



---

# Individuals Authorized Access to the CMS Computer Services (IACS) User Guide for CMS Approvers

Version 5.0

**November 2011**

---

Document No.: IACS.UG.5.0  
Contract No.: HHSM-500-2007-00024I

**Prepared for:**

Centers for Medicare & Medicaid Services (CMS)  
OIS/ISDDG  
7500 Security Boulevard, N3-00-01  
Baltimore, Maryland 21244-1850

**Prepared By:**

Quality Software Services, Inc. (QSSI)  
10025 Governor Warfield Parkway  
Suite 401,  
Columbia, Maryland 21044

---

## REVISION HISTORY

Date	Version	Reason for Change	Author
07/30/2010	1.0	Initial Release	QSSI
11/08/2010	2.0	Revisions for IACS November 2010 Release (2010.03)	QSSI
03/01/2011	3.0	Revisions for IACS April 2011 Release (2011.01)	QSSI
07/01/2011	4.0	Revisions for IACS July 2011 Release (2011.02)	QSSI
11/01/2011	5.0	Revisions for IACS November 2011 Release (2011.03)	QSSI

# CONTENTS

<b>1.0</b>	<b>Introduction.....</b>	<b>1</b>
<b>2.0</b>	<b>Referenced Documents .....</b>	<b>2</b>
<b>3.0</b>	<b>Overview .....</b>	<b>2</b>
3.1	Warnings and Reminder .....	3
3.2	Terms and Conditions.....	3
3.3	Conventions.....	4
3.3.1	Formatting Conventions .....	5
3.4	Cautions & Warnings .....	6
<b>4.0</b>	<b>Using the System – Managing Profiles.....</b>	<b>8</b>
4.1	Search Pending Requests for New user creation, Modifying existing user profiles and/or Certification Requests.....	8
4.2	Approve/Reject/Defer requests for new user creation and/or modifying existing user profiles.....	11
4.3	E-mail Notifications .....	14
4.4	Managing Users under the Approver’s Authority .....	14
<b>5.0</b>	<b>Annual Certification .....</b>	<b>21</b>
5.1	E-mail Notifications .....	22
5.2	Certifying .....	22
5.3	Approve/Reject/Defer Requests for Annual Certification.....	22
<b>6.0</b>	<b>Archiving Accounts.....</b>	<b>24</b>
6.1	Archiving due to Certification Failure.....	24
6.2	Archiving of certain MA/MA-PD/PDP/CC Application Users due to not having contracts in their profile for 120 days. ....	25
<b>7.0</b>	<b>Troubleshooting &amp; Support.....</b>	<b>25</b>
7.1	Frequently Asked Questions.....	25
<b>8.0</b>	<b>Glossary .....</b>	<b>26</b>
<b>9.0</b>	<b>Acronyms .....</b>	<b>27</b>

## FIGURES

Figure 1: CMS Applications Portal WARNING/REMINDER Screen.....	3
Figure 2: Terms and Conditions Screen.....	4
Figure 3: Warning Message .....	7
Figure 4: Information Message.....	7
Figure 5: Caution Message .....	8
Figure 6: My Profile Screen: CMS Applications .....	9
Figure 7: Approver Inbox Screen: Search Request(s) Hyperlink .....	9
Figure 8: Search Criteria for Pending Request(s) Screen.....	10
Figure 9: Search Criteria for Pending Request(s) Screen: Search Results.....	11
Figure 10: Approve/Reject Request Screen: Required Access Area – Grouped Pending Items	12
Figure 11: Confirm Action Dialogue box with Deferred Items .....	13
Figure 12: Manage users under my authority Screen – Search Criteria .....	17
Figure 13: Manage users under my authority Screen – Search Results Area.....	18
Figure 14: Manage users under my authority Screen Search Results Area – Edit Button Selection.....	19
Figure 15: Manage users under my authority Screen: Search Results Area – Editable Search Results .....	20
Figure 16: Manage users under my authority Screen: Search Results Area – Single Justification for Action .....	20
Figure 17: Review Details Screen .....	21
Figure 18: Inbox listing Pending Certification .....	23
Figure 19: Approve / Reject Request Screen: Certification Request.....	24

## 1.0 Introduction

Individuals Authorized Access to the CMS Computer Services (IACS) is an identity management system that provides the means for users needing access to CMS applications to:

- Identify themselves
- Apply for and receive login credentials in the form of a User Identifier (User ID) and Password
- Apply for and receive approval to access the required system(s).

This **IACS User Guide for CMS Approvers** establishes the procedures for providing instructions to Approvers to manage the requests for new registration, modification to user profile and re-certification for users under the Approver's authority for the following CMS Applications integrated with IACS:

- **Coordination of Benefits (COB)**
- **Center for Strategic Planning – Health System Tracking Project (CSP - HSTP)**
- **Center for Strategic Planning – Medicaid and Children's Health Insurance Program (CHIP) State Information Sharing System (CSP - MCSIS)**
- **Customer Service Representatives (CSR) (1-800- Medicare CSR)**
- **Demonstrations Community**
- **Durable Medical Equipment, Prosthetics, Orthotics & Supplies (DMEPOS) Bidding System (DBidS)**
- **Electronic Correspondence Referral System (ECRS) Web**
- **GENTRAN**
- **HIPAA Eligibility Transaction System User Interface (HETS UI)**
- **HIPAA Eligibility Transaction System Provider Graphical User Interface (HPG)**
- **Internet Server (ISV)**
- **Medicare Advantage/Medicare Advantage-Prescription Drug/Prescription Drug Plan/Cost Contracts (MA/MA-PD/PDP/CC)**
- **Medicaid Drug Rebate (MDR) State Exchange**
- **Medicare Exclusion Database (MED)**
- **Physician Quality Reporting System and E-Prescribing Incentive Programs (PQRS/eRx)**
- **Provider Statistical and Reimbursement / System for Tracking Audit and Reimbursement (PS&R/ STAR)**

In this guide the term, "Approver(s)" is used generically to refer to any user with the role of Approver, Security Official, Authorized Official, Backup Security Official, Backup Authorized Official, Helpdesks with approval capability, and External Point of Contact (EPOC) where these roles have approval authority in their respective Organization(s) or for specific

Applications. This term is sometimes used to refer to Business Owners who are trusted to approve requests from top of the chain users within the applications.

## 2.0 Referenced Documents

This **IACS User Guide for CMS Approvers** and additional **IACS User Guides** include information regarding new and/or modified IACS screens and functionalities.

The following IACS help documentation has been added to the CMS IACS website ([http://www.cms.gov/MAPDHelpDesk/07\\_IACS.asp#TopOfPage](http://www.cms.gov/MAPDHelpDesk/07_IACS.asp#TopOfPage)) to provide additional information and instructions for IACS users:

- **IACS User Guide for CMS Applications** – provides registration and account maintenance information for CMS Applications Users.
- **IACS User Guide for Approvers** – provides account maintenance information for IACS Approvers.
- **IACS User Guide for the Help Desk** – provides account maintenance information for the Help Desk staff supporting CMS applications integrated with IACS.

## 3.0 Overview

The sensitivity of CMS data and the improved ability to access data combines to create a substantial risk to CMS and Beneficiaries. Legislations, like the Health Insurance Portability and Accountability Act (HIPAA), Federal Standards published by the National Institute of Standards and Technology (NIST), and CMS policies have been established to control that risk. IACS is the application CMS uses to:

- Implement the security requirements of Federal legislation, Federal standards and CMS policies.
- Provide secure, high quality services to protect CMS systems and data.
- Register users; control the distribution of User IDs and passwords used to access CMS web-based applications.

The **IACS User Guide for CMS Approvers** provides information, representative screens, or appropriate references to procedural information that is common for IACS CMS Applications Approvers and includes:

- Processing (approving, denying, or deferring) access requests for new user registration, certifications, or profile modifications for IACS users.
- Using IACS to manage requests and users under individual Approver's authority.

**Note:** Whenever possible, Approvers will be directed to the appropriate IACS User Guide for procedural information that is particular to registrations and profile modifications for specific CMS Applications rather than repeating that information in this User Guide.

Procedural information that is particular to specific applications is noted for reference. IACS procedures are designed to be user-friendly, and on-screen help and error messages help guide users when completing procedures that are not illustrated in this User Guide.

### 3.1 Warnings and Reminder

Users of United States Government Computer Systems must be aware of warnings regarding unauthorized access to those systems, computer usage and monitoring, and local system requirements. This information is presented in the opening screen of the CMS Applications Portal, as illustrated in Figure 1.

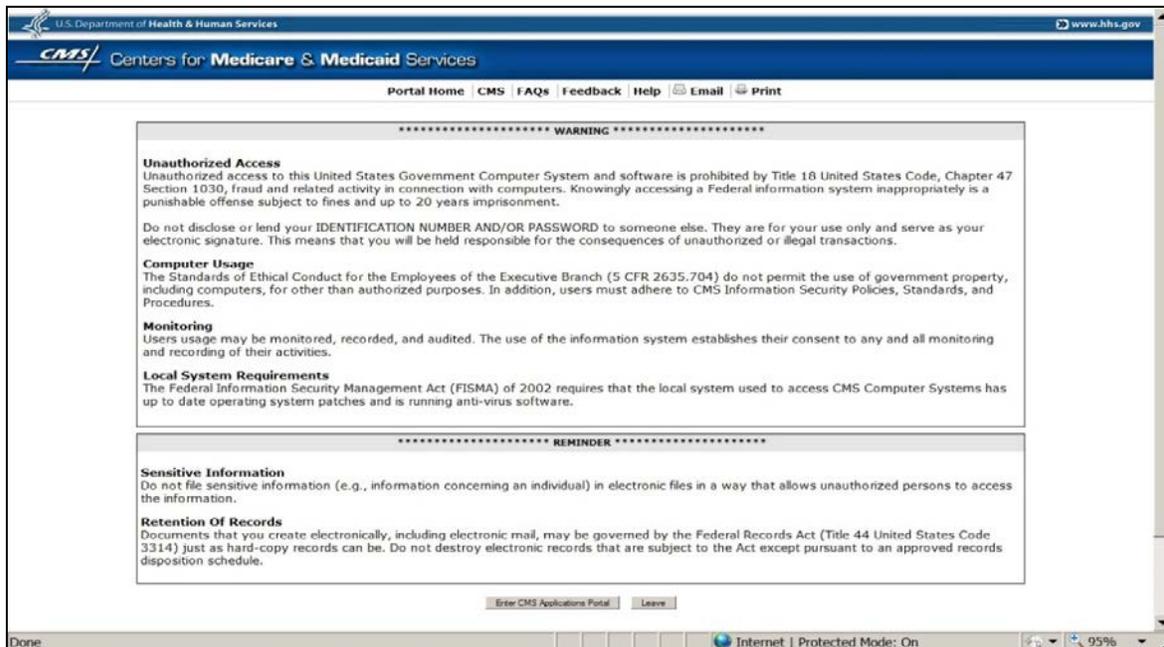


Figure 1: CMS Applications Portal WARNING/REMINDER Screen

All applicants to CMS Applications should read the important information on this screen and indicate their agreement by selecting the **Enter CMS Applications Portal** button.

If the user does not want to proceed any further, the user should indicate this by selecting the **Leave** button.

### 3.2 Terms and Conditions

In addition to the government warnings, there are specific CMS Computer Systems Security Requirements Terms and Conditions that potential IACS users need to know. During their registration process, the CMS **Terms and Conditions** screen will display, as illustrated in Figure 2.

This screen contains the Privacy Act Statement and the Rules of Behavior which present the terms and conditions for accessing CMS computer systems.

IACS applicants must accept the terms and conditions to be authorized to access CMS systems and applications.

U.S. Department of Health & Human Services [www.hhs.gov](http://www.hhs.gov)

**CMS** Centers for Medicare & Medicaid Services

**Individuals Authorized Access to the CMS Computer Services (IACS)**

### Terms and Conditions

If you want to print the text on this screen, select the **Print** icon to the right of the text **before** taking any other action on the screen.

To skip printing and continue with your registration, read the text, select the **I Accept the above Terms and Conditions** box, and then the **I Accept** button at the bottom of this screen.

**CMS Computer Systems Security Requirements**

**PRIVACY ACT STATEMENT**

The information on the web form is collected and maintained under the authority of Title 5 U.S. Code, Section 552a(e) (10) (The Privacy Act of 1974). This information is used for assigning, controlling, tracking, and reporting authorized access to and use of CMS' computerized information and resources. The Privacy Act prohibits disclosure of information from records protected by the statute, except in limited circumstances.

The information you furnished on this web form will be maintained in the Individuals Authorized Access to the Centers for Medicare & Medicaid Services (CMS) Data Center Systems of Records and may be disclosed as a routine use disclosure under the routine uses established for this system as published at 59 FED.REG.41329 (08-11-94) and as CMS may establish in the future by publication in the Federal Register.

To continue, you must accept the terms and conditions. If you decline, your registration will automatically be cancelled.

I Accept the above Terms and Conditions

**I Accept** **I Decline**

OMB: 0938-0989 Effective date  
5/06

**Figure 2: Terms and Conditions Screen**

All of the **Terms and Conditions** on the screen should be read including the Privacy Act Statement and the Rules of Behavior. The user can select the **Print** icon to the right of the text to print this information.

To accept, the user must select the **I Accept the above Terms and Conditions** check box and indicate agreement by selecting the **I Accept** button.

If the user selects the **I Decline** button, a small window will appear with a message asking him to confirm his decision to decline. If he confirms this, his IACS session is cancelled and a screen indicating this is displayed.

### 3.3 Conventions

This User Guide will present typical approval and management procedures. When functions are similar, the more common functions will be illustrated with notes indicating differences such as specific information users must provide in different Applications. When appropriate, these notes will be illustrated with screen shots.

Every effort has been made to keep the screen shots and formatting conventions used in this document up to date. There may be, however, minor differences between on-screen

text and what is shown in the figures in this User Guide. These differences should not affect the user's ability to approve requests or manage user accounts.

### 3.3.1 Formatting Conventions

The following formatting conventions have been used in this User Guide.

1. Screen names are indicated in **plain bold**.

Example:

The **CMS Applications Portal Introduction** screen will display as illustrated in Figure 1.

2. References to partial screens displayed or buttons to be acted upon are indicated in **bold italics**.

Examples:

Available applications are listed in the ***New User Registration Menu for CMS Applications*** area of the **CMS Applications Menu** screen.

Or

Select the ***Next*** button to continue.

3. References to hyperlinks are indicated in blue, underlined text.

Example:

Select the [Modify Account Profile](#) hyperlink.

4. References to figures and sections will take the user to that figure or section when selected.

Examples:

Go to Section 1.0 – The number is the link. The user will be brought to that Section when the number is selected.

Or

As illustrated in Figure 1 – The combination of Figure and Number is the link. The user will be brought to that Figure when he selects either.

5. When an action is required on the part of the reader, it is indicated by a line beginning with the word **Action:**

Example:

**Action:** Select the **OK** button.

6. Explanatory notes will be indicated with the word **Note**:

Example:

**Note:** The name of the MEIC Helpdesk has been changed to the MCARE Helpdesk.

7. Input fields are indicated in *plain italics*.

Example:

Enter the last name in the *Last Name* field.

8. Required input fields are indicated by an asterisk to the right of the field. These fields must be completed.
9. Some fields have help icons to their left if the user needs help on completing an input field. This icon is displayed as a small blue letter *i* inside a white box.

Examples of specific screens are used in this User Guide to illustrate what users would see during the approval and account management procedures. The names and/or data on these screens are meant to be representative and not to reflect actual IACS Users and/or Accounts.

### **3.4 Cautions & Warnings**

IACS provides on-screen cautions and warnings to help guide users through procedures that require specific data formatting or are designed to alert the user before finalizing an action.

Caution and Warning messages are presented in a variety of formats: as a text warning message at the top of the active screen, as information text on screen where an issue has been identified, and as a caution message which will require the user's action.

Additional examples of caution and warning messages are listed below.

The screenshot shows the 'New User Registration' page in the IACS system. At the top, there is a navigation bar with the U.S. Department of Health & Human Services logo and the CMS logo. Below this is a header for 'Individuals Authorized Access to the CMS Computer Services (IACS)'. A yellow error message box is displayed, stating: 'Error: Please enter a valid Date of Birth in mm/dd/yyyy, m/d/yyyy, mm/d/yyyy or m/d/yyyy format.' The registration form includes fields for Title, First Name (Morgan), Last Name (Freeman), Suffix, Middle Initial, Professional Credentials, Social Security Number (890-00-7854), Date of Birth (jan 1 1985), and E-mail (mfreeman@hmail.com). A 'Next' button is visible at the bottom left of the form area.

Figure 3: Warning Message

The message shown in Figure 3 notifies the user that an incorrect format has been used for Date of Birth (DOB) and also provides the correct format that the user should follow.

The screenshot shows the 'Professional Contact Information' page. It contains several input fields: Office Telephone (351-140-0000), Ext (351), Company Name (Mercy), Company Telephone (351-140-0000), Ext (351), Country (United States), Address 1 (1818 Riggs Rd), Address 2, City (Adelphi), State/Territory (MD), and Zip Code (35810). Below this is the 'Access Request' section with a dropdown menu set to 'Modify Demonstrations Profile'. The 'Type of User' is 'Demonstrations' and the 'Role' is 'EHRD User'. A red message at the bottom states: 'There are no details to modify as part of the EHRD application.'

Figure 4: Information Message

The message in Figure 4 notifies the user that the option selected cannot currently be used.

The screenshot shows the 'New User Registration' page for the CMS IACS system. The page has a blue header with the CMS logo and the text 'Centers for Medicare & Medicaid Services'. Below the header, there is a navigation bar with tabs for 'New User Registration', 'Email Verification', 'Contact Information', 'Authentication Questions', 'Review Request', and 'Acknowledgement'. The 'Contact Information' tab is currently selected. The form contains several sections: 'User Information' with fields for Title, First Name (Morgan), Last Name (Freeman), Suffix, Middle Initial, Professional Credentials, Social Security Number (890-00-7854), Date of Birth (01/01/1985), and E-mail (mfreeman@gmail.com); 'Professional Contact Information' with fields for Office Telephone (410-410-1234), Ext, Company Name, Address 1, City, State/Territory, and Zip Code; and 'Access Request' with fields for User Type (MA/MA-PD/PDP/ICC) and Role. A 'Justification for Action' text area is also present. A dialog box titled 'Message from webpage' is overlaid on the form, containing the text: 'Selecting OK will cancel your request. Are you sure you want to proceed?' with 'OK' and 'Cancel' buttons. The footer of the page includes 'OMB: 0938-0989' and 'Effective date: 5/08'.

Figure 5: Caution Message

The message shown in Figure 5 cautions the user that the user's action will cancel the registration. The user selects the **OK** button to confirm the action or selects the **Cancel** button to continue with the registration process.

## 4.0 Using the System – Managing Profiles

This section explains how an Approver reviews and takes action on IACS requests requiring the Approver's attention. The following are the actions that an Approver takes:

- Search Pending Requests for New User Registration, Modify Profile, and/or Annual Certification.
- Approve/Reject/Defer requests for New User Registration and/or modifying existing user profiles.
- Manage Users under the Approver's authority.
- Approve/Reject/Defer requests for Annual Certification.

### 4.1 Search Pending Requests for New user creation, Modifying existing user profiles and/or Certification Requests

To use this search function, the Approver must first login to IACS using his IACS User ID and password. The **My Profile** screen will be displayed after a successful login, as illustrated in Figure 6.

**Note:** There is no significant difference in the actions taken by the various types of Approvers in IACS. The MA/MA-PD/PDP/CC Application screens will be used to illustrate this search function and other Approver functions throughout this guide.

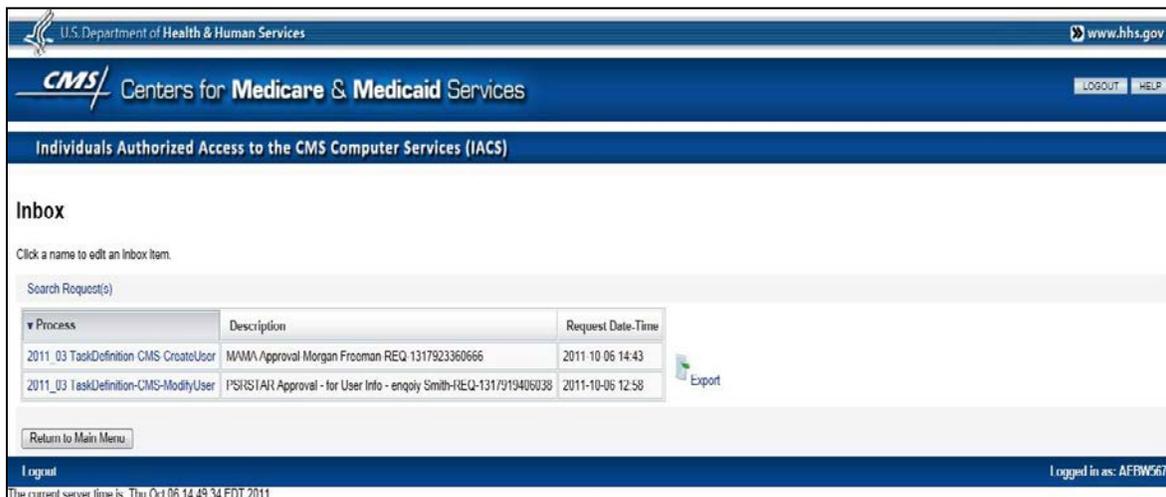


**Figure 6: My Profile Screen: CMS Applications**

**Action:** Select the [Pending Approvals](#) hyperlink.

The Approver **Inbox** screen will display as illustrated in Figure 7. The **Inbox** screen allows the user to search for a pending request by selecting the [Search Request\(s\)](#) hyperlink or the Approver could scroll through the pending approvals in the **Inbox** screen and select the request for which he needs to take an action.

This section details the Search Request(s) function to search for a specific request by providing the search criteria.



**Figure 7: Approver Inbox Screen: Search Request(s) Hyperlink**

**Action:** Select the [Search Request\(s\)](#) hyperlink.

The **Search criteria for pending request(s)** screen with multiple search criteria options will display as illustrated in Figure 8.

**Note:** This function is currently only available for the MA/MA-PD/PDP/CC, CSP-HSTP, CSP-MCSIS, ECRS, Gentran, Internet Server, MDR, MED, and PS&R/STAR Applications.

**Figure 8: Search Criteria for Pending Request(s) Screen**

**Action:** Select the desired search criteria by entering the appropriate data in the search fields or selecting from the available drop-down lists.

**Note:**

- Approvers can search pending requests by *First Name*, *Last Name*, *Request Number*, *Request Expiration Date*, and *Role*.
- In addition to the search criteria mentioned above, PS&R/STAR Helpdesk users can search the pending registration request(s) by *TIN/SSN* and/or *Legal Business Name* of the organization. The *Legal Business Name* field will accept a partial entry of the organization name. The *TIN/SSN* field requires the data to be entered in full.

**Action:** Select the **Search** button when you have finished selecting your search criteria.

The screen will refresh and the search results will display at the bottom of the screen as illustrated in Figure 9.

The screenshot shows the 'Individuals Authorized Access to the CMS Computer Services (IACS)' search results page. The search criteria are: First Name (starts with), Last Name (starts with), Request Number (Valid format is REQ-XXXXXXXXXXXX), Request Expiration Date, Application (MA/MA-PD/PDP/CC), Role (All), and Results per page (20). The search results are sorted by Request Number in ascending order. The table contains 5 rows of data.

Request Number	First Name	Last Name	Request Type	Role	Requested Items	Request Date	Request Expiration Date
REQ-1318514742028	VGQLFA	SMITH	MODIFY	POSFE Contractor	R0000	10/13/2011 10:09:11	10/25/2011 10:09:04
REQ-1318602151272	ORLLBY	SMITH	MODIFY	User/Representative, Report View	H1111	10/14/2011 10:26:55	10/26/2011 10:26:39
REQ-1318604668350	ALEX	SMITH	MODIFY	User/Submitter	Email	10/14/2011 11:08:46	10/26/2011 11:08:43
REQ-1318606958590	REEITF	SMITH	CREATE	User/Submitter	H1111	10/14/2011 11:45:49	10/26/2011 11:45:34
REQ-1318607739168	MPKZSL	SMITH	CREATE	User/Representative	H1111	10/14/2011 11:58:57	10/26/2011 11:58:42

**Figure 9: Search Criteria for Pending Request(s) Screen: Search Results**

**Action:** Select the hyperlink of the pending approval request you want to work on from the *Request Number* column.

When the Approver has selected a Pending Approval request to work on, the **Approve / Reject Request** screen will display which will allow the Approver to make a decision on the pending request. The approval process is explained in detail in Section 4.2.

**Note:** The Approvers of MA/MA-PD/PDP/CC, CSP-HSTP, CSP-MCSIS, ECRS, Gentran, Internet Server, MDR, MED, and PS&R/STAR Applications can also search for Pending Certification Requests by selecting the [Pending Certifications](#) hyperlink from the **My Profile** screen and selecting the [Search Request\(s\)](#) hyperlink from the Approver **Inbox** screen as explained above.

#### 4.2 Approve/Reject/Defer requests for new user creation and/or modifying existing user profiles

To take an action on pending access requests the user must first log in to IACS using his IACS User ID and password. The **My Profile** screen will display after a successful login as illustrated in Figure 6.

**Action:** Select the [Pending Approvals](#) hyperlink.

The Approver's **Inbox** screen will display as illustrated in Figure 7. The pending approval requests will be displayed as hyperlinks in a table.

**Action:** Select the hyperlink of the pending approval request you want to work on from the *Process* column.

When the Approver has selected a Pending Approval request to work on, the **Approve / Reject Request** screen will display as illustrated in Figure 10.

The **User Information** and **Required Access** areas of the screen will display information specific to the user and his access request. At the bottom of the screen, the type of request is identified and the contracts to be approved for access are displayed. The **Action** column will be defaulted to the **Defer** radio button for all individual items in the request.

**Figure 10: Approve/Reject Request Screen: Required Access Area – Grouped Pending Items**

**Action:** Review the requestor's user and required access information.

**Action:** Determine, by individual item (**Contracts**), the action you will take.

**Note:** The Approver's action (Approve / Reject / Defer) taken on the individual item (**Contracts**), will be applicable to all the MA/MA-PD/PDP/CC Application roles in the user's profile.

**Action:** Select the appropriate **Action** radio button for each item.

- If you select **Approve**, the system will assign the default text 'Approved' as the justification. You may overwrite this if necessary.
- If you select **Reject**, you must provide a justification reason. The justification you enter will be forwarded to the user in a rejection E-mail notification.
- If you select **Defer**, no justification is required and the request will remain in pending status until it is approved or rejected by an authorized Approver or until it expires.

**Note:** The Approver has 12 days from the request date, to approve / reject the request. After 12 days, the request will expire and the user will be required to re-

submit his request. The timeout frame for the requests differs from one Application to another; refer to the Role Type and Request Timeout Days Tables in the **IACS User Guide for CMS Application** for time frames by Role Type.

**Action:** Select the **Process** button at the bottom of the screen when you are done.

If the user selects the **Cancel** button at any point during the approval process, a confirmation screen will display to confirm the action. If the **OK** button is selected to confirm the cancellation, any action taken will be lost and the user will be returned to the **Inbox** screen. If the **Cancel** button is selected from the confirmation screen, any action taken will not be lost and the user will be returned to the **Approve / Reject Request** screen.

When the user selects the **Process** button, the system will verify the action that has been taken for the items in the pending request.

If the user approves or rejects all items, IACS will:

1. Return to the **Inbox** screen if the user has additional pending approvals awaiting his action, or
2. Return to the **My Profile** screen if the user has no more pending approvals awaiting his action.
3. Return to the **Search criteria for pending request(s)** screen if the pending request was selected from the **Search criteria for pending request(s)** screen.

If the user defers one or more items while approving or rejecting the other items in the request, IACS will display the message illustrated in Figure 11.

**Message from webpage**

Changes will be saved and the request will remain in Pending status. Do you want to exit this request? Select OK to exit, or Cancel to continue acting on the users request(s).

OK Cancel

**Required Access**

Type of Request: New User  
 User Justification: Request initiated on 10/14/2011 04:36:19 PM  
 User Type: MAMA-PD/PDP/CC  
 Role: Report View, User/Representative  
 Report Access Type: Access to Non-Financial Report

Select the [?] button for information on conventions for processing pending user's requests.

Name	Status	Effective Date	Action	Justification
Contracts : H1111	Active	07/01/2005	<input checked="" type="radio"/> Approve <input type="radio"/> Reject <input type="radio"/> Defer	
Contracts : H0150	Active	03/30/2008	<input type="radio"/> Approve <input type="radio"/> Reject <input checked="" type="radio"/> Defer	

Process Cancel

**Figure 11: Confirm Action Dialogue box with Deferred Items**

**Action:** When this message appears, read the text in the dialogue box and determine the correct action.

**Action:** Select the **OK** button to confirm your action.

**Action:** Select the **Cancel** button to remain on the **Approve / Reject Request** screen.

When the user selects the OK button, IACS will:

1. Return to the **Inbox** screen if the user has additional pending approvals awaiting his action, or
2. Return to the **My Profile** screen if the user has no more pending approvals awaiting his action.

**Note:** If there is more than one Approver associated with the request, then the pending request will be routed to all corresponding Approvers.

### 4.3 E-mail Notifications

An Approver will receive an E-mail informing him that a user has submitted a registration or profile modification request and the request is pending his review for approval or rejection. The Approver will receive a reminder E-mail 4 days after the submission of the request and every 4 days thereafter until the request is approved or rejected by the Approver or until the request expires. The request timeout frame differs from one Application to another; refer to the Role Type and Request Timeout Days Tables in the **IACS User Guide for CMS Application** for time frames by Role Type.

Another E-mail notification that an Approver may receive is to inform the Approver that one of the other corresponding Approvers rejected the request from a user under his authority. This E-mail will be sent when one individual item (contract) on the request to add a role or modify the report access type was rejected by one of the corresponding Approvers. At this point, the request is considered rejected. If any Approvers did not take an action, then the request will be removed from his pending approvals queue. In addition, any previously approved items (contracts) associated with this request will not update the user's profile.

### 4.4 Managing Users under the Approver's Authority

In IACS, Approvers can manage the users under their approval authority by viewing and/or removing selected user values from the users' IACS profile(s). Only the following application specific information can be removed: *Organization Number, Contract Number, State, Call Center, and Submitter ID*.

**Note:** Approvers will only be able to remove certain types of access. For example, an Approver for the MA/MA-PD/PDP/CC Application will be able to disassociate a user for one or more contracts. The Approver will not be able to associate new contracts to a user under his authority.

The Manage users under my authority function is available to all CMS Application Approvers as follows:

- **CSP - HSTP**
  - HSTP Help Desk User can view all users in the CSP-HSTP Application.
- **CSP - MCSIS**

- MCSIS Help Desk User can view all users in the CSP-MCSIS Application.
- **COB**
  - COB Approver can remove Organizations.
- **CSR**
  - CSR Approver can remove Call Centers.
  - CSR Authorizer can remove Call Centers.
- **DMEPOS**
  - Authorized Officials can view Backup Authorized Officials and End Users.
  - Authorizer1 can view IT Administrators and IT Helpdesk Users.
  - Authorizer2 can view CBIC Helpdesk Users.
- **ECRS**
  - ECRS HelpDesk can view all users in the ECRS Application Users.
  - ECRS Approvers can view ECRS End Users.
- **Gentran**
  - Gentran Helpdesk can view all users in the Gentran Application.
  - Gentran Approvers can view Gentran End Users.
- **HETS UI**
  - MEIC Helpdesk (now known as MCARE Help Desk) can view all users in the HETS UI Application.
  - Security Official can view users with the role of User/Approver.
  - User/Approver can view users with the role of User/Provider.
- **HPG**
  - HPG MEIC Helpdesk (now known as MCARE Help Desk) can remove Submitter IDs.
- **Internet Server**
  - Internet Server Help Desk can view all users in the Internet Server Application.
  - Internet Server Approvers can view Internet Server Users.
- **MA/MA-PD/PDP/CC**
  - Approver/EPOC can remove Contract Numbers.
  - MA State/Territory Approvers can remove State/Territory.
  - State Health Insurance Plans (SHIP) and State Pharmacy Assistance Programs (SPAP) Approvers can remove State/Territory.
  - Authorizers can remove Contract Numbers.
  - State Authorizers can remove State/Territory.

- **MDR**
  - MDR Helpdesk can view all users in the MDR Application.
  - MDR Approvers can view MDR End Users.
- **MED**
  - MED Help Desk can view all users in the MED Application.
  - MED Approvers can view MED End Users.
- **PQRS/eRx**
  - PQRI Help Desk users can view all users in PQRS/eRx Application.
  - Security Officials can view Backup Security Officials, End Users, EHR Submitters, PQRS Submitter, and PQRS Representative.
  - Backup Security Officials can view End Users, EHR Submitters, PQRS Submitter, and PQRS Representative.
- **PS&R/STAR**
  - PS&R/STAR Helpdesk can view all the users in the PS&R/STAR Application.
  - PS&R/STAR Security Official can view PS&R/STAR Backup Security Officials, PS&R Users, PS&R Admins and STAR Users 1- 8 who belong to the FI/Carrier/MAC Organizations.
  - PS&R/STAR Backup Security Official can view PS&R Users, PS&R Admins and STAR Users 1- 8 who belong to the FI/Carrier/MAC Organizations.
  - PS&R Security Official can view PS&R Backup Security Official, PS&R Admin and PS&R Users who belong to the Provider Organizations.
  - PS&R Backup Security Official can view PS&R Admin and PS&R Users who belong to the Provider Organizations.

To manage users under the Approver's authorization, the Approver must first log in to IACS using his IACS User ID and password. The **My Profile** screen will display after a successful login as illustrated in Figure 6.

The MA/MA-PD/PDP/CC Application screens will be used to illustrate the Manage users under my authority function.

**Action:** Select the [Manage users under my authority](#) hyperlink.

The **Manage users under my authority** screen will display as illustrated in Figure 12. Search criteria appropriate to the Approver's approval authority in the Application will be displayed for the Approver's selection.

U.S. Department of Health & Human Services www.hhs.gov

**CMS** Centers for Medicare & Medicaid Services LOGOUT HELP

Individuals Authorized Access to the CMS Computer Services (IACS)

**Manage users under my authority**

**Search Criteria**

User Id(s):  Multiple User Id(s) should be comma separated

First Name: starts with

Last Name: starts with

Application: MA/MA-PD/PDP/CC

Role: All roles

Application related contract(s): All

Contract(s) available to search	Contract(s) selected to search
H0150	H1111
H0151	
R0000	
S5584	
S5617	
S5884	
X1111	
X8841	
U0000	

The maximum number of contracts that can be selected is 1000.

Results per page: 20

Search Cancel

**Figure 12: Manage users under my authority Screen – Search Criteria**

**Action:** Select the desired **Search Criteria** by entering the appropriate data in the search fields or selecting from the available drop-down lists.

**Action:** Select the **Search** button when you have finished selecting your search criteria.

The screen will refresh and the search results will display in a table under the **Search Criteria** area as illustrated in Figure 13.

**Search Results** (150 results)

Page 5 of 15

User Id	First Name	Last Name	Role	Contracts
OWAB486	ikgofu	Smith	User/Submitter	MA/MA/PDP Contracts: H1111
IXTU803	iknrk	Smith	MCO Representative UI Update, PDP User/Submitter	MA/MA/PDP Contracts: H1111
ULGY315	isbbrz	Smith	PDP User/Representative	MA/MA/PDP Contracts: H1111
VPGZ355	jfqwdw	Mikhaylenko	User/Submitter	MA/MA/PDP Contracts: H1111
IAHJ114	jknlk	Smith	User/Submitter	MA/MA/PDP Contracts: H1111
KDL291	Johnny	Smith	User/Representative, Report View	MA/MA/PDP Contracts: H1111
OKLB750	jppyeh	Smith	MCO Representative UI Update, PDP User/Submitter	MA/MA/PDP Contracts: H1111

**Figure 13: Manage users under my authority Screen – Search Results Area**

**Action:** Depending on the number of results, you may need to scroll through the screens of the **Search Results** table until you find the appropriate user(s).

- If the Approver wants to print the search results, he should select the **Print** icon to the right of the **Search Results** table.
- If the Approver wants to export the search results into an Excel file format, he should select the **Export** icon to the right of the **Search Results** table.

**Note:** Manage users under my authority function has a limitation in the number of records that could be displayed as search results. If the given search criteria for the search qualifies for 1000 or more records, then the search results are not displayed; rather, a warning message stating that the search qualified for more than the allowable limit will be displayed. The Approver should narrow the search criteria and execute the search again.

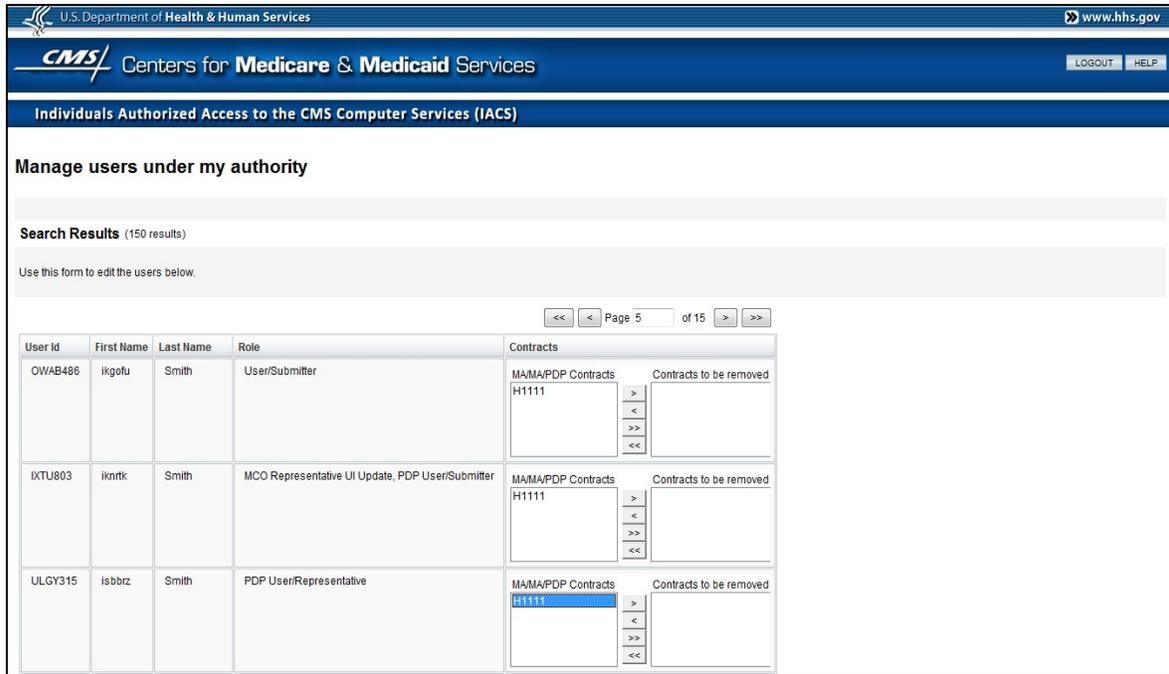
**Search Results** (150 results)

User Id	First Name	Last Name	Role	Contracts
OWAB486	ikgofu	Smith	User/Submitter	MA/MA/PDP Contracts: H1111
IXTU803	iknrtk	Smith	MCO Representative UI Update, PDP User/Submitter	MA/MA/PDP Contracts: H1111
ULGY315	isbbrz	Smith	PDP User/Representative	MA/MA/PDP Contracts: H1111
VPGZ355	jfqwdw	Mikhaylenko	User/Submitter	MA/MA/PDP Contracts: H1111
IAHJ114	jkinlk	Smith	User/Submitter	MA/MA/PDP Contracts: H1111
KDLD291	Johnny	Smith	User/Representative, Report View	MA/MA/PDP Contracts: H1111
OKLB750	jppyeh	Smith	MCO Representative UI Update, PDP User/Submitter	MA/MA/PDP Contracts: H1111
VIVM505	jvgmlw	Smith	Report View	MA/MA/PDP Contracts: H1111
LMY880	jvzbb	Smith	User/Representative	MA/MA/PDP Contracts: H1111
UNGF168	jzfvrt	Mikhaylenko	User/Submitter	MA/MA/PDP Contracts: H1111

**Figure 14: Manage users under my authority Screen Search Results Area – Edit Button Selection**

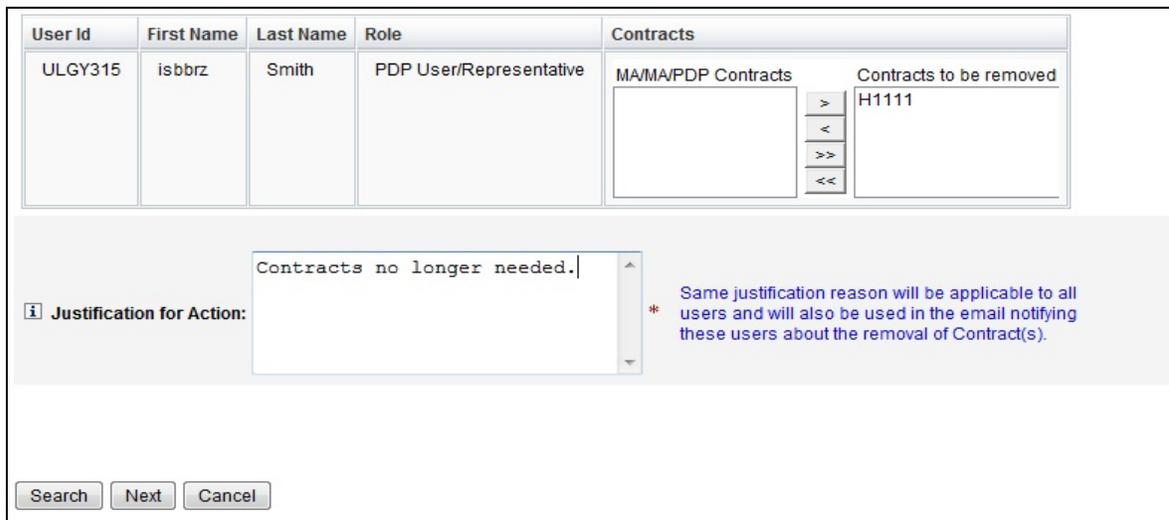
**Action:** If you want to edit the search results select the *Edit* button at the bottom of the screen as illustrated in Figure 14.

The **Search Results** table will be converted into an editable format as illustrated in Figure 15.



**Figure 15: Manage users under my authority Screen: Search Results Area – Editable Search Results**

**Action:** Edit the search results as desired.



**Figure 16: Manage users under my authority Screen: Search Results Area – Single Justification for Action**

**Action:** Enter a single justification for your edits in the *Justification for Action* field, as illustrated in Figure 16.

**Action:** Select the **Next** button when you are done.

The screen will refresh and the **Review Details** screen will be displayed as illustrated in Figure 17.

If the Approver wants to discard these search results and conduct a new search, he should select the **Search** button and the system will return him to the **Manage users under my authority - Search Criteria** screen, as illustrated in Figure 12.

If the Approver wants to cancel his edits, he should select the **Cancel** button and the system will discard his edits and return him to the **My Profile** screen as illustrated in Figure 6.

U.S. Department of Health & Human Services [www.hhs.gov](http://www.hhs.gov)

**CMS** Centers for Medicare & Medicaid Services LOGOUT HELP

Individuals Authorized Access to the CMS Computer Services (IACS)

**Review Details**

Please review the contract(s) that will be removed from each of the following user(s):

User Id	First Name	Last Name	Role	Current Contracts	Contracts to be removed
ULGY315	isbrz	Smith	PDP User/Representative	M/M/A/PDP Contracts: H1111 PDE Contracts: RAPS Contracts:	M/M/A/PDP Contracts: H1111

Print

Justification for Action: no con

Submit Edit Cancel

**Figure 17: Review Details Screen**

**Action:** Select the **Submit** button when you have reviewed your edits and are ready to finalize them. The screen will refresh and return you to the **My Profile** screen as illustrated in Figure 6.

If the Approver wants to make changes to his edits, he should select the **Edit** button and the system will return him to the editable **Search Results** section as illustrated in Figure 15.

If the Approver wants to cancel his edits, he should select the **Cancel** button and the system will discard his edits and return him to the **My Profile** screen as illustrated in Figure 6.

## 5.0 Annual Certification

Users registered through IACS for CMS Applications are required to certify annually their continued need for access to CMS systems. Starting from November 15, 2010 IACS has been enforcing the Annual Certification requirement for all Applications supported by IACS.

The certification due date corresponds to the anniversary of User's IACS User ID creation date. The certification process is initiated with an E-mail notification to the user providing him with instructions for completing the certification.

## 5.1 E-mail Notifications

### User E-mail Notifications

A user will receive an advisory E-mail 45 days prior to his Annual Certification due date. The user will continue to receive E-mails once a week from the initial 45 day E-mail until 15 days prior to his Certification Date. Then, beginning 15 days before his Certification Date, the user will receive an E-mail every day informing him of how many days he has remaining to complete the Certification Request. The user will have until midnight on his Certification Date to submit the Certification Request.

If the user does not submit the Certification Request prior to midnight on the Certification Date, his IACS account will be archived. An E-mail will be sent advising the user that his account has been archived. Should he attempt to login to IACS after being archived, a message will appear that the account could not be found.

**Note:** Once the user's account has been archived, he will be required to go through New User Registration to establish a new account.

### Approver E-mail Notifications

An Approver will receive an E-mail informing him that a user under his authority has submitted a request for certification and that the request is waiting for his review and approval or rejection. This E-mail will be sent to the Approver as soon as the user (under the Approver's authority) has submitted the request for re-certification.

The Approver will receive a reminder E-mail 5 days after the submission of the request for re-certification and then every day thereafter until the day the certification request is approved / rejected by the Approver or until the certification request expires. Approvers will always have at least 30 days to approve or reject a certification request.

Another type of E-mail that an Approver may receive is one that notifies him that a user under his authority has not submitted certification yet. An Approver is any user who has dependent users underneath him. For example, it can be an SO, EPOC, AO, their backups, a Helpdesk or in some cases a Business Owner. When a user has taken no action to submit certification, an E-mail will be sent to the Approver advising him that the annual certification of a user directly under their authority is due. This E-mail will be sent to the Approvers 14 days, 7 days, and one day before the certification due date unless the user submits certification. This E-mail is not sent to users who do not have any dependent users under their authority.

## 5.2 Certifying

Users will be able to certify their continued need for access to the CMS system by selecting the [Certify Account Profile](#) hyperlink on his **My Profile** screen. For more information about the steps involved in certifying, refer to **IACS User Guide for CMS User Applications**.

## 5.3 Approve/Reject/Defer Requests for Annual Certification

The Approver will be able to approve, reject or defer a pending request for IACS annual certification.

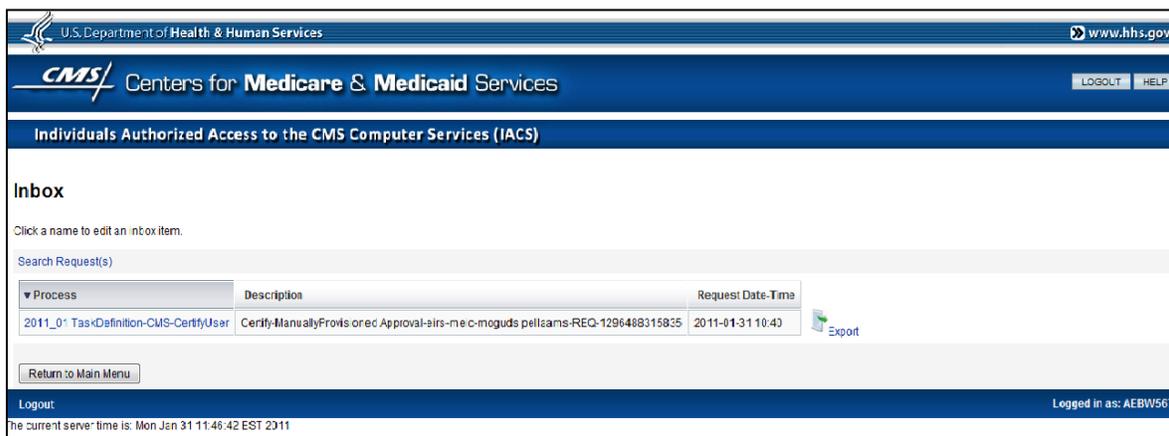
When the user submits the Certification Request, it is routed to the appropriate Approver(s) or EPOC(s), or all of them if his request requires multiple Approvers. The user's Approver(s) will have a minimum of 30 days to approve his request for Annual Certification. During that time, the user's Approver will receive reminder E-mails as described above.

The certification request from top of the chain users will be sent to the corresponding Business Owners who will open a Service Request (SR) with an IACS Administrator advising their approval/rejection decision on top of the chain users' certification request.

To take action on pending Certification Requests the Approver must first login to IACS using his IACS User ID and password. After a successful login, the **My Profile** screen will be displayed as illustrated in Figure 6.

**Action:** Select the [Pending Certifications](#) hyperlink.

The Approver **Inbox** screen will display. The Approver's pending certification items will be displayed as hyperlinks in a table as illustrated in Figure 18.



The screenshot shows the IACS web interface. At the top, there is a header for the U.S. Department of Health & Human Services and the Centers for Medicare & Medicaid Services. Below this, the page title is "Individuals Authorized Access to the CMS Computer Services (IACS)". The main content area is titled "Inbox" and contains a search bar and a table of pending certification items. The table has three columns: "Process", "Description", and "Request Date-Time". There is also an "Export" button next to the table. At the bottom of the page, there is a "Logout" button and a status bar indicating the current server time and the user's login ID.

Process	Description	Request Date-Time
2011_01_TaskDefinition-CMS-CertifyUser	Certify-ManuallyProvides orred Approval-airr-mec-moguds pelliams-REQ-1296488315835	2011-01-31 10:40

**Figure 18: Inbox listing Pending Certification**

**Action:** Select the hyperlink of the pending certification item you want to work on, as listed in the *Process* column.

The **Approve / Reject Request** screen will display as shown below in Figure 19.

Figure 19: Approve / Reject Request Screen: Certification Request

**Action:** Review the requestor's information.

**Action:** Select from the *Action* column (Approve / Reject or Defer) and enter a justification statement in the *Justification* field.

**Action:** Select the **Process** button at the bottom of the screen when you are done.

**Note:** If the user's Annual Certification date is reached (or a minimum of 30 days after submission, whichever is later), and the Approver has taken no action, it will be treated as a rejected request.

## 6.0 Archiving Accounts

Archiving is the process of removing a user's account information from the IACS system. If the user attempts to log in to IACS after his account has been archived, a message will appear on the screen that his account cannot be found. A user's IACS account will be archived for the following reasons:

### 6.1 Archiving due to Certification Failure

A user's IACS account will be archived for failing Annual Certification. If the user is not re-certified for any role or system resource by his Annual Certification due date, then the user's account will be archived.

**Note:**

- The user's account will only be archived if there are no approved resources assigned to the account. For a user with multiple resources, if even one

resource is approved, rejected resources will be removed from the user's profile, but the user's account will not be archived.

- Once the user's account has been archived, he will be required to go through New User Registration to establish a new account.

## **6.2 Archiving of certain MA/MA-PD/PDP/CC Application Users due to not having contracts in their profile for 120 days.**

Users with the following MA/MA-PD/PDP/CC Application roles will have their IACS user account archived if they have no contracts associated to their profile for 120 days or longer and they do not have any other IACS roles:

- MA Submitter
- PDP Submitter
- MA Representative
- PDP Representative
- Approver
- POSFE Contractor
- NET Submitter
- NET Representative
- Report View
- MCO Representative UI Update

**Note:** If the user has any other IACS roles apart from the MA/MA-PD/PDP/CC Application roles in his profile and has no associated contracts for 120 days or longer, the MA/MA-PD/PDP/CC Application role will be removed, but his IACS user account will not be archived.

## **7.0 Troubleshooting & Support**

### **7.1 Frequently Asked Questions**

1. *I am a registered EPOC/ Approver for the MA/MA-PD/PDP/CC Application. The request that I planned on approving is no longer in my Inbox. Why am I unable to see the pending request?*

When an existing MA/MA-PD/PDP/CC Application user requests an additional MAMA role or a report access type modification, the request needs to be approved by all the approvers of the corresponding contracts in the user's profile in addition to any contracts the user might request as part of the Add Role function.

If one of the contracts was rejected by one of the corresponding approvers, then all the contracts associated with the request will be considered rejected. Therefore, the request will be removed from your Inbox. You will receive an E-mail notification that the request has been rejected by one of the EPOCs / Approvers and no further action is

required. This request has not modified the user's profile. The user will retain his existing role(s) and contract(s).

2. *As a MCARE Helpdesk how can I get the HPG User's Submitter ID modified since the user cannot do that using self-service?*

As a MCARE helpdesk, you are not authorized to modify a user's Submitter ID using the IACS Administrative Console; only the IACS Administrators have the capability to add or modify the Submitter ID. You should open a Service Request directed to the IACS Administrators with the Submitter ID information. If your intention is to remove the Submitter ID from a HPG User's profile, then you could do that by using the Manage users under my authority function.

3. *As a PS&R/STAR Helpdesk, how can I view the CMS Certification Number (CCN) of the user's associated organization?*

The organization's CCN information can be found in the **Other Info** tab on the **View Profile** screen using the Manage users under my authority function. From the **Manage users under my authority** screen search the user for who you want to view the CCN information. After execution of the search, you should select the user from the search results and select the **View** button to view the details of the user's account. The **View Profile** screen – **Identity** tab will display. From the **View Profile** screen, select the **Other Info** tab to view the user's CCN(s) information.

## 8.0 Glossary

The following definitions are provided for terms used or implied in this User Guide as well as relevant cross references to additional terms that are used in those definitions.

Term	Definition
CMS	The Centers for Medicare & Medicaid Services – the Health and Human Services agency responsible for Medicare and parts of Medicaid.
COB	Coordination of Benefits. Access to this application is restricted to the employees of Coordination of Benefits Contractor (COBC) only.
HHS	The Department of Health and Human Services – a government agency that administers many of the “social” programs at the federal level dealing with the health and welfare of the citizens of the United States. HHS is the “parent” of CMS.

Term	Definition
HIPAA	Health Insurance Portability And Accountability Act Of 1996 – a Federal law that allows persons to qualify immediately for comparable health insurance coverage when they change their employment relationships. Title II, Subtitle F, of HIPAA gives HHS the authority to mandate the use of standards for the electronic exchange of health care data; to specify what medical and administrative code sets should be used within those standards; to require the use of national identification systems for health care patients, providers, payers (or plans), and employers (or sponsors); and to specify the types of measures required to protect the security and privacy of personally identifiable health care information. Also known as the Kennedy-Kassebaum Bill, the Kassebaum-Kennedy Bill, K2, or Public Law 104-191.
Medicaid	A joint federal and state program that helps with medical costs for some people with low incomes and limited resources. Medicaid programs vary from state to state, but most health care costs are covered for those who qualify for both Medicare and Medicaid.
Medicare	A Federal health insurance program enacted in 1965 that is financed by a combination of payroll taxes, premium payments, and general Federal revenues. This program provides health insurance to people age 65 and over, those who have permanent kidney failure requiring dialysis or transplant, and certain individuals under 65 with disabilities.
SSA	Social Security Administration – the government agency that administers the social security program.
SSN	Social Security Number – a unique identification number assigned to individuals by the SSA.
Top of the Chain of Trust User	IACS uses a hierarchical system of approval for registration requests, profile modification requests, and annual certification requests referred to as the Chain of Trust. End User requests are approved by Approvers. Approvers are approved by Authorizers. Authorizers are approved by the Business Owner or their designee. Business Owners typically do not have an IACS User ID. Thus, Authorizers are referred to as Top of the Chain Users, since they are the last users in the chain who must have an IACS User ID.

## 9.0 Acronyms

This section defines acronyms used or referenced in this Appendix.

Acronym	Definition
AO	Authorized Official
CBIC	Competitive Bid Implementation Contractor

Acronym	Definition
CC	Cost Contracts
CHIP	Children's Health Insurance Program
CMS	The Centers for Medicare & Medicaid Services
COB	Coordination of Benefits
COBC	Co-ordination of Benefits Contractor
CSP	Center for Strategic Planning
CSR	Customer Service Representative
DBids	Durable Medical Equipment, Prosthetics, Orthotics and Supplies (DMEPOS) Bidding System
DMEPOS	Durable Medical Equipment, Prosthetics, Orthotics & Supplies
DOB	Date of Birth
ECRS	Electronic Correspondence Referral System
EHR	Electronic Health Record
EPOC	External Point of Contact, Organizational IACS Approver
HETS UI	HIPAA Eligibility Transaction System User Interface
HIPAA	Health Insurance Portability and Accountability Act
HPG	HIPAA Eligibility Transaction System Provider Graphical User Interface
HSTP	Health System Tracking Project
IACS	Individuals Authorized Access to the CMS Computer Services
ID	Identification
ISV	Internet Server
MA	Medicare Advantage
MAC	Medicare Administrative Contract
MA-PD	Medicare Advantage – Prescription Drug
MCARE	Medicare Customer Assistance Regarding Eligibility
MCSIS	Medicaid and Children's Health Insurance Program (CHIP) State Information Sharing System
MCO	Managed Care Organization

Acronym	Definition
MDR	Medicaid Drug Rebate
MED	Medicare Exclusion Database
MEIC	Medicare Eligibility Integration Contractor
NIST	National Institute of Standards and Technology
PDP	Prescription Drug Plan
POSFE	Point-of-Sale Facilitated Enrollment
PQRI	Physician Quality Reporting Initiative
PQRS/eRx	Physician Quality Reporting System and E-Prescribing Incentive Programs
PS&R/STAR	Provider Statistical and Reimbursement / System Tracking for Audit and Reimbursement
SHIP	State Health Insurance Plans
SO	Security Official
SPAP	State Pharmacy Assistance Programs
SSN	Social Security Number
SR	Service Request
TIN	Tax Identification Number