April 20, 2011								
Account Manager: Alla Anderson								Consta a fee Plan Store Account
Sick an Applic	ation ID to view the Application	Status page o	er select an Action and click	Go.				Plan Spensor Informatio
lick any of th	e links in the Account Settings I	box to perform	actions related to your acco	DURWE.				Bennings Over Bakes
								Manage User Informatio
								Manage User Information
oplication	ist							
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OR

From the Application Status page:

- 1. Go to the Application Maintenance Options section at the bottom of the Application Status page.
- 2. Select the Manage Retirees link.

orized Representative: Brian Hil wit Nanager: Ava Ardorian Sponsor Status: Active colliation Deadline: April 1, 2013		Direct that gauge	LOSININFORMAT
sunt Manager: Ava Anderson Sponeor Statue: Active seciliation Deadline: April 1, 2013			
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inding the submission of a Valid Initial Retiree List.			Plan End:
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Valid Initial Online Application consists of 8 steps. A Plan S pleting the first 7 steps of the Application Submission Proc sement and submit the Valid Initial Online Application to CM	ess. Step 8 allows the Authorized Ra		Reconciliation Dead April 01, 2013
Valid Initial Retiree List			
lan Sponsor must also submit a Valid Initial Retiree List to O	MS' RDS Center as part of the Annie	cation Submission Process. When Sten	
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Nee List may be submitted to CMS' RDS Center. This is a co fed for subsidy.			
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On the Manage Retirees page:

3. Select the Download Weekly Notification Files link.

RDS Secure Website		
HOME RDS-USER DVIDE MY REPORTS LOD OUT		
		YOU ARE HERE
Manage Retirees		Plan Sponsor ID: 130992
Upload Retiree File		Company Name: Ravenaid Incorporated
Download Retiree Response Files		Application ID: 45047
Download Weekly Notification Files		Plan Start: January 01, 2011
View Part D Enrolment Rejection Notifications		Plan End: December 31, 2011
Display List of Uploaded Retiree Files		QUICK HELP
Display Current Covered Retiree Counts		Help about this page
Request List of Covered Retirees		Advanced Help
Download Covered Retiree List		
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	Privacy Policy User Agreement Accessibility	
		Approved OMB-0938-0957 Form CMS-101 Approved OMB-0938-0977 Form CMS-101

The Electronic Protected Health Agreement opens in a new window.

4. Select the **I Accept** button to proceed to the Download Covered Retiree List page or select the **Cancel** button to return to the Manage Retirees page.



NOTE: The privileges ("View/Send/Receive Retiree Data" and/or "Report <u>Print</u>Costs" and/or "Request Payment") permit the Designee to access certain

Electronic Protected Health Information (E-PHI) associated with this Plan Sponsor's RDS application. E-PHI is subject to protection under the federal privacy and security regulations established at 45 CFR Parts 160 and 164 and promulgated pursuant to the Health Insurance Portability and Accountability Act of 1996 ("HIPAA") and is intended for the access and use by individuals only as authorized by the Plan Sponsor. Disclosure of this E-PHI to any other party, unless authorized by the Plan Sponsor or required to do so by law, is prohibited.

By clicking on "I accept" button below, you hereby authorize the Designee to access or use E-PHI associated with this Plan Sponsor's RDS application. Clicking the "Cancel" button will allow you to modify the privileges that you want to assign to this Designee.



On the Download Weekly Notification Files page:

5. Select a file name to download.

Note: Notification files received for the same Application on the same day display a timestamp to denote separate files for processing by a Plan Sponsor.

The **File Download** window displays. You may select **Open with** and choose a software program from the dropdown then select **OK** or you may select **Save File** then select **OK**.

Depending on the browser settings, the file download window may close automatically when the download is complete or you may need to close it manually.

6. You may now download another file or select the Return to Manage Retirees button.

			Print this page	YOU ARE HERE
Download Weekly Notification Files Download any of the files listed by double clicking on the f cancel. The file may be saved after opening by clicking "Sa Select "Return to Manage Retrees" to return to the Mana	file name. A di ave As",			Plan Sponsor ID: 130992 Company Name: Ravenaid Incorporated Application ID: 45047 Plan Start: January 01, 2011 Plan End: December 31, 2011
Name of File	Size of File	Creation Date	Opening NOTIFY_0000130670_0000044242_20111007	OMICK HELP
NOTIFY 0000110670 0000044242 20100710.csv	222 bytes	July-30-2010 02:50:59 PM EDT		
NOTIFY 0000110670 0000044242 20100806.csv	221 bytes	August-06-2010 02:56:54 PM EDT	You have chosen to open	Help about this page
NOTIFY 0000130670 0000044242 20100810.csv	220 bytes	August-10-2010 03:04:28 PM EDT	Y_0000130670_0000044242_201110070916570322.csv	Advanced Help
NOTIFY 0000180670 0000044242 20100813.csv	444 bytes	August-13-2010 03:01:14 PM EDT	which is a: Microsoft Office Excel Comma Separated Values File from: https://www2.rds.cms.hhs.gov	
NOTIFY 0000130670 0000044242 20100818.csv	220 bytes	August-18-2010 01:39:18 PM EDT	What should Firefox do with this file?	
NOTIFY 0000130670 0000044242 20100819.csy	334 bytes	August-19-2010 02:54:42 PM EDT		
NOTIFY 0000130670 0000044242 20100823.csy	110 bytes	August-23-2010 03:05:41 PM EDT	Open with Microsoft Office Excel (default)	
NOTIFY 0000130670 0000044242 201110070916570322.csy	397 bytes	October-07-2011 09:19:35 AM EDT	O Save File	
NOTIFY 0000130670 0000044242 201110070916570127,csy	110 bytes	October-07-2011 09:19:35 AM EDT	Do this gutomatically for files like this from now on.	
Returned Manage Retries				
			OK Cancel	1
SECURE AREA				

Weekly Notification Files RDS Secure Website CSV File Layout

Note: Fields with a caret (^) are filled based on the information the Plan Sponsor has sent to CMS' RDS Center.

Data Element	Max Size	Notes
^Application Number		The RDS Application Number related to the notifications in this file. Includes leading zeroes as needed to completely fill field.
^SSN		Social Security Number (SSN) that was last submitted for this beneficiary. This field may contain spaces if the HICN was provided.
^HICN		Medicare Health Insurance Claim Number (HICN) that was last submitted for this beneficiary.

Data Element	Max Size	Natao
		This field may contain spaces if the SSN was provided.
^First Name	30	First Name that was last submitted for this beneficiary.
^Middle Initial	01	Optional field. Middle Initial that was last submitted for this beneficiary.
^Last Name	40	Last Name that was last submitted for this beneficiary.
^Date of Birth	08	Date of Birth that was last submitted for this beneficiary. Format: CCYYMMDD
^Gender	01	Gender that was last submitted for this beneficiary. Value '0' = Gender Unknown Value '1' = Male Value '2' = Female
^Coverage Effective Date	08	The date that was last submitted for this beneficiary's (retiree, spouse, or dependant) coverage to begin under the Plan Sponsor's prescription drug Benefit Option. Format: CCYYMMDD
^Coverage Termination Date	08	The date that was last submitted for this beneficiary's (retiree, spouse, or dependant) coverage to end under the Plan Sponsor's prescription drug Benefit Option. Format: CCYYMMDD
^Unique Benefit Option Identifier	20	Unique Benefit Option Identifier (UBOI) (for example, Rx group number under which this beneficiary was submitted for subsidy.)
^Relationship to Retiree	02	Relationship to retiree that was last submitted for this beneficiary. Value '01' = Self Value '02' = Spouse Value '03' = Other
^Transaction Type	03	Blank = No transaction types are listed in Weekly Notification Files.
Determination Indicator	01	Value 'Y' = Yes, the retiree qualifies for all or some portion of subsidy previously approved. Value 'N' = No, the retiree does not qualify for subsidy.
		Blank = The subsidy Determination Indicator is unchanged since the last Retiree Response File.
Reason Code	02	For more information, go to: <u>Appendix M: RDS Reason Codes</u> .

RDS User Guides are identified by the version number and release date located on the cover page and footer. Printed or saved versions may be obsolete. Use the current version, which is always available online. Version 15: Released May 5, 2012

-1

Data Element	Max Size	Notes
Subsidy Period Effective Date		The effective date of the Subsidy Period for which this Qualifying Covered Retiree (QCR) is approved. For a description of how these dates are filled in combination with specific scenarios, go to: <u>Appendix M: RDS Reason Codes</u> .
		Format: CCYYMMDD
Subsidy Period Termination Date		The termination date of the Subsidy Period for which this Qualifying Covered Retiree (QCR) is approved.
		For a description of how these dates are filled in combination with specific scenarios, go to: <u>Appendix M: RDS Reason Codes</u> .
		Format: CCYYMMDD

CMS' RDS Center only sends a notification for retirees who have ever qualified for a Subsidy Period. If the retiree never qualified for subsidy, regardless of the reason, a notification is not generated.

Weekly Notification File Mainframe Record Layout

Header Record

Data Element	Field Description	Notes
Record Type	PIC X(01)	Value 'H' = Header Record
Application Number	PIC X(10)	The number assigned to the Application by CMS' RDS Center. Includes leading zeroes as needed to completely fill field.
Creation Date	PIC X(08)	Date the file was created. Format: CCYYMMDD
Creation Time	PIC X(06)	Time the file was created. Format: HHMMSS
Filler	PIC X(175)	Spaces

Weekly Notification Record Layout

Note: Fields with a caret (^) are filled based on the information the Plan Sponsor has sent to CMS' RDS Center.

Data Element	Field Description	Notes
Record type	PIC X(01)	Value 'D' = Detail Record

Data Element	Field Description	Notes
^SSN	PIC X(09)	Social Security Number (SSN) that was last submitted for this beneficiary.
		This field may contain spaces if the Health Insurance Claim Number (HICN) was provided.
^HICN	PIC X(12)	Medicare Health Insurance Claim Number (HICN) that was last submitted for this beneficiary.
		This field may contain spaces if the SSN was provided.
^First Name	PIC X(30)	First Name that was last submitted for this beneficiary.
^Middle Initial	PIC X(01)	Optional field. Middle Initial that was last submitted for this beneficiary.
^Last Name	PIC X(40)	Last Name that was last submitted for this beneficiary.
^Date of Birth	PIC X(08)	Date of Birth that was last submitted for this beneficiary. Format: CCYYMMDD
^Gender	PIC X(01)	Gender that was last submitted for this beneficiary. Value '0' = Gender Unknown Value '1' = Male Value '2' = Female
^Coverage Effective Date	PIC X(08)	The date that was last submitted for this beneficiary's (retiree, spouse, or dependant) coverage to begin under the Plan Sponsor's Prescription Drug Benefit Option. Format: CCYYMMDD
^Coverage Termination Date	PIC X(08)	The date that was last submitted for this beneficiary's (retiree, spouse, or dependant) coverage to end under the Plan Sponsor's Prescription Drug Benefit Option. Format: CCYYMMDD
^Unique Benefit Option Identifier (UBOI)	PIC X(20)	Unique Benefit Option Identifier (UBOI) (for example, Rx group number under which this beneficiary was submitted for subsidy.)
^Relationship to Retiree	PIC X(02)	Relationship to retiree that was last submitted for this beneficiary. Value '01' = Self Value '02' = Spouse Value '03' = Other

Data Element	Field Description	Notes
Transaction Type	PIC X(03)	Blank: No transaction types are listed in Weekly Notification Files.
Determination Indicator	PIC X(01)	Value 'Y' = Yes, the retiree qualifies for all or some portion of subsidy. Value 'N '= No, the retiree does not qualify for all or some portion of subsidy.
		Blank = The subsidy Determination Indicator is unchanged since the last Retiree Response File.
Reason Code	PIC X(02)	For more information, go to: <u>Appendix M: RDS Reason</u> Codes.
Subsidy Period Effective Date	PIC X(08)	The effective date of the Subsidy Period for which this Qualifying Covered Retiree (QCR) has been approved. For a description of how these dates are filled in combination with specific scenarios, go to: <u>Appendix M: RDS Reason</u> <u>Codes</u> . Format: CCYYMMDD
Subsidy Period Termination Date	PIC X(08)	The termination date of the Subsidy Period for which this Qualifying Covered Retiree (QCR) has been approved For a description of how these dates are filled in combination with specific scenarios, go to: <u>Appendix M: RDS Reason</u> <u>Codes</u> . Format: CCYYMMDD

Trailer Record

Data Element	Field Description	Notes
Record Type	PIC X(01)	Value 'T' = Trailer Record
Application Number		The Application Number pertaining to the notifications in this file. Includes leading zeroes as needed to completely fill field.
Creation Date	PIC X(08)	Date the file was created. Format: CCYYMMDD
Creation Time	PIC X(06)	Time the file was created. Format: HHMMSS
Number of	PIC X(07)	Right justified and zero filled.

Detail Records		
Filler	PIC X(168)	Spaces

Note: CMS' RDS Center only sends a notification for retirees who have ever qualified for a Subsidy Period. If the retiree never qualified for subsidy, regardless of the reason, a notification is not generated.

Evaluating Weekly Notification Files

When CMS' RDS Center receives notifications from the Medicare Beneficiary Database (MBD) about beneficiaries, the system re-evaluates the beneficiary's eligibility for subsidy. While reviewing Weekly Notification Files and making updates to the Plan Sponsor's internal records, consider the following:

- Each notification that affects the ability to claim subsidy for a beneficiary is reported in the Weekly Notification File. Factors that affect the beneficiary's eligibility include their Medicare Part D enrollment status, date of death, and other factors.
- Plan Sponsors must process Weekly Notification Files and update Subsidy Period information in their internal systems so that the appropriate cost calculations may be performed. The Plan Sponsor may receive multiple notification records for a single beneficiary in the event that there is a gap in subsidy or enrollment in more than one Benefit Option.
- If the notification event results in a change to the Subsidy Period, new dates are reported in the file.
- If the notification event is regarding the beneficiary's initial Application for Medicare Part D or is a change that may result in an increased Subsidy Period, the original Subsidy Period Effective and Termination Dates are populated based on the Reason Code. For more information, go to: <u>Appendix M: RDS Reason Codes</u>.
- The Weekly Notification Files contains all the original data elements that were sent in the retiree file, plus the Determination Indicator, Reason Codes, Subsidy Period Effective Date, and the Subsidy Period Termination Date as described below. However, the Transaction Type data element is left blank.
- The Weekly Notification File name includes the Plan Sponsor ID, Application ID, and Creation Date. For example:
 - Plan Sponsor 12345, Application 6789, created on October 7, 2011 (20111007).
 - The Weekly Notification File would be: NOTIFY_12345_6789_201110070916570322.csv.

Note: Plan Sponsors must process Weekly Notification Files and update Subsidy Period information in their internal systems so that the appropriate cost calculations may be performed.

Weekly Notification File Reason Codes

To review the possible Reason Codes for Weekly Notification Files, go to: <u>Appendix M: RDS</u> <u>Reason Codes.</u>

Covered Retiree List (CRL)

Important Information About Covered Retiree Lists

The purpose of requesting and downloading the Covered Retiree List (CRL) is for comparison of the Plan Sponsor's internal records with those of CMS' RDS Center. Plan Sponsors should request, download, and review the CRL on a regular basis for a detailed comparison of the Plan Sponsor's internal records of beneficiaries, Benefit Options, and Subsidy Periods with CMS' RDS Center records.

The CRL file includes the same fields contained in Retiree Response Files plus two additional fields that give reporting source information. The CRL includes all Qualifying Covered Retirees (QCRs) having at least one Benefit Option where at least one Subsidy Period exists. A separate record is created for each unique QCR, Benefit Option, and Subsidy Period combination. There may be more than one record per QCR due to gaps in coverage dates or enrollment in multiple Benefit Options.

Retiree records rejected by CMS' RDS Center will not be reflected in this list.

During Reconciliation, the Plan Sponsor is required to review and agree to the CRL in Step 4: Finalize Covered Retirees.

Plan Sponsors may only submit interim or final costs for the QCRs, Benefit Options, and Subsidy Periods listed in the CRL that has been downloaded from CMS' RDS Center.

For more information on requesting a CRL, go to: Instructions to Request a Covered Retiree List.

Timing: Covered Retiree List Availability

The CRL is not available until the Application is approved and retirees are approved for subsidy. A CRL may be requested multiple times throughout the Plan Year and during Reconciliation until Reconciliation Step 4: Finalize Covered Retirees has been completed.

The CRL may be requested once per day. The file should be available within two business days from the time of the request.

User Roles

The Authorized Representative, Account Manager, and Designees with View/Send/Receive Retiree Data privilege may request a CRL.

The Authorized Representative and the Account Manager may download the CRL. Designees with View/Send/Receive Retiree Data privilege may access the Download Covered Retiree List page using the Manage Retirees page.

For more information about who can request a CRL during Reconciliation, go to: <u>Reconciliation</u> <u>User Guide Chapter 5: Finalizing Retirees For Reconciliation</u>.

Instructions to Request a Covered Retiree List

To access the RDS Secure Website, and navigate to the Application List page, go to: <u>Appendix</u> <u>A: Access The RDS Secure Website</u>.

You may choose one of the following methods for accessing the Manage Retirees page:

From the Application List page:

- 1. Find the appropriate Application Number.
- 2. Select Manage Retirees from the Actions dropdown menu then select the Go button.

						Pent	Hus many	LOGICHERORMATION
pplicatio	on List					-		Ava Anderson Account Manager November 14, 2011
	rs Ravenaid Incorporated tepresentative: Brian Hill							Change or Reset Security Quest
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OR

From the Application Status page:

- 1. Go to the Application Maintenance Options section at the bottom of the Application Status page.
- 2. Select the Manage Retirees link.

Initial Representative: Brian Hill Initial Representative: Brian Hill Initial Representative: Brian Hill Initial Representative: Representative: Representative Cation Deadline: April 1, 2013 Cation Statusi Approved Cation Deadline: Oxford A 1, 2013 Cation Statusi Approved Cation Deadline: Oxford A 1, 2013 Cation Statusi Approved Cation Deadline: Oxford A 1, 2014 Initial Retiree List Received Date: April 22, 2011 Initial Retiree List Received Date: April 22, 2011 Initial Retiree List Initial Retiree List Initial Contine Application Cation Deadline: Application consists of two components: the Valid Initial Online Application and the tep 1 through Step 9 on this page may be used to complete and submit a Valid Initial Online Application a Ing the submission of a Valid Initial Retiree List. Initial Online Application Cation Statusi 7 steps of the Application Submission Process. Step 8 allows the Authorized Representative tert and submit the Valid Initial Online Application to CMS' RDS Center, Initial Retiree List	Ind obtain information Plan Star January 01, Plan End December 31, Application S cation, which is done by Reconciliation D
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2. Benefit Uption Complete	
3. <u>Asakan Adulan</u> Complete	
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A. <u>Attentation Summary</u> Complete S. Electronic Plants Testil Internation Martinet	
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5. Electronic Runds Transfer (EPT) Information Verified 6. Bavment Fristallency Complete 7. Resizer Electronic Data Informatio (EDI) Methods and Sources Complete 8. Plan Society Agreement Complete	
S. Electronic Funds Transfer (EFT) Information Verified 6. Payment Frequency Complete 7. Retireme Electronic Data Enterthanaie (EDE) Methods and Sources Complete	

On the Manage Retirees page:

3. Select the Request List of Covered Retirees link.

RDS Secure Website		
HOME RDS-USER DUIDE MY REPORTS LOD OUT		
		YOU ARE HERE
Manage Retirees		Plan Sponsor ID: 130902
Upload Retiree File		Company Name: Ravenaid Incorporated
Download Retiree Response Files		Application ID: 45047
Download Weekly Notification Files		Plan Start: January 01, 2011
View Part D Enrolment Rejection Notifications		Plan End: December 31, 2011
Display List of Uploaded Retiree Files		QUICK HELP
Display Current Covered Retiree Counts		Help about this page
Request List of Covered Retirees		Advanced Help
Download Covered Retiree List		
Return to Application Unit Return to Application Status		
SECURE AREA		
<i>a</i>	Privacy Policy User Agreement Accessibility	
2		Approved OMB-0938-0957 Form CMS-101 Approved OMB-0938-0977 Form CMS-101

On the Request Covered Retirees List page:

4. Select the **Request Covered Retiree List** button to request a CRL or select the **Return to Manage Retirees** button to return to Manage Retirees without requesting the CRL.

RDS Secure Webs	site	
Name - Are Anderson Account Manager	entwa pape	YOU ARE HERE
Today ar Nov 3, 2011 Request Covered Retiree List		Plan Sponsor ID: 130992 Company Name: Ravenaid Incorporated Application ID:
Application Unique Retires Count: 303 Response File Last Requested Date: April 25, 2011 Notification File Last Requested Date: N/A Covered Retiree List Last Requested Date: N/A		45047 Plan Start: January 01, 2011 Plan End: December 31, 2011
Covered Retiree List Last Requested By: N/A		QUICK HELF
Note: You are able to request a covered retiree ist requested. Click on the 'Taquest Covered Retires List' button to	until Reconciliation Step 4; Finalize Govered Retirees is completed or an appeal is	Halo About This Paga Advanced Heb
	eturn to Manage Retirees without requesting the Covered Retiree List.	
¢.	Printey Palary Liner Agreement Accessibility	Approved CMB-0935-0957 Form CMS-10 Approved CMB-0935-0977 Form CMS-10

Instructions for Downloading a Covered Retiree List

To access the RDS Secure Website, and navigate to the Application List page, go to: <u>Appendix</u> <u>A: Access the RDS Secure Website</u>.

You may choose one of the following methods for accessing the Manage Retirees page:

On the Application List page:

- 1. Find the appropriate Application Number.
- 2. Select Manage Retirees from the Actions dropdown menu then select the Go button.

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pplicatio	n List							Ava Anderson Account Manager November 14, 2011
	s Ravenaid Incorporated epresentative: Brian Hill							Change or Report Security Quer
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	epresentative Verification Status egent Ava Anderson	Effective Date	H Abril 20, 2011					Consta a tree Plan Spanin Account
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OR

On the Application Status page:

- 3. Go to the Application Maintenance Options section at the bottom of the Application Status page.
- 4. Select the Manage Retirees link

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ount Manager: Ava Anderson			Frint this gappe	
thorized Representative: Brian Hill court Manager: Ava Anderson				Ava Anderson Account Manag November 2, 20
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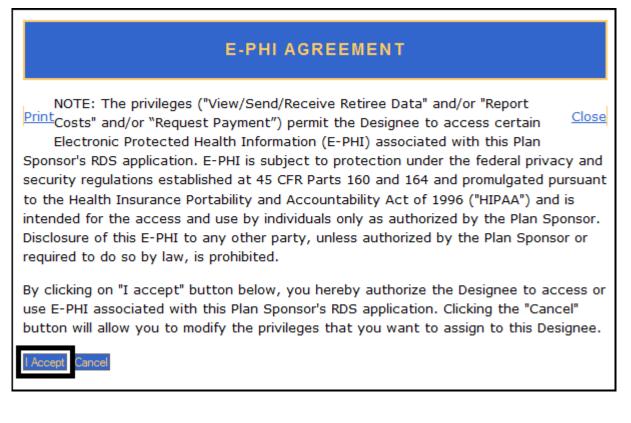
On the Manage Retirees page:

5. Select the **Download Covered Retiree List link**.

RDS Secure Website		
HOME RDS USER OVICE MY REPORTS LOD OUT		
		YOU ARE HERE
Manage Retirees		Plan Sponsor ID: 130992
Upload Retiree File		Company Name: Ravenaid Incorporated
Download Retiree Response Files		Application ID: 45047 Plan Start:
Download Weekly Notification Files		January 01, 2011 Plan End:
View Part D Enrolment Rejection Notifications		December 31, 2011
Display List of Uploaded Retiree Files		QUICK HELP
Display Current Covered Retiree Counts		Help about this page
Request List of Covered Retirees		Advanced Help
Download Covered Retiree List		
Return to Application tail Return to Application Status		
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The Electronic Protected Health Agreement opens in a new window.

6. Select the **I Accept** button to proceed to the Download Covered Retiree List page or select the **Cancel** button to return to the Manage Retirees page.



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On the Download Covered Retiree List Files page:

- 7. View the Covered Retiree Lists (CRLs) that are available for download for this Application.
- 8. Locate and select the file to download. The File Download window displays showing the progress of the download.

Depending on your browser settings, the file download window may close automatically when the download is complete or you may need to close it manually.

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9. You may download another file or select the Return to Manage Retirees button.

File Layout

The Covered Retiree List (CRL) is in a Comma Separated Value (CSV) format:

- A CSV file, or plain text file, is also referred to as a "flat file" or "comma delimited file."
- Computer systems use CSV files to pass information back and forth between databases.
- Each line in a CSV file includes one entry or record and a comma to separate each data element within a record.
- A separate record is created for each unique beneficiary, Benefit Option, and Subsidy Period combination.

File Format

The following table shows the data elements that are included in each record in the Covered Retiree List (CRL):

Note: Fields with a caret (^) are filled with the most recent beneficiary data sent to CMS' RDS Center.

Data Element	Max Size	Notes
Application ID	10	The RDS Application Number under which the Qualifying Covered Retiree (QCR) was approved for subsidy.
^SSN	09	The Social Security Number (SSN) for the Qualifying Covered Retiree (QCR) that was approved for RDS. This field may be blank if the Medicare Health Insurance Claim Number (HICN) was provided instead during Retiree List submission.
^HICN	12	The Medicare Health Insurance Claim Number (HICN) for the Qualifying Covered Retiree (QCR) that was approved for RDS. This field may contain spaces if the SSN was provided instead during Retiree List submission.
^First Name	30	Qualifying Covered Retiree's (QCR's) First Name.
Middle Initial	01	Optional field. Qualifying Covered Retiree's (QCR's) Middle Initial.
^Last Name	40	Qualifying Covered Retiree's (QCR's) Last Name.
^Date of Birth	08	Qualifying Covered Retiree's (QCR's) Date of Birth. Format: CCYYMMDD
^Gender	01	Qualifying Covered Retirees (QCR's) Gender: Value '0' = Gender Unknown Value '1' = Male Value '2' = Female
^Effective Date	08	The beginning date of the Qualifying Covered Retiree's (QCR's) (retiree, spouse, or dependant) coverage under this Prescription Drug Benefit Option. Format: CCYYMMDD
^Termination Date	08	The ending date of the Qualifying Covered Retiree's (QCR's) (retiree, spouse, or dependant) coverage under this Prescription Drug Benefit Option. Format: CCYYMMDD
^Unique Benefit Option Identifier (UBOI)	20	The unique identifier assigned to this Prescription Drug Benefit Option under which this Qualifying Covered Retiree (QCR) was approved for subsidy.

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Data Element	Max Size	Notes
^Relationship to Retiree	02	Qualifying Covered Retiree's (QCR's) Relationship to the retiree: Value '01' = Self Value '02' = Spouse Value '03' = Other
^Type of Record	03	'ADD' or 'UPD'. Will be the same as the last record type submitted for this beneficiary in a retiree file.
Determination Indicator	01	Value 'Y' = Yes. All records in the Covered Retiree List are approved for subsidy.
Reason Code	02	The reason code provided is from the last Retiree Response file record or Weekly Notification file records for this Qualifying Covered Retiree (QCR). For more information, go to: <u>Appendix M: RDS Reason Codes</u> .
Subsidy Period Effective Date	08	The effective date of the beneficiary's (retiree, spouse, or dependant) approved Subsidy Period. Format: CCYYMMDD
Subsidy Period Termination Date	08	The termination date of the beneficiary's (retiree, spouse, or dependant) approved Subsidy Period. Format: CCYYMMDD
Submitter Type	01	The last method by which the Qualifying Covered Retiree (QCR) was submitted to CMS' RDS Center: Value 'P' = Plan Sponsor Value 'V' = Vendor Value 'C' = VDSA/COB: VDSA/MIR
Submitter Name	50	Plan Sponsor, Vendor, or COB Contractor: VDSA/MIR name that last submitted this Qualifying Covered Retiree (QCR) to CMS' RDS Center.

Covered Retiree List and Reconciliation

To learn more about the Covered Retiree List as it applies to Reconciliation, go to: <u>Reconciliation</u> <u>User Guide Chapter 5 Finalizing Retirees For Reconciliation</u>.

Stop Retiree Processing

Federal law requires that the Plan Sponsor submit cost data only for the Qualifying Covered Retirees (QCR), corresponding Subsidy Periods, and the Benefit Option in which the QCR is enrolled. By completing Reconciliation Step 4: Finalize Covered Retirees, the Plan Sponsor is agreeing to the accuracy of the Covered Retiree List. When the Covered Retiree List is finalized, the Centers for Medicare & Medicaid Services' (CMS') Retiree Drug Subsidy (RDS) Center stops all Retiree processing for that Application.

When Reconciliation Step 4: Finalize Covered Retirees is marked "Complete" or the Reconciliation Deadline has passed for that Application:

- The Plan Sponsor is unable to upload retiree files through the RDS Secure Website
- Any retiree list submitted through the Mainframe, VDSA, or MIR is not processed by CMS' RDS Center
- Retiree files are rejected for the Application and response files are sent with Reason Code 28: File Rejected Closed Application indicating the rejection
- CMS' RDS Center no longer creates or sends Weekly Notification Files
- Part D Enrollment Rejection Notifications no longer are posted to the RDS Secure Website
- An email is sent to the Authorized Representative, Account Manager, and Designees with View/Send/Receive Retiree Data privilege informing them that retiree processing has stopped

Note: Retiree files should continue to be sent to CMS' RDS Center until the Covered Retire List is validated and finalized during Reconciliation.

View Part D Enrollment Rejection Notifications

Introduction To Part D Enrollment Rejection Notifications

A Medicare Part D Enrollment Rejection Notification is information provided by the Centers for Medicare & Medicaid Services' (CMS') Retiree Drug Subsidy (RDS) Center advising the Plan Sponsor that a Qualifying Covered Retiree (QCR), for whom they are requesting Subsidy Payments, has attempted to enroll in Medicare Part D.

Authorized Representatives, Account Managers, and Designees with the View/Send/Receive Retiree Data privilege may view Part D Enrollment Rejection Notifications on the RDS Secure Website. In addition, CMS' RDS Center sends a notification in the Weekly Notification File with a Reason Code 20 - Beneficiary attempted to enroll in Medicare Part D and received initial rejection.

Any beneficiary that is eligible for Medicare Part D may sign up for that benefit during Medicare open enrollment. When a Plan Sponsor is requesting subsidy for a QCR that attempts to enroll in Medicare Part D, the QCR receives an initial enrollment rejection from Medicare. *Plan Sponsors may not receive subsidy for any beneficiaries that are enrolled in Medicare Part D*.

After the initial Medicare Part D Enrollment Rejection, a QCR may choose to override the rejection and enroll in Medicare Part D, regardless of their subsidy status. If the QCR chooses to override the rejection, the Plan Sponsor's subsidy for that QCR is terminated and CMS' RDS Center notifies the Plan Sponsor. Only the initial Part D Rejection Notification is available to view online using the RDS Secure Website. CMS' RDS Center sends a notification in the Weekly Notification File with a new Subsidy Period and a Reason Code 10: **Enrolled in Medicare Part D**.

What To Do About Part D Enrollment Rejection Notifications

The Part D Enrollment Rejection Notification is your cue to contact the Qualifying Covered Retiree (QCR) who applied for Medicare Part D. Explain to the QCR that your plan has equivalent or better drug coverage, the QCR does not need Medicare Part D, and they cannot have both. If the QCR persists and enrolls in Medicare Part D, you are no longer allowed to receive subsidy for that individual.

RDS User Guides are identified by the version number and release date located on the cover page and footer. Printed or saved versions may be obsolete. Use the current version, which is always available online. Version 15: Released May 5, 2012

Medicare informs CMS' RDS Center if the QCR enrolls in Medicare Part D. CMS' RDS Center recalculates the eligibility for that QCR and sends a Weekly Notification File with the update.

There is no need to inform CMS' RDS Center of the contact with the QCR.

Timing: Weekly Notification File

A file is created when beneficiaries covered under this Application have a notification event such as attempting to enroll in Medicare Part D.

Check the RDS Secure Website regularly. Notifications are processed daily, but email notifications are not sent to Plan Sponsors when information is added to the display screen.

CMS' RDS Center automatically generates a Weekly Notification File for each Application. The file includes the Part D Enrollment Rejection Notifications, in addition to other notifications about beneficiaries with Subsidy Periods for that Application.

When Reconciliation Step 4: Finalize Covered Retirees is marked "Complete" or the Reconciliation Deadline has passed for that Application, CMS' RDS Center no longer creates or sends Weekly Notification Files.

Troubleshooting Part D Enrollment Rejection Notifications

No Notifications will be displayed if:

- No beneficiaries are attempting to enroll in Medicare Part D
- The last notification is older than 30 days

Accessing Part D Enrollment Rejection Notifications

The information contained in the Beneficiary Notifications are classified as Protected Health Information (PHI) and fall under the jurisdiction of Title II, Subtitle F, of the Health Insurance Portability and Accountability Act Of 1996 (HIPAA). As such, this information is protected and transmission and maintenance of it is closely regulated. The methods that CMS' RDS Center uses to disseminate retiree notifications have been selected to best comply with these regulations.

User Roles To Access Part D Enrollment Rejection Notifications

The Authorized Representative, Account Manager, and Designees with View/Send/Receive Retiree Data privilege may access Part D Enrollment Rejection Notifications.

Instructions to Access Part D Enrollment Rejection Notifications

To access the RDS Secure Website, and navigate to the Application List page, go to: <u>Appendix</u> <u>A: Access the RDS Secure Website</u>.

You may choose one of the following methods for accessing the Manage Retirees page:

From the Application List page:

- 1. Find the appropriate Application Number.
- 2. Select Manage Retirees from the Actions dropdown menu then select the Go button.

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OR

From the Application Status page:

- 1. Go to the Application Maintenance Options section at the bottom of the Application Status page.
- 2. Select the Manage Retirees link.

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On the Manage Retirees page:

3. Select the View Part D Enrollment Rejection Notifications link.

Note: When Reconciliation Step 4: Finalize Covered Retirees is marked "Complete" or the Reconciliation Deadline has passed for that Application, CMS' RDS Center no longer posts Part D Enrollment Rejection Notifications to the RDS' Secure Website.

RDS Secure Website	
HOME RDS USER BUDE MY REPORTS LOD OUT	
	YOU ARE HERE
Manage Retirees	Plan Sponsor ID:
Upload Retiree File Download Retiree Response Files	130902 Company Nome: Ravenaid Incorporated Application ID:
Download Weekly Notification Files View Part D Enrolment Rejection Notifications	45047 Plan Start: January 01, 2011 Plan End:
	December 31, 2011
Display List of Uploaded Retiree Files	QUICK HELP
Display Current Covered Retiree Counts	Help about this page
Request List of Covered Retirees	Advanced Help
Download Covered Retiree List	
Return to Application (Link) Return to Application Status	
B SECURE AREA	
Prinacy Policy User	Agreement Accessibility
8	Approved OMB-0938-0957 Form CMS-101 Approved OMB-0938-0977 Form CMS-101

The Electronic Protected Health Agreement opens in a new window.

4. Select the **I Accept** button to proceed to the Download Covered Retiree List page or select the **Cancel** button to return to the Manage Retirees page.

E-PHI AGREEMENT

NOTE: The privileges ("View/Send/Receive Retiree Data" and/or "Report <u>Print</u>Costs" and/or "Request Payment") permit the Designee to access certain

Electronic Protected Health Information (E-PHI) associated with this Plan Sponsor's RDS application. E-PHI is subject to protection under the federal privacy and security regulations established at 45 CFR Parts 160 and 164 and promulgated pursuant to the Health Insurance Portability and Accountability Act of 1996 ("HIPAA") and is intended for the access and use by individuals only as authorized by the Plan Sponsor. Disclosure of this E-PHI to any other party, unless authorized by the Plan Sponsor or required to do so by law, is prohibited.

By clicking on "I accept" button below, you hereby authorize the Designee to access or use E-PHI associated with this Plan Sponsor's RDS application. Clicking the "Cancel" button will allow you to modify the privileges that you want to assign to this Designee.



Close

On the Part D Enrollment Rejection Notifications page:

5. Review the Part D Enrollment Rejection Notifications.

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9 alert not	ifications found,	displaying page	1 of 2.[Pre	w] 1, 2 (Next)		

6. Select the Return to Application List button to return to the Application List page.

Format Of Part D Enrollment Rejection Notifications

On the Part D Enrollment Rejection Notification page, there is at least one row per Qualifying Covered Retiree (QCR) who has applied for Medicare Part D and been initially rejected. There may be more than one row per QCR due to gaps in coverage dates or enrollment in multiple plan options.

The **Part D Enrollment Rejection Notifications** page displays the following details about each Notification:

- Notify Date The date the notification was posted to the RDS Secure Website. It is posted a few days after the QCR attempted to enroll in Medicare Part D. The notification is removed from the RDS Secure Website 30 days after this date.
- **Beneficiary Name** The name of the individual who attempted to enroll in Medicare Part D.
- Date of Birth The date the QCR was born.
- **Plan Option** The Benefit Option, within the selected Application, for which the QCR currently has subsidy.

- **Subsidy Period Start Date** The date related to a specific Benefit Option, which indicates when a QCR's current subsidy begins.
- **Subsidy Period End Date** The date related to a specific Benefit Option, which indicates when a QCR's current subsidy ends.

Tip: Select the column header to sort the list of notifications.

8 Reassigning Or Terminating RDS Secure Website User Roles

Things To Consider When Reassigning The Account Manager Role

- The role of Account Manager must always be active with a current valid user assigned.
- A replacement for the Account Manager must be selected when reassigning the Account Manager user role.
- An Account Manager is required to be a registered RDS Secure Website User and maintain an active Login ID and Password.
- The Account Manager or Authorized Representative may reassign the Account Manager user role if necessary.
- An existing Account Manager may be reassigned to the Account Manager role, or a new user that meets the qualifications of an Account Manager may be invited to register with the RDS Secure Website.
- The RDS Secure Website allows an individual to act in only one role at a time. An individual may have only one user account in the RDS Secure Website. CMS' RDS Center validates an individual's Date of Birth and Social Security Number to ensure that each individual has only one user account at a time.
- RDS Secure Website users may only function in one user role in the RDS Secure Website, so an individual must be assigned the same user role for each Plan Sponsor they are associated with.

Things To Consider When Reassigning The Authorized Representative Role

- The role of Authorized Representative must always be active with a current valid user assigned.
- A replacement for the Authorized Representative must be selected when reassigning the Authorized Representative user role.
- An Authorized Representative is required to be a registered RDS Secure Website User and maintain an active Login ID and Password.
- The Account Manager or Authorized Representative may reassign the Authorized Representative user role if necessary.
- An existing Authorized Representative may be reassigned to the Authorized Representative role, or a new user that meets the qualifications of an Authorized Representative may be invited to register with the RDS Secure Website.
- The RDS Secure Website allows an individual to act in only one role at a time. An individual may have only one user account in the RDS Secure Website. CMS' RDS Center validates an individual's Date of Birth and Social Security Number to ensure that each individual has only one user account at a time.
- An <u>Authorized Representative Verification Form</u> must be submitted for a new or existing Authorized Representative.
- RDS Secure Website users may only function in one user role in the RDS Secure Website, so an individual must be assigned the same user role for each Plan Sponsor they are associated with.

• The newly assigned Authorized Representative must be verified prior to requesting an interim payment or completing Reconciliation.

Timing Of User Role Reassignment

- Changes to the Account Manager and Authorized Representative user roles cannot be made until the Account Manager and the Plan Sponsor have passed initial validation in the RDS Secure Website.
- When user roles are reassigned, the terminated user will be valid until 11:59PM Eastern Time of the termination date. The new user is effective at 12:00AM Eastern Time on the day immediately following the terminated user's termination date.
- A user terminated from a previous role may be reassigned as the Account Manager or Authorized Representative, as long as that user's previous user role has been terminated from all Plan Sponsors that they are associated with. Allow one day after the user's termination date before assigning the user the new role.
- Both the Account Manager and Authorized Representative roles may be pending reassignment at the same time.
- The Account Manager and the Authorized Representative may be reassigned on the same day, but the termination date must be a different date.
- A pending reassignment may be cancelled prior to the time the reassignment takes effect.
- A new <u>Authorized Representative Verification Form</u> must be submitted when the Authorized Representative user role is reassigned. After a new form is received, CMS' RDS Center will take up to 5 business days after a valid form is received to process and approve the form.

Email Notification About Reassignment Of Account Manager Or Authorized Representative User Role

When either the Account Manager or Authorized Representative user roles are reassigned, or when a pending user role reassignment is cancelled, both the Account Manager and the Authorized Representative, as well as the newly reassigned user, will receive email notifications of the changes.

The following table lists the emails that will be sent:

Email Subject Line	Recipient	Email Description
RDS Program Account Manager Invitation	To: Pending New Account Manager	A new Account Manager Reassignment has been initiated. A new Account Manager assigned to an existing Plan Sponsor will receive this invitation email to begin Registration, even if they are already a registered RDS Secure Website user.
RDS Program Account Manager Invitation – CC	To: Authorized Representative	The Authorized Representative will receive a copy of the Account Manager Invitation email.
RDS Program Account Manager Reassignment	To: Current Account Manager CC: Authorized Representative	After the Account Manager user role is reassigned, the current Account Manager will receive this email notifying them that their user role will be terminated by the effective date.
RDS Program Account Manager Invitation Cancellation	To: Pending New Account Manager CC: Authorized Representative	The individual who was to be assigned as the new Account Manager will receive this email when their assignment is cancelled. They will not be the new Account Manager.
RDS Program Account Manager Reassignment Cancellation	To: Current Account Manager CC: Authorized Representative	The current Account Manager, who was previously notified that their user role is terminated by the effective date, will receive this email when the termination is cancelled. They will remain the Account Manager.
RDS Program Authorized Representative Invitation	To: Pending New Authorized Representative	A new Authorized Representative Reassignment has been initiated. A new Authorized Representative assigned to a new or existing Plan Sponsor will receive this invitation email to begin Registration, even if they are already a registered RDS Secure Website user.

Email Subject Line	Recipient	Email Description
RDS Program Authorized Representative Invitation – CC	To: Account Manager	The Account Manager will receive a copy of the Authorized Representative Invitation email.
RDS Program Authorized Representative Reassignment	To: Authorized Representative CC: Account Manager	After the Authorized Representative user role is reassigned, the current Authorized Representative will receive this email notifying them that their user role will be terminated by the effective date.
RDS Program Authorized Representative Invitation Cancellation	To: Pending New Authorized Representative CC: Account Manager	The individual who was to be assigned as the new Authorized Representative will receive this email when their assignment is cancelled. They will not be the new Authorized Representative.
RDS Program Authorized Representative Reassignment Cancellation	To: Authorized Representative CC: Account Manager	The current Authorized Representative, who was previously notified that their user role is terminated by the effective date, will receive this email when the termination is cancelled. They will remain the Authorized Representative.

Reassign The Account Manager Or Authorized Representative User Role

To access the RDS Secure Website, and navigate to the Plan Sponsor List With Application Summary page, go to: <u>Appendix A: Access the RDS Secure Website</u>.

From the Plan Sponsor List With Application Summary page:

1. Click Reassign User Roles in the Account Settings box.

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plications Other	displays the total coun	t of Withdrawn and	d Deleted Applic	ations associat	ed with the Pla	n Sponsor ID.		ACCOUNT SETTING	s
lan Sponsor ID	Organization Name	Authorized Representative		Applications Pending	Applications Approved	Applications Denied	Applications Other	Create a New Plan Spo Account	unsor
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1016	Ravenaid Incorporated	Brian Hill	0	2	2	0	0		
1017	Ravenaid Incorporated	Brian Hill	0	0	0	0	0	Manage User Informat	ban
								Start a New Applicat	ion
								Change Password	
ECURE AREA									

On the Reassign User Roles page:

An * indicates a required field.

- 2. Select the Plan Sponsor ID associated with the user role to be reassigned from the dropdown menu if there is more than one Plan Sponsor*.
- 3. Select Account Manager or Authorized Representative from the User Role for Reassignment dropdown menu*.
- 4. Click **Continue** to reassign the selected user role or click **Cancel** to return to the Plan Sponsor List With Application Summary page.

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On the User Role Reassignment page:

An * indicates a required field.

- 5. Select the Termination Date: Month, Day, and Year for the existing Account Manager or Authorized Representative*.
 - The date must be today's date or a future date.
 - The current user in the role will be valid until 11:59PM Eastern Time on the day selected.
- 6. Enter the Email Address for the new Account Manager or Authorized Representative*.
- 7. Click **Continue** to search for the Email Address or click Cancel to return to the Reassign User Roles page.

RDS Secure Website		
HOME HORINGER BOAR LON OUT		
User Role Reassignment	Driet This pap	LOCAN INFORMATION
An * indicates a required field.		Ava Anderson Account Manager July 26, 2010
Current User Role Assignment		Change or Reset Security Questions
User Role: Account Manager		ACCOUNT SETTINGS
Name: Ava Anderson		Concernance of the second
Email Address: aanderson@ravenaid.com		Create a New Plan Sponsor Account
Termination Date: July S 30 2010		Plan Sponsor Information
Reassign User Role		Reassign User Roles
*Email Address 🔮 jmichaels@ravenaid.com		Manage User Information
		Start a New Application
Click Continue to search for the Email Address. Click Cancel	to return to the Reassign User Roles page.	Change, Password
Secure Area		
(wacy Policy (User Agreement) Accessibility	
		Approved OMB-0938-0957 Form CMS-10156 Approved OMB-0938-0977 Form CMS-10170

You navigate to one of three pages:

- User Found and Cannot Be Reassigned page: The Email Address entered has been found, but this person cannot be assigned as an Account Manager or Authorized Representative because they are already assigned a different role.
- User Found and Can Be Reassigned page: The Email Address entered has been found and this person can be assigned as the Account Manager or Authorized Representative.
- **User Not Found page**: The Email Address entered was not found and this person can be assigned as the Account Manager or Authorized Representative.

On the User Found and Cannot Be Reassigned page:

8. Click **Cancel** to return to the User Role Reassignment page.

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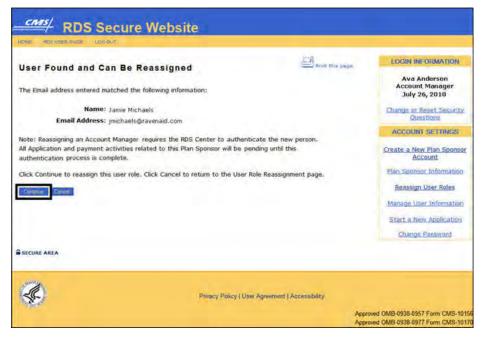
Die abrusersuse conduit		
User Found and Cannot Be Reassigned The Email Address entered has been found, but this person cannot be assigned as a because they are already assigned a different role. Mame: Jamie Michaels Email Address: prichaels@ravenäid. Click Cancel to return to the User Role Reassignment page.	Dent the page	LOCIN INFORMATION Ava Anderson Account Manager July 26, 2010 Change or Reset Security Questions ACCOUNT SETUNAS Create a New Plan Sponso ACCOUNT SETUNAS Create a New Plan Sponso ACCOUNT SETUNAS Statt a New Application Start a New Application Change Password
Privacy Policy LUser Agreen	A	pproved CMB-0938-0957 Form CMS-10

Note: A user cannot be reassigned as an Authorized Representative or an Account Manager when:

- Their RDS Secure Website user account is "inactive". The user must contact <u>CMS' RDS</u> <u>Center Help Line</u> to resolve their inactive account before they can be reassigned.
- Their Email Address is associated with a user account that has a different RDS Secure Website user role.

On the User Found and Can Be Reassigned page:

8. Click **Continue** to proceed or click **Cancel** to return to the User Role Reassignment page.



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On the User Role Reassignment Verification page:

An * indicates a required field.

- 9. Enter Answers to Security Questions*.
- 10. Click **Confirm** to reassign this user role or click **Cancel** to return to the User Role Reassignment page.

User Role Reassignment Verification An * indicates a required field. Review the following User Role Reassignment. Current Account Manager Information Name: Ava Anderson Email Address: aanderson@ravenaid Termination Date: July 30, 2010	Dinit the page	LOGIN BIT ORMATION Ava Anderson Account Manager July 26, 2010 Change or Reset Security Questions ACCOUNT SETTINGS
Review the following User Role Reassignment. Current Account Manager Information Name: Ava Anderson Email Address: aanderson@ravenaid		Account Manager July 26, 2010 Change or Reset Security Questions
Current Account Manager Information Name: Ava Anderson Email Address: aanderson@ravenaid		Questions
Name: Ava Anderson Email Address: aanderson@ravenaid		
Email Address: aanderson@ravenaid		
		The Rest of a strand and a strand
Termination Date: July 30, 2010		Create a New Plan Sponso Account
		Plan Sponsor Information
New Account Manager Information		Reassign User Roles
Name: Jamie Michaels		Manage User Information
Email Address: jmichaels@ravenaid.com		Start a New Application Change Password
To expire Ava Anderson as the Account Manager on July 30, 2010 and assign Jami as the Account Manager for this Plan Sponsor, answer the Security Questions and		
Security Question 1: What is your favorite drink?		
"Answer 1: 0 tea		
Security Question 2: Who is your favorite teacher?		
"Answer 2: 🥥 Mr. Smith		
Click Confirm to reassign this user role. Click Cancel to return to the User Role Reas	signment page.	
Solar Seal		
SECURE AREA		
Privacy Policy User Agreem		

On the User Role Reassignment Confirmation page:

11. Click **Continue** to return to the Plan Sponsor List With Application Summary page.

Mail Indonusian Munga Low-du/P			
Jser Role Reassignment Cor	firmation	Dinis the page	LOGIN NEORMATION Ava Anderson Account Manager
he following user role has been reassigned. Current Account Manager Information			July 26, 2010 Change or Reset Security Guestions
Name: Ava Anderson			ACCOUNT SETTINGS
Email Address: aanderson@rave Termination Date: July 30, 2010	naid.com		Create a New Plan Sponso Account
lew Account Manager Information			Plan Sponsor Information Reassign User Roles
Name: Jamie Michaels			Manage User Information
Email Address: jmichaels@rave	naid.com		
lick Continue to return to the Plan Sponsor L	ist With Application Summary p	age.	Start a New Application Change Password
Secure Area			

On the User Not Found page:

8. Click **Assign New** to add a new user or click **Cancel** to return to the User Role Reassignment page.

		-
User Not Found	Binet this page	LOGIN INFORMATION
The Email Address entered was not found.		Ava Anderson Account Manager July 26, 2010
Email Address: jmichaels@ravenaid.com		Change or Reset Security Questions
Click Assign New to add a new user. Click Cancel to return to the Use again.	r Role Réassignment page to search	ACCOUNT SETTINGS
nanges Med Closed		Create a New Plan Sponso Account
		Plan Sponsor Information
		Reassign User Roles
		Manage Use: Information
		Start a New Application
		Chaoge Password
SECURE AREA		
1	V Liser Agreement Accessibility	

On the Reassign New User Role page:

- 9. Enter the required information. An * indicates a required field.
- 10. Click **Continue** to proceed or click **Cancel** to return to the User Role Reassignment page.

RDS Secure Webs	ite	
HOME ROTUGER MALE LOSS OVT		
Reassign New User Role	Done that	LOGIN INFORMATION
The Email Address you entered:		Ava Anderson Account Manager July 26, 2010
Email Address: jmichaels@ravenaid.com		Change or Reset Security Questions
Enter the required information for the new Account f	Manager :	ACCOUNT SETTINGS
An * indicates a required field. *First Name ① Jamie		Create a New Plan Sponsor Account
Middle Initial		Plan Sponsor Information
Last Name Michaels Note: Reassigning an Account Manager requires the	-	Reassign User Roles Manage User Information
All Application and payment activity related to this P authentication process is complete.		Start a New Application Change Password
Click Continue to reassign this user role. Click Cancel	I to return to the User Role Reassignment page.	
¢.	Pmacy Policy User Agreement Accessibility	
		Approved OMB-0938-0957 Form CMS-1019 Approved OMB-0938-0977 Form CMS-1019

On the User Role Reassignment Verification page:

- An * indicates a required field.
 - 11. Enter Answers to Security Questions*.
 - 12. Click **Confirm** to reassign this user role or click **Cancel** to return to the Reassign New User Role page.

CMS/ RDS Secure Website		
ecker (Koskisova avan - Ladition)		
User Role Reassignment Verification	Print this	LOGIN INFORMATION
An * indicates a required field.		Ava Anderson Account Manager July 26, 2010
Review the following User Role Reassignment.		Change or Reset Security
Current Account Manager Information		Questions ACCOUNT SETTINGS
Name: Ava Anderson		
Email Address: aanderson@ravenaid		Create a New Plan Sponsor Account
Termination Date: July 30, 2010		Plan Sponsor Information
New Account Manager Information		Reassign User Roles
		Manage User Information
Name: Jamie Michaels		Start a New Application
Email Address: jmichaels@ravenaid.com		Change Password
To expire Ava Anderson as the Account Manager on July as the Account Manager for this Plan Sponsor, answer th Security Question 1: What is your favorite drink?		
"Answer 1: 0 tea		
Security Question 2: Who is your favorite teacher	7	
"Answer 2: 🥑 Mr. Smith		
Click Confirm to reassign this user role. Click Cancel to re	etum to the User Role Reassignment page.	
Ender Lines		
SECURE AREA		
To		
	Relacy Policy User Agreement Accessibility	
		Approved OMB-0938-0957 Form CMS-1015 Approved OMB-0938-0977 Form CMS-1017

On the User Role Reassignment Confirmation page:

13. Click **Continue** to return to the Plan Sponsor List With Application Summary page.



Cancelling A Pending User Role Reassignment

A user role reassignment can be cancelled while it is still pending.

Reasons to cancel a pending user role reassignment can include:

- An incorrect termination date can be cancelled and reassigned.
- An incorrect user role reassignment can be cancelled and reassigned.
- A future dated user role reassignment can be cancelled and reassigned.

Cancel A Pending User Role Reassignment

To access the RDS Secure Website, and navigate to the Plan Sponsor List With Application Summary page, go to: <u>Appendix A: Access the RDS Secure Website</u>.

From the Plan Sponsor List With Application Summary page:

1. Click Reassign User Roles in the Account Settings box.

						0	it this page	LOGIN INFORMATIO	DN
lan Sponso ith Applica	ation Summary							Ava Anderson Account Manager	e
ick a Plan Spons	or ID to view a Plan Spo	insor's Applications	ñ.					July 16, 2010	
ick any of the lin	ks in the Account Setti	ngs box to perform	actions related	i to your accou	nt.			Change or Reset Sec Questions	urity
plications Other	displays the total coun	t of Withdrawn and	d Deleted Applic	ations associat	ed with the Pla	n Sponsor ID.		ACCOUNT SETTING	as 🛛
lan Sponsor ID	Organization Name	Authorized Representative		Applications Pending	Applications Approved	Applications Denied	Applications Other	Create a New Plan Sp Account	ionsor
30217	Ravenaid Incorporated	Brian Hill	5	0	2	0	0	Reassign User Role	88
31016	Ravenaid Incorporated		0	2	2	0	0		
1017	Ravenaid Incorporated	Brian Hill	0	0	0	0	0	Manage User Informa	stion
								Start a New Applica	tion
								Change Password	d
ECURE AREA									
100 m									

On the Reassign User Roles page:

2. Click Cancel in the Action column of the Pending User Role Reassignments table.

	0007-0202	100.017							
a a a a lu	gn User	Balas					Don't this shot		LOGIN INFORMATION
The Reass Represent.	ign User Role	s process all		reassign an Accour icel a pending Accou					Ava Anderson Account Manager July 26, 2010 Change of Reset Security
	ole is pending or cancelled.	reassignmer	nt, you car	not reassign that u	ser role until th	e original r	sassignment is		Question ACCOUNT SETTINGS
	int Manager a must have dif			ntative can be pend	ling user role re	assignment	t at the same		Create a New Plan Sponso Account
			nation Date	n.					Plan Sponse Information
n * indici	ates a require	d field							Reassign User Roles
lick Canc	el to abort a	Pending Use	r Role Reas	signment.					Manage User Information
ending	User Role F	teassignm	ents						Start a New Application
Man Sponsor ID	Plan Sponsor Name	User Role	Current	Current User Email Address	Termination Date	New User	New User Email Address	Action	Change Password
999999	Ravenaid Incorporated	Account Manager	Ava Anderson	aanderson@raven aid.com	July 30, 2010	Jamie Michaels	ymichaels@ravenaid. com	Cancel	
Select a F	Plan Sponsor Plan Sponsor Plan Sponso *User Role Reassignmer	and a User R	One 🔹	ssignment.					
			cted user n	ole. Click Cancel to r	return to the Pi	an Sponso	r List With		
Applicatio	n Summary p Concel								
	Tarial			Privacy P	obcy (User Agre	envint (Acci	nstability		

On the Cancel Pending User Role Reassignment Verification page:

An * indicates a required field.

- 3. Review the Current and Pending user role information.
- 4. Enter Answers to Security Questions*.

5. Click **Confirm** to proceed or click **Cancel** to return to the Reassign User Roles page.



On the Cancel Pending User Role Reassignment Confirmation page:

6. Click **Continue** to return to the Reassign User Roles page.

Cancel Pending User Role Reassignment Confirmation The following Pending User Role Reassignment has been cancelled. Pending Reassign Account Manager Information Name: Jamie Michaels Email Address: jmichaels@ravenaid.com The following User Role Assignment remains in effect. Account Manager Information	LOGH INFORMATION Ava Anderson Account Manager July 26, 2010 Change of Reset Security Questions ACCOUNT SETTINGS Create a New Plan Sponto Account Plan Sponsor Information Reassign User Roles
Pending Reassign Account Manager Information Name: Jamie Michaels Email Address: jmichaels@ravenaid.com The following User Role Assignment remains in effect. Account Manager Information	Account Manager July 26, 2010 Change of Resel Security Questions ACCOUNT SETTINGS Greate 3 New Plan Sponso Account Plan Sponsor Information
Name: Jamie Michaels. Email Address: jmichaels@ravenaid.com The following User Role Assignment remains in effect. Account Manager Information	Questions ACCOUNT SETTINGS Create a New Plan Sponso Account Plan Sponsor Information
Email Address: jmichaels@ravenaid.com The following User Role Assignment remains in effect. Account Manager Information	<u>Create a New Plan Sponso</u> <u>Account</u> Plan Sponsor Information
The following User Role Assignment remains in effect. Account Manager Information	Account Plan Sponsor Information
Account Manager Information	Account Plan Sponsor Information
	Reassign User Roles
Name: Ava Anderson	Manage User Information
Email Address: aanderson@ravenaid.com	Start a New Application
Click Continue to return to the Reassign User Roles page.	Change Password
SECURE AREA	
Prinacy Policy (User Agreement) Accessibility	

Reassign A Bank Contact

For more information, go to: <u>Changing Electronic Funds Transfer (EFT) Information On An</u> <u>Application After Submission</u>.

Terminating Designees

For information on how to delete a Designee, go to: Designee Maintenance.

9 Managing Registered User Information

User Information That Can Be Changed

- First Name
- Middle Initial
- Last Name
- Company (Actuary only)
- Job Title
- Phone Number
- Fax Number
- Email Address
- Mailing Address
- Password
 - A Password can only be changed once in a 24-hour period.
- Security Questions and Answers
 - Security Questions can only be changed once in a 24-hour period.

User Information That Cannot Be Changed

- Login ID
- Date of Birth
- Social Security Number
- American Academy of Actuaries Membership Number

Actuary Name Changes

Actuary name changes must first be registered with the American Academy of Actuaries before being changed with the Centers for Medicare & Medicaid Services' (CMS') Retiree Drug Subsidy (RDS) Center. It may take one to two weeks for the RDS System to match the Academy's database.

If the Actuary has already attested to Benefit Options, the Plan Sponsor is not required to update the Actuary's information during the Plan Year.

Notification Of User Information Changes

When an RDS Secure Website user changes any of their personal information, that user, as well as the Account Manager or Authorized Representative of the associated Plan Sponsor account, receives an email notification that a change has been made.

The following table shows which user receives a notification email for each user role's information change.

User Role for Which Personal Information is Changed	User Roles That Are Notified by Email
Authorized Representative	Account Manager, Authorized Representative
Account Manager	Account Manager, Authorized Representative
Designee	Account Manager, Designee
Actuary	Account Manager, Actuary

Manage User Information

To access the RDS Secure Website, and navigate to the Plan Sponsor List With Application Summary page, go to: <u>Appendix A: Access The RDS Secure Website</u>.

From the Plan Sponsor List With Application Summary page:

1. Click Manage User Information in the Account Settings box.

	DS Secure	Website						
HOME RDS USER OU	DE LOS OUT							
						0	it this page	LOGIN INFORMATION
Plan Sponsor List Print this page with Application Summary Cick a Plan Sponsor ID to view a Plan Sponsor's Applications.							Ava Anderson Account Manager October 27, 2009	
	Lick a Pan Sponsor ID to view a Pan Sponsor's Appacations. Change or Reset Security Click any of the links in the Account Settings box to perform actions related to your account. Cue Count Settings for the set of the s							
Applications Other	displays the total coun	t of Withdrawn and	Deleted Applic	ations associat	ed with the Pla	n Sponsor ID.		ACCOUNT SETTINGS
Plan Sponsor ID	Organization Name	Authorized Representative		Applications Pending	Applications Approved	Applications Denied	Applications Other	Create a New Plan Sponsor Account
130217	Ravenaid Incorporated	Brian Hill	5	0	2	0	0	Reassign User Roles
131016	Ravenaid Incorporated	Brian Hill	0	2	2	0	0	Manage User Information
131017	Ravenaid Incorporated	Brian Hill	0	0	0	0	0	Manage User Information
								Start a New Application
								Change Password
SECURE AREA								
¢.			P	wacy Policy Use	r Agreement Ac	cessibility		
								Approved OMB-0938-0957 Form CMS-10156 Approved OMB-0938-0977 Form CMS-10170

On the Manage User Information page:

Information that cannot be changed will be displayed as view only. An * indicates a required field.

- 2. Enter the new User Information and Mailing Address*.
- 3. Click **Continue** to proceed or click **Cancel** to go to the Plan Sponsor List With Application Summary page.

OME TOS USER OUJOR LOD OU				
en e vien	4. j			
			Print this page	LOGIN INFORMATION
Manage User Infor				Ava Anderson Account Manager October 27, 2009
leview and update your inform	ation.			Change or Reset Security
An * indicates a required field.				Questions
				ACCOUNT SETTINGS
User Information				Create a New Plan Sponso Account
*First Name	0 Ava			Reassign Roles
Middle Initial	and the second sec			Manage User Information
	Anderson			Start a New Application
*Social Security Number	- Protesson			Change Password
*Date of Birth	05/09/1977			
*Job Title	Manager			
	0 (410) 555 - 1212	Extension 0 568		
Fax Number	Light (, , , , , , , , , , , , , , , , , ,			
	aanderson@ravenaid.com			
	aanderson@ravenaid.com	-		
	- Journal solid forenaity com			
Mailing Address				
*Street Line 1	0 13 Company Dr			
Street Line 2	0			
*City	Baltmore			
	MARYLAND	-		
*State				

On the Manage User Information Verification page:

- 4. Review the User Information.
- 5. If you changed your First Name or Last Name, enter Answers to your Security Questions to verify your name change.
- 6. Click **Confirm** to proceed or click **Cancel** to return to the Manage User Information page.



On the Manage User Information Confirmation page:

- 7. Print this page for your records.
- 8. Click **Continue** to return to the Plan Sponsor List With Application Summary page.



Change Password

To access the RDS Secure Website, and navigate to the Plan Sponsor List With Application Summary page, go to: <u>Appendix A: Access The RDS Secure Website</u>.

From the Plan Sponsor List With Application Summary page:

1. Click Change Password in the Account Settings box.

RDS Secure Website								
HOME HDS USER OU	HOME # MED LIVER BUCK LOB CUT							
Plan Sponso	ar Lint					₽	t this page	LOGIN INFORMATION
with Applica	with Application Summary						Ava Anderson Account Manager October 27, 2009	
	Click a Plan Sponsor ID to view a Plan Sponsor's Applications. Change or Reast Security Click any of the links in the Account Settings box to perform actions related to your account. Change or Reast Security Click any of the links in the Account Settings box to perform actions related to your account.							
Applications Other	Applications Other displays the total count of Withdrawn and Deleted Applications associated with the Plan Sponsor ID.							ACCOUNT SETTINGS
Plan Sponsor ID	Organization Name	Authorized Representative			Applications Approved	Applications Denied	Applications Other	Create a New Plan Sponsor Account
130217	Ravenaid Incorporated	Brian Hill	5	0	2	0	0	Reassign User Roles
131016	Ravenaid Incorporated	Brian Hill	0	2	2	0	0	
131017	Ravenaid Incorporated	Brian Hill	0	0	0	0	0	Manage User Information
								Start a New Application
								Change Password
SECURE AREA								
¢,	Privacy Policy User Agreement Accessibility							
								Approved OMB-0938-0957 Form CMS-10156 Approved OMB-0938-0977 Form CMS-10170

On the Change Password page:

An * indicates a required field.

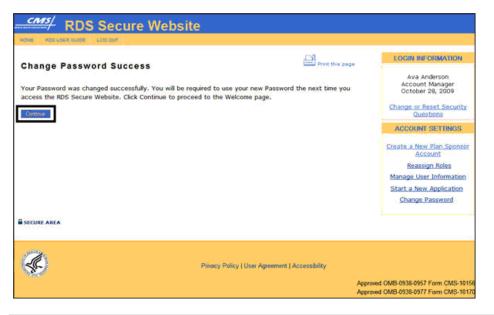
- 2. Enter your current Password*.
- 3. Enter a new Password based on the Password Requirements*.
- 4. Re-enter Password for verification*.
- 5. Click **Continue** to proceed or click **Cancel** to return to the Plan Sponsor List With Application Summary page.

MR REEDER MANE - DOW DOX		
	Print this page	LOGIN INFORMATION
hange Password		Ava Anderson Account Manager October 28, 2009
reate your Password based on these requirements:		 Design from Section 10
 Password must be 8 characters 		Change or Reset Security Questions
Password must be o characters Password must begin with a letter		ACCOUNT SETTINGS
 Password must include 3 of the following 4 char 	acter types	ACCOURT SETTINGS
 Lowercase letter 	and they	Create a New Plan Sponso
 Uppercase letter 		Account
o Number		Reassign Roles
 Special character 		Manage User Information
 Password cannot contain the Login ID 		Start a New Application
Password cannot contain a reserved word. For	more information, go to: Reserved Words List	Change Password
· Password cannot be a dictionary word or name		SUBORE HASSAND
 Password cannot match 4 consecutive character 	ers in the most recent Password	
 Password cannot match any of the previous 6 F 	Passwords	
n * indicates a required field.		
*Current Password 0		
*New Password 🙂		
*Re-enter New Password 0		
lick Continue to change your Password. Click Cancel	to exit this process.	
teres and the second		
SECURE AREA		
*	Privacy Policy User Agreement Accessibility	

On the Change Password Success page:

The change will be effective immediately.

6. Click **Continue** to return to the Plan Sponsor List With Application Summary page.



Forgot Password

On the RDS Program Website home page (http://www.rds.cms.hhs.gov):

1. Click Login Here.

BOUT RDS COMMON RDS USER CUIDE HON	TOREFERENCE RDS CLC CONTACT US	
Featured >> Important Application Deadline Content >> Important Reconciliation Deadline	and the second se	Sector
SAMPLE RETIREE FILE SPREADSHEET VAILABLE NOW he Sample Retiree File Spreadsheet is now available, and month harman, Surgerline 30, 2010, 5-00m# Barreer Time,	NEW EMAIL NOTIFICATION SENT WHEN THE APPLICATION DEADLINE HAS PASSED ON INCOMPLETE APPLICATIONS CMS' EDS Center will send an email to notify Plan Sponsors that the Application Deadline has passed on their incomplete Application.	Home in the State
RDS USER GUIDE VERSION 9 NOW WALABLE he ROS User Guide has been updated with new formation. and mocket vindly, doput 21: 2019, 21020M Issider Time	And mense International Activity (International International Activity Activity (International International Internationa International Inter	
PDATED REASSION USER ROLES PROCESS he process to reassign the Account Manager and the ubrinded Representative user roles has been updated. sad morse montry Accust 20, 2010, 2009 Earthe Time	CMS has announced the Cost Threshold and Cost Limit amounts for plan years and the parameters for Medicare Part D plans in 2013. Evalumeters Medicare Action 2:0000 (2:0000) (arrest Time)	22 20 24 20 20 20 20 20 20 20 20 20 20 20 20 20

On the Login page:

2. Click Forgot Password to reset your Password.

CMS/ RDS Secu	re Website	
Login	Prist this see	November 1, 2010
Enter your Login ID and Password.		
An * indicates a required field.		
*Login ID 😈		
"Password @		
Click Login to proceed or click Forgot Website.	Password to reset your Password. Click Cancel to return to the RDS Program	
If you have questions or need assist	ance, contact OMS' RDS Conter Help Ling.	
Lugit Forget Planners Cancel		
SECURE AREA		
20	Innucly Million Huber Agreement I Accessibility	
2		Approved OMB-0938-0957 Form CMS-1019 Approved OMB-0938-0977 Form CMS-1013

On the Forgot Password page:

An * indicates a required field.

- 3. Enter your Login ID*.
- 4. Enter your Social Security Number*.
- 5. Click Continue to proceed or click Cancel to return to the RDS Program Website.

RDS Secure Wet	osite	
Forgot Password Complete the following information to reset your P Number. An * indicates a required field.	lassword. Enter your Login ID and your Social Security	October 28, 2009
*Login ID O panders12 *Social Security Number O 121 - 35	- 9951	
Click Continue to reset your Password. Click Cance	el to return to the RDS Program Website Home page.	
۶.	Privacy Policy User Agreement Accessibility	Approved OMB-0938-0957 Form CMS-1019 Approved OMB-0938-0977 Form CMS-1017

On the Forgot Password page:

An * indicates a required field.

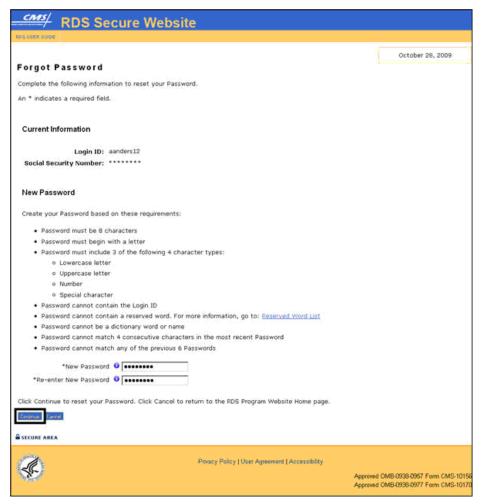
- 6. Enter Answers to Security Questions*.
- 7. Click Continue to proceed or click Cancel to return to the RDS Program Website.

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CMS/ RDS Secure Website	2 9	
nos usen ource		
		October 28, 2009
Forgot Password		
Current Information		
Login ID: aanders 12		
Social Security Number: *******		
Enter Answers to the Security Questions.		
Security Question 1: What is your favorite sport?		
*Answer 1 0 soccer		
Security Question 2: Who is your favorite color?		
*Answer 2 0 blue		
Click Continue to reset your Password. Click Cancel to ret	turn to the RDS Program Website Home page.	
SECURE AREA		
2	Privacy Policy User Agreement Accessibility	
25		Approved OMB-0938-0957 Form CMS-10156 Approved OMB-0938-0977 Form CMS-10170

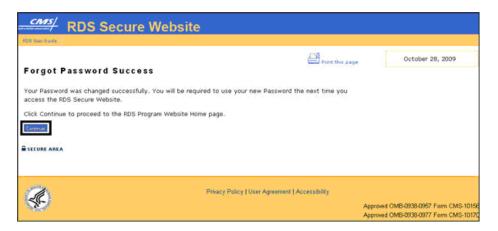
On the Forgot Password page:

- 8. Enter a new Password based on the Password Requirements*.
- 9. Re-enter the Password for verification*.
- 10. Click Continue to proceed or click Cancel to return to the RDS Program Website.



On the Forgot Password Success page:

11. Click Continue to return to the RDS Program Website.



Change Password If Account Is Locked

On the RDS Program Website home page (http://www.rds.cms.hhs.gov):

1. Click Login Here.



On the Login page:

2. Click Forgot Password to reset your Password.

RDS Secure	Website	
Login	Prist this 202	November 1, 2010
Enter your Login ID and Password.		
An * indicates a required field.		
"Login ID 😈		
*Password		
Click Login to proceed or click Forgot Passwo Website.	ord to reset your Password. Click Cancel to return to the RDS Program	
If you have questions or need assistance, co	intact CHS' RDS Conter Help Ling.	
Ligh Fogst Plannent Cancel		
SECURE AREA		
2		
S.	What Pike Haer Agreement Accessibility	
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On the Forgot Password page:

An * indicates a required field.

- 3. Enter your Login ID*.
- 4. Enter your Social Security Number*.

5. Click Continue to proceed or click Cancel to return to the RDS Program Website.

CMS/ RDS Secure We	bsite	
NDS USER OUDE		
Forgot Password		October 28, 2009
	Password. Enter your Login ID and your Social Security	
An * indicates a required field.		
Current Information		
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Click Continue to reset your Password. Click Car	ncel to return to the RDS Program Website Home page.	
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۲.	Privacy Policy User Agreement Accessibility	Approved CMB-0938-0957 Form CMS-1015 Approved CMB-0938-0977 Form CMS-1017

On the Forgot Password page:

An * indicates a required field.

- 6. Enter Answers to Security Questions*.
- 7. Click **Continue** to proceed or click **Cancel** to return to the RDS Program Website.

CMS/ RDS Secure Websi	te	
NO'S LIDER OUICE		
		October 28, 2009
Forgot Password		
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Enter Answers to the Security Questions.		
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Click Continue to reset your Password. Click Cancel to	return to the RDS Program Website Home page.	
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On the Forgot Password page:

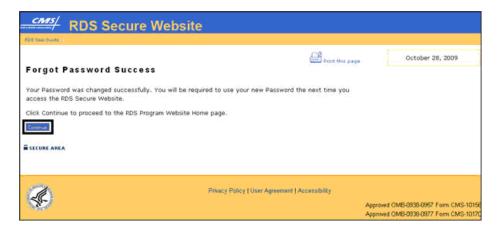
- 8. Enter a new Password based on the Password Requirements*.
- 9. Re-enter the Password for verification*.
- 10. Click Continue to proceed or click Cancel to return to the RDS Program Website.

RDS User Guides are identified by the version number and release date located on the cover page and footer. Printed or saved versions may be obsolete. Use the current version, which is always available online. Version 15: Released May 5, 2012



On the Forgot Password Success page:

11. Click **Continue** to return to the RDS Program Website.



Change Or Reset Security Questions

To access the RDS Secure Website, and navigate to the Plan Sponsor List With Application Summary page, go to: <u>Appendix A: Access The RDS Secure Website</u>.

From the Plan Sponsor List With Application Summary page:

1. Click Change or Reset Security Questions in the Login Information box.

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an Sponse	and link					æ.,	t this page	LOGIN INFORMATION
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	or ID to view a Plan Spo ks in the Account Settir			I to your accou	nt.			Change or Reset Security Questions
plications Other	displays the total count	t of Withdrawn and	d Deleted Applic	ations associat	ed with the Pla	n Sponsor ID.		ACCOUNT SETTINGS
an Sponsor ID	Organization Name	Authorized Representative		Applications Pending	Applications Approved	Applications Denied	Applications Other	Create a New Plan Sponsor Account
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1016	Ravenaid Incorporated	Brian Hill	0	2	2	0	0	
1017	Ravenaid Incorporated	Brian Hill	0	0	0	0	0	Manage User Information
								Start a New Application
								Change Password
CURE AREA								
¢			Pr	wacy Policy Use	r Agreement Ac	cessibility		

On the Change or Reset Security Questions page:

An * indicates a required field.

- 2. Select Security Questions and enter Answers*.
- 3. Enter Social Security Number*.
- 4. Enter Date of Birth*.
- 5. Click **Confirm** to proceed or click **Cancel** to return to the Plan Sponsor List With Application Summary page.

	LOCAR INFORMATION
Change or Reset Security Questions Security Questions labely you to provide an Electronic Signature and reset your Password. Satect Security Questions and where Answers. An * indicates a required Seld. *Security Question I @ Where is your twisnes is port *Answer I @ Soccer *Security Question I @ Where is your twisnes is port *Answer I @ Soccer *Security Question I @ Where is your twisnes color *Security Question I @ Where is your twisnes color *Security Question I @ Where is your twisnes color *Security Question I @ Soccer *Soccial Security Tamber @ [12] + (Th - (MK) *Docial Security Tamber @ [12] + (Th - (MK) *Date of Birth @ Moeth Mary @ Stary B - Year [1877 @ Click Confers to change your Security Questions. Click Cancel to exit this process	Ava Anderson Account Manager October 38, 3009 Construction Control Parat Security Control Parat Security Control P
Process Places (Vision Agreement) Accessionity	Algermed CMID-0208-0957 Fram CMIS-10 Augurement CMID-0208-0077 Fram CMIS-10

On the Change or Reset Security Questions Confirmation page:

6. Click Continue to proceed.

Change or Reset Security Questions Confirmation Your Security Questions have been charged. Security Question 1: What is your favorite soort! Answer 1: ******* Security Question 2: What is your favorite color!	di na seranga	Ave Anderson Account Mahage October 28, 2009 Character 28, 2009 Constitution Account Sections
Answer 2: ******		sconce Saarden Atles Manage foor internation Manage foor internation Manage Saarden
Trace Party Stat Agree	nik (Accountably	Approved CMRH20984067 Form LMS-10 Approved CMRH203040677 Form CMS-10

10 Changing Registered Plan Sponsor Information

Plan Sponsor Information That Can Be Changed

- Phone Number
- Fax Number
- Organization Type
- Address
- Website

Plan Sponsor Information That Cannot Be Changed

- Employer Identification Number
- Organization Name

Note: Contact <u>CMS' RDS Center Help Line</u> for assistance if the Plan Sponsor's Employer Identification Number or Organization Name must be changed.

Who Can Change Registered Plan Sponsor Information

The Account Manager is the only RDS Secure Website user that has the authority to change Plan Sponsor information.

Notification Of Plan Sponsor Information Changes

When the Account Manager changes any of the Plan Sponsor information, the Account Manager and the Authorized Representative will receive an email notification of all changes made.

Change Registered Plan Sponsor Information

To access the RDS Secure Website, and navigate to the Application List page, go to: <u>Appendix</u> <u>A: Access The RDS Secure Website</u>.

From the Application List page:

1. Select the **Plan Sponsor Information** link in the Account Settings box.

pplicatio	n List					Print this		LOGIN INFO	ORMATION
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On the Edit Plan Sponsor Information page:

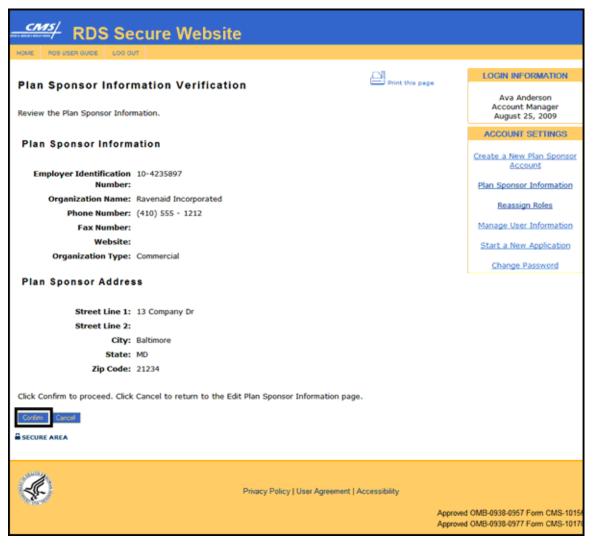
Information that cannot be changed is displayed as view only. An * indicates a required field.

- 2. Enter the new information.
- 3. Select Continue to proceed or select Cancel to return to the Application List page.

RDS Secure Website	
HOME ROSUSER GUIDE LOG OUT	
	LOGIN INFORMATION
Edit Plan Sponsor Information Review and update the Plan Sponsor Information.	Ava Anderson Account Manager August 25, 2009
An * indicates a required field.	ACCOUNT SETTINGS
The Plan Sponsor Information and Plan Sponsor Address must be associated with the Employer Identification Number (EIN).	the Plan Sponsor's Create a New Plan Sponsor Account
Plan Sponsor Information	Plan Sponsor Information Reassign Roles
Employer Identification 10-4235897	Manage User Information
Number: Organization Name: Ravenaid Incorporated	Start a New Application
*Phone Number ((410) 555 - 1212 Extension (Change Password
Fax Number 🔍 ()	
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*Organization Type 🛛 Commercial 💌	
Plan Sponsor Address	
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*Street Line 1 🤨 13 Company Dr	
Street Line 2 0	
*City O Baltimore	
*Zip Code 🤨 21234 _	
Click Continue to update your information. Click Cancel to exit this process.	
Continue Cancel	
SECURE AREA	
Privacy Policy User Agree	ement Accessibility
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On the Plan Sponsor Information Verification page:

- 4. Review the Plan Sponsor Information.
- 5. Select **Confirm** to proceed or select **Cancel** to return to the Edit Plan Sponsor Information page.



On the Plan Sponsor Information Confirmation page:

6. Select **Continue** to return to the Application List page.

RDS Se	cure Website	•			
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-				Plan Sponsor Inform	ation
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State:					
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Click Continue to return to the	Application List page.				
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11 Appealing An Initial Determination Using The RDS Secure Website

Introduction To Appeals

RDS Plan Sponsors have the right to appeal various types of RDS Program determinations in accordance with Federal regulations at 42 C.F.R. §423.890. An appeal can take the form of either a Reconsideration or a Reopening. This document only provides instructions for Reconsiderations requested using the RDS Secure Website. For more information about Reopenings, reference: Federal regulations at 42 C.F.R. §423.890.

Appealable Initial Determinations

An initial determination is a decision made by CMS' RDS Center in response to information that the Plan Sponsor submitted. If a Plan Sponsor disagrees with the initial determination made by CMS' RDS Center, it can request a Reconsideration. The following are the two types of initial determinations for which a Plan Sponsor may request a Reconsideration using the RDS Secure Website.

Did not meet the Application Deadline:

For detailed information about the Application Deadline, including what is required to be submitted by the Application Deadline, go to: <u>Important Application Deadline Information</u>.

Reconciliation Final Payment:

The Plan Sponsor does not agree with the Reconciliation or Final Payment Determination made after Reconciliation *Step 12: Review and Submit Reconciliation Payment Request* is completed.

Three Levels Of Reconsideration-Related Appeals

- First level: Reconsideration
- Second level: Informal Hearing
- Third level: Administrator Review

The second and third level of Reconsideration-related Appeals are not requested by using the RDS Secure Website. Plan Sponsors receive instructions regarding how to request additional level of Appeals once a first level Appeal decision is made by CMS' RDS Center.

Appeal User Roles

The Account Manager, Authorized Representative, and Designee with Submit Appeal privilege:

- May request a Reconsideration through the RDS Secure Website.
- May withdraw or check the status of an Appeal through the RDS Secure Website.
- Will receive email notification regarding activity, decisions, and any next steps required.

First Level: Reconsideration

A Reconsideration may be requested through the RDS Secure Website when the Plan Sponsor disagrees with the initial determination made by CMS' RDS Center.

11 Appealing An Initial Determination Using The RDS Secure Website

A Reconsideration must be requested within 15 calendar days from the "sent" date of the email notice from CMS' RDS Center that indicates the initial determination. All timely submitted Reconsideration requests are reviewed by CMS' RDS Center.

Please consider the following when submitting a request for a Reconsideration using the RDS Secure Website:

- A Reconsideration request must be made for each initial determination you wish to appeal.
- The request for a Reconsideration must specify the findings or issues with which the Plan Sponsor disagrees and the reasons for the disagreements.
- The request for a Reconsideration may include additional documentary evidence the Plan Sponsor wishes CMS' RDS Center to consider. For more information about submitting additional documentary evidence, go to: <u>Include Additional Documentary Evidence</u>.

Submit A Request For Reconsideration

To access the RDS Secure Website, and navigate to the Application List page, go to: <u>Appendix</u> <u>A: Access the RDS Secure Website</u>.

On the Application List page:

- 1. Find the Application for which you want to request a Reconsideration.
- 2. Select **Request Reconsideration** from the Actions dropdown.
- 3. Click Go.

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On the Request Informal Written Reconsideration: Select Determination page:

4. Select the type of adverse determination you would like to Appeal and click **Continue**. Click **Cancel** to return to the Application List page.



On the Request Informal Written Reconsideration: Days Since Determination page:

- 5. Refer to the "sent" date on the email notice of the adverse determination. Is the "sent" date within 15 calendar days of today's date? Click Yes if the "sent" date is within 15 calendar days of today's date. Click No if the "sent" date is not within 15 calendar days of today's date. You cannot submit a request for Reconsideration unless this condition is met.
- 6. Click **Continue** to proceed or click **Cancel** to return to the Request Informal Written Reconsideration: Select Determination page.

11 Appealing An Initial Determination Using The RDS Secure Website

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Subject of Informal Written Reconsideration: Application Denial		December 21, 2009
inswering this question will help a Plan Sponsor determine if it is entitled to an informal econsideration .	writen	QUICK HELP
o proceed with your request for informal written reconsideration, select Continue.		Advantasi, Held
io return to the previous page, select Cancel		
n asterisk (*) indicates a required field.		
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YRE O NOD		

On the Request Informal Written Reconsideration: Explanation page:

- 7. In the text box provided, enter the findings or issues about the initial determination with which you disagree, and the reason for the disagreements.
- 8. Click the checkbox if you intend to send additional documentary evidence to CMS' RDS Center.
- 9. Click **Submit Reconsideration** to submit the appeal for processing or click **Cancel** to return to the Request Informal Written Reconsideration: Days Since Determination page.

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^{oder} ic xor 26,2009 Request Informal Written Re			Plan Sponsor ID: 51763 Eoropany Name: 1st Corpany of America Application ID: 41737 Plan Starti Januari 1, 2009
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SECURE AREA			

On the Request Informal Written Reconsideration Verification page:

10. Click **Confirm** to submit your request for Reconsideration or click **Cancel** to return to the previous page.

11 Appealing An Initial Determination Using The RDS Secure Website

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On the Request Informal Written Reconsideration Confirmation page:

A Plan Sponsor may also submit additional documentary evidence for CMS' RDS Center to consider while reviewing the Reconsideration request.

- 11. If you wish to submit additional documentary evidence, click <u>Sample Supporting</u> <u>Documentary Evidence Cover Sheet</u> (pdf, 20.5kb) to download the cover sheet. The cover sheet opens in a new window. This new window will not affect your ability to work on your Application in the RDS Secure Website.
- 12. Close the <u>Sample Supporting Documentary Evidence Cover Sheet</u> (pdf, 20.5kb) page to return to the Request Informal Written Reconsideration Confirmation page.
- 13. Click **Continue** to return to the Application List page.

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Include Additional Documentary Evidence

If you wish to submit additional documentary evidence for CMS' RDS Center to consider while reviewing the Reconsideration request:

Please include a Documentary Evidence Cover Sheet that specifies your Application Number. A <u>Sample Supporting Documentary Evidence Cover Sheet</u> (pdf, 20.5kb) has been provided for your reference.

11 Appealing An Initial Determination Using The RDS Secure Website

Submit the Documentary Evidence along with the completed cover sheet to:

Retiree Drug Subsidy Center Attn: Reconsiderations P.O. Box 5060 New York, N.Y. 10274-5060

The Account Manager, Authorized Representative, and Designee with Appeal privilege will receive an acknowledgement email from CMS' RDS Center following the receipt of Additional Documentary Evidence.

When sending any information by email to CMS' RDS Center, do not include attachments more than 25mb in size. For more information about contacting CMS' RDS Center, go to: Communicating with <u>CMS' RDS Center</u>.

View The Appeal Summary

The Appeal Summary page indicates the status of the Reconsideration request.

To access the RDS Secure Website, and navigate to the Application List page, go to: <u>Appendix</u> <u>A: Access the RDS Secure Website</u>.

On the Application List page:

- 1. Find the Application for the Appeal Summary you wish to view.
- 2. Select Appeal Summary from the Actions dropdown.
- 3. Click Go.

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On the Appeal Summary page:

4. Find the Appeal you wish to view and click **View/Withdraw Appeal** from the **Actions** column.

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On the Appeal Detail page:

- 5. Review the Appeal.
- 6. Click **Continue** to return to the Appeal Summary page.

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Date Appeal Received: July 20, 2098		
Date Appeal Withdrawn: 184 Documentary Evidence: Not Applicable		
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la withdraw your appeal request, solect Withdraw Appeal.		
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Appeal-Related Application Statuses

The following table displays information about Appeal-related Application statuses.

Status	Description	Action
Reconsideration Requested	CMS' RDS Center has received a Plan Sponsor's request for Reconsideration.	If a Plan Sponsor wishes to submit additional documentary evidence for CMS' RDS Center to consider, they should submit such documentation immediately.
Appeal Under Review	CMS' RDS Center is currently reviewing the Plan Sponsor's request for Reconsideration.	If the Plan Sponsor wishes to submit additional documentary evidence for consideration, they should contact <u>CMS' RDS</u> <u>Center Help Line</u> immediately to ensure that this additional documentary evidence is received and reviewed before the Reconsideration decision is made.
Approved	CMS' RDS Center has reviewed the Plan Sponsor's request for Reconsideration and reversed the adverse initial determination.	If further action is required on behalf of the Plan Sponsor, the Plan Sponsor will be notified by CMS' RDS Center.
Denied	CMS' RDS Center has reviewed the Plan Sponsor's request for Reconsideration and upheld the initial determination.	A Plan Sponsor dissatisfied with CMS' RDS Center Reconsideration decision is entitled to an Informal Hearing.
Invalid	The request for Reconsideration was not submitted within 15 calendar days from the "sent" date of the email notice from CMS' RDS Center that indicates the initial determination.	The request for Reconsideration was not timely submitted and therefore will not be reviewed by CMS' RDS Center.
Pending	The request for Reconsideration has been received by CMS' RDS Center and has been placed in this status while another request by the Plan Sponsor is in "Appeal Under Review" status.	A decision has not been made. If a Plan Sponsor wishes to submit additional documentary evidence for CMS' RDS Center to consider, they should submit such documentation immediately. Please include a Documentary Evidence cover sheet that specifies your Application Number.

Status	Description	Action
Withdrawn	through the RDS Secure	No decision will be made by CMS' RDS Center on requests for Reconsiderations that a Plan Sponsor has withdrawn.

Withdraw An Appeal

The Plan Sponsor may withdraw an Appeal through the RDS Secure Website.

To access the RDS Secure Website, and navigate to the Application List page, go to: <u>Appendix</u> <u>A: Access the RDS Secure Website</u>.

On the Application List page:

- 1. Find the Application for the Appeal Summary you wish to view.
- 2. Select Appeal Summary from the Actions dropdown.
- 3. Click Go.

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On the Appeal Summary page:

4. Find the Appeal you wish to view and click **View/Withdraw Appeal** from the **Actions** column.

11 Appealing An Initial Determination Using The RDS Secure Website

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On the Appeal Detail page:

5. Click Withdraw Appeal.

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On the Appeal Withdrawal Verification page:

6. Click **Confirm** to withdraw the Appeal or click **Cancel** to return to the Appeal Detail page.

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withdraw this appeal, select Confirm.		
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On the Appeal Withdrawal Confirmation page:

7. Click **Continue** to return to the Appeal Summary page.

11 Appealing An Initial Determination Using The RDS Secure Website

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12 Attest Actuarial Equivalence

Two-part Actuarial Equivalence Test

CMS' RDS Center requires a qualified Actuary to complete a two-part Actuarial Equivalence Test before an Application can be submitted. The two-part Actuarial Equivalence Test includes a Gross Value Test and a Net Value Test. The Gross Value Test confirms that the total value of benefits provided to Medicare Part D eligible individuals under the Plan Sponsor's plan is at least as generous as what they could receive under standard Medicare Part D coverage. The Net Value Test takes into account the extent of the employer financing of the drug coverage so that the net value of the employer plan to those individuals is at least equal to the net value of what they would receive under Standard Medicare Part D coverage.

The Actuary determines if multiple Benefit Options will be combined to pass the Actuarial Equivalence Net Test. If Benefit Options are combined, the Actuary will attest to the gross value of each Benefit Option and to the net value of the combined Benefit Options. If Benefit Options are not combined, the Actuary will attest to both the gross and net values of each Benefit Option. For purposes of the actuarial equivalence net test, only benefit options listed within a single application may be combined.

Actuaries Assigned To Benefit Options On An Application

- One Actuary may be assigned to an Application to attest all of the Benefit Options.
- Multiple Actuaries may be assigned to an Application to attest individual Benefit Options.
- A single Benefit Option may not be attested by more than one Actuary.

Attestation Method

The Actuary is required to select one Attestation Method for the Net Value test:

- Each Benefit Option individually meets the Net Value test as set forth at 42 C.F.R. §423.884(d).
- Two or more Benefit Options have been combined to meet the Net Value test as set forth at 42 C.F.R. §423.884(d), and each option not so combined individually meets the Net Value test as set forth in 42 C.F.R. 884(d).

If more than one Actuary is assigned to the Benefit Options on an Application and Benefit Options are being combined to satisfy the Net Value Test, each Actuary assigned to that Application needs to answer that they are combining Benefit Options to satisfy the Net Value Test.

Timing of Attestation

An Actuary can perform the Attestation after Benefit Options are assigned, and may re-attest any time before the Application is submitted.

Attest Actuarial Equivalence

To access the RDS Secure Website, and navigate to the Plan Sponsor List With Application Summary page, go to: <u>Appendix A: Access the RDS Secure Website</u>.

On the Plan Sponsor List With Application Summary page:

1. Click a Plan Sponsor ID to view a Plan Sponsor's Applications.

RDS User Guides are identified by the version number and release date located on the cover page and footer. Printed or saved versions may be obsolete. Use the current version, which is always available online. Version 15: Released May 5, 2012

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292299	Ravenaid Incorporated	Attested 1	2		Manager User Information Change Password
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On the Application List page:

2. Click an **Application ID** to attest Benefit Options or select **Attest/View Benefit Options** from the corresponding Actions dropdown menu and click **Go**.

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On the Attest Benefit Options page:

- 3. Select one Attestation method, unless it was preselected for you:
 - 1. Each Benefit Option individually meets the Net Value Test as set forth at 42 C.F.R. §423.884(d).
 - 2. Two or more Benefit Options have been combined to meet the Net Value Test as set forth at 42 C.F.R. §423.884(d), and each option not so combined individually meets the Net Value test as set forth in 42 C.F.R. §423.884(d).

Note: If only one Benefit Option is listed in the Application, the Attestation Method: "Each Benefit Option individually meets the Net Value test as set forth at 42 C.F.R. §423.884(d)" is preselected and cannot be changed.

4. Click **Continue** to attest or click **Cancel** to return to the Application List page.



On the Attestation page:

- 5. Read the Attestation.
- 6. Click the checkbox to certify the Attestation.
- 7. Enter Answers to Security Questions.
- 8. Click **Attest** to complete the Attestation or click **Cancel** to return to the Attest Benefit Options page.

Note: The Attestation page corresponds to the Attestation Method selected on the Attest Benefit Options page.

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Attestation	Katie Smith
	Actuary June 2, 2009
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Benefit Option Name Unique Benefit Option Identifier Benefit Option Type	APPER ATION INCOMMATION
Mail Order 12 Fully Insured	Plan Sponsor ID: 999999
I hereby attest to the following:	Plan Sponsor Name: Barenaid Incorporated
I am a qualified Actuary and a member of the American Academy of Actuaries. I am familiar with the requirements for, and an qualified to prepare, a Petiree Drug Subsidy (ROS) Actuarial Attestation. The actuarial Gross Value of each of the Benefit Option(3) listed in this Plan Sponsor Application is at least equal to the actuarial Gross Value of the defined standard prescription drug coverage under Medicare Part for the Medicare Part D eligible individuals who are participants and beneficiaries of the Plan Sponsor's plan for the subject plan year.	D Plan Start: January 1, 2010 Plan End: December 31, 2010
I have determined that each of the Benefit Option(s) listed in this Plan Sponsor Application meet the Gross Value Test requirements of 42 C.F.P., \$423.884(d), including the relevant actuanial guidelines issued by CML and the data and assumptions used in the development of this attestation are reasonable and are based o generally accepted actuarial principles, including the appropriate actuarial standards of practice. Each Benefit Option individually meets the Net Value test as set forth at 42 C.F.R. \$423.894(d). The actuarial Net Value of the Benefit Option(s) listed in this Plan Sponsor Application is at least equal to actuarial Net Value of the Benefit Option(s) listed in this Plan Sponsor Application is at least equal to actuarial Net Value of the defined standard prescription drug coverage under Medicare Part D for the Medicare Part D eligible individuals who are participants and beneficiaries of the Plan Sponsor's Plan for the subject plan year.	IS, Reconciliation Deadline: March 31, 2011
The Net Value of the Plan Sponsor's prescription drug coverage was determined using a riethodology consistent with the requirements set forth at 42 C.F.R. \$423.084(d)(5) and all relevant actuarial guidelines issued by CMS, and the data and assumptions used in the development of this attestation are reasonable and are based on generally accepted actuarial principles, including the appropriate actuarial standards of practice. I understand and acknowledge that the information being provided in this attestation is being used to obta Federal funds.	
I agree to maintain and make available reports, working documents and other records as required under 42 C.F.R. §423.888(d). This includes information about data and/or assumptions I may have relied upon.	r
Signature of Actuary	
An * indicates a required field.	
If *Click the checkbox to certify that this Attestation is true and accurate to the best of your knowledg and besief.	2010 19
Electronic Signature	
Enter Answers to the Security Questions.	
Security Question 1: What is your favorite sport? *Answier 1 @ pertog	
Security Question 2: What is your favorite beverage? *Answer 2 O juice	
Click Attest to complete Attestation and return to the Application List page.	
Click Cancel to return to the Attest Benefit Options page.	
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	Approved CMB-0938-0977 Form CMS-10170

What's Next

The Account Manager and Authorized Representative will receive a notification email that the Benefit Options on the Application have been attested.

View The Attestation

After an Application is submitted, the Actuary can view the Benefit Options attested, the Attestation Method, and the Attestation.

To access the RDS Secure Website, and navigate to the Plan Sponsor List With Application Summary page, go to: <u>Appendix A: Access the RDS Secure Website</u>.

On the Plan Sponsor List With Application Summary page:

1. Click a Plan Sponsor ID to view a Plan Sponsor's Applications.

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with Applic	ation Summary	's Applications.			Katie Smith Actuary June 2, 2009
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On the Application List page:

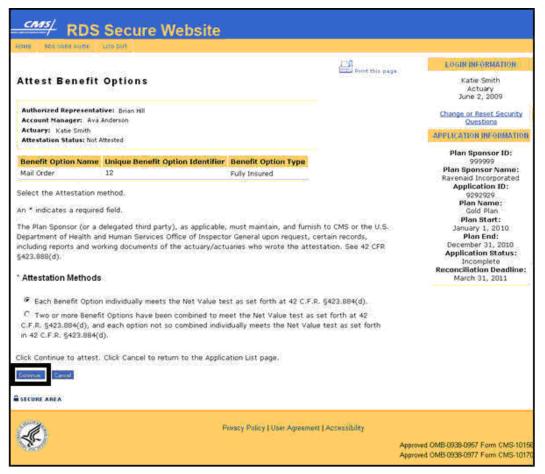
2. Click an **Application ID** to view attested Benefit Options or select **Attest/View Benefit Options** from the corresponding Actions dropdown menu and click **Go**.

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Application								Change Password
Application 10	Plan Name	Application Status	Plan Start and End Dates	Payment Setup Status	Total Paid To Date	Number of Payment Requests	Actions	
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9292929 SECURE AREA			December 31,					

On the Attest Benefit Options page:

3. View the Attestation Method that was selected.

4. Click **Continue** to view the Attestation or click **Cancel** to return to the Application List page.



On the Attestation page:

- 5. View the Attestation.
- 6. Click Cancel to return to the Attest Benefit Options page.



Re-attesting An Application

A single Attestation covers all Benefit Options on the Application, unless multiple Actuaries are identified on the Application. Adding or deleting a Benefit Option may invalidate the Attestation regardless of whether the Benefit Options are being combined for the Net Value test.

The Actuary needs to re-attest an Application prior to Application submission if any of the following events occur:

- A Benefit Option is added
- A Benefit Option is deleted and the Actuary has combined two or more Benefit Options listed in the Application to meet the Net Value Test as set forth at 42 C.F.R. §423.884(d)
- The Actuary role is reassigned for one or more Benefit Options
- The Actuary is unassigned from one or more Benefit Options
- The Actuary changes the Attestation Method

The Actuary will receive a notification email if the Application needs to be re-attested.

If Attestation is complete, an Application is submitted, and it is later determined that the plan or a Benefit Option do not pass the Actuarial Equivalence Test, the Plan Sponsor needs to contact <u>CMS' RDS Center Help Line</u>.

Did You Know?

The Plan Sponsor (or a delegated third party), as applicable, must maintain, and furnish to CMS or the U.S. Department of Health and Human Services Office of Inspector General upon request, certain records, including reports and working documents of the actuary/actuaries who wrote the attestation. See 42 C.F.R. §423.888(d)

Appendix A: Access The RDS Secure Website

These steps are for all registered RDS participants to access the RDS Secure Website.

On the RDS Program Website home page (http://www.rds.cms.hhs.gov):

1. Click Login Here.



On the Login page:

- 1. Enter your Login ID.
- 2. Enter your Password.
- 3. Click Login to proceed or click Cancel to return to the RDS Program Website.

Note: Click Forgot Password to reset your Password.

RDS Secure We	ebsite	
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Enter your Login ID and Password.		
An " indicates a required field,		
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Click Login to proceed or click Forget Password to Website.	reset your Password. Click Cancel to return to the RDS Program	
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On the Login Warning page:

- 4. Review the Login Warning.
- 5. Click I Accept to continue or click Decline to exit this process.

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You are accessing a U.S. Government information system, which includes: (1) computer network, (3) all computers connected to this network, and (4) all attached to this network or to a computer on this network. This information a Government-authorized use only.	evices and storage media
Unauthorized or improper use of this system may result in disciplinary action, penalties.	as well as civil and criminal
By using this information system, you understand and consent to the following	g:
 You have no reasonable expectation of privacy regarding any communic stored on this information system. At any time, and for any lawful Gove Government may monitor, intercept, and search and seize any communi- stored on this information system. 	emment purpose, the
 Any communication or data transiting or stored on this information syst for any lawful Government purpose. 	em may be disclosed or used
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Click Accept to indicate your awareness of, and consent to, the terms and c Government information system.	onditions for using this U.S.
Click Decline if you are not authorized to access this U.S. Government syste conditions of use stated in this Login Warning.	m or if you do not agree to the
Accept	
Desline	

On the Welcome page:

6. Click **Continue** to proceed.

Note: The Welcome page provides the date and time you last accessed the RDS Secure Website and the number of unsuccessful login attempts since your last successful login. If either of these is incorrect, contact <u>CMS' RDS Center Help Line</u>.

RDS User Guides are identified by the version number and release date located on the cover page and footer. Printed or saved versions may be obsolete. Use the current version, which is always available online. Version 15: Released May 5, 2012

RDS Secu	Website
where any grant and contexts	
Welcome	anni shu caga
Ava Anderson, you last accessed th	DS Secure Website on January 18, 2011 at 03:08PM Eastern Time.
There have been 2 unsuccessful log	ttempts since your last successful login.
Click Continue to proceed to the Pla	ponsor List With Application Summary page.
12000	
	Claying Found [User Agreement] Accessibility
	Approved OMB-0938-0957 Form CMS-1015 Approved OMB-0938-0977 Form CMS-1017

On the Plan Sponsor List With Application Summary page:

7. Select a Plan Sponsor ID.

RI	CM/S/ RDS Secure Website							
HOME RDS USER OU	CHE REVER BURE LOG OUT							
D 1						년	t this page	LOGIN INFORMATION
with Applica	Plan Sponsor List Det the page with Application Summary						Ava Anderson Account Manager July 15, 2010	
	Click a Plan Sponsor ID to view a Plan Sponsor's Applications. Click any of the links in the Account Settings box to perform actions related to your account.						Change or Reset Security Questions	
Applications Other	displays the total coun	t of Withdrawn and	Deleted Applic	ations associat	ed with the Pla	n Sponsor ID.		ACCOUNT SETTINGS
Plan Sponsor ID	Organization Name	Authorized Representative		Applications Pending	Applications Approved	Applications Denied	Applications Other	Create a New Plan Sponsor Account
130217	Ravenaid Incorporated	Brian Hill	5	0	2	0	0	Reassign User Roles
	Ravenaid Incorporated					0	0	Manage User Information
131017	Ravenaid Incorporated	Brian Hill	0	0	0	0	0	Start a New Application
SECURE AREA								Change Password
SECORE AREA								
¢,	Privacy Policy User Agreement Accessibility							
								Approved OMB-0938-0957 Form CMS-1015 Approved OMB-0938-0977 Form CMS-1017

On the Application List page:

- 8. Locate an Application ID or Plan Name and select an action from the corresponding **Actions** dropdown menu.
- 9. Click Go.

pplicatio	on List					Drint the	2944	LOGIN INFORM	
Authorized R Authorized R Authorized R	tepresentative	Brian Hill Verification State Verification State						Account Man July 15, 20 Change or Reset Question	security
Account Man	lagen: Ava And	lerson						ACCOUNT SET	TINGS
lick an Appli	cation ID to vie	ew the Application	n Status page or sele	ct an Action and	l click Go.			Create a New Plan	
lick any of the	he links in the	Account Settings	box to perform actio	ns related to you	ur accoun	F			
		1	and drawn have been	aco ganaca.				Plan Sponsor Inf	ematiéo
		Ac of a read						Plan Sponsor Inf	_
		ALCOLON DA							Roles
		1010-04						Reassign User	Roles
								Reassign User	Roles ormation plication
Application	List							Reassign User Manage User Inf Start a New Apr	Roles ormation plication
Application Application ID		Application	Plan Start and End Dates	Payment Setup Status	Total Paid To Date	Number of Payment Requests	Actions	Reassign User Manage User Inf Start a New Apr	Roles ormation plication
Application			Plan Start and	Payment Setup Status	Total Paid To	Number of Payment	Actions Select One	Reassign User Manage User Inf Start a New Apr	Roles ormation plication
Application ID	Plan Name	Status	Plan Start and End Dates Jan 01,2011 - Dec	Payment Setup Status	Total Poid To Date	Number of Payment Requests	and the open	Reassign User Manage User Inf Start a New Apr	Roles ormation plication

Appendix B: Login Warning

You are accessing a U.S. Government information system, which includes: (1) this computer, (2) this computer network, (3) all computers connected to this network, and (4) all devices and storage media attached to this network or to a computer on this network. This information system is provided for U.S. Government-authorized use only.

Unauthorized or improper use of this system may result in disciplinary action, as well as civil and criminal penalties.

By using this information system, you understand and consent to the following:

- You have no reasonable expectation of privacy regarding any communication or data transiting or stored on this information system. At any time, and for any lawful Government purpose, the Government may monitor, intercept, and search and seize any communication or data transiting or stored on this information system.
- Any communication or data transiting or stored on this information system may be disclosed or used for any lawful Government purpose.

To access the RDS Privacy Policy, click the Privacy Policy link in the footer in the RDS Secure Website.

Click **Accept** to indicate your awareness of, and consent to, the terms and conditions for using this U.S. Government information system.

Click **Decline** if you are not authorized to access this U.S. Government system or if you do not agree to the conditions of use stated in this Login Warning.

Appendix C: User Agreement

Agreement and Privacy Policy

THE FOLLOWING DESCRIBES THE TERMS AND CONDITIONS ON WHICH THE CENTERS FOR MEDICARE & MEDICAID SERVICES (CMS) OFFERS YOU ACCESS TO CMS' RDS CENTER'S SECURE WEB SITE.

You must read and accept the terms and conditions contained in this User Agreement expressly set out below and incorporated by reference before you may access the RDS Secure Web Site.

CMS' RDS Center may amend this User Agreement at any time. Except as stated below, all amended terms shall automatically be effective 30 days after they are initially posted on the Site. This User Agreement is effective immediately.

1. Purpose of the RDS Secure Web Site

CMS has recently published the final regulations for Title I and Title II of the Medicare Prescription Drug, Improvement, and Modernization Act of 2003 (MMA). Title I and its implementing regulations at 42 C.F.R §423 Subpart R contain the provisions governing the Retiree Drug Subsidy (RDS) option designed to assist employers, unions, and other Plan Sponsors that continue to provide high quality prescription drug coverage to their retirees.

The RDS Secure Web Site provides Plan Sponsors with the resources required to become a participant in the RDS Program, including specific instructions and assistance during the application period and afterward.

2. Privacy Policy

The U.S. Department of Health and Human Services (HHS) of which the RDS Secure Web Site is a part, has a clear privacy policy. When you access the RDS Secure Web Site, we collect the minimum amount of information about you necessary to process your application for the RDS Program and to manage your account.

Information Automatically Collected and Stored

When you browse through any web site, certain personal information about you can be collected. We automatically collect and temporarily store the following information about your visit:

- the name of the domain you use to access the Internet (for example, aol.com, if you are using an America Online account, or stanford.edu, if you are connecting from Stanford University's domain)
- the date and time of your visit
- the pages you visited
- the address of the web site you came from when you came to visit

This information is used for statistical purposes only and to help us make this site more useful to visitors. Unless it is specifically stated otherwise, no additional information will be collected about you.

Information Collected to Process Applications and Manage Accounts Through the RDS Secure Web Site

When you apply for the RDS Program through the RDS Secure Web Site, we will collect personal information necessary to validate participants, and to process and manage the application. The

authority to collect this information is granted by §1860D-22 of the Social Security Act and CMS' RDS implementing regulations at 42 C.F.R. §423 Subpart R, as well as the Debt Collection Improvement Act of 1996 at 31 U.S.C. §7701(c) and the Federal Privacy Act at 5 U.S.C. §552a. This may include your name, address, telephone and fax numbers, e-mail address, social security number, drivers license photocopy, Federal Employer Identification Number (FEIN), banking information or other payment information. Provision of this information is mandatory for participation in the RDS Program. CMS' RDS Center may also collect a password and password hint for each participant accessing the RDS Secure Web Site. We use this information to verify participants' identities in order to prevent unauthorized access to secure RDS Secure Web Site accounts.

CMS' RDS Center staff has role-based access to this information, and use only the information minimally necessary to accomplish their jobs.

The personal information you provide is encrypted and sent to us using a secure method, in order to assure that your personal information is securely and safely transmitted. However, no one can give an absolute assurance that information intended to be maintained as private, whether transmitted via the Internet or otherwise, cannot be accessed inappropriately or unlawfully by third parties. We have taken and will continue to take reasonable steps to ensure the secure and safe transmission of your personal information.

Personally Provided Information

If you are not involved with the submission or management of an RDS Program application on the RDS Secure Web Site, you do not have to give us personal information. If you choose to provide us with additional information about yourself through e-mail, forms, surveys, etc., we will maintain the information as long as needed to respond to your question or to fulfill the stated purpose of the communication.

Disclosure

HHS and CMS do not disclose, give, sell or transfer any personal information about its visitors, unless required for law enforcement or statute.

Intrusion Detection

The RDS Web Sites are maintained by the U.S. Government. It is protected by various provisions of Title 18, U.S. Code. Violations of Title 18 are subject to criminal prosecution in Federal court.

For site security purposes and to ensure that this service remains available to all participants, we employ software programs to monitor traffic to identify unauthorized attempts to upload or change information, or otherwise cause damage. In the event of authorized law enforcement investigations, and pursuant to any required legal process, information from these sources may be used to help identify an individual.

3. Systems of Records

Information originally collected in traditional paper systems can be submitted electronically, i.e., electronic commerce transactions and information updates about eligibility benefits. Electronically submitted information is maintained and destroyed pursuant to the Federal Records Act and in some cases may be subject to the Privacy Act. If information that you submit is to be used in a Privacy Act system of records, there will be a Privacy Act Notice provided.

4. Links

References from RDS web sites to any non-governmental entity, product, service or information do not imply endorsement or recommendation by CMS, HHS or any other HHS agency or employees.

We are not responsible for the contents of any "off-site" web pages referenced from this server. We do not endorse ANY specific products or services provided by public or private organizations. In addition, we do not necessarily endorse the views expressed by such sites, nor do we warrant the validity of any site's information or its fitness for any particular purpose.

5. Pop-up Advertisements

When visiting RDS web sites, your web browser may produce pop-up advertisements. These advertisements were most likely produced by other web sites you visited or by third party software installed on your computer. CMS does not endorse or recommend products or services for which you may view a pop-up advertisement on your computer screen while visiting our site.

6. Outdated Information

Many HHS/CMS documents are time sensitive. Department policies change over time. Information in older documents may be outdated. You also may wish to review our Privacy Policy in section 2.

7. Accessibility

This page provides information for those visitors who use assistive or other devices to access the content on the RDS web sites. Please see Contact Us at

http://rds.cms.hhs.gov/contact/default.htm if you have general questions and comments or have difficulty finding something on this site.

Synopsis of Section 508 Accessibility Requirements

The Centers for Medicare & Medicaid Services (CMS') Retiree Drug Subsidy (RDS) Program is committed to making all RDS Web Sites accessible to the widest possible audience, including individuals with disabilities. In keeping with its mission, the RDS Center complies with the regulations of Section 508 of the Rehabilitation Act and the Department of Health & Human Services (HHS) Section 508 Implementation Policy. The information contained within the RDS Web Sites are intended to be accessible through screen readers and other accessibility tools. If alternative means of access to any information contained on RDS Web Sites are needed, or interpreting any information proves difficult, please contact the RDS Help Line. Call (877) RDS-HELP or (877) 737-4357. TTY for hearing impaired: (877) RDS-TTY0, or (877) 737-8890. E-mail rds@cms.hhs.gov. In an e-mail, please indicate the nature of the accessibility problem including the accessibility tool and web browser used, the web page address that is causing difficulty, contact name, e-mail address, and phone number. Please do not include any Protected Health Information (PHI), as defined in the Health Insurance Portability and Accountability Act (HIPAA), in the e-mail.

8. Freedom of Information Act (FOIA)

The RDS Web Sites are a service of the U.S. Department of Health and Human Services. Any Freedom of Information Act (FOIA) requests concerning the RDS Web Sites should be submitted in accordance with the Department's FOIA guidelines. Information on making FOIA requests is available at the Freedom of Information Group page. You also may wish to review our Privacy Policy in Section 2.

Appendix D: E-PHI Agreement

Note: The privileges ("View/Send/Receive Retiree Data" and/or "Submit and View Payment Data") permit the Designee to access certain Electronic Protected Health Information (E-PHI) associated with this Plan Sponsor's RDS application. E-PHI is subject to protection under the federal privacy and security regulations established at 45 CFR Parts 160 and 164 and promulgated pursuant to the Health Insurance Portability and Accountability Act of 1996 ("HIPAA") and is intended for the access and use by individuals only as authorized by the Plan Sponsor. Disclosure of this E-PHI to any other party, unless authorized by the Plan Sponsor or required to do so by law, is prohibited.

By clicking on "I accept" button below, you hereby authorize the Designee to access or use E-PHI associated with this Plan Sponsor's RDS application. Clicking the "Cancel" button will allow you to modify the privileges that you want to assign to this Designee.

Appendix E: How To Cross Reference

This table displays the How Tos that are no longer available on the RDS Program Website and the chapter where they can be found in the RDS User Guide.

Obsolete How Tos	New RDS User Guide
Apply As A New RDS Plan Sponsor	Chapter 4
Assign Or Delete Designees	Chapter 6
Attest Actuarial Equivalence	Chapter 12
Change Application Information After Submission	Chapter 6
Change Personal Information	Chapter 9
Change Plan Sponsor Information	Chapter 10
Communicate Retiree Information Using The Mainframe	Chapter 7
Complete An Application	Chapter 6
Download Covered Retiree List	Chapter 7
Download Retiree Response Files	Chapter 7
Download Weekly Notifications	Chapter 7
Re-apply For A New Plan Year For An Existing Plan Sponsor	Chapter 6
Reassign Account Managers And Authorized Representatives	Chapter 8
Register An Account Manager And An Authorized Representative	Chapter 5
Register As A Designee	Chapter 5
Register As An Actuary	Chapter 5
Request An Application Deadline Extension	Chapter 6
Request Covered Retiree Lists	Chapter 7
Request Informal Written Reconsideration	Chapter 11

Obsolete How Tos	New RDS User Guide Location
Start A New Application	Chapter 6
Submit An Application	Chapter 6
Upload A File	Chapter 7
View Medicare Part D Enrollment Rejection Notifications	Chapter 7
View Retiree Counts	Chapter 7

Appendix F: Mainframe Retiree List Copybook

RDS RETIREE LIST HEADER

	(*)-RETIREE-LIST-HDR		
01			
05	(*)-RECORD-TYPE	PIC X(01)	
	88 (*)-HEADER		VALUE 'H'
05	(*)-APPLICATION-ID	PIC X(10)	
05	(*)-CREATE-DATE	PIC X(08)	
05	(*)-CREATE-TIME	PIC X(06)	
05	FILLER	PIC X(175)	

RDS RETIREE LIST TRAILER

01	(*)-RETIREE-LIST-TRL		
01			
05	(*)-RECORD-TYPE	PIC X(01)	
	88 (*)-TRAILER		VALUE 'T'
05	(*)-APPLICATION-ID	PIC X(10)	
05	(*)-CREATE-DATE	PIC X(08)	
05	(*)-CREATE-TIME	PIC X(06)	
05	(*)-RECORD-COUNT	PIC 9(07)	
05	FILLER	PIC X(168)	

RDS RETIREE LIST DETAIL FROM/TO PLAN SPONSOR

	(*)-RETIREE-ENTRY		
01			
02	(*)-RETIREE-RECORD		
05	(*)-RECORD-TYPE	PIC X(01)	
	88 (*)-DETAIL		VALUE 'D'

05	(*)-BENE-SSN	PIC X(09)	
05	(*)-BENE-HICN	PIC X(12)	
05	(*)-BENE-FIRST-NAME	PIC X(30)	
05	(*)-BENE-INITIAL	PIC X(01)	
05	(*)-BENE-LAST-NAME	PIC X(40)	
05	(*)-BENE-BIRTH-DATE	PIC X(08)	
05	(*)-BENE-SEX-CODE	PIC X(01)	
	88 (*)-SEX-UNKNOWN		VALUE '0'
	88 (*)-MALE		VALUE '1'
	88 (*)-FEMALE		VALUE '2'
05	(*)-COVG-EFF-DATE	PIC X(08)	
05	(*)-COVG-TERM-DATE	PIC X(08)	
05	(*)-RX-GROUP-NUMBER	PIC X(20)	
05	(*)-BENE-RELATIONSHIP	PIC X(02)	
	88 (*)-SELF		VALUE '01'
	88 (*)-SPOUSE		VALUE '02'
	88 (*)-OTHER		VALUE '03'
05	(*)-RECORD-ACTION	PIC X(03)	
	88 (*)-ADD		VALUE 'ADD'
	88 (*)-UPDATE		VALUE 'UPD'
	88 (*)-DELETE		VALUE 'DEL'

RDS User Guides are identified by the version number and release date located on the cover page and footer. Printed or saved versions may be obsolete. Use the current version, which is always available online. Version 15: Released May 5, 2012

Appendix G: Mainframe Retiree Response File Copybook

* RDS RETIREE LIST HEADER

- 01 (*)-RETIREE-LIST-HDR.
 - 05 (*)-RECORD-TYPE
 PIC X(01).

 88 (*)-HEADER
 VALUE 'H'.

 05 (*)-APPLICATION-ID
 PIC X(10).

 05 (*)-CREATE-DATE
 PIC X(08).

 05 (*)-CREATE-TIME
 PIC X(06).

 05 FILLER
 PIC X(175).

	-D	
* RDS RETIREE LIST TRAILE	ER	
01 (*)-RETIREE-LIST-TRL.		
05 (*)-RECORD-TYPE	PIC X(01).	
88 (*)-TRAILER	VALUE 'T'.	
05 (*)-APPLICATION-ID	PIC X(10).	
05 (*)-CREATE-DATE	PIC X(08).	
05 (*)-CREATE-TIME	PIC X(06).	
05 (*)-RECORD-COUNT	PIC 9(07).	
05 FILLER	PIC X(168).	
* RDS RETIREE LIST DETAIL	L FROM/TO PLAN S	PONSOR
01 (*)-RETIREE-ENTRY.		
02 (*)-RETIREE-RECORD.		
05 (*)-RECORD-TYPE	PIC X(01).	
88 (*)-DETAIL	VALUE 'D'.	
05 (*)-BENE-SSN	PIC X(09).	
05 (*)-BENE-HICN	PIC X(12).	
05 (*)-BENE-FIRST-NAME	PIC X(30).	

05 (*)-BENE-INITIAL	PIC X(01).	
05 (*)-BENE-LAST-NAME	PIC X(40).	
05 (*)-BENE-BIRTH-DATE	PIC X(08).	
05 (*)-BENE-SEX-CODE	PIC X(01).	
88 (*)-SEX-UNKNOWN	VALUE '0'.	
88 (*)-MALE	VALUE '1'.	
88 (*)-FEMALE	VALUE '2'.	
05 (*)-COVG-EFF-DATE	PIC X(08).	
05 (*)-COVG-TERM-DATE	PIC X(08).	
05 (*)-RX-GROUP-NUMBE	R PIC X(20).	
05 (*)-BENE-RELATIONSH	IP PIC X(02).	
88 (*)-SELF	VALUE '01'.	
88 (*)-SPOUSE	VALUE '02'.	
88 (*)-OTHER	VALUE '03'.	
05 (*)-RECORD-ACTION	PIC X(03).	
88 (*)-ADD	VALUE 'ADD'.	
88 (*)-UPDATE	VALUE 'UPD'.	
88 (*)-DELETE	VALUE 'DEL'.	

02 (*)-RETIREE-RESPONSE.

05	(*)-RDS-SUBSIDY-SW	PIC X(01).
05	(*)-RDS-DENIAL-CODE	E PIC X(02).
05	(*)-RDS-EFF-DATE	PIC X(08).
05	(*)-RDS-TERM-DATE	PIC X(08).
05	FILLER	PIC X(38).

Appendix H: Plan Sponsor Agreement

Plan Sponsor Agreement

The Authorized Representative must read each clause of the Plan Sponsor Agreement.

- Compliance: In order to receive subsidy payment(s), Plan Sponsor agrees to comply with all of the terms and conditions of 42 C.F.R. 423 Subpart R and in other guidance issued by CMS, including, but not limited to, the conditions for submission of data for obtaining payment and the record retention requirements.
- 2. Notice of Creditable Coverage: Plan Sponsor certifies that it will provide prior to the beginning of the plan year referenced in this RDS application, Creditable Coverage notices in accordance with 42 C.F.R. 423.56 to Part D eligible individuals covered under the Plan Sponsor's plan.
- 3. Written Agreement: Plan Sponsor certifies that it has executed a written agreement with its health insurance issuer or group health plan regarding disclosure of information to CMS, and the issuer or plan agrees to disclose to CMS, on behalf of the Sponsor, the information necessary for the Sponsor to comply with the requirements of the RDS Program. (For year one of the RDS Program Sponsor certifies that it will execute the written agreement prior to January 1, 2006.)
- 4. Use of Records: Sponsor understands and agrees that officers, employees and contractors of the Department of Health and Human Services, including the Office of Inspector General (OIG), may use information collected under the RDS Program only for the purposes of, and to the extent necessary in, carrying out their responsibilities under 42 C.F.R. 423 Subpart R including, but not limited to, determination of payments and payment-related oversight and program integrity activities, or as otherwise required by law. This restriction does not limit OIG authority to conduct audits and evaluations necessary for purposes of 42 C.F.R. 423 Subpart R or other authority. Sponsors further acknowledge that CMS will release Retiree Drug Subsidy payment data in accordance with §423.884(c).
- 5. Obtaining Federal Funds: Plan Sponsor acknowledges that the information furnished in its Plan Sponsor Application is being provided to obtain Federal funds. Plan Sponsor certifies that it requires all subcontractors, including plan administrators, to acknowledge that information provided in connection with the Plan Sponsor's Application is used for purposes of obtaining Federal funds. Plan Sponsor acknowledges that payment of a subsidy is conditioned on the submission of accurate information. Plan Sponsor agrees that it will not knowingly present or cause to be presented a false or fraudulent claim. Plan Sponsor acknowledges that any overpayment made to the Plan Sponsor under the RDS Program may be recouped by CMS. Plan Sponsor Application.
- 6. Data Security: Plan Sponsor agrees to establish and implement proper safeguards against unauthorized use and disclosure of the data exchanged under this Plan Sponsor Application. Plan Sponsor recognizes that the use and disclosure of protected health information (PHI) is governed by the Health Insurance Portability and Accountability Act (HIPAA) and accompanying regulations. Plan Sponsor certifies that it has established and implemented appropriate safeguards in compliance with 45 C.F.R. Parts 160, 162 and 164 (HIPAA administrative simplification, privacy and security rule) in order to prevent unauthorized disclosure of such information or data. Any and all Plan Sponsor personnel interacting with PHI shall be advised of (1) the confidential nature of the

information; (2) safeguards required to protect the information, and (3) the administrative, civil and criminal penalties for noncompliance contained in applicable Federal laws.

- 7. Depository Information: Plan Sponsor hereby authorizes CMS to initiate payment, credit entries and other adjustments, including offsets and requests for payment, in accordance with the provisions of 42 C.F.R. 423 Subpart R and applicable provisions of 45 C.F.R. Part 30 to the account at the financial institution (hereinafter the "Depository") indicated under the Electronic Funds Transfer (EFT) section of the Plan Sponsor Application. When Plan Sponsor know of, and agrees to, an overpayment it must pay that amount back to CMS. Plan Sponsor agrees to promptly update any changes in its Depository information.
- 8. **Change of Ownership:** The Plan Sponsor shall provide written notice to CMS at least 60 days prior to a change in ownership, as defined in 42 C.F.R. 423.892(a). When a change of ownership results in a transfer of the liability for prescription drug costs, this Plan Sponsor Agreement is automatically assigned to the new owner, who shall be subject to the terms and conditions of this Plan Sponsor Agreement.

I, the undersigned Authorized Representative of Plan Sponsor, declare that I have examined this Plan Sponsor Application and Plan Sponsor Agreement. My signature legally and financially binds the Plan Sponsor to the laws, regulations, and other guidance applicable to the RDS Program (including, but not limited to 42 C.F.R. 423 Subpart R) and all other applicable laws and regulations. I certify that the information contained in this Plan Sponsor Application and Plan Sponsor Agreement is true, accurate and complete to the best of my knowledge and belief, and I authorize CMS to verify this information. I understand that, because payment of a subsidy will be made from Federal funds, any false statements, documents, or concealment of a material fact is subject to prosecution under applicable Federal and/or State law. If I become aware that information is not (or is no longer) true, accurate and complete, I agree to notify CMS promptly of this fact.

Appendix I: Reconciliation Agreement

Signature of Plan Sponsor Authorized Representative

In order to receive subsidy payments, Plan Sponsor agrees to comply with all of the terms and conditions of the Plan Sponsor Agreement that was signed by the Authorized Representative of the Plan Sponsor and submitted with the application. Plan Sponsor will promptly notify CMS of any changes to the information submitted in its Plan Sponsor Agreement.

Obtaining Federal Funds: Plan Sponsor acknowledges that the information furnished in its retiree drug subsidy Reconciliation Payment Request is being provided to obtain Federal funds. Plan Sponsor certifies that it requires all subcontractors, including plan administrators, to acknowledge that information provided in connection with the subcontract is used for purposes of obtaining Federal funds. Plan Sponsor acknowledges that payment of a subsidy is conditioned on the submission of accurate information. Plan Sponsor agrees that it will not knowingly present or cause to be presented a false or fraudulent claim. Plan Sponsor acknowledges that any overpayment made to the Plan Sponsor under the RDS program may be recouped by CMS/RDS Contractor as described in applicable provisions of the Department of Health and Human Services overpayment regulations at 45 C.F.R. 30 Subpart B. Plan Sponsor agrees that once it becomes aware that an overpayment has occurred, it will promptly take action to repay the overpayment to the RDS Center within 30 days of the discovery of the overpayment. Plan Sponsor authorizes CMS to initiate payment and other adjustments, including offsets and requests for payment, in accordance with the provisions of 42 C.F.R. 423 Subpart R and applicable provisions of 45 C.F.R. 30 Subpart B to the account at the financial institution (hereinafter the "Depository") indicated under the Electronic Funds Transfer (EFT) section of the Plan Sponsor Application. Plan Sponsor agrees to promptly notify CMS of any changes in its Depository information and submit an updated EFT Authorization.

I, the undersigned Authorized Representative, on behalf of the Plan Sponsor, declare that I have examined this Reconciliation Payment Request and certify that the information contained in this Reconciliation Payment Request is true, accurate and complete to the best of my knowledge and belief; that the Plan Sponsor agrees to comply with all RDS program requirements (including 42 C.F.R. 423 Subpart R and applicable provisions of 45 C.F.R. 30 Subpart B) and other applicable laws and regulations. I understand that, because payment of a subsidy will be made from Federal funds, any false statements, documents, or concealment of a material fact is subject to prosecution under any applicable Federal and/or State law.

Appendix J: Interim Payment Agreement

Payment Authorization

Amount of Payment Request: **\$xxx.xx** Date of Payment Request: **mm, dd, yyyy**

Payment is contingent on compliance with the Plan Sponsor agreement and with Retiree Drug Subsidy (RDS) program requirements, including the applicable laws and regulations.

Authorized Payment Requestor, on behalf of the Plan Sponsor, agrees that CMS is authorized to initiate payment in accordance with the provisions of 42 CFR 423 Subpart R and applicable provisions of 45 CFR 30 Subpart B, to the account at the financial institution (hereinafter the "Depository") indicated under the Electronic Funds Transfer (EFT) section of the Plan Sponsor application, and Plan Sponsor will promptly notify CMS of any changes in its Depository information and submit an updated EFT Authorization.

I, the undersigned Authorized Payment Requestor, on behalf of the Plan Sponsor, declare that I have examined this Interim Payment Request and certify that the information contained in this Interim Payment Request is true, accurate and complete to the best of my knowledge and belief. I understand that, because payment of a subsidy will be made from Federal funds, any false statements, documents, or concealment of a material fact is subject to prosecution under any applicable Federal and/or State law.

Appendix K: Attestation Agreement

Actuarial Attestation for the Gross and Net Value Tests if no Benefit options are combined

I hereby attest to the following:

I am a qualified actuary and a member of the American Academy of Actuaries. I am familiar with the requirements for, and am qualified to prepare, a Retiree Drug Subsidy (RDS) Actuarial Attestation.

The actuarial Gross Value of each of the Benefit Option(s) listed in this Plan Sponsor Application is at least equal to the actuarial Gross Value of the defined standard prescription drug coverage under Medicare Part D for the Medicare Part D eligible individuals who are participants and beneficiaries of the Plan Sponsor's plan for the subject plan year.

I have determined that each of the Benefit Option(s) listed in this Plan Sponsor Application meet the Gross Value Test requirements of 42 C.F.R. §423 884(d), including the relevant actuarial guidelines issued by CMS, and the data and assumptions used in the development of this attestation are reasonable and are based on generally accepted actuarial principles, including the appropriate actuarial standards of practice.

Each Benefit Option individually meets the Net Value test as set forth at 42 C.F.R. §423.884(d).

The actuarial Net Value of the Benefit Option(s) listed in this Plan Sponsor Application is at least equal to the actuarial Net Value of the defined standard prescription drug coverage under Medicare Part D for the Medicare Part D eligible individuals who are participants and beneficiaries of the Plan Sponsor's Plan for the subject plan year.

The Net Value of the Plan Sponsor's prescription drug coverage was determined using a methodology consistent with the requirements set forth at 42 C.F.R. §423.884(d)(5) and all relevant actuarial guidelines issued by CMS, and the data and assumptions used in the development of this attestation are reasonable and are based on generally accepted actuarial principles, including the appropriate actuarial standards of practice.

I understand and acknowledge that the information being provided in this attestation is being used to obtain Federal funds.

I agree to maintain and make available reports, working documents and other records as required under 42 C.F.R. 423.§888(d). This includes information about data and/or assumptions I may have relied upon.

I certify that this attestation is true and accurate to the best of my knowledge and belief.

Actuarial Attestation for the Gross and Net Value Tests if benefit options are combined

I hereby attest to the following:

I am a qualified actuary and a member of the American Academy of Actuaries. I am familiar with the requirements for, and am qualified to prepare, a Retiree Drug Subsidy (RDS) actuarial attestation.

The actuarial Gross Value of each of the Benefit Option(s) listed in this Plan Sponsor Application is at least equal to the actuarial Gross Value of the defined standard prescription drug coverage under Medicare Part D for the Medicare Part D eligible individuals who are participants and beneficiaries of the Plan Sponsor's plan for the subject plan year.

I have determined that each of the Benefit Option(s) listed in this Plan Sponsor Application meet the Gross Value Test requirements of 42 C.F.R. §423 884(d), including the relevant actuarial guidelines issued by CMS, and the data and assumptions used in the development of this attestation are reasonable and are based on generally accepted actuarial principles, including the appropriate actuarial standards of practice.

Two or more Benefit Options have been combined in order to meet the Net Value test as set forth at 42 C.F.R. 423.§884(d), and each option not so combined individually meets the Net Value test as set forth in 42 C.F.R. §884(d).

The actuarial Net Value of the Benefit Option(s) listed in this Plan Sponsor Application is at least equal to the actuarial Net Value of the defined standard prescription drug coverage under Medicare Part D for the Medicare Part D eligible individuals who are participants and beneficiaries of the Plan Sponsor's Plan for the subject plan year.

The Net Value of the Plan Sponsor's prescription drug coverage was determined using a methodology consistent with the requirements set forth at 42 C.F.R. §423.884(d)(5) and all relevant actuarial guidelines issued by CMS, and the data and assumptions used in the development of this attestation are reasonable and are based on generally accepted actuarial principles, including the appropriate actuarial standards of practice.

I understand and acknowledge that the information being provided in this attestation is being used to obtain Federal funds.

I agree to maintain and make available reports, working documents and other records as required under 42 C.F.R. 423.§888(d). This includes information about data and/or assumptions I may have relied upon.

I certify that this attestation is true and accurate to the best of my knowledge and belief.

Appendix L: Reserved Words List

The following tables contain strings of numbers, specific words, and word and number combinations that may not be used as RDS passwords. Variations of the reserved words using uppercase and lowercase letters may not be used.

Numbers	RDS Terms	Months	Other
098765	СМЅ	January	Admin
1234	Drug	February	L3tM31N
12345678	HCFA	March	Letmein
43210	Medicaid	April	Pa55w0rd
567890	Medicare	Мау	Pa55word
76543210	Retiree	June	Passw0rd
	Subsidy	July	Password
		August	Pwd
		September	QWERTY
		October	Security
		November	System
		December	Welcome

Appendix M: RDS Reason Codes

Reason Codes are identification numbers that correspond to a specific message about a record in a response file or a notification file.

Note: If a change in eligibility creates a gap in the subsidy coverage period or a beneficiary is enrolled in more than one Benefit Option for an Application, you will receive more than one record for the beneficiary.

Disclaimer: Due to the sensitive nature of this information, CMS' RDS Center is not at liberty to discuss specific entitlements with Plan Sponsors.

Reason Code	Title	File Type	Determination Indicator	What It Means	What You Should Do
00	Coverage Dates Outside the Plan Year	Response File Only	Y	The row has been accepted by CMS' RDS Center.	No Action Required.
01	Missed Application Deadline	Response File Only	Blank	The Plan Sponsor did not meet Application Deadline requirements as specified in 42 C.F.R. §423.884(c).	Do not send retiree files for this Application.
02	Invalid Application Number	Response File Only	Blank	Invalid Application Number: The Application ID in the record you sent is not a valid Application in the RDS System.	Ensure the Application ID is submitted EXACTLY as it appears on the RDS Secure Website.
03	Invalid Last Name	Response File Only	Blank	Invalid Last Name. The field contains spaces or is numeric.	Verify the Last Name field does not contain spaces or numbers.
04	Invalid First Name	Response File Only	Blank	Invalid First Name. The field contains spaces or is	Verify the First Name field does not contain spaces or numbers.

Reason Code	Title	File Type	Determination Indicator	What It Means	What You Should Do
				numeric.	
	Invalid Date of Birth	Response File Only	Blank	Invalid Date of Birth.	Verify the Date of Birth is formatted correctly.
05				The date must be a valid date in CCYYMMDD format.	
	Invalid Gender	Response File Only	Blank	Invalid Gender.	Verify the Gender submitted matches one of the valid
06				The gender must be:	values.
06				Value '0' = Gender Unknown	
				Value '1' = Male	
				Value '2' = Female	
	Invalid Coverage Effective Date	Response File Only	Blank	Invalid Coverage Effective Date.	Verify the Coverage Effective Date is formatted properly.
07				The Coverage Effective Date must be a valid date in CCYYMMDD format.	
	Invalid Coverage Termination Date	Response File Only	Blank	Invalid Coverage Termination Date.	Verify the Coverage Termination Date is formatted properly.
08				The Coverage Termination Date must be a valid date in CCYYMMDD format.	
09	Invalid Unique	Response	Blank	Invalid Unique Benefit Option	Verify that the UBOI is typed exactly as it

Reason Code	Title	File Type	Determination Indicator	What It Means	What You Should Do
	Benefit Option Identifier	File Only		Identifier. You have submitted a retiree file with a UBOI that does not precisely reflect the UBOI on the Application specified in this retiree file.	appears on the Application Status page.
10	Enrolled in Medicare Part D	Response File	Y	The QCR is enrolled in Medicare Part D for some portion of the Subsidy Period for which you have applied.	Termination Date
10	Enrolled in Medicare Part D	Response File	N	The beneficiary is not eligible for subsidy because they are enrolled in Medicare Part D during the entire period for which you requested coverage.	You may contact the beneficiary to discuss their Medicare Part D enrollment.
10	Enrolled in Medicare Part D	Notification File	Y	The QCR is enrolled in Medicare Part D for some portion of the Subsidy Period that was previously approved.	Termination Date

Reason Code	Title	File Type	Determination Indicator	What It Means	What You Should Do
10	Enrolled in Medicare Part D	Notification File	N	This beneficiary is no longer eligible for subsidy because of enrollment in Medicare Part D during the entire Subsidy Period that was previously approved.	Internal records should be adjusted to ensure that costs are appropriately calculated.
10	Enrolled in Medicare Part D	Covered Retiree List	Y	The QCR is enrolled in Medicare Part D for some portion of the period of RDS coverage for which you previously applied or were approved.	Refer to the Subsidy Period Effective Date and Subsidy Period Termination Date for the period that you may claim the beneficiary for the subsidy.
11	Not eligible for Medicare Part D	Response File	Y	The QCR is not eligible for Medicare for some portion of the Subsidy Period for which you have applied.	Refer to the Subsidy Period Effective Date and Subsidy Period Termination Date for the period that you may claim the QCR for subsidy.
11	Not eligible for Medicare Part D	Response File	N	This beneficiary is not eligible for Medicare for the entire Subsidy Period for which you have applied.	You may wish to contact the beneficiary to discuss their Medicare Part entitlement and enrollment.
11	Not eligible for Medicare Part D	Notification File	Y	The QCR is not eligible for Medicare for some portion of the Subsidy Period for which they were previously approved.	Refer to the Subsidy Period Effective Date and Subsidy Period Termination Date for the period that you may claim the QCR for subsidy. Update your internal records to reflect

Reason Code	Title	File Type	Determination Indicator	What It Means	What You Should Do
					the change in subsidy.
11	Not eligible for Medicare Part D	Notification File	N	The beneficiary is not eligible for Medicare Part D for the entire Subsidy Period for which they were previously approved.	This beneficiary is not eligible for subsidy because of they are not eligible for Medicare during the entire Subsidy Period that was previously approved.
11	Not eligible for Medicare Part D	Covered Retiree List	Y	The QCR is not eligible for Medicare Part D for some portion of the period of RDS coverage for which you previously applied or were approved.	Termination Date
12	Beneficiary is deceased	Response File	Y	The QCR's date of death falls within the Subsidy Period for which you have applied.	Subsidy Period Effective Date and
12	Beneficiary is deceased	Response File	N	This beneficiary is not eligible for subsidy because their date of death is prior to the Subsidy Period for which you have applied.	N/A

Reason Code	Title	File Type	Determination Indicator	What It Means	What You Should Do
12	Beneficiary is deceased	Notification File	Y	The QCR's date of death falls within the Subsidy Period for which they were previously approved.	The previously approved Subsidy Period will have a new termination date. You should replace all coverage records.
12	Beneficiary is deceased: The beneficiary's date of death falls within the Subsidy Period for which you have applied.	Notification File	N	This beneficiary is not eligible for subsidy because their date of death is prior to the Subsidy Period for which you were previously approved.	You should delete all Subsidy Periods.
12	Beneficiary is deceased: The beneficiary's date of death falls within the Subsidy Period for which you have applied.	Covered Retiree List	Y	The QCR's date of death falls within the period of RDS coverage for which you previously applied or were approved.	Refer to the Subsidy Period Effective Date and Subsidy Period Termination Date for the period that you may claim the beneficiary for the subsidy.
13	Invalid format for the HICN or SSN	Response File	N	A valid HICN or SSN must be provided for the individual whom the Plan Sponsor is seeking subsidy. Valid HICN = Must be alphanumeric, 12 digits, and may	Verify that the HICN and SSN have been entered correctly.
				contain spaces at the end if necessary. This field may be left blank if a valid	

Reason Code	Title	File Type	Determination Indicator	What It Means	What You Should Do
				SSN is provided.	
				Valid SSN = Must be numeric, 9 digits, contain no spaces, and should not be all zeroes or nines. This field may be left blank if a valid HICN is provided.	
14	Termination Date is less than Effective Date	Response File	N	The Coverage Termination Date you sent for this beneficiary is earlier than the Coverage Effective Date.	Verify the Coverage Termination Date.
15	Error occurred in header or trailer	Response File	N	Mainframe or Connect:Direct only.	Verify header or trailer.
16	Not a valid Medicare Beneficiary	Response File	N	This beneficiary was not found in the Medicare Beneficiary Database.	For more information about Reason Code 16, go to: <u>Troubleshooting</u> <u>Retiree Response</u> <u>Files and Weekly</u> <u>Notification Files</u> .
17	No Coverage Period exists for delete transaction.	Response File	N	CMS' RDS Center has made no update.	No Action Required.
18	Invalid Action Type	Response File	N	The action type must be: ADD, UPD, or DEL.	Verify the action type is ADD, UPD, or DEL.
19	Invalid relationship code	Response File	N	The relationship code must be:	Verify the relationship code submitted matches

Reason Code	Title	File Type	Determination Indicator	What It Means	What You Should Do
				Value '01' = Self Value '02' = Spouse Value '03' = Other	one of the valid values.
20	Beneficiary attempted to enroll in Medicare Part D and received an initial rejection	Notification File Only	Blank	Beneficiary attempted to enroll in Medicare Part D and received an initial rejection. If the notification event is regarding the beneficiary's initial Application for Medicare Part D or is a change that may result in an increased Subsidy Period, the original Subsidy Period Effective and Termination Dates will be reported in the file.	The Medicare Part D Enrollment Rejection Notification is your cue to contact the QCR who applied for Medicare Part D. You should explain to the QCR that your plan has equivalent or better drug coverage and the QCR does not need Medicare Part D. The notification is your indication that they have been initially rejected from Medicare Part D. If the QCR persists and enrolls in Medicare Part D you will no longer be allowed to receive subsidy for that individual. There is no need to inform CMS' RDS Center of the contact with the QCR.
21	New Medicare information has been received: Resend this beneficiary's record to CMS' RDS Center.	Notification File Only	Blank	The Determination Indicator will be blank and the subsidy dates will be set to zero. The new Medicare information may result in increased subsidy coverage.	Re-submit this beneficiary in the next Monthly Retiree List.

Reason Code	Title	File Type	Determination Indicator	What It Means	What You Should Do
24	Coverage Dates Outside the Plan Year	Response File Only	N	The entire Subsidy Period you requested for the beneficiary is outside the range of the Plan Year for the Application, or the Subsidy Period	Check to make sure the Plan Sponsor Coverage dates match the Plan Year Start and Plan Year End dates for the Application you are submitting.
				Termination Date you requested is before January 1, 2006, the beginning of the RDS Program.	
26	File Rejected – Denied Application	Response File	Blank	The status of the Application for which this retiree file was submitted is Denied. This retiree file was not processed by CMS' RDS Center.	Do not send retiree files for this Application.
26	File Rejected – Denied Application	Notification File	Blank	This Application has been denied after retirees were previously approved for subsidy. CMS' RDS Center has removed all subsidy for this Application.	Remove all subsidy from your records for the beneficiaries, Benefit Options, and Subsidy Periods listed in this Notification File. Do not send retiree files for this Application.
27	File Rejected – Withdrawn Application	Response File	Blank	The status of the Application for which this retiree file was submitted is Withdrawn. This retiree file was not processed by CMS' RDS Center.	Do not send retiree files for this Application.

Reason Code	Title	File Type	Determination Indicator	What It Means	What You Should Do
27	File Rejected – Withdrawn Application	Notification File	Blank	This Application has been withdrawn after retirees were previously approved for subsidy. CMS' RDS Center has removed all subsidy for this Application.	Remove all subsidy from your records for the beneficiaries, Benefit Options, and Subsidy Periods listed in this notification file. Do not send retiree files for this Application.
28	File Rejected – Closed Application	Response File Only	Blank	The Application for which this retiree file was submitted is past Reconciliation Step 4: Finalize Covered Retirees or the Reconciliation Deadline has passed. This retiree file was not processed by CMS' RDS Center.	Do not send retiree files for this Application.
29	File Rejected – No Authority	Response File Only	Blank	The Application for which this retiree file was submitted does not allow retiree files from this source or method. This retiree file was not processed by CMS' RDS Center.	Contact the Plan Sponsor associated with this Application to discuss the authorized retiree list submission source and method.

Reason Code	Title	File Type	Determination Indicator	What It Means	What You Should Do
30, 31	To Be Determined	Response and Notification Files	Blank	These reason codes are reserved for future use.	These will be informational only, similar to Reason Code 20. This record will not result in a subsidy change. It will likely require you to contact the specific beneficiary.
32	File Rejected – Appealed Application	Response File Only	Blank	The Application for which this retiree file was submitted is in an Appeal status. This retiree file was not processed by CMS' RDS Center.	Do not send retiree files for this Application.
33	File Rejected – Deleted Application	Response File	Blank	The status of the Application for which this retiree file was submitted is Deleted. This retiree file was not processed by CMS' RDS Center.	Do not send retiree files for this Application.
33	Deleted Application	Notification File	Blank	The Application Status was set to Deleted after retirees were previously approved for subsidy. CMS' RDS Center has removed all subsidy for this Application.	Remove all subsidy from your records for the Beneficiaries, Benefit Options, and Subsidy Periods listed in this notification file. Do not send retiree files for this Application.
34	File Rejected – Abandoned Application	Response File	Blank	The status of the Application for which this retiree file was submitted	Do not send retiree files for this Application.

Reason Code	Title	File Type	Determination Indicator	What It Means	What You Should Do
				is Abandoned. This retiree file was not processed by CMS' RDS Center.	
34	Abandoned Application	Notification File	Blank	The Application Status was set to Abandoned after retirees were previously approved for subsidy. CMS' RDS Center has removed all subsidy for this Application.	Remove all subsidy from your records for the Beneficiaries, Benefit Options, and Subsidy Periods listed in this notification file. Do not send retiree files for this Application.
99	Subsidy Removed	Notification File Only	Y or N, depending on whether part or all of the subsidy was removed	CMS' RDS Center has removed all or some period of the subsidy previously approved for this Qualified Covered Retiree.	CMS' RDS Center will contact you about the actions you should take prior to sending this file.

Appendix N: Retiree File Upload Errors

Error Display	Error Description
Invalid number of attributes provided in record. Expected: [] Received:	The retiree file you uploaded does not have the expected number of attributes.
	Each piece of information or data element you are sending about the retiree is called an attribute.
	The initial validation edits will count the number of values in the retiree record or row to make sure the record or row has the expected number of attributes.
Application ID Number in Retiree Record [Application ID from the retiree	The retiree file you uploaded contains an Application ID that does not exist in the RDS Secure Website.
file] is not a valid Application ID Number.	Compare the Application ID in the error message to the Application ID on the RDS Secure Website.
	If the error message contains a number you believe is valid, contact <u>CMS' RDS Center Help Line</u> .
Application ID Number in Retiree Record [Application ID from the retiree file] does not match the Application ID	The retiree file you uploaded contains an Application ID that does not match the Application you selected to upload.
selected for File Upload [Application ID you selected on previous page].	Confirm that the Application ID identified in the error message is the Application ID you intended to enter.
Invalid value size in Retiree Record	The retiree file you uploaded contains more than the expected number of characters in a given attribute.
	Each piece of information you are sending in the file must have the expected number of characters.
	For example, you would receive this message if you submitted a retiree record with a twelve digit Social Security Number.
	After the first failed record, the file is rejected. When you troubleshoot this problem, you should also check all of the records following this one for the same problem.
Invalid date field in Retiree Record.	The retiree file you uploaded contains an invalid date format.
	Check the data to ensure that all date fields are in CCYYMMDD format. CMS' RDS Center will only report this error on the first record it encounters.
	After the first failed record, the file is rejected. When you troubleshoot this problem, you should also check all of the records following this one for the same problem.

Error Display	Error Description
Invalid gender value in Retiree Record. Valid values are 0, 1, or 2	The gender value you entered does not meet the requirements (0, 1, or 2).
(unknown, male, female).	Correct and re-submit the Monthly Retiree List. CMS' RDS Center will only report this error on the first record it encounters.
	After the first failed record the file is rejected. When you troubleshoot this problem, you should also check all of the records following this one for the same problem.
Invalid relationship value in Retiree Record. Valid values are 01, 02, or 03	The relationship value you entered does not meet the requirements (01, 02, or 03).
(self, spouse, other).	Correct and re-submit the Monthly Retiree List. CMS' RDS Center will only report this error on the first record it encounters.
	After the first failed record the file is rejected. When you troubleshoot this problem, you should also check all of the records following this one for the same problem.
Invalid transaction type value in Retiree Record. Valid values are ADD,	The transaction type value you entered does not meet the requirements (ADD, UPD, or DEL).
UPD, or DEL.	Correct and re-submit the Monthly Retiree List. CMS' RDS Center will only report this error on the first record it encounters.
	After the first failed record the file is rejected. When you troubleshoot this problem, you should also check all of the records following this one for the same problem.

Appendix O: Past Retiree Electronic Data Interchange (EDI) Methodology

As of June 2010, the Retiree Electronic Data Interchange (EDI) Methods and Sources have been updated to allow different selections for Benefit Options in RDS Applications.

RDS Program Applications that have been started but not submitted at the time of the change will have Step 7: Retiree Electronic Data Interchange (EDI) Methods and Sources marked "Incomplete" and must select Retiree EDI Methods and Sources based on the updated methods. For information on completing Step 7: Retiree Electronic Data Interchange (EDI) Methods and Sources, go to: <u>Completing Step 7: Retiree Electronic Data Interchange (EDI) Methods and Sources</u>.

RDS Program Applications that have been submitted at the time of the change, but have not yet completed Reconciliation, may continue to use the existing Retiree List Submission Method or may be updated to the new Retiree EDI Methods and Sources. For information on completing this update, go to: <u>Viewing Or Updating The Retiree List Submission Method For Past Applications</u> That Have Not Yet Completed Reconciliation.

RDS Program Applications that have completed Reconciliation at the time of the change will not be switched to the updated Retiree EDI Methods and Sources. For information about viewing the existing Retiree List Submission Method for these Applications, go to: <u>Viewing The Retiree List</u> <u>Submission Method For Past Applications That Have Completed Reconciliation</u>.

Viewing Or Updating The Retiree List Submission Method For Past Applications That Have Not Yet Completed Reconciliation

Any RDS Program Applications that have been submitted but not yet completed Reconciliation can be updated to the new Retiree EDI Methods and Sources. **Note:** The previously selected Retiree List Submission Method was created using the old EDI model. Any change to the EDI Method will have to follow the new Retiree EDI Methods and Sources.

On the Application List page:

1. Select the appropriate Application ID.

On the Application Status page:

2. Click Step 7: Retiree Electronic Data Interchange (EDI) Methods and Sources.

On the Retiree List Submission Method page:

The following warning message will display:

"The process to change to the new Retiree EDI Methods and Sources was started and not completed for the Application. The data has been saved. Click Continue to change to the new Retiree EDI Methods and Sources. The old Retiree EDI Method will remain in effect until the process is completed."

1. Click **Continue** to change to the updated Retiree Electronic Data Interchange (EDI) Methods and Sources.



On the Retiree Electronic Data Interchange (EDI) Methods and Sources page:

- 1. Check one or more Benefit Options.
- Click Continue to assign or change the Retiree List Submission Method, Retiree List Response Method, and Weekly Notification File Delivery Method.

Appendix O: Past Retiree Electronic Data Interchange (EDI)

	Flootro	nia Data	Interchange		ada and		Print this page	LOGIN INFORMATION
heck one i lethod, an	or more Bene d Weekly Not	fit Options a ification File	nd click Continue t Delivery Method.	e (EDI) Meti	the Retiree L			Ellen R. Adams Authorized Representative May 1, 2010 Change or Reset Security Questions
etiree El	DI Methods	and Source	es					APPLICATION INFORMATION
	Benefit Option	Unique Benefit Option ID	Retiree List Submission Method	Retiree List Response Method	Submitter ID	Submitter Name	Weekly Notification File Delivery Method	Plan Sponsor ID: 51781 Plan Sponsor Name: 1st Company of America Application ID:
	Pharmacy	1	Not Assigned	Not Assigned	Not Assigned	Not Assigned	Not Assigned	41737 Plan Name:
Check Al Continue SECURE ARE		2 ploation Status	Not Assigned	Not Assigned	Not Assigned	Not Assigned	Not Assigned	Gold Option Plan Plan Start: January 1, 2011 Plan End: December 31, 2011 Application Status: Incomplete Reconciliation Deadline: March 31, 2013
¢				Pris	cy Policy Use	r Agreement Ac	cessibility	oved OMB-0938-0957 Form CMS-10 oved OMB-0938-0977 Form CMS-10

If multiple Benefit Options were selected, the Multiple Benefit Options Selected page will display. If a single Benefit Option was selected, the Retiree List Submission Method and Retiree List Response Method page will display.

On the Multiple Benefit Options Selected page:

- 3. The selected Benefit Options display. Continuing with this process will assign the same properties to all selected Benefit Options.
- 4. Click **Continue** to go to the Retiree List Submission Method and Retiree List Response Method page or click **Cancel** to return to the Retiree Electronic Data Interchange (EDI) Methods and Sources page.

lultinle	Benefit C	ptions Sele	cted			Print this page	LOGIN INFORMATION
	Benefit Option			is process to as	sign the same p	properties to all Selected	Ellen R. Adams Authorized Representative May 1, 2010
elected Be	enefit Options						Change or Reset Security Questions
Benefit Option Name	Unique Benefit Option ID	Retiree List Submission	Retiree List Response Method	Submitter ID	Submitter Name	Weekly Notification File Delivery Method	APPLICATION INFORMATION Plan Sponsor ID:
harmacy	1	Not Assigned	Not Assigned	Not Assigned	Not Assigned	Not Assigned	51781 Plan Sponsor Name: 1st Company of America
tail Order	2	Not Assigned	Not Assigned	Not Assigned	Not Assigned	Not Assigned	Application ID: 41737 Plan Name:
	Electronic Da		sion Method and Ret II) Methods and Sour		se Method page	e. Click Cancel to return	Gold Option Plan Plan Start: January 1, 2011 Plan End: December 31, 2011 Application Status: Incomplete Beconcillation Deadline:
Continue	noi						March 31, 2013
	nosi						

On the Retiree List Submission Method and Retiree List Response Method page:

An * indicates a required field.

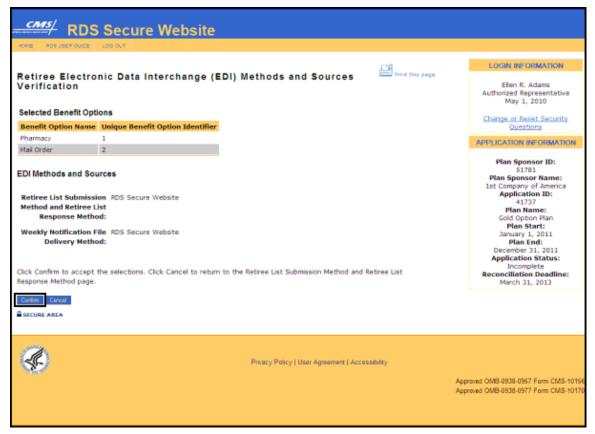
- 5. Select one method for sending and receiving retiree information*.
- Click Continue to select the method for sending and receiving retiree information or click Cancel to return to the Retiree Electronic Data Interchange (EDI) Methods and Sources page.

HOME FOR USER (VEE LOE SET		
	and the second	d Print this page	LOGIN INFORMATION
An * indicates a		IC Print Ine page	Ellen R. Adams Authorized Representative March 1, 2009 Change or Reset Security Ouestions
Selected Bene			APPLICATION INFORMATION
	Name Unique Benefit Option Identifier		Plan Sponsor ID:
Option 1	1111		51781
Option 2 Option 3	2222 3333		Plan Sponsor Name: 1st Company of America
opuon 3	2222		Application ID:
Retiree List Su	ubmission Method and Retiree List Response Method		41737 Plan Name:
	thod for sending and receiving retiree information. 💿 Website to RDS Center		Gold Option Plan Plan Start: January 1, 2009 Plan End: December 31, 2009
O Vendor Main	frame to RDS Center Mainframe		Application Status: Incomplete
O Vendor Main	frame to RDS Center Mainframe with a copy of all Retiree Response Files sent to the RI	DS Secure Website	Reconciliation Deadline:
	of Benefits (COB): Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Re		March 31, 2011
Coordination	o of Benefits (COB): Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Re a Files sent to the RDS Secure Website	the second se	
O Plan Sponso	r Mainframe to RDS Center Mainframe		
O Plan Sponso	r Mainframe to RDS Center Mainframe with a copy of all Retiree Response Files sent to	the RDS Secure Website	
	select the method for sending and receiving retiree information. Click Cancel to return) Methods and Sources page.	to the Retiree Electronic Data	
Continue Cancel			
	Privatcy Policy User Agreenv	ent Accessibility	
A. C. C.			Approved OMB-0938-0957 Form CMS-10150 Approved OMB-0938-0977 Form CMS-10170

Selection: RDS Secure Website to RDS Center

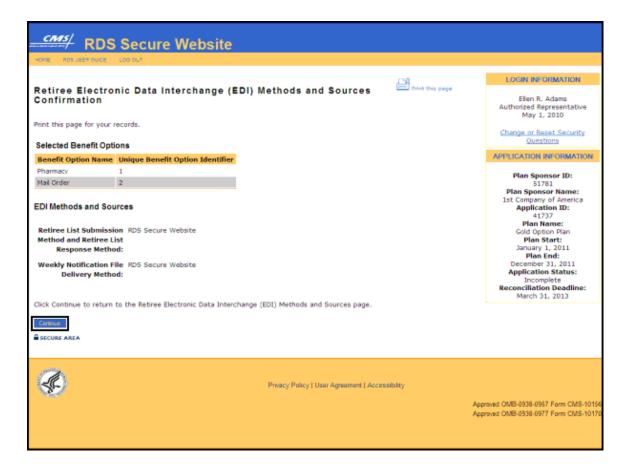
On the Retiree Electronic Data Interchange (EDI) Methods and Sources Verification page:

1. Click **Confirm** to accept the selections or click **Cancel** to return to the Retiree List Submission Method and Retiree List Response Method page.



On the Retiree Electronic Data Interchange (EDI) Methods and Sources Confirmation page:

 Click Continue to return to the Retiree Electronic Data Interchange (EDI) Methods and Sources page.



Selection: Vendor Mainframe to RDS Center Mainframe or Vendor Mainframe to RDS Center Mainframe with a copy of all Retiree Response Files sent to the RDS Secure Website

On the Vendor Mainframe to RDS Center Mainframe through CMS Extranet page:

An * indicates a required field.

- 1. Note the setup times for CMS Extranet.
 - For Vendors with an existing CMS Extranet account and an existing connection to CMS' RDS Center, the setup takes 1 to 2 weeks.
 - For Vendors with a CMS Extranet account, but no existing connection to CMS' RDS Center, the setup takes 1 to 2 months.
 - For Vendors without a CMS Extranet account, the setup takes 2 to 3 months.
- 2. Enter the Vendor ID* assigned by CMS' RDS Data Center.
- 3. Click **Continue** to search for the Vendor or click **Cancel** to return to the Retiree List Submission and Retiree List Response Method page.

RDS Secure Website			
HOME RDS USER GUIDE LOG OUT			
		-	
Vendor Mainframe to RDS Center Mainfram	e through CMS Extranet	Print this page	LOGIN INFORMATION
x errors were found in the input.]	Ellen R. Adams Authorized Representative March 1, 2009
			Change of Deach Consulty Overhiers
Enter Vendor ID.			Change or Reset Security Questions
 The Vendor ID is not valid. Verify and re-enter the Vendor ID. 			APPLICATION INFORMATION
An * indicates a required field.			Plan Sponsor ID: 51781 Plan Sponsor Name:
Delected Demotit Oetlene			1st Company of America Application ID:
Selected Benefit Options			41737 Plan Name:
Benefit Option Name Unique Benefit Option Identifier Option 1 1111			Gold Option Plan
Option 2 2222			Plan Start: January 1, 2009
Option 3 3333			Plan End: December 31, 2009
			Application Status:
CMS Extranet Account			Incomplete Reconciliation Deadline:
Vendors must have a <u>CMS</u> Extranet account to connect to the <u>RDS</u> (<u>Help Line</u> to create a <u>CMS</u> Extranet account. RDS Center Mainframe through CMS Extranet Co		ontact <u>CMS' RDS Center</u>	March 31, 2011
The setup time to connect to the <u>RDS</u> Center Mainframe through <u>CM</u> • For Plan Sponsors with a <u>CMS</u> Extranet account and a connec • For Plan Sponsors with a <u>CMS</u> Extranet account, but no conn • For Plan Sponsors without a CMS Extranet account, the setur	:tion to <u>CMS' RDS</u> Data Center, the setup v action to <u>CMS' RDS</u> Data Center, the setup		
Specify Vendor ID			
To specify a Vendor to send and receive retiree data, enter the Ven	dor ID assigned by CMS' RDS Data Center.		
"Vendor ID 🔋			
Click Continue to search for the Vendor. Click Cancel to return to the page.	e Retiree List Submission Method and Retire	e List Response Method	
Cantinue Cancel a secure area			
	Privacy Policy User Agreement Acco	essibility	
			Approved OMB-0938-0957 Form CMS-10156 Approved OMB-0938-0977 Form CMS-10170

On the Vendor Mainframe ID Found page:

4. Click **Continue** to assign the Mainframe Vendor or click **Cancel** to search again if this is not the correct Mainframe Vendor.

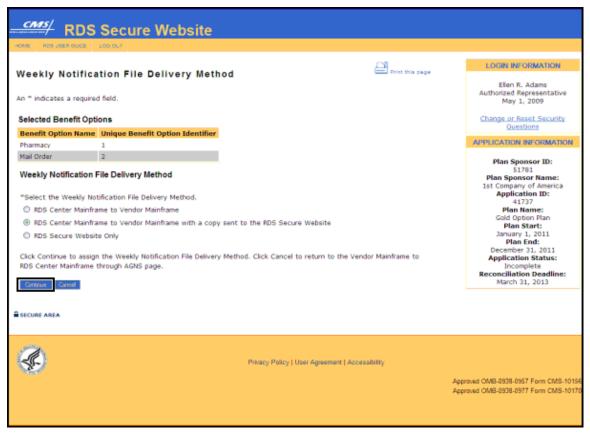
Appendix O: Past Retiree Electronic Data Interchange (EDI)



On the Weekly Notification File Delivery Method page:

An * indicates a required field.

- 5. Select a Weekly Notification File Delivery Method*.
- 6. Click **Continue** to assign the Weekly Notification File Delivery Method or click **Cancel** to return to the Vendor Mainframe to RDS Center Mainframe through CMS Extranet page.



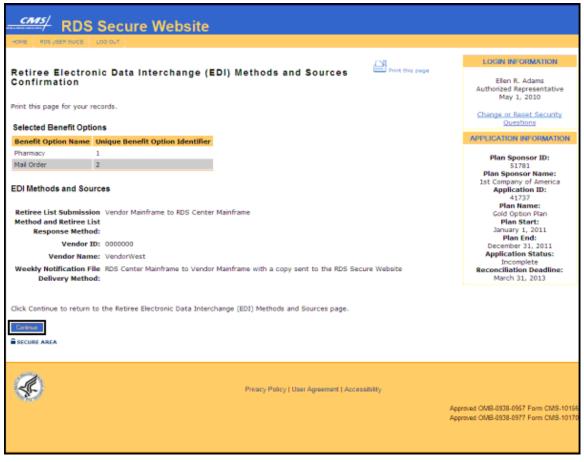
On the Retiree Electronic Data Interchange (EDI) Methods and Sources Verification page:

7. Click **Confirm** to accept these selections or click **Cancel** to return to the Weekly Notification File Delivery Method page.

RDS Secure Website	
HOME RDS JEER OUICE LOB OUT	
Retiree Electronic Data Interchange (EDI) Methods and Sources	LOGIN INFORMATION
Verification	Ellen R. Adams Authorized Representative May 1, 2010
Selected Benefit Options	Change or Reset Security
Benefit Option Name Unique Benefit Option Identifier	Questions
Pharmacy 1	APPLICATION INFORMATION
Mail Order 2	
EDI Methods and Sources	Plan Sponsor ID: 51781 Plan Sponsor Name: 1st Company of America
Retiree List Submission Vendor Mainframe to RDS Center Mainframe Method and Retiree List Response Method:	Application ID: 41737 Plan Name: Gold Option Plan
Vendor ID: 0000000	Plan Start:
Vendor Name: VendorWest	January 1, 2011 Plan End:
Weekly Notification File RDS Center Mainframe to Vendor Mainframe with a copy sent to the RDS Secure Website Delivery Method:	December 31, 2011 Application Status: Incomplete Reconciliation Deadline: March 31, 2013
Click Confirm to accept the selections. Click Cancel to return to the Weekly Notification File Delivery Method page.	
Cordens Careal	
Privacy Policy User Agreement Accessibility	raved OMB-0938-0957 Form CMS-10156
App 	voved OMB-0938-0977 Form CMS-10170

On the Retiree Electronic Data Interchange (EDI) Methods and Sources Confirmation page:

8. Click **Continue** to return to the Retiree Electronic Data Interchange (EDI) Methods and Sources page.



Selection: Coordination of Benefits (COB): Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR), or Coordination of Benefits (COB): Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Reporting (MIR) with a copy of all Retiree Response Files sent to the RDS Secure Website

On the Coordination of Benefits (COB) through VDSA or MIR page:

An * indicates a required field.

Note the setup times for VDSA or MIR:

- If you do not currently have VDSA or MIR and would like to get additional information, contact the CMS Coordination of Benefits (COB) Contractor at <u>cobva@ghimedicare.com</u>. The usual timeframe for completing the agreement and testing with the CMS COB contractor is 60 to 90 days for new agreements.
- 2. Enter the VDSA Plan Number or MIR Reporter ID*.
- 3. Click **Continue** to search for the VDSA Plan Number or MIR Reporter ID or click **Cancel** to return to the Retiree List Submission Method and Retiree List Response Method page.

RDS Secure Website	
HOME RUB JOER OUGE LOG OVT	
VOME VDB USER MULCE LOD GUT Coordination of Benefits (COB) through VDSA or MIR An * indicates a required field. Selected Benefit Options Benefit Option Name Unique Benefit Option Identifier Pharmacy 1 Mail Order 2 VDSA or MIR Setup If you do not currently have VDSA or MIR and would like to get additional information, contact the CMS Coordination of Benefits (COB) Contractor at cobva@ghimedicare.com. The usual timeframe for completing the agreement and testing with the CMS COB contractor is 60 to 90 days for new agreements.	LOGIN INFORMATION Elien R. Adams Authorized Representative May 1, 2010 Change or Reset Security Questions APPLICATION INFORMATION Plan Sponsor ID: 51781 Plan Sponsor Name: 1st Company of America Application ID: 41737 Plan Name: Gold Option Plan Plan Start: Jacoury 1, 2011
Specify VDSA Plan Number or MIR Reporter ID To specify a VDSA Plan or MIR Reporter to send and receive retiree data, enter the VDSA Plan Number or MIR Reporter ID. "VDSA Plan Number or MIR Reporter ID 000000000 Click Continue to search for the VDSA Plan Number or MIR Reporter ID. Click Cancel to return to the Retiree List Submission Method and Retiree List Response Method page. Control Curce Curce AREA	January 1, 2011 Plan End: December 31, 2011 Application Status: Incomplete Reconciliation Deadline: March 31, 2013
	Approved OMB-0938-0957 Form CMS-10156 Approved OMB-0938-0977 Form CMS-10170

On the VDSA Plan Number or MIR Reporter ID Found page:

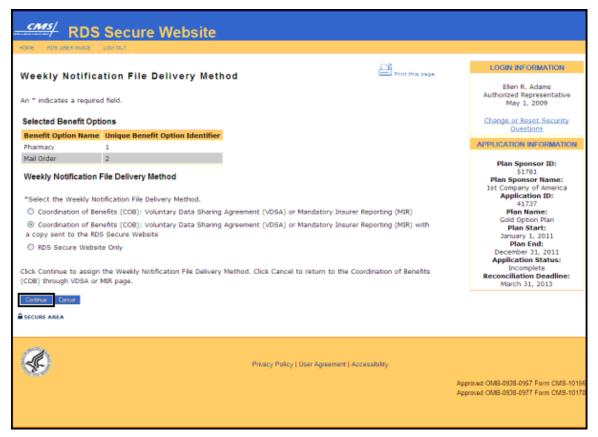
4. Click **Continue** to assign the VDSA Plan or MIR Reporter or click **Cancel** to search again if this is not the correct VDSA Plan or MIR Reporter ID.



On the Weekly Notification File Delivery Method page:

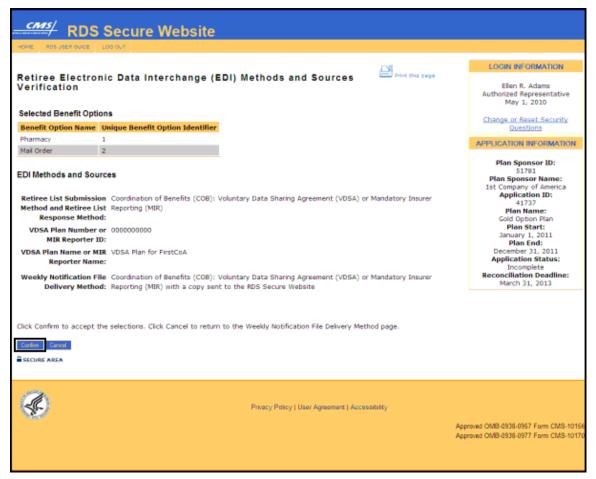
An * indicates a required field.

- 5. Select a Weekly Notification File Delivery Method*.
- 6. Click **Continue** to assign the Weekly Notification File Delivery Method or click **Cancel** to return to the Coordination of Benefits (COB) through VDSA or MIR page.



On the Retiree Electronic Data Interchange (EDI) Methods and Sources Verification page:

7. Click **Confirm** to accept these selections or click **Cancel** to return to the Weekly Notification File Delivery Method page.



On the Retiree Electronic Data Interchange (EDI) Methods and Sources Confirmation page:

8. Click **Continue** to return to the Retiree Electronic Data Interchange (EDI) Methods and Sources page.

RDS Secure Website	
HOME RDSUGER OUICE LOD OUT	
Retiree Electronic Data Interchange (EDI) Methods and Sources	LOGIN INFORMATION Ellen R. Adams Authorized Representative May 1, 2010
Print this page for your records. Selected Benefit Options	Change or Reset. Security Questions
Benefit Option Name Unique Benefit Option Identifier	APPLICATION INFORMATION
Pharmacy 1	Plan Sponsor ID:
Mail Order 2 EDI Methods and Sources Retiree List Submission Coordination of Benefits (COB): Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Method and Retiree List Reporting (MIR) Response Method: VDSA Plan Number or 000000000	51781 Plan Sponsor Name: 1st Company of America Application ID: 41737 Plan Name: Gold Option Plan Plan Start: January 1, 2011 Plan End:
MIR Reporter ID:	December 31, 2011 Application Status:
VDSA Plan Name or MIR VDSA Plan for FirstCoA Reporter Name:	Incomplete Reconciliation Deadline: March 31, 2013
Weekly Notification File Coordination of Benefits (COB): Voluntary Data Sharing Agreement (VDSA) or Mandatory Insurer Delivery Method: Reporting (MIR) with a copy sent to the RDS Secure Website	
Click Continue to return to the Retiree Electronic Data Interchange (EDI) Methods and Sources page.	
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Selection: Plan Sponsor Mainframe to RDS Center Mainframe or Plan Sponsor Mainframe to RDS Center Mainframe with a copy of all Retiree Response Files sent to the RDS Secure Website

On the Plan Sponsor Mainframe to RDS Center Mainframe through CMS Extranet page:

- 1. Note the setup times for CMS Extranet.
 - For Plan Sponsors with an existing CMS Extranet account and an existing connection to CMS' RDS Center, the setup takes 1 to 2 weeks.
 - For Plan Sponsors with an existing CMS Extranet account, but no existing connection to CMS' RDS Center, the setup takes 1 to 2 months.
 - For Plan Sponsors without a CMS Extranet account, the setup takes 2 to 3 months.
- Click Continue to assign the Plan Sponsor Mainframe to RDS Center Mainframe through CMS Extranet as the Retiree List Submission Method and Retiree List Response Method or click Cancel to return to the Retiree List Submission and Retiree List Response Method page.

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<u></u> RDS	Secure Website		
HOME RDS USER GUIDE	LOG OUT		
Plan Sponsor M	ainframe to RDS Cente	r Mainframe through CMS Extranet	LOGIN INFORMATION
Selected Benefit Opt		n manntanie through <u>Cims</u> Extranet	Ellen R. Adams Authorized Representative March 1, 2009
Benefit Option Name	Unique Benefit Option Identifier		Change or Reset Security Questions
Option 1	1111		
Option 2	2222		APPLICATION INFORMATION
Option 3	3333		Plan Sponsor ID:
<u>CMS</u> Extranet Ac			51781 Plan Sponsor Name: 1st Company of America Application ID: 41737
Center Help Line to crea	te a <u>CMS</u> Extranet account.	rt to the <u>RDS</u> Center Mainframe through <u>CMS</u> Extranet. Contact <u>CMS' RDS</u>	Plan Name: Gold Option Plan Plan Start: January 1, 2009 Plan End: December 31, 2009
	ect to the <u>RDS</u> Center Mainframe thr		Application Status: Incomplete Reconciliation Deadline: March 31, 2011
		connection to CMS' RDS Data Center, the setup will take 1 to 2 weeks.	
		to connection to CMS' RDS Data Center, the setup will take 1 to 2 months.	
For Plan Sponsors	without a CMS Extranet account, t	ne setup wiii take 2 to 3 montris.	
		ter Mainframe through <u>CMS</u> Extranet as the Retiree List Submission Method the Retiree List Submission Method and Retiree List Response Method page.	
Continue Cancel			
<u>المجارعة</u>		Privacy Policy User Agreement Accessibility	Approved OMB-0938-0957 Form CMS-10156
			Approved OMB-0938-0977 Form CMS-10170

On the Weekly Notification File Delivery Method page:

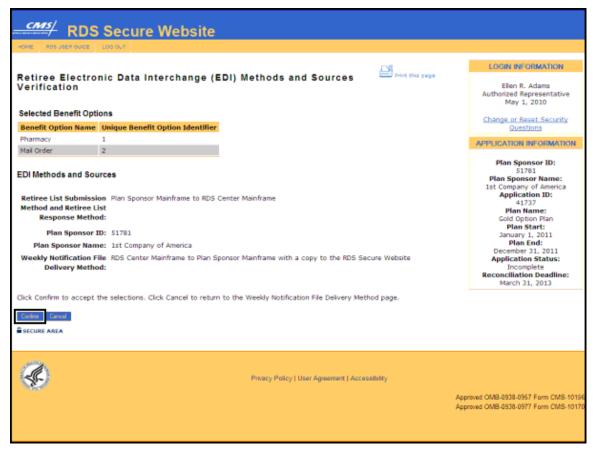
An * indicates a required field.

- 3. Select a Weekly Notification File Delivery Method*.
- 4. Click **Continue** to assign the Weekly Notification File Delivery Method or click **Cancel** to return to the Plan Sponsor Mainframe to RDS Center Mainframe through CMS Extranet page.



On the Retiree Electronic Data Interchange (EDI) Methods and Sources Verification page:

 Click Confirm to accept these selections or click Cancel to return to the Weekly Notification File Delivery Method page.



On the Retiree Electronic Data Interchange (EDI) Methods and Sources Confirmation page:

 Click Continue to return to the Retiree Electronic Data Interchange (EDI) Methods and Sources page.



Viewing The Retiree List Submission Method For Past Applications That Have Completed Reconciliation

Any RDS Program Applications that have completed Reconciliation can be viewed using the RDS Secure Website. The Retiree EDI Methods and Sources will appear as they were selected when Reconciliation was completed and can be viewed on the Application Status page for that Application.

To access the RDS Secure Website, and navigate to the Application List page, go to: <u>Appendix</u> <u>A: Access The RDS Secure Website</u>.

On the Application List page:

1. Select the appropriate Application ID.

On the Application Status page:

2. Click Step 7: Retiree Electronic Data Interchange (EDI) Methods and Sources.

On the Retiree Electronic Data Interchange (EDI) Methods and Sources page:

3. The selected Retiree List Submission Method will be displayed.

4. Click Return to Application Status to exit this page.

	RDS	Secure	e Website					
HOME RDS	USER GUIDE	LOG OUT						
Retiree	Electro	nic Data I	Interchange (E	DI) Method	s and Sour	ces	Print this page	
1 error was found in the input.						Ava Anderson Account Manager April 13, 2011		
Retiree EDI Method cannot be changed when Reconciliation Step 4 is marked "Complete" or the					Change or Reset Security Questions			
Reconciliation Deadline has passed.				APPLICATION INFORMATION				
		Method Job Ai	d, go to: <u>Retiree EDI N</u>	1ethod Job Aid.			_	Plan Sponsor ID: 130217 Plan Sponsor Name: Ravenaid Incorporated Application ID: 44804
Check/ Uncheck	Benefit Option Name	Unique Benefit Option ID		Retiree List Response Method	Submitter ID	Submitter Name	Weekly Notification File Delivery Method	Plan Name: Gold Plan Plan Start:
Π	Mail Order	0100		RDS Secure Website Only	RDS Secure Website	RDS Secure Website	RDS Secure Website Only	January 01, 2009 Plan End: December 31, 2009
	Pharmacy	0200	RDS Secure Website to RDS Center	RDS Secure Website Only	RDS Secure Website	RDS Secure Website	RDS Secure Website Only	Application Status: Reconciliation Request Completed Reconciliation Deadline:
SECURE AR	o Application Statu			_				March 31, 2011
¢					Privacy Policy Use	r Agreement Aco	cessibility	Approved OMB-0938-0957 Form CMS-10156 Approved OMB-0938-0977 Form CMS-10170

Appendix P: Troubleshooting Exchanging Retiree Information With CMS' RDS Center

Introduction To Troubleshooting

This document contains some tips and tricks to assist in solving some of the most commonly encountered retiree problems.

CMS' RDS Center requests that you review and process response files and notification files in the order in which they are received as soon as possible so internal records reflect the correct Qualifying Covered Retiree (QCR) information and associated Subsidy Periods

For more information about Reason Codes, go to: Appendix M: RDS Reason Codes.

For further guidance, go to: <u>Retiree Electronic Data Interchange (EDI) Methods and Sources Job</u> <u>Aid</u>.

Troubleshooting Retiree File Submission

General Troubleshooting for RDS Secure Website Retiree Files

Save the retiree file on a local drive (for example, c:\) and not on your network. Uploading files from the network can be slow and may cause the RDS Secure Website to time out.

If the file takes more than five minutes to upload, stop or cancel the upload process and try again.

There is a known issue regarding file upload capabilities in Microsoft Internet Explorer version 6.0 running on Windows XP with Service Pack 2. Microsoft has posted a workaround: <u>http://support.microsoft.com/?kbid=889334</u>. CMS' RDS Center recommends that you work with your Technical Support Desk to install the workaround.

For more information about retiree file upload errors, go to: <u>Appendix N: Retiree File Upload</u> <u>Errors</u>.

General Troubleshooting for A Mainframe Retiree File That Was Rejected For Errors

If the retiree file did not pass the first level of edits because errors were found in the Header Record, Detail Record, and/or Trailer Record, you will not receive a Retiree Response File. CMS' RDS Center does not send a Retiree Response File for a rejected retiree file that does not pass first level editing.

If the retiree file passes the first level of edits, but CMS' RDS Center finds errors with particular data elements (invalid Application Number, Unique Benefit Option Identifier (UBOI), Social Security Number (SSN) or Health Insurance Claim Number (HICN), incorrectly formatted data elements, etc.) you will receive a Retiree Response File with Reason Codes. CMS' RDS Center needs you to research the data elements and corresponding Reason Code. It is important that the data elements provided in the retiree file, such as Date of Birth, Gender, SSN or HICN, and UBOI are accurate.

The retiree file must reference the UBOI exactly as it is entered on the Application. If CMS' RDS Center cannot match the UBOI entered on the retiree file to any UBOI on the Application, the entire retiree file will be rejected. Therefore, if any data element is entered incorrectly, correct and re-submit the retiree data in the next Monthly Retiree List. If subsidy is being requested for the spouse or dependant of a Qualifying Covered Retiree, make sure the information provided in this record is the spouse's or dependant's, not that of the retiree.

Troubleshooting Retiree Response Files And Weekly Notification Files

No beneficiaries were approved for subsidy:

Verify that the information was entered correctly. In many cases, files with no valid QCRs have an invalid Application Number, invalid Unique Benefit Option Identifier (UBOI), or some basic formatting problem.

The Valid Initial Retiree List and Monthly Retiree List must reference the UBOI exactly as it is entered on the Application. If CMS' RDS Center cannot match the UBOI entered on the retiree file to any UBOI on the Application, the entire retiree file will be rejected.

If incorrect information was entered, correct and re-submit the retiree list.

If the information was entered correctly, research the Reason Codes associated with the denied records.

Reason Code 12 and the Subsidy Period Termination Date is the end of the month:

The beneficiary is deceased. Some of the retirees have been assigned a future Date of Death. This is not an error.

The default Date of Death, which is the last day of the month, will automatically be reported in situations where the Social Security Administration (SSA) was notified of the retiree's death, but did not receive official confirmation (for example, a copy of the Death Certificate).

When SSA receives official confirmation of the retiree's Date of Death, the following will occur:

- 1. SSA will update Medicare Beneficiary Database (MBD) with the actual Date of Death. This date will replace the future Date of Death (the last day of the month), which previously had been reported.
- 2. MBD will notify CMS' RDS Center with the official Date of Death.
- 3. CMS' RDS Center will send notification with the retiree's official Date of Death as the Subsidy Termination Date in the next Weekly Notification File.

Reason Code 16 – "Not A Valid Medicare Beneficiary":

Research the data elements provided in the retiree file, such as Date of Birth, Gender, and SSN or HICN, to ensure the information provided is accurate. If any data element is entered incorrectly, correct and re-submit the retiree data in the next Monthly Retiree List.

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 the spouse or dependant and not that of the retiree.

If the issue persists, contact the beneficiary and 1-800-Medicare to address any discrepancies in data.

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Understanding Delete Transaction Determination Indicators and Reason Codes:

Retiree Delete Transaction returns a Determination Indicator of Y:

- A delete transaction was sent in the last Monthly Retiree List requesting CMS' RDS Center to delete a record and CMS' RDS Center accepted the transaction.
- The **Y** indicates the delete was successful and the Subsidy Dates match the Plan Sponsor's Coverage Dates.

Retiree Delete Transaction returns a Determination Indicator of N and Reason Code 17:

- CMS' RDS Center rejected the delete transaction.
- No coverage period exists for delete transaction.

Plan Sponsor has questions regarding a specific retiree's response information sent from CMS' RDS Center:

If you have a question about the retiree response information returned from CMS' RDS Center, and you believe the information you submitted is correct, resend the information in the next Monthly Retiree List.

If the retiree was originally denied the subsidy, send the retiree record as an 'ADD'.

If the retiree was accepted for the subsidy, but not for the date ranges you originally intended, send the retiree record as an 'UPD'.

If after the second submission you still have a question, contact <u>CMS' RDS Center Help Line</u> for assistance.

If after re-submitting a previously rejected retiree, CMS' RDS Center issues a second rejection and you still do not feel that the decision is correct, contact <u>CMS' RDS Center Help Line</u> and report the discrepancy. CMS' RDS Center will research the determination(s) as necessary and advise you accordingly. As CMS' RDS Center researches the discrepancy, it is recommended that you continue to re-submit the retiree(s) on a Monthly Retiree List.

If CMS' RDS Center rejects one of the retirees, verify that the retiree's information was entered correctly. If incorrect information was entered, change the information accordingly and re-submit in the next Monthly Retiree List.

Retiree Response Files are expected and cannot be found on the RDS Secure Website (RDS Secure Website Only):

If you have uploaded the Valid Initial Retiree List to the RDS Secure Website but have not submitted the Application, the retiree file has not yet been processed. Retiree file processing only begins once you submit a timely Application.

If you have submitted the Application and uploaded the Valid Initial Retiree List, or sent a Monthly Retiree List but you have not received the email indicating final approval, the Retiree Response File is not available for download. The Retiree Response File should be available for download within two business days of receiving the final approval. If more than two business days have passed contact <u>CMS' RDS Center Help Line</u> for more information.

The Monthly Retiree List should be posted on the RDS Secure Website **approximately three to five days after submission**. If these timeframes have passed and you do not yet have the Retiree Response File, contact <u>CMS' RDS Center Help Line</u> for more information.

No Weekly Notification Files are received:

Reasons that this could occur are:

None of the beneficiaries covered under that Application had notification events. Events may include, but are not limited to: a change in Medicare entitlement, the death of beneficiary, or enrollment in Medicare Part D.

Check the current Retiree Electronic Data Interchange (EDI) Methods and Sources to determine which file transfer method to use to send the Weekly Notification Files.

Changing the Retiree Electronic Data Interchange (EDI) Methods and Sources to Mainframe without fully testing it first may result in files not being received. You should not change the method until you know that the Mainframe connection is working properly.

When Reconciliation Step 4: Finalize Covered Retirees is marked "Complete" or the Reconciliation Deadline has passed for that Application, CMS' RDS Center will no longer create or send Weekly Notification Files.

Troubleshooting Requesting And Downloading Covered Retiree Lists

Covered Retiree List (CRL) is not posted on the RDS Secure Website:

The request may still be processing at CMS' RDS Center. The CRL should be available for download within **two business days** after the request for the list is made.

If more than two business days have passed, the Plan Sponsor should check the retiree counts for the Application to verify that they are not equal to zero. For more information about viewing retiree counts, go to: <u>Current Covered Retiree Counts</u>.

If retiree counts are greater than zero for this Application and a file has not been received after **four business days**, contact <u>CMS' RDS Center Help Line</u> for more information.

If there are no valid retirees on the Covered Retiree List:

Verify that the information in the last submitted Monthly Retiree List was entered correctly.

If incorrect information was entered, change the information accordingly and resubmit in the next Monthly Retiree List.

If the Retiree Response File indicates that no Subsidy Periods have been approved for the beneficiaries on this Application, contact CMS' RDS Center Help Line for more information.

Covered Retiree List does not match the Plan Sponsor's expected results:

If a retiree record that was expected to be on this list is absent, or if any of the Subsidy Periods do not match the Plan Sponsor's internal records, the Plan Sponsor should begin by ensuring that they have processed all of the Retiree Response Files and Weekly Notification Files for this Application in the order they were received. After all files have been processed the Plan Sponsor should compare their updated internal records to the CRL.

Submit a Monthly Retiree List containing records for the beneficiaries in question when one of the following occurs:

- The Plan Sponsor's internal records still indicate that the beneficiaries not appearing on the CRL have approved Subsidy Periods under this Application.
- The Plan Sponsor's internal records still indicate that the beneficiaries have different approved Subsidy Periods under this Application.
- The Plan Sponsor is unable to process the Retiree Response File and Weekly Notification File for any reason.

If the above actions do not resolve the discrepancies, the Plan Sponsor should work with the beneficiary to validate all identifying information (for example, Date of Birth, SSN or HICN) and Medicare coverage. The beneficiary may contact 1-800-Medicare to discuss any identifying

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Appendix P: Troubleshooting Exchanging Retiree Information With CMS' RDS Center

information or coverage issues. If the Plan Sponsor is still unable to resolve the discrepancy, contact <u>CMS' RDS Center Help Line</u> for assistance.

Troubleshooting Part D Enrollment Rejection Notifications

If no Notifications are available:

If there are no beneficiaries for whom the Plan Sponsor is requesting subsidy, attempting to enroll in Medicare Part D, there will be no notifications. Additionally, notifications will only remain on this page for 30 days. You will also receive these notifications as part of the Weekly Notifications File.

Acronyms

Acronym	Acronym Description
AAA	American Academy of Actuaries
АСН	Automated Clearing House
AM	Account Manager
AR	Authorized Representative
CEO	Chief Executive Officer
CFO	Chief Financial Officer
СМЅ	Centers for Medicare & Medicaid Services
СОВ	Coordination of Benefits
CRL	Covered Retiree List
CSR	Customer Service Representative
CSV	Comma Separated Value
DCN	Document Control Number
EDI	Electronic Data Interchange
EFT	Electronic Funds Transfer
EIN	Employer Identification Number
E-PHI	Electronic Protected Health Information
ЕТО	Education, Training, and Outreach
FOIA	Freedom of Information Act
GHI	Group Health Incorporated
GSA	General Services Administration
HHS	U.S. Department of Health & Human Services

Acronym	Acronym Description			
HICN	Health Insurance Claim Number			
HIPAA	Health Insurance Portability and Accountability Act			
IWR	Informal Written Reconsideration			
LDAP	Lightweight Directory Access Protocol			
MBD	Medicare Beneficiary Database			
МҒММ	Medicare Financial Management Manual			
ММА	Medicare Modernization Act			
NDC	National Drug Code			
OIG	Office of Inspector General			
РВМ	Pharmacy Benefit Manager			
PDP	Prescription Drug Plan			
РНІ	Protected Health Information			
PRA	Paperwork Reduction Act			
PSI	Plan Sponsor Information			
PWS	Program Website			
QCR	Qualifying Covered Retiree			
RDS	Retiree Drug Subsidy			
SSA	Social Security Administration			
SSN	Social Security Number			
sws	Secure Website			
UBOI	Unique Benefit Option Identifier			
VDSA	Voluntary Data Sharing Agreement			

Acronym	Acronym Description
VEBA	Voluntary Employee Beneficiary Arrangement
WFM	Workflow Manager

Glossary

Α

Accessibility - CMS' RDS Center complies with the regulations of Section 508 of the Rehabilitation Act and the Department of Health & Human Services (HHS) Section 508 Implementation Policy. CMS' RDS Program is committed to making all RDS Websites accessible to the widest possible audience.

Account Manager (AM) - A registered RDS participant, who initiates and manages the Plan Sponsor account, assigns and manages other users, and manages the RDS Application Lifecycle.

Actuary - A registered RDS participant, employed by the Plan Sponsor to attest to the RDS Application. The Actuary must be a member of the American Academy of Actuaries (AAA) that is contracted by the Plan Sponsor to attest to the Medicare Part D equivalence of the Plan Sponsor's Applications' Benefit Options.

Add/Update/Delete Retiree File - This is now known as a Monthly Retiree List. Use this to add, update, or delete Subsidy Periods as applicable.

Additional Documentary Evidence - A Plan Sponsor may submit additional documentary evidence for CMS' RDS Center to consider while reviewing the Informal Written Reconsideration. Please include a documentary evidence cover sheet that specifies the Application Number.

American Academy of Actuaries (AAA) - Serves the public on behalf of the U.S. actuarial profession.

Annual Payment Frequency - Selecting an annual payment frequency guarantees one Final Payment Request at Reconciliation.

Application - A complete RDS Application includes a Valid Initial Online Application and a Valid Initial Retiree List.

Application Deadline - The Application Deadline is available on the Application Status page.

Application Deadline Extension - An Application Deadline Extension may be requested within 90 days from the Application Deadline if a Plan Sponsor cannot submit the Application by the Application Deadline.

Application ID - Go to: Application Number

Application List - The Application List page lists all of the Applications to which an Account Manager, Authorized Representative, or a Designee are assigned.

Application Number - The Application Number is a unique number, assigned to an Application that will not change.

Application Submission Process - This is a process by which a Plan Sponsor submits a Valid Initial Online Application and a Valid Initial Retiree List.

Attestation - The process by which an AAA Actuary attests to the Benefit Options in an RDS Application.

Authorized Representative (AR) - A registered RDS participant, who takes legal responsibility for the terms of the RDS Program by signing the Plan Sponsor Agreement, also takes part in other RDS Lifecycle processes.

Authorized Representative Verification Form - This is an RDS form that must be completed by an employee of the Plan Sponsor. For multi-employer plans, this individual may be an employee,

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or a member of the jointly appointed board of trustees, which includes both labor and management.

Automated Clearing House (ACH) - This is a nationwide batch-oriented electronic funds transfer system governed by the NACHA Operating Rules, which provide for the interbank clearing of electronic payments for participating depository financial institutions. The Federal Reserve and Electronic Payments Network act as ACH Operators, central clearing facilities through which financial institutions transmit or receive ACH entries.

В

Bank Routing Number - This is a 9-digit number used to identify the bank in financial transactions.

Beneficiary - Go to: Qualifying Covered Retiree (QCR)

Benefit Option - A set of health care benefits offered by a Plan Sponsor to retirees.

С

CMS' RDS Center Help Line - CMS' RDS Call Center that handles all incoming calls and written inquires about the RDS Program

Coordination of Benefits (COB) Contractor - A third-party company contracted to set up retiree file data transfer using a Voluntary Data Sharing Agreement (VDSA).

Copybook - Used to define the physical layout and attributes of data in an input or output file and is designed to be copied into source programs used in mainframe programming.

Covered Retiree List (CRL) - A list of a Plan Sponsor's Qualifying Covered Retirees.

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.

D

Designee - An optional registered RDS participant used to complete tasks in the RDS Program Lifecycle to assist the Account Manager (AM) or the Authorized Representative (AR). The Designee may be assigned multiple privileges to enable specific RDS tasks are performed.

Designee Pass Phrase - A phrase assigned to a Designee prior to registration as an additional security measure to ensure that the Designee was contacted by the Plan Sponsor. A Pass Phrase can be a word, short phrase, and/or numbers containing 4-30 characters. This phrase is not system generated and is not transmitted to the Designee electronically. The Plan Sponsor must deliver this phrase to the Designee by some format outside of the RDS Secure Website (for example: email, telephone, etc)

Ε

Electronic Data Interchange (EDI) Method - The method of electronically sending funds to a Plan Sponsor's bank account.

F

Freedom of Information Act (FOIA) - The Freedom of Information Act (FOIA) is a Federal statute that allows individuals to request access to Federal agency records, except to the extent records are protected from disclosure by the Freedom of Information Act. Any FOIA requests

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concerning the RDS Program should be submitted in accordance with the U.S. Department of Health & Human Services' FOIA guidelines, located online at <u>http://www.hhs.gov/foia</u>.

Μ

Medicare Beneficiary Database (MBD) - The Medicare Beneficiary Database is the system of record for all Medicare Beneficiary data. CMS' RDS Center verifies the Medicare entitlement for each retiree using this database.

Medicare Part D Enrollment Rejection Notification - A Medicare Part D Enrollment Rejection Notification is information sent by CMS' RDS Center advising the Plan Sponsor that a Beneficiary, for whom they are requesting Subsidy Payments, has attempted to enroll in Medicare Part D.

Monthly Retiree List - Use this to add, update, or delete Subsidy Periods as applicable.

Ρ

Pass Phrase - This may be a word, short phrase, and/or numbers containing 4-30 characters. If the Designee does not currently exist in the RDS Secure Website and the Plan Sponsor needs to add the Designee as a new user and needs to create a Pass Phrase to give to the Designee. This Pass Phrase must be provided to the Designee before registration, and it must be communicated to the Designee outside the RDS Secure Website. The Designee uses this Pass Phrase to complete the RDS Secure Website registration process.

Payment Frequency - The Payment Frequency is the chosen frequency to submit Payment Requests. A monthly payment frequency will allow the submission of up to twelve Payment Requests. A quarterly payment frequency will allow the submission of up to four payment requests. An interim annual payment frequency will allow one payment request to be submitted.

Pharmacy Benefit Manager (PBM) - A third-party company contracted by a Plan Sponsor as a Vendor.

Plan - Prescription drug benefit program.

Plan Year - The RDS Plan Year may be calendar or non-calendar and includes specific Subsidy Periods.

Plan Sponsor - The organization participating in the RDS Program.

Plan Sponsor Account - An account with the RDS Program created by a Plan Sponsor Organization to take part in CMS' RDS Program.

Plan Sponsor Payment Agreement - Plan Sponsor Payment Agreement states that the signor agrees to all of the clauses of the Payment Agreement. The Payment Agreement must be electronically signed before submitting an initial Payment Request or a Reconciliation Payment Request.

Plan Sponsor ID - A unique number assigned to a Plan Sponsor for the duration of their participation in the RDS Program.

Q

Qualifying Covered Retiree (QCR) - An RDS eligible retiree or beneficiary.

R

Reason Codes - The identification numbers that correspond to a specific message about a response file.

Reconciliation - The process where after the end of the Plan Year, the Plan Sponsor finalizes the Covered Retiree List and submits all final cost data.

Retiree - Beneficiaries who are eligible to enroll in Medicare Part D but are not enrolled.

Retiree Counts - The number of retirees in a Retiree File. Retiree Counts are used to validate Cost Data for an Application. The Monthly Retiree Count and the Plan Year Retiree Count represent the number of Qualifying Covered Retirees (QCRs) having coverage in a given month or plan year. The Plan Year Retiree Count is the total number of unique QCRs for the entire Application Plan Year.

Retiree Drug Subsidy (RDS) - A tax-free subsidy payment of 28 percent of allowable retiree prescription drug costs attributable to gross prescription drug costs between the cost threshold and the cost limit per Qualifying Covered Retiree (QCR).

Retiree File - The Retiree File is a collection of data about the individual for whom you have applied for subsidy. This is a generic term used to describe the Valid Initial Retiree List and Monthly Retiree List.

Retiree Record - Go to: Retiree File

Retiree Record Layout - The specified format for the Retiree File or Retiree Record.

Retiree Response File - A Retiree Response File is sent to Plan Sponsors in response to retiree information that was submitted.

S

Sample Retiree File Spreadsheet - A pre-formatted spreadsheet available to all RDS Plan Sponsors to submit their retiree files.

Section 508 - Section 508 requires that individuals with disabilities seeking information or services from this document have access to and the ability to use information and data that is comparable to that provided to the public who are not disabled.

Social Security Administration (SSA) - The Federal agency that, among other things, determines initial entitlement to and eligibility for Medicare benefits.

Subsidy - The amount CMS' RDS Center approves for payment to an RDS Plan Sponsor.

Т

Timeliness - A validation check to ensure that specific functions are performed on Applications within a certain period of time (for example: by a specific deadline). Two edits for timeliness exist, the Application Deadline and Reconciliation Deadline.

U

Unique Benefit Option Identifier (UBOI) - This identifier is used for the Benefit Options in each Application. This could be an Rx Group Identifier.

Upload a File - The process to upload a file to the RDS Secure Website. The Upload Retiree File link is located on the Manage Retirees page. This link is used to upload both the Valid Initial Retiree List and subsequent Monthly Retiree List.

User Agreement - The RDS User Agreement is a legal and binding document between the Plan Sponsor and CMS' RDS Center.

User Registration - The process that allows an organization to participate in the RDS Program by registering an Account Manager, Authorized Representative, Actuary, and Designees.

V

Valid Initial Online Application - The Valid Initial Online Application consists of 8 steps. A Plan Sponsor will define the details regarding their Application, which is done by completing the first 7 steps of the Application Submission Process. Step 8 allows the Authorized Representative (AR) to sign the Plan Sponsor Agreement and submit the Valid Initial Online Application to CMS' RDS Center.

Valid Initial Retiree List - A Plan Sponsor must submit a Valid Initial Retiree List to CMS' RDS Center as part of the Application Submission Process. After Step 2 is marked "Complete", the Valid Initial Retiree List may be submitted to CMS' RDS Center.

Vendor - A third-party company contracted by a Plan Sponsor to report cost data or manage retiree files.

Vendor ID - An identification number assigned to a Vendor as a form of verification of the Vendor's contract with the Plan Sponsor.

Voluntary Data Sharing Agreement (VDSA) - This agreement authorizes CMS and an employer, or insurer or agent on behalf of an employer, to electronically exchange health insurance benefit entitlement information.

W

Weekly Notification File - A notification message from CMS' RDS Center concerning a Qualifying Covered Retiree (QCR), and the related Medicare Entitlement or Subsidy Coverage.

Weekly Notification Reason Codes - These are data elements included on records within Weekly Notification Files sent by CMS' RDS Center.