



## **Data Exchange Preparation Procedures**

July 3, 2012



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## 1 Introduction

The purpose of this document is to provide guidance and information to all Plans that need to establish connectivity to, and a data exchange process with, Centers for Medicare and Medicaid Services (CMS), for participation in the Medicare Modernization Title I and Title II programs.

The scope of this document is to provide information on the following:

- Security and Authorization processes/requirements
- Data Exchange Protocols – selection, installation and high-level testing
- Connectivity

The intended audience of this document is the Plans that will be exchanging data with CMS as well as entities that act on the behalf of Plans.

Please contact the Medicare Advantage Prescription Drug (MAPD) Help Desk if there are any problems or questions encountered while following the procedures outlined in this document.

Phone: 1-800-927-8069

Email: [mapdhelp@cms.hhs.gov](mailto:mapdhelp@cms.hhs.gov)

## 2 Overview

Exchanging information with CMS can be accomplished using different tools and procedures and is dependent on a Plan's current capabilities and the volume of data to be exchanged.

In general there are two types of physical connectivity available for a Plan:

1. Internet
2. Extranet through a dedicated T1 to the CMS Medicare network

There are three data exchange protocols available to the Plans:

1. Connect:Direct (C:D) through a dedicated T1
2. TIBCO Managed File Transfer (MFT) Internet Server Web Interface
3. TIBCO MFT Internet Server Secure File Transfer Protocol (SFTP)

## 3 Getting Started

### 3.1 Obtain a Contract Number from CMS/HPMS

All new Plans participating in Part C/D must have received a contract number(s) from CMS or Health Plan Management System (HPMS) before they can begin. Contract numbers identify your organization and Part D offering. This identifier is five digits long, typically beginning with an alphabetic character

followed by four numbers. After obtaining a contract number(s) Plans must register a designated person(s) to enter the Plan's connectivity data into the HPMS Plan Connectivity Data (PCD) Module.

**Note:** The MAPD Help Desk will monitor new Plan contract bids and awards submitted through HPMS and will initiate contact with these new Plans to assist in all phases of the CMS connectivity process.

Additional documentation regarding the HPMS PCD Module is available by:

1. Logging into HPMS
2. Select Contract Management, then Plan Connectivity Data
3. Select Documentation
4. Download the Technical User's Manual

### 3.2 Enter Connectivity Data into HPMS Plan Connectivity Data Module

This module will request information on how data will be transmitted and/or received between CMS and the Plan.

CMS requires a hardcopy of this entered data, with wet signature of the Plan External Point of Contact (EPOC) Approver, to be filed with the MAPD Help Desk for all contract numbers before any files will be exchanged. It is necessary for the Plans to both mail and fax a copy of the completed PCD form to the MAPD Help Desk. Once all contact and connectivity data is inputted into the module, plans can select the create PDF option to print the completed PCD form. Only one signed form is required if all new contract numbers will use the same data exchange mechanism (i.e., TIBCO MFT Internet Server, Connect:Direct or third party); otherwise separate forms per transfer mechanism are required.

**Note:** This form is also the process for Plans to communicate data routing changes, as needed, in the future.

For Plans that have previously established connectivity to CMS for Part D data exchanges and do not wish to change that routing for their new contracts, this data still must be completed and should reference their current configuration. These Plans do not have to complete the activities relating to connectivity set-up and testing, however these Plans must update the HPMS PCD Module to add the new contracts.

Plans that will be utilizing a Third Party Administrator to submit their Enrollment files will be required to complete additional fields and an additional form within the PCD module. The additional fields will automatically be populated once the "3rd Party" option is selected for Enrollment. After completing all fields on the "Plan Connectivity Data – General" form, Plans will be required to select the "Next" button to complete the "Plan Connectivity Data – T1 Connect:Direct / 3rd Party" form. Users will need to select from a list of Third Party entities that have already submitted the required information to CMS. If a Third Party organization is not listed then the user can select "Other".

Plans that wish to exchange data with CMS via a T1 line and Connect:Direct software (either from a mainframe or server) must complete an additional screen in the PCD Module. After completing the Plan Connectivity Data – General form, Plans that will be utilizing a T1 Connect: Direct line will be required to complete the Plan Connectivity Data – T1 Connect:Direct /3rd Party form within the PCD module. In addition, the Connect:Direct Secure Point of Entry (SPOE) ID Request Form following form must be filled out and submitted to CMS:

[http://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/mapdhelpdesk/Downloads/spoe\\_form\\_09132011.pdf](http://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/mapdhelpdesk/Downloads/spoe_form_09132011.pdf)

**Note:** Establishing a new T1 connection and the associated access can take six to eight weeks to order, schedule, and install. Plans need to make this a priority if this is the selected exchange mechanism.

## 4 Security and Access

In order to gain access to CMS' MAPD Systems, a Plan's resources must register in the Individuals Authorized Access to CMS Computer Service (IACS) System. This system supports three Plan user roles; at a minimum the Plan must have at least one EPOC/Approver and one User/Submitter registered in order for data exchange processes to work:

- EPOC/Approver – Required - External Point of Contact; responsible for approving end users requesting access to CMS systems on behalf of a Plan. This person (or persons) cannot be an end user of CMS systems and must have the authority in the Plan's organization to authorize user access.
- User/Submitter – Required – Resource(s) responsible for the transmission/receipt of data to and from CMS via Connect:Direct or Gentran. These can be resources from a third party entity, assuming Plan EPOC approval. These users also have access to the MARx User Interface.
- User/Representative – This role provides access to the MARx User Interface; it is not required for data exchange, but would be required for analysis and support of business processes. These can be resources from a third party entity, assuming Plan EPOC approval.

Upon successful registration, a user will be given a seven-character User ID and password. For more information on how to register in this system, please see the IACS User Guide on the MAPD Help website:

<http://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/mapdhelpdesk/index.html>

The following steps must be completed in the defined order for the registration process to proceed smoothly.

### 4.1 Submit EPOC Designation Letter to CMS

Before a Plan can have any resources register in IACS, they must submit an EPOC Designation Letter, on company letterhead, as is described on the MAPD Help website. This letter will be used by CMS

resources to validate the IACS registration information of the EPOC. Failure to submit accurate information in this letter will result in no, or delayed, access for all Plan users. Plans are encouraged to identify one or two EPOCs, depending on the size of the organization and number of eventual users. This activity should be completed as soon as a contract number is obtained from HPMS.

**Note:** All Plans must submit a letter identifying the EPOCs for each newly assigned contract number even if there is a letter already on file for existing contracts.

## 4.2 Register EPOC in IACS

Once the EPOC designation letter has been sent to CMS, EPOCs may register for the new contract numbers in the IACS system (<https://applications.cms.hhs.gov>). New EPOCs will select the 'New User Registration' link to complete their registration; existing EPOCs will select the 'My Profile' link and modify their profiles to add the new contract numbers.

EPOCs will receive email notification when the registration has been approved by CMS. This email will also contain the User ID and initial password for new users. New users must immediately change their initial password.

## 4.3 Register User/Submitters and User/Representatives – Enrollment, BEQ, ECRS

Once notified that his/her EPOC registration for a contract has been approved by CMS, the EPOC can notify the Plan submitters and representatives that they may register in IACS. As with the EPOCs, new users will select the 'New User Registration' link to completion their registration; existing users will select the 'My Profile' and modify their profile to add the new contract numbers.

Users will receive email notification when the registration has been approved by the EPOC and setup is complete at CMS. This email will also contain the User ID and initial password for new users. New users must immediately change their initial password and answer challenge questions in IACS.

**Note:** Plans cannot perform the connectivity testing for Enrollment, Batch Eligibility Query (BEQ) and Electronic Correspondence Referral System (ECRS) file transmissions without having established at least one User/Submitter in IACS for their new contract number(s).

It is important to note that User/Submitters and User/Representatives must not register in IACS until their EPOC has received their GUID.

## 4.4 Register User/Submitters – PDE/RAPS

All Plans that will exchange Prescription Drug Event (PDE) and/or Risk Adjustment (RAPS) data with Palmetto must contact the Customer Service and Support Center (CSSC) at Palmetto to complete additional configuration steps.

# 5 Data Transfer Protocol – Tools and Processes

The following section describes the requirements to support connectivity and configuration. Section 5.1 describes the requirements for large Plans and how to obtain the software/hardware to support the

activities. Section 5.2 describes the options available to small Plans, recommendations and benefits of each, how to obtain the necessary software, and the configuration and testing required for that option.

## **5.1 Large Plan Connectivity (>= 100,000 in Enrollment)**

Connectivity for large Plans participating in the MAPD program (those with enrollment of 100,000 or more beneficiaries) should be implemented using a T1 line and Sterling Commerce's Connect:Direct software.

### **5.1.1 T1 Line and Connect:Direct**

A T1 Line directly connects the health Plan to the CMS Data Center in Baltimore, MD. The software to support the data transfer across the T1 is C:D, a software product that can be licensed from Sterling Commerce. Health Plans are expected to fund the cost of these tools.

Those Plans seeking to establish a new T1 line to MDCN with C:D should contact the MAPD Help Desk to request the C:D Template. The C:D Template consists of the Plan Setup Information Document and a Plan C:D Setup Request form. The Plan Setup Information Document contains a link to the SPOE ID Request form. Both the SPOE ID Request form and the Plan C:D Setup Request form need to be completed and sent to CMS per the instructions on the forms.

To obtain a T1 Line, C:D software, or the C:D Template, please contact the MAPD Help Desk by phone at 1-800-927-8069 or by email at [mapdhelp@cms.hhs.gov](mailto:mapdhelp@cms.hhs.gov).

## **5.2 Small Plan Connectivity (< 100,000 in Enrollment)**

Two options are available to the small Plans seeking to participate in the MAPD Program:

1. TIBCO MFT Internet Server SFTP
2. TIBCO MFT Internet Server Web Interface

Both of these options are available to use over a connection to the Internet.

### **5.2.1 TIBCO MFT Internet Server SFTP**

Organizations opting to utilize the SFTP protocol with the TIBCO MFT Internet Server will be required to obtain System ID from CMS, and host an Secure Shell (SSH) server with a Digital Signature Algorithm (DSA) or Rivest-Shamir-Adleman (RSA) public key.

For additional information about using SFTP with the TIBCO MFT Internet Server please contact the MAPD Help Desk by phone at 1-800-927-8069 or by email at [mapdhelp@cms.hhs.gov](mailto:mapdhelp@cms.hhs.gov).

### **5.2.2 TIBCO MFT Internet Server Web Interface**

HTTPS is a secure web interface to provide connectivity to the TIBCO MFT Internet Server hosted by CMS. This option requires no purchase as long as the user's browser and Operating System meet the following CMS requirements:

Users will login to the TIBCO MFT Intern Server this web interface to send data to CMS. The URL for this site is <https://eftp2.cms.hhs.gov:11442/>.

Before connecting to the server through the web interface, each Plan will need to configure their network firewalls and Access Control Lists (ACLs) to allow access to the machine and port mentioned above.

## 6 Connectivity Testing

The following section describes the testing instructions and objectives for large and small Plans.

### 6.1 Large Plan Connectivity

For Plans with newly established T1 lines to the CMS Medicare Network, users should ensure that both pages of Plan Connectivity Data (PCD) Module is completed and sent to the MAPD Help Desk. Questions about accessing and completing the PCD module should be directed to the MAPD Help Desk by phone at 1-800-927-8069 or by email at [mapdhelp@cms.hhs.gov](mailto:mapdhelp@cms.hhs.gov).

#### 6.2.1 T1 Line and Connect:Direct

For Plans with newly established T1 lines to the CMS Medicare Network, users should ensure the CMS C:D SPOE Request form and the Plan C:D Setup Request form has been sent to CMS and the information supplied by CMS has been applied to the Plan system. The CMS C:D SPOE Request form and the Plan C:D Setup Request form are collectively known as the C:D Templates.

To facilitate testing, each Plan should call the MAPD Help Desk at 1-800-927-8069 to schedule a time.

The Plan's technical representative or programmer should have the Plan's Job Control Language (JCL) and PROC for submitting a file to the CMS mainframe constructed, tested and ready to be submitted. The following values from this job should be available for confirmation:

- PNODE (Plan node name)
- SNODE (CMS supplied node name)
- SNODEID (CMS supplied user id and password)
- Dataset name of file being sent to CMS from the Plan and JCL UNIT value
- RUNTASK statements and Job name to be submitted after a successful file transfer (CMS supplied)

CMS' technical representative or programmer will have the CMS Job Control Language (JCL) and PROC for submitting a file to the Plan mainframe constructed, tested and ready to be submitted. The following values from this job will be available for confirmation:

- PNODE (CMS node name)
- SNODE (Plan supplied node name)
- SNODEID (Plan supplied user id and password, if required)
- Dataset name of file being sent to the Plan from CMS and JCL UNIT value

To test Plan connectivity, the following procedure will be used:

- Verizon representative will review and confirm that the T1 connection is complete and ready for use.
- CMS will review and confirm that the Plan security access to the CMS mainframe is complete
- Plan technical representative will review and confirm that CMS' security access to the Plan mainframe is complete
- Plan programmer and CMS programmer will review and confirm the C:D procedures for sending and receiving files values are correct.
- Plan programmer will submit the job to send a file to the CMS mainframe.
- MAPD Help Desk Representative will verify that the file transmitted from the Plan mainframe was successfully received at the CMS mainframe.
- CMS programmer will submit the job to send a file to the Plan mainframe.
- Plan programmer will verify that the file transmitted from the CMS mainframe was successfully received.
- A successful test is complete when a file has been sent from the Plan mainframe to the CMS mainframe and a file has been sent from the CMS mainframe to the Plan mainframe. The files being sent and received by CMS and the Plan will be empty or contain canned test (not production) data. Upon a successful test, the MAPD Help Desk will send an email to the Plan confirming that the test was successful.

A Detailed checklist can be found in Appendix A: Plan Connectivity Checklist.

## 6.2 Small Plan Connectivity

Small Plans should follow the testing procedures defined below for their selected protocol and connectivity methodologies. Section 6.2.1 provides testing information for Plans using the SFTP protocol to the TIBCO MFT Internet Server. Section 6.2.2 provides testing information for Plans using the web interface.

Plans must register a submitter in IACS before completing connectivity testing. Therefore, please register in IACS and wait to receive your user-id and password before performing the connectivity test.

### 6.2.1 TIBCO MFT Internet Server SFTP

As indicated earlier, organizations opting to utilize the SFTP protocol with the TIBCO MFT Internet Server will be required to obtain a System ID from CMS, and host an SSH server with a DSA or RSA public key. If the state/trading partner does not already have a System ID (GIS####), a SPOE form must be completed and returned to your business owner.

To send files to CMS, you will need an SFTP client that supports SSH2 keys. You will need to generate an SSH2 RSA or DSA 1024-bit key pair with a passphrase with your SFTP client (or for example, Filezilla uses keys generated from puttygen). CMS will provide instructions to upload the public key from this pair to the MFT web interface. Once your key is enabled in the system, you will be able to connect using the key and the System ID. CMS will assist you with sending a test file to confirm connectivity.

To receive files from CMS, you will need an SSH server with a DSA or RSA public key. Testing and setup will be coordinated by the MAPD Help Desk and CMS.

## Appendix A: Plan Connectivity Checklist

| <b>Getting Started</b>                                  |     |   |  |                |
|---|-----|---|--|----------------|
| <input checked="" type="checkbox"/> or N/A              | #   | Task  | Checkpoint   | Notes          |
| <input type="checkbox"/>                                | 1.  | Obtain a Contract Number from CMS/HPMS  | Once completed, Task #4 may be initiated   | Contract #(s): |
| <input type="checkbox"/>                                | 2.  | Enter Connectivity Data into HPMS Plan Connectivity Data Module<br>(Plans are required to mail/fax completed forms to the MAPD Help Desk) |  |                |
|   | 3.  | Complete T1/C:D information in the PCD Module   | Must be started at least 6 weeks prior to target connectivity testing date.                              |                |
| <input type="checkbox"/> or N/A                         |     | 1. CMS C:D data entry into HPMS   |  |                |
| <input type="checkbox"/> or N/A                         |     | 2. CMS SPOE ID Request form   |  |                |
| <b>Security and Access</b>                              |     |   |  |                |
| <input checked="" type="checkbox"/> or N/A              | #   | Task  | Checkpoint   | Notes          |
| <input type="checkbox"/>                                | 4.  | Submit EPOC Designation Letter to CMS   | After completion of Task #1  |                |
| <input type="checkbox"/>                                | 5.  | EPOC registered in IACS<br>(Allow 5 business days once EPOC letter is submitted before registering in IACS)                               | After completion of Task #4  |                |
| <input type="checkbox"/>                                | 6.  | EPOC approval received from CMS   |  |                |
| <input type="checkbox"/>                                | 7.  | User/Submitter(s) registered in IACS for Enrollment, BEQ and ECRS   | After EPOC registration is complete.   |                |
| <input type="checkbox"/> or N/A                         | 8.  | User/Representative(s) register in AICS for Enrollment, BEQ and ECRS  | After EPOC registration in complete.   |                |
| <input type="checkbox"/> or N/A                         | 9.  | User/Submitter registered in IACS for PDE/RAPS  | TIBCO MFT Internet Server Submitters only. May be completed the same time as Task #7 or at a later date. |                |
| <b>Connectivity – Setup</b>                             |     |   |  |                |
| <b>Note: Plans perform either Task #10 or Task #11.</b> |     |   |  |                |
| <input checked="" type="checkbox"/> or N/A              | #   | Task  | Checkpoint   | Notes          |
|   | 10. | Each item listed in this Task is required by Plans submitting data via C:D.<br><br>Set up T1/C:D to CMS:                                  | Must be started at least 6 weeks prior to target connectivity  |                |

|   |     |   |  |              |
|---|-----|---|--|--------------|
| <input type="checkbox"/> or N/A   |     | 1. Contact Verizon or reseller to establish connectivity to CMS Medicare Network.   | testing date.                          |              |
| <input type="checkbox"/> or N/A   |     | 2. Verify Access to CMS Medicare Network.   |  |              |
| <input type="checkbox"/> or N/A   |     | 3. High-level qualifier and/or security designations verified as accessible by CMS.   |  |              |
| <input type="checkbox"/> or N/A   |     | 4. Obtain Connect:Direct or other file-transfer software.   |  |              |
| <input type="checkbox"/> or N/A   |     | 5. Complete installation and configuration of Connect:Direct software.  |  |              |
| <input type="checkbox"/> or N/A   |     | 6. Submitter successfully registered in IACS (see Task #8)  |  |              |
| <input type="checkbox"/> or N/A   |     | 7. Obtain SPOE ID from CMS (see Task #3.2)  |  |              |
|   | 11. | Each item listed in this Task is required by Plans submitting data via TIBCO MFT Internet Server.<br><br>Set up TIBCO MFT Internet Server access:     |  |              |
| <input type="checkbox"/> or N/A   |     | 1. Submitter successfully registered in IACS (see Task #7)  |  |              |
| <input type="checkbox"/> or N/A   |     | 2. Obtain and install SFTP software that supports SSH2 keys.  |  |              |
| <input type="checkbox"/> or N/A   |     | 3. Open firewalls/ports:<br>SFTP port: 22 or 11022 for SSH; 46464 for Platform Server<br>HTTPS Port: 11442  |  |              |
| <b>Connectivity – Testing</b>   |     |   |  |              |
| <b>Note: Plans perform either Task #12 or Task #13. Plans using C:D to submit PDE/RAPS data must also perform Task #14.</b> |     |   |  |              |
| <input checked="" type="checkbox"/> or N/A  | #   | <b>Task</b>   | <b>Checkpoint</b>                      | <b>Notes</b> |
|   | 12. | Each item listed in this Task is required by Plans submitting Data via C:D<br><br>Test T1/C:D to CMS:   |  |              |
| <input type="checkbox"/> or N/A   |     | 1. Appropriate telecommunications and technical resources participate in conference call with appropriate CMS Resources (initiated by MAPD Help Desk) |  |              |
| <input type="checkbox"/> or N/A   |     | 2. Successfully transfer data to CMS  |  |              |
| <input type="checkbox"/> or N/A   |     | 3. Successfully receive data from CMS   |  |              |
|   | 13. | Each item listed in this Task is required by Plans submitting via TIBCO MFT Internet Server.  | Task #7 must be completed successfully |              |

|                                 |     |   |                                   |  |
|---------------------------------|-----|---|-----------------------------------|--|
|                                 |     | Test TIBCO MFT Internet Server:   | before this task can be completed |  |
| <input type="checkbox"/> or N/A |     | 1. Generate an SSH2 RSA or DSA 1024-bit key pair with a passphrase with your SFTP client (or for example, Filezilla uses keys generated from puttygen). |                                   |  |
| <input type="checkbox"/> or N/A |     | 2. CMS will provide instructions to upload the public key from this pair to the MFT web interface.  |                                   |  |
| <input type="checkbox"/> or N/A |     | 3. Once your key is enabled in the system, you will be able to connect using the key and the System ID.   |                                   |  |
| <input type="checkbox"/> or N/A |     | 4. CMS will assist you with sending a test file to confirm connectivity.  |                                   |  |
| <input type="checkbox"/> or N/A | 14. | Contact CSSC Help Desk for assistance with Connectivity Testing of PDE/RAPS data submission (C:D only)  |                                   |  |