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Office of Information Services

Enterprise User Administration (EUA)

Access Approvers Guide

Version 2.4
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08/02/2004	Version 1.0	
11/17/2005	Version 1.1	WorkFlow 2.0.05; new e-mail screens
03/29/2006	Version 1.2	New Approval Process, new screen for delegation
07/19/2006	Version 1.3	Significant changes have been made
08/24/2006	Version 2.0	Significant changes have been made
03/13/2007	Version 2.1	Minor changes, URL links updated
01/08/2008	Version 2.3	URL links updated
01/28/2008	Version 2.4	Updated Captioning for 508 Compliance
04/02/2008	Version 2.5	Updated the screen shots for the e-mail

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1.0   PURPOSE

This guide provides information on the Enterprise User Administration (EUA) system used by the Centers for Medicare & Medicaid Services (CMS) and the CMS Data Center (CMSDC). The guide discusses the role of access approvers in EUA, and provides instructions for installation and operation of EUA support products available to the approver.

EUA is a system used by CMS to manage enterprise User IDs and passwords. It provides centralized administration of User IDs on the entire CMS enterprise including the mainframe systems, mid-tier devices such as AIX or Sun systems, network operating systems such as Netware or Windows, and database platforms such as Oracle, Sybase, and MS SQL. The system utilizes online data to automate the approval process for access requests, and provides logging and auditing support.

EUA only manages resources resident at the CMSDC and at CMS Web sites. Therefore, it does not control remote dialup access User IDs provided by AT&T Global Network Services (AGNS) or Health and Human Services (HHS)-provided resources, such as the Integrated Time and Attendance System (ITAS). Users need to manage those User IDs and passwords through mechanisms provided in those environments. EUA also does not manage local IDs created in application tables. Users need to contact application owners for instructions on how these can be maintained. For applications registered with EUA, the system will notify application maintainers whenever a user is granted approval for access to that application.

2.0　EUA SYSTEM DESIGN

The EUA system is comprised of multiple servers communicating with the various platforms supported in the CMS enterprise. Figure 1 depicts the EUA components and their relationship to the enterprise.

### Figure 1 — EUA Architecture
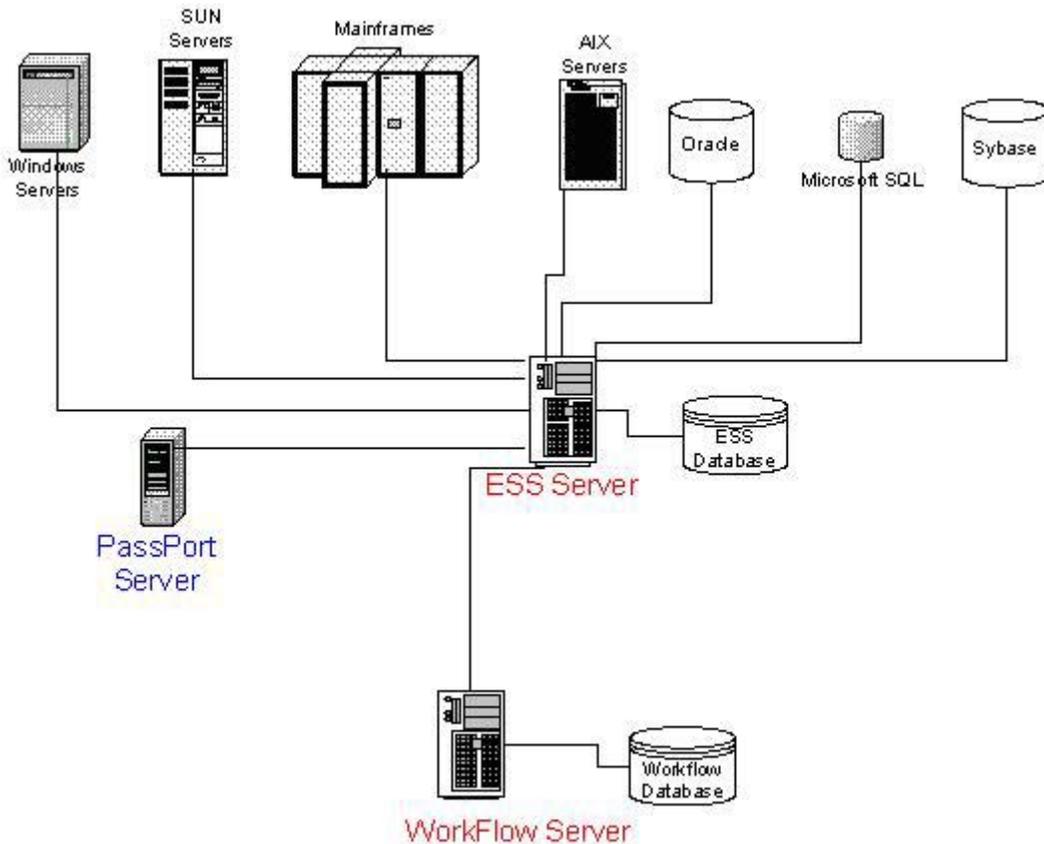
The Enterprise Security Server (ESS) is the central component in EUA. It houses a database, which contains information about every CMS enterprise user, including data about access rights to every platform. It has connections to every processing environment supported by the agency. Users do not directly access the ESS server. End user password management and User ID certification is handled by the PassPort server, which has a direct connection to ESS.

The WorkFlow server is used for user access provisioning. Requests for new User IDs, user access to applications, and User ID deletion are entered into the WorkFlow server, routed to the appropriate approving authorities, and then scheduled for processing by the ESS server.

3.0 EUA APPROVAL PROCESS

The EUA system is configured with approval information for every enterprise user and for every supported application. The approval process requires user access approval from their first approver, and from a business owner for access to an application. Figure 2 depicts the approval process.

Figure 2 — Approval Process
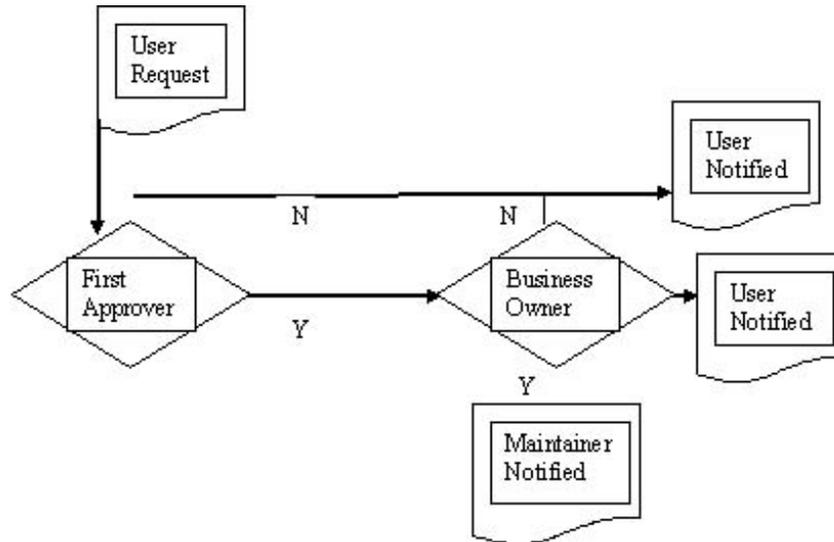
Users initiate requests by sending e-mails to their CMS Access Administrators (CAA), filling out the Application for Access to CMS Computer Systems form available at: http://www.cms.hhs.gov/InformationSecurity/Downloads/EUAaccessform.pdf, or through the online certification process. In the first two situations, the CAAs enter the request using EUA WorkFlow.

Routing logic in WorkFlow sends the request to the first approver. If necessary, each Business Owner is notified to approve the requested application(s). After approval, information is sent to the application maintainer, if necessary, and the user is notified of the status. A rejection by any approver terminates the process with a notification to the requestor.

4.0 EUA APPROVERS

User access approver selection is dependent on the type of user being processed. Table 1 defines the first approvers, based on user type.

Table 1 — First Approvers Based on User Type

User Type	First Approver
CMS Employee	Immediate Supervisor
Contractor (non-Medicare)	Project Officer
Researcher	Project Officer
Medicare Contractor / Intermediary Carrier	Company Contact
Program Safeguard Contractor	PSC GTL
Managed Care Org/Group Health Plan	Health Insurance Specialist (based on region)
Quality Improvement Organization	QIO Contact
ESRD Network	ESRD Contact
Federal User	Fed Contact
State user	State Contact

Note that for contractor (non-Medicare) and researcher user types, the first approver must be the Project Officer only for the initial User ID issuance. After a User ID has been issued, another person can be designated as the first approver. The reason the Project Officer must be the first approver on initial issuance is due to the fact that the enterprise User ID is being created and a first approver has not yet been established in the User ID record. The only information available is contract number, which is used to find the Project Officer.

Under EUA, Project Officers have a responsibility to ensure that their contracts are kept current. EUA coordinates contract termination information with data from the Acquisition and Grants Group (AGG). In the future, Project Officers will receive a notice from EUA 45 days before a contract expiration date occurs. They will get another notice when 14 days remain on the contract. This will remind them to submit a contract mod to AGG in order to update the expiration date, and to address the accesses their contractors have. Upon contract expiration, contractor accesses to CMS systems and applications will be terminated.

The first approver has sole responsibility for all CMS and Contract employees' four character RACF ID.

5.0   TYPES OF NOTICES

EUA supports two types of notices: approval notifications and informational notices. As indicated in the WorkFlow diagram, information notices are e-mails sent to application maintainers informing them that some action may need to be taken to enable user access to that application. Approval notifications, on the other hand, require action by the approver before EUA can establish the access and notify the maintainer. The approver also has the opportunity to reject the access request.
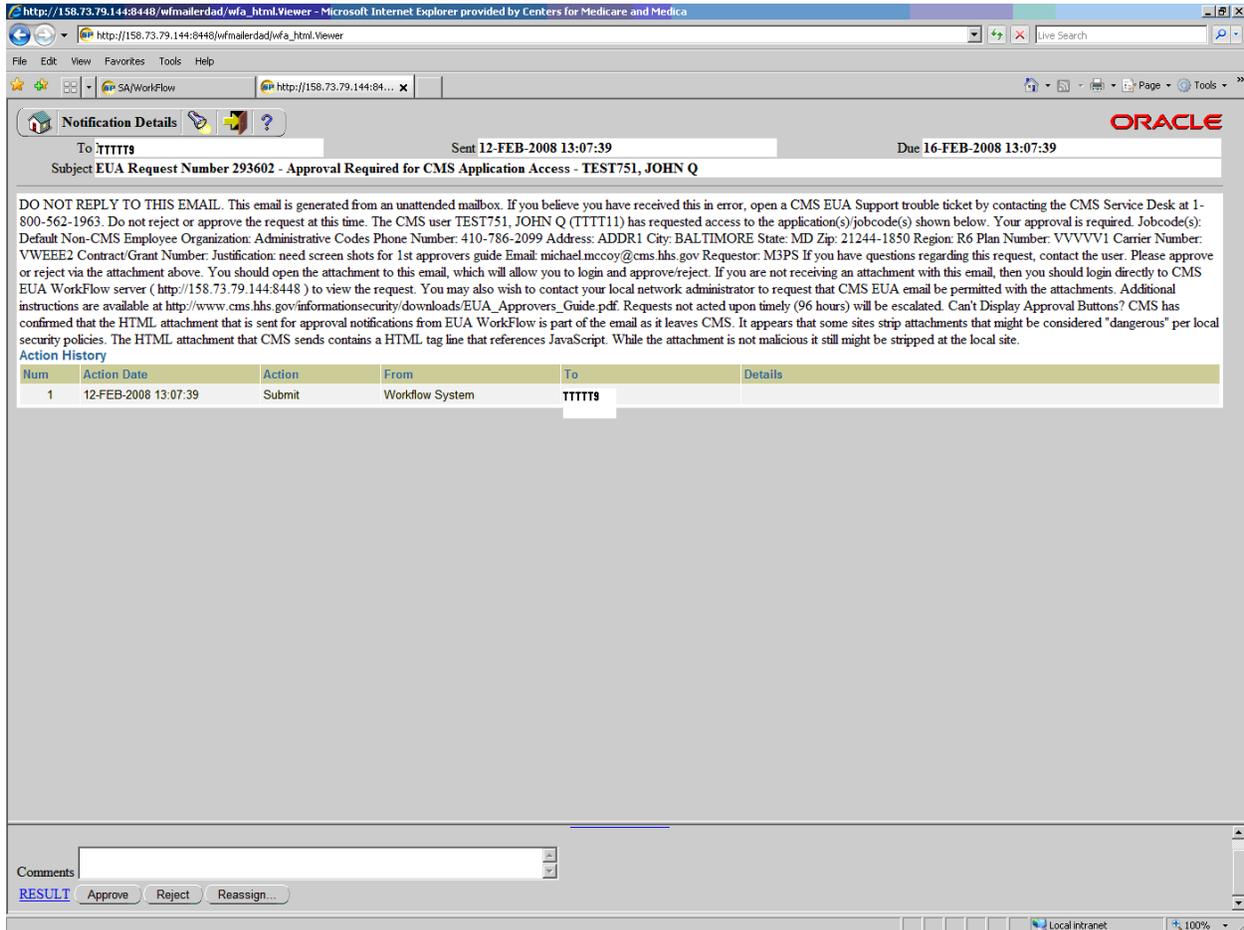
5.1   Approval Notifications

Figure 3 is an example of an approval notification. **The links at the bottom DO NOT work**.

Figure 3 — Notification E-mail
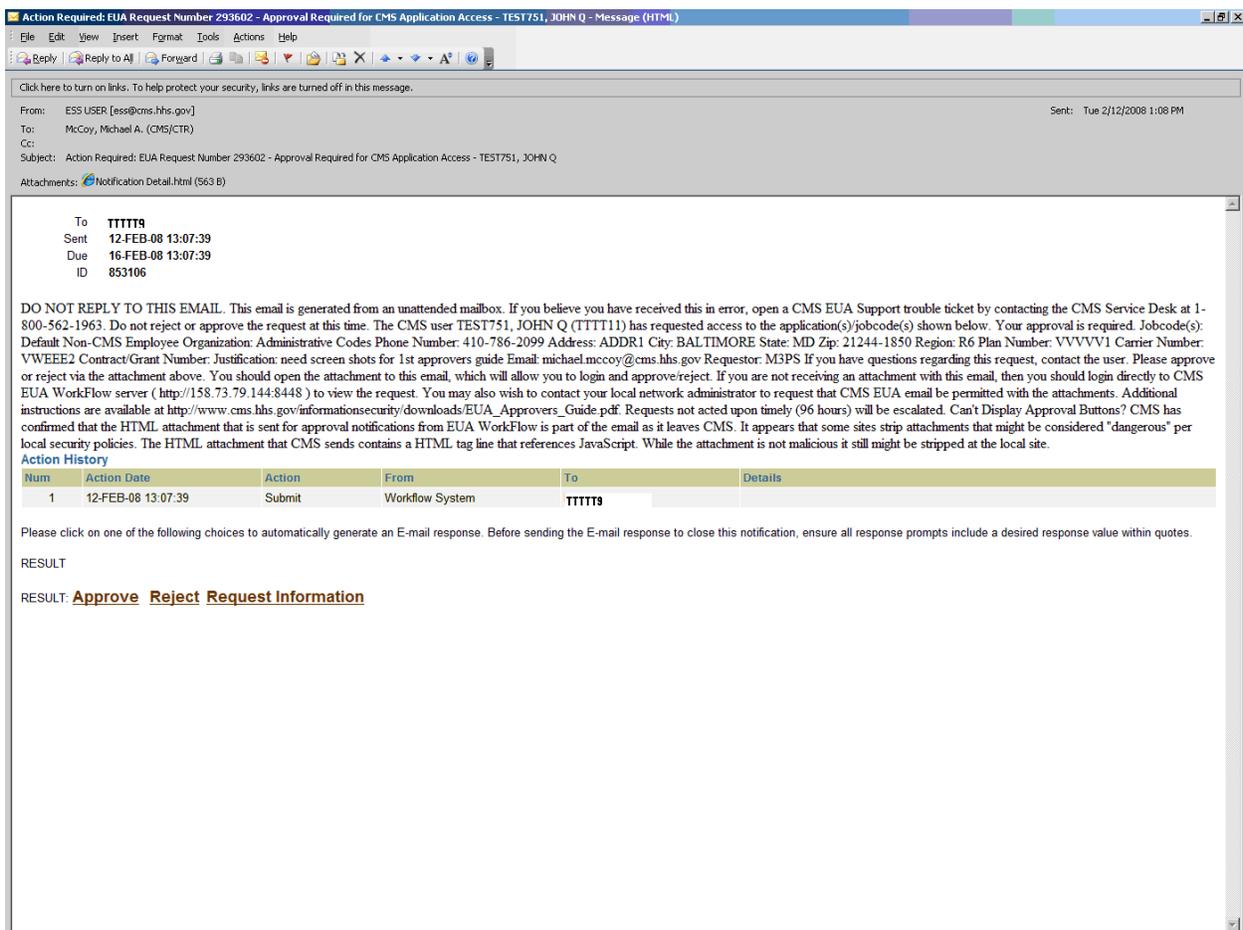
In the example in Figure 4, the approver is being asked to approve or reject a request for access to a number of applications. If the request is valid, the approver can select the attachment at the top.

Figure 4 — Approval Screen

After the attachment is opened, the approver can select the "Approve" button at the bottom of the window. The request can be rejected by selecting "Reject." If the approver believes that the request was sent in error, a trouble ticket should be opened. The "Reassign" button should not be used because the request may end up being reassigned to someone who does not have EUA authority to approve the access.

Most of the EUA authorization tables have alternate approvers assigned. In these cases, the approval notifications are sent to multiple approvers. If an approver processes the request, the other approvers will receive a notification e-mail indicating that the request has already been processed.

Figure 5 — E-mail Notification
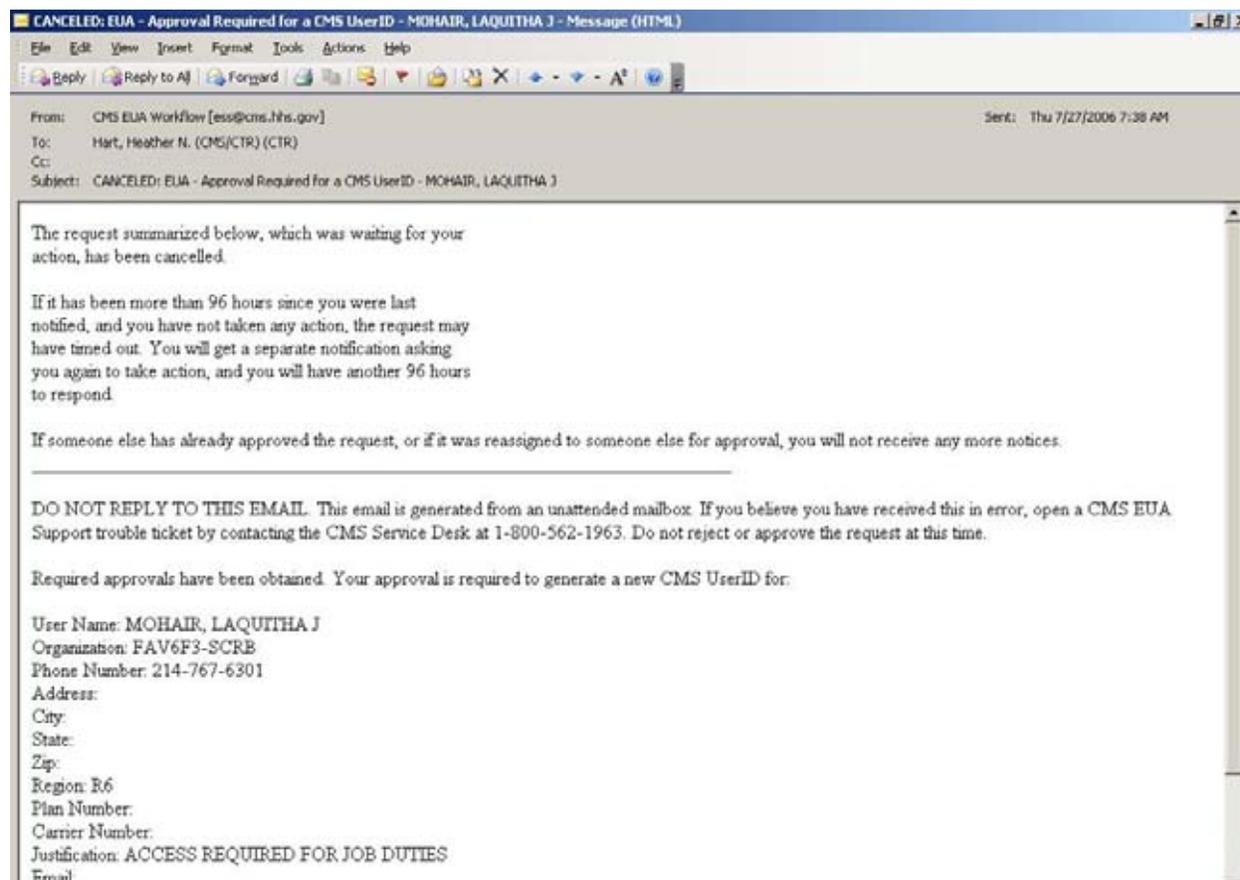
In this example, an alternate has processed the approval notification. The original notification request can be deleted.

5.2   Informational Notices

These are notices sent to application maintainers. These e-mails do not have the "Approve" and "Reject" buttons that are on the approval notifications. The purpose of the e-mail is to notify the maintainer that application provisioning needs to be performed on behalf of the specified user. The maintainer should take appropriate action and notify the user, providing instructions if necessary.

6.0 APPROVING REQUESTS THROUGH WORKFLOW

Approvers can use WorkFlow to approve or reject access requests. WorkFlow can also be used to view pending and completed approval notices assigned to the approver.

6.1 Installing WorkFlow

Since WorkFlow is a Web-based application, no user installation of software is needed. Only a Web browser such as Internet Explorer or Netscape is needed on the user workstation to use WorkFlow. However, the initial access to WorkFlow will invoke a download of the Oracle Java JInitiator software. This download may take some time, especially on dial access, since the file is several megabytes. CMS employees have the file installed on their workstations, and are provided with a WorkFlow icon (Figure 6) on their desktops.

Figure 6 — WorkFlow icon

Other users can create a desktop icon for WorkFlow. Instructions for creating icons are available in the CMS Remote Access Guide.

Some sites may have locked down workstations that are not allowed to download JInitiator. The Remote Access Guide also has instructions for manually downloading and installing JInitiator.

6.2 Logging into WorkFlow

WorkFlow is accessed by selecting the WorkFlow icon, or by going to the following URL in the Web browser: http://158.73.79.144:7778/wfdad/workflow.html.

Contractors using WorkFlow must verify their Data Centers have permitted access to the IP address of the server, and that their sites are allowed access into the CMS Data Center. Problems with the latter can be referred to the CMS Service Desk at 1-800-562-1963.

After WorkFlow is loaded, the user enters their CMS enterprise User Id and password on the screen (Figure 7).
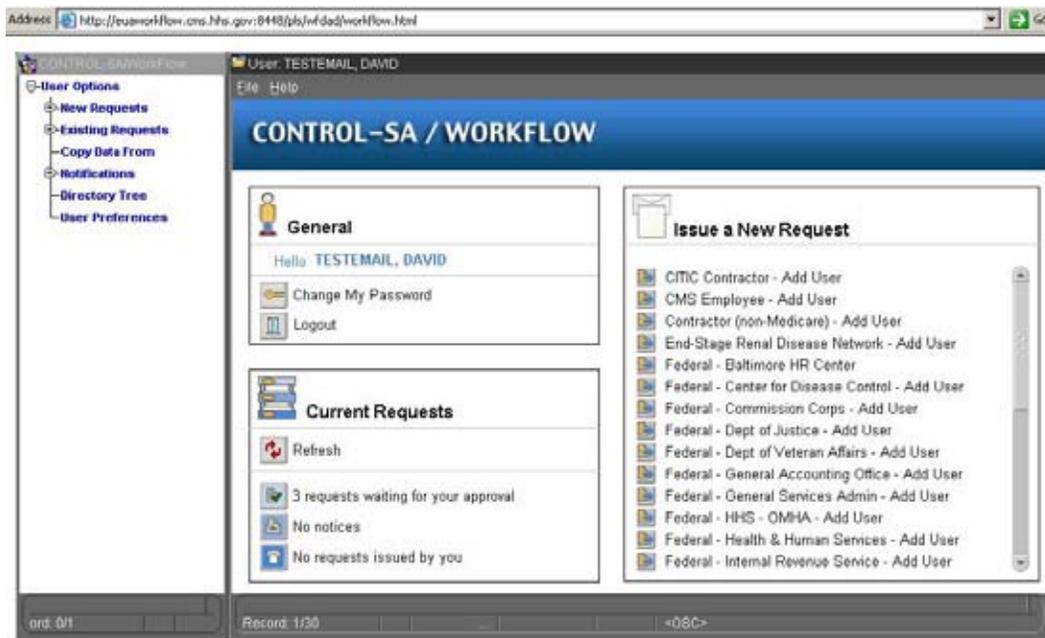
Figure 7 — WorkFlow Logon Screen


6.3   Viewing WorkFlow Notices

After logging in, the WorkFlow main screen is displayed:

Figure 8 — WorkFlow Main Screen

The user can then select **Notification**, which displays the two types of notices. By selecting **Approval Notices**, the list of open and closed approvals is displayed (by default, only requests that are waiting for approvals are displayed. The user has the option of displaying only open request (filter: open, default) or all requests (filter: all), regardless of status).

Figure 9 — Approval Notice View
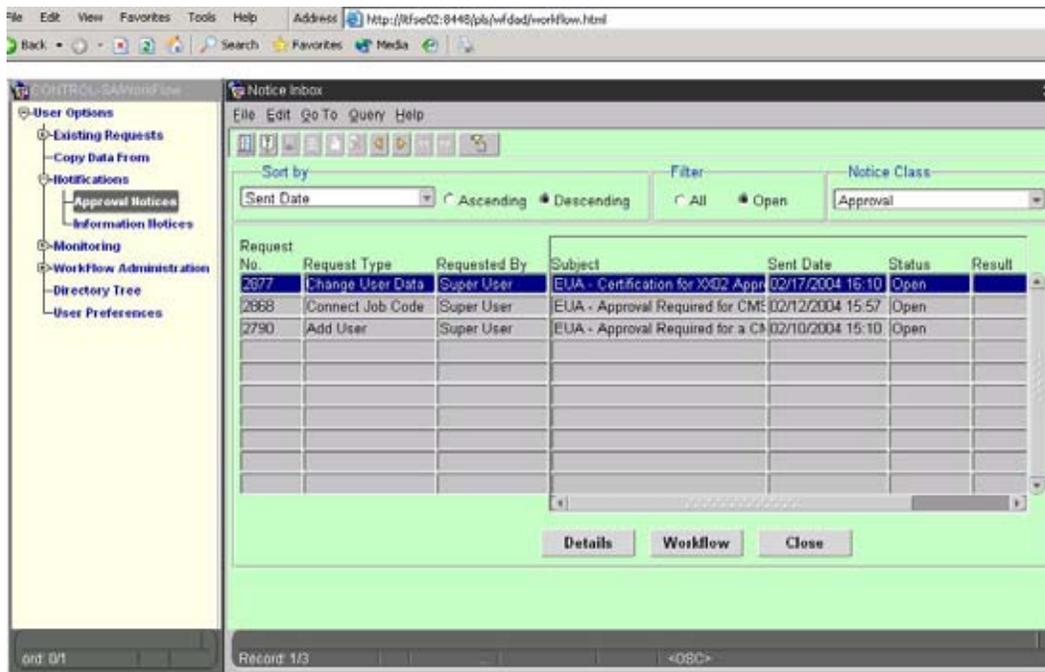
To view a specific request, highlight the entry and click **Details**:

Figure 10 — Approval Notice Detail Screen
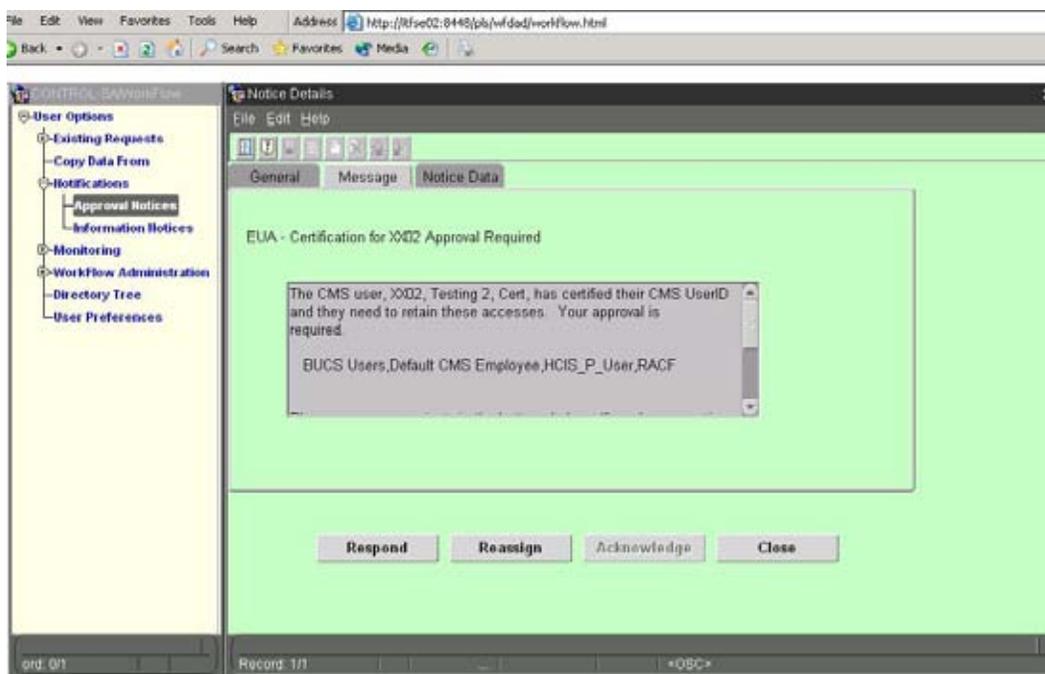
Figure 10 shows a request for approval of a certifying user. The scroll bar in the box is used to see the rest of the message.
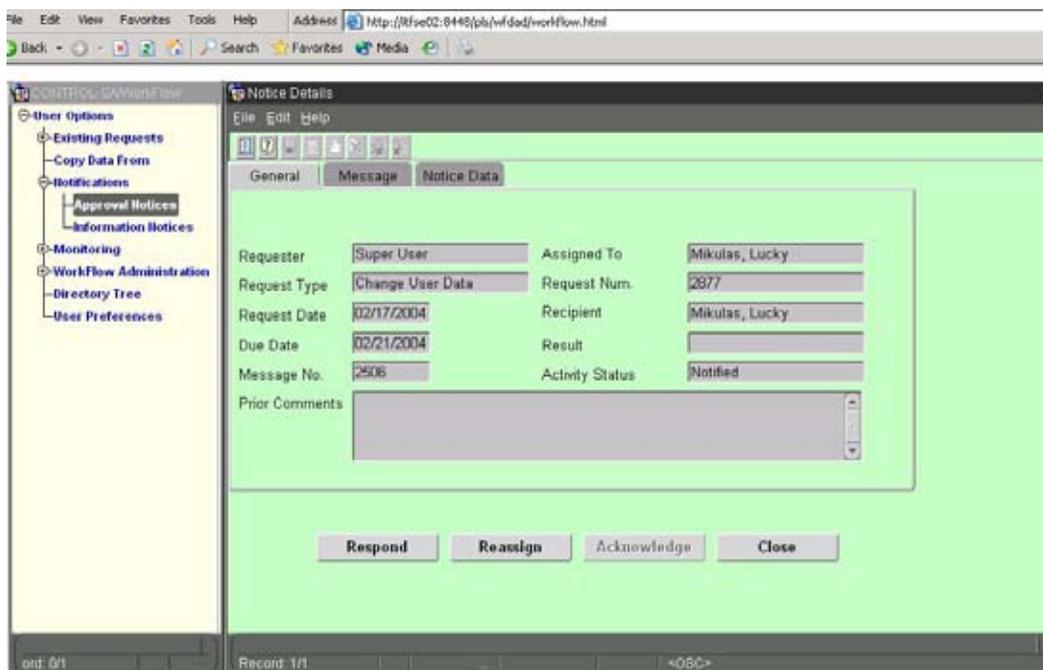
To get a summary of the request, use the **Notice Data** tab:
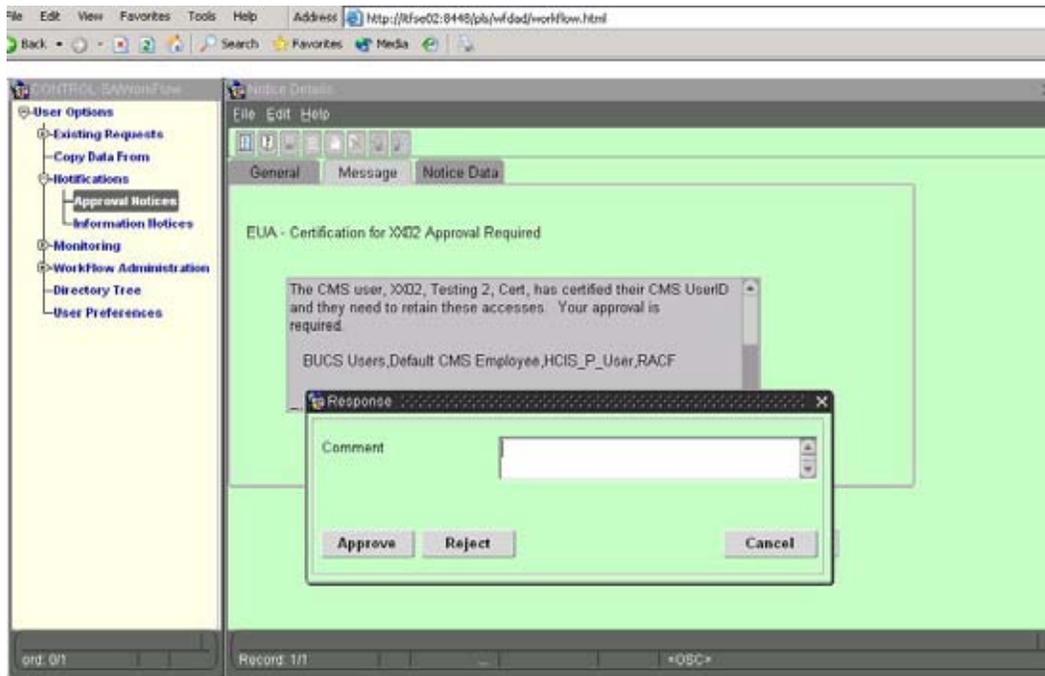
Figure 11 — Notice Data Tab
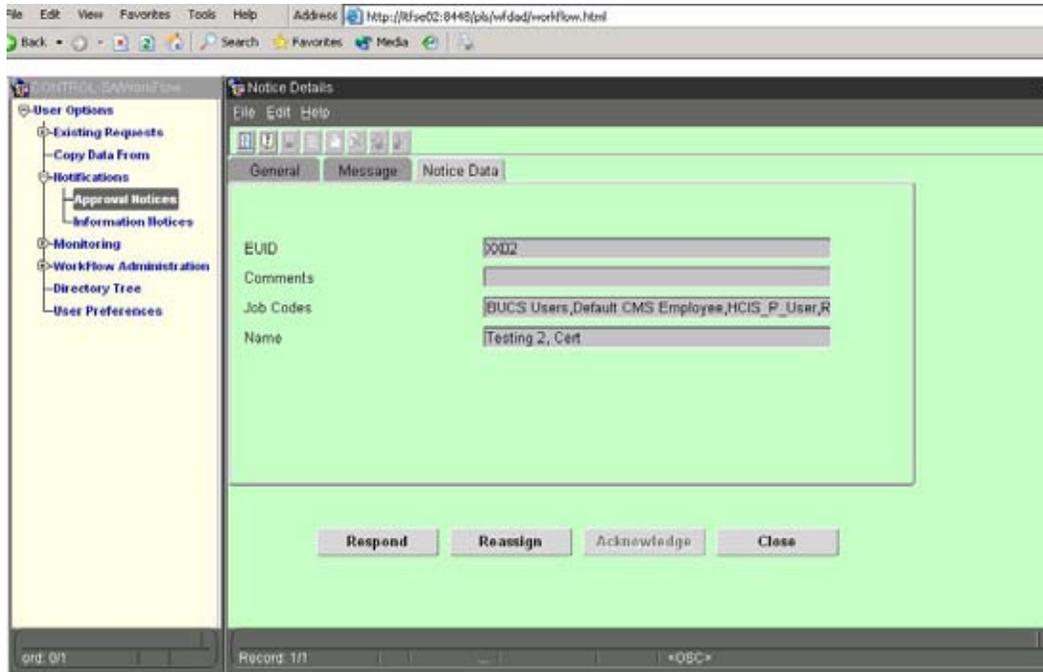
The **General** tab gives more information about the specific request and its status:

Figure 12 — General Tab

To approve or reject the request, click on **Respond**. Do not use the **Reassign** button.

Figure 13 — Approve or Reject Box

Enter any comments you may have, and click **Approve** or **Reject**.

7.0   AUTO RESPOND RULES FOR OUT OF OFFICES

As was stated earlier, most approvers have alternates defined in WorkFlow, and these alternates can approve or reject requests when an approver is not available. CMS managers, however, do not have designated alternate approvers. The EUA system determines a manager based on the CMS organizational structure provided by the Human Resources department. Managers who will be out of the office for an extended period should set up an Auto Respond rule in WorkFlow. The rule will automatically forward requests to the designated person.

7.1   Creating a Rule

To create an Auto Respond rule, select User Preferences on the list at the left, and then click on the Auto Respond Rules button:
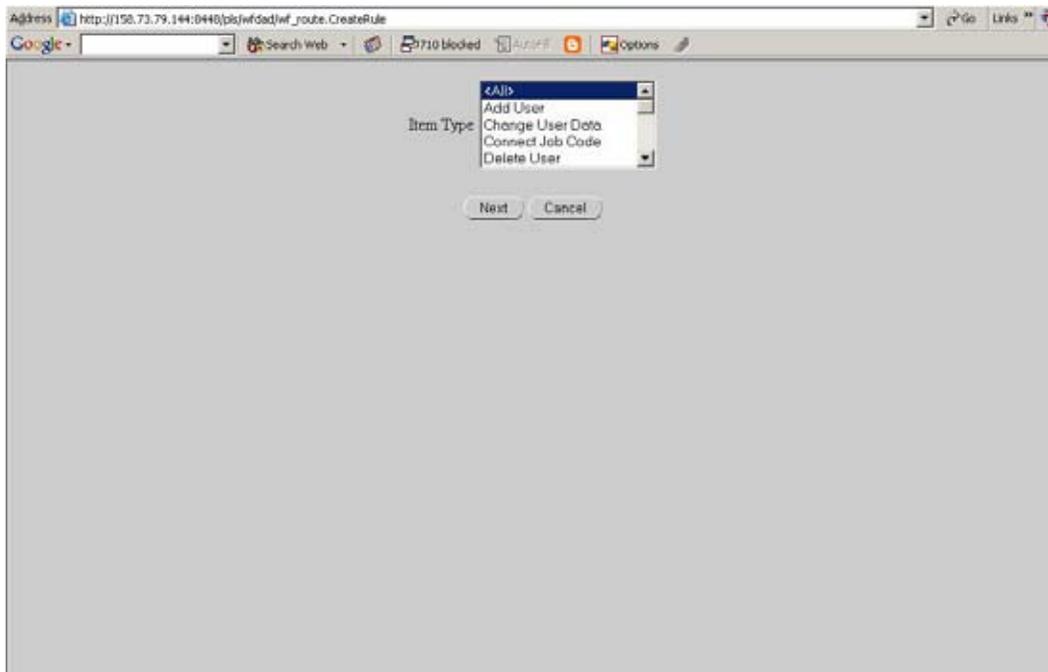
Figure 14 — User Preferences
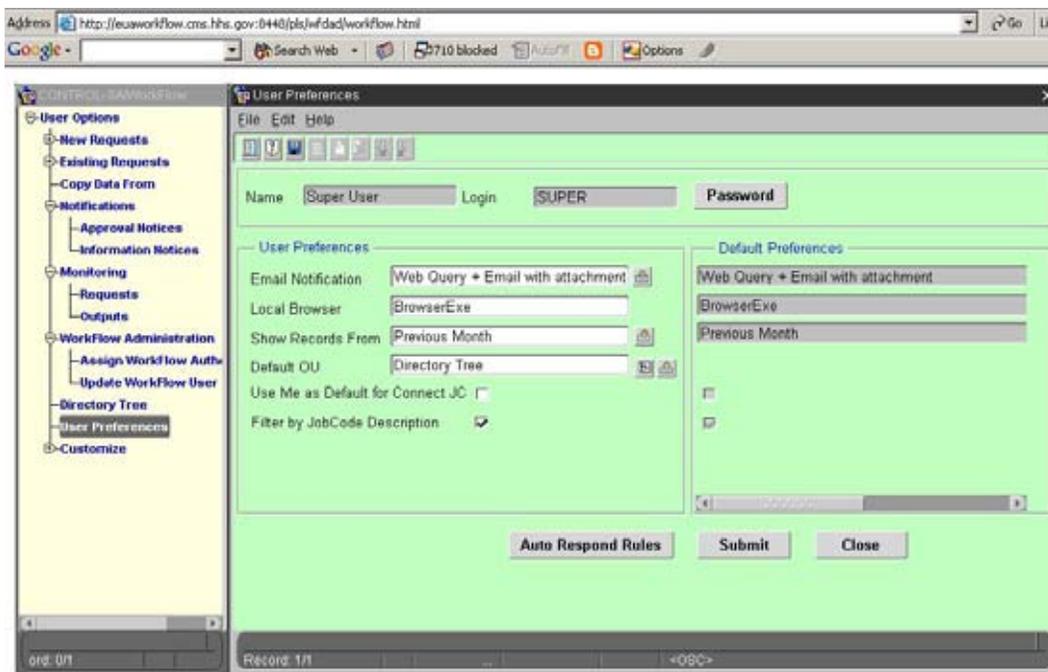
This will bring up another window with a **Create Rule** option. Note that if your browser is running a popup blocker, it will have to be bypassed in order for this window to appear.

Figure 15 — Create Rule
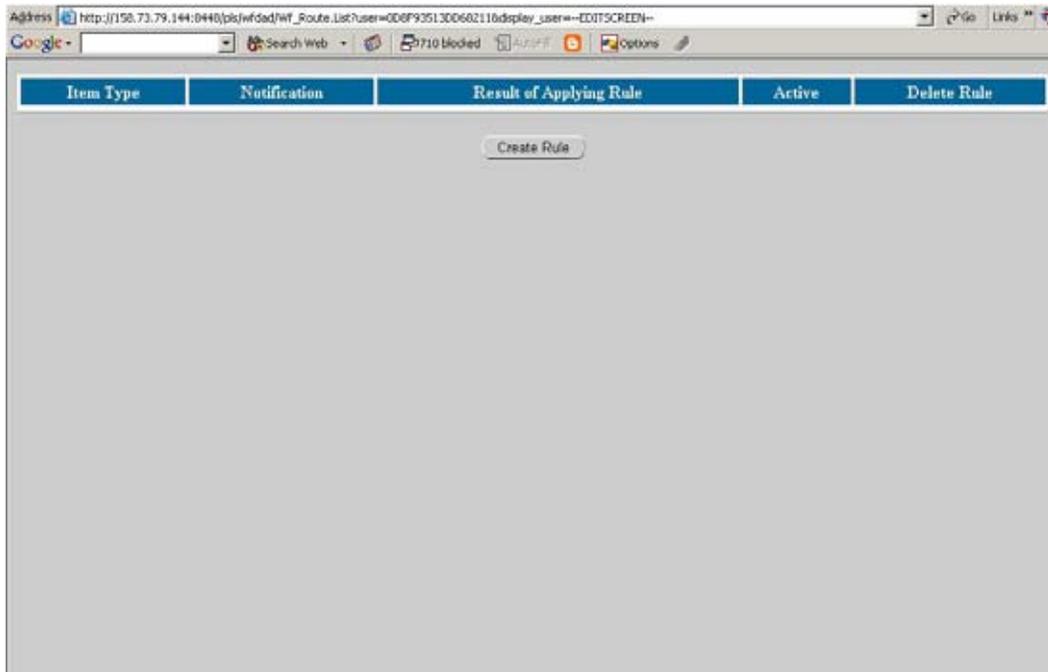
Make sure **<All>** is highlighted, then click **Next**:

Figure 16 — Item Type

Fill in the Start and End Dates and insert comments:

Figure 17 — Start and End Dates

8.0   REASSIGNING TO ANOTHER APPROVER

Click on the triangle at the right of the **Reassign to** box. A user selection window will appear. Enter the desired approver's last name in all capitals followed by a **%** sign:

Figure 18 — End User
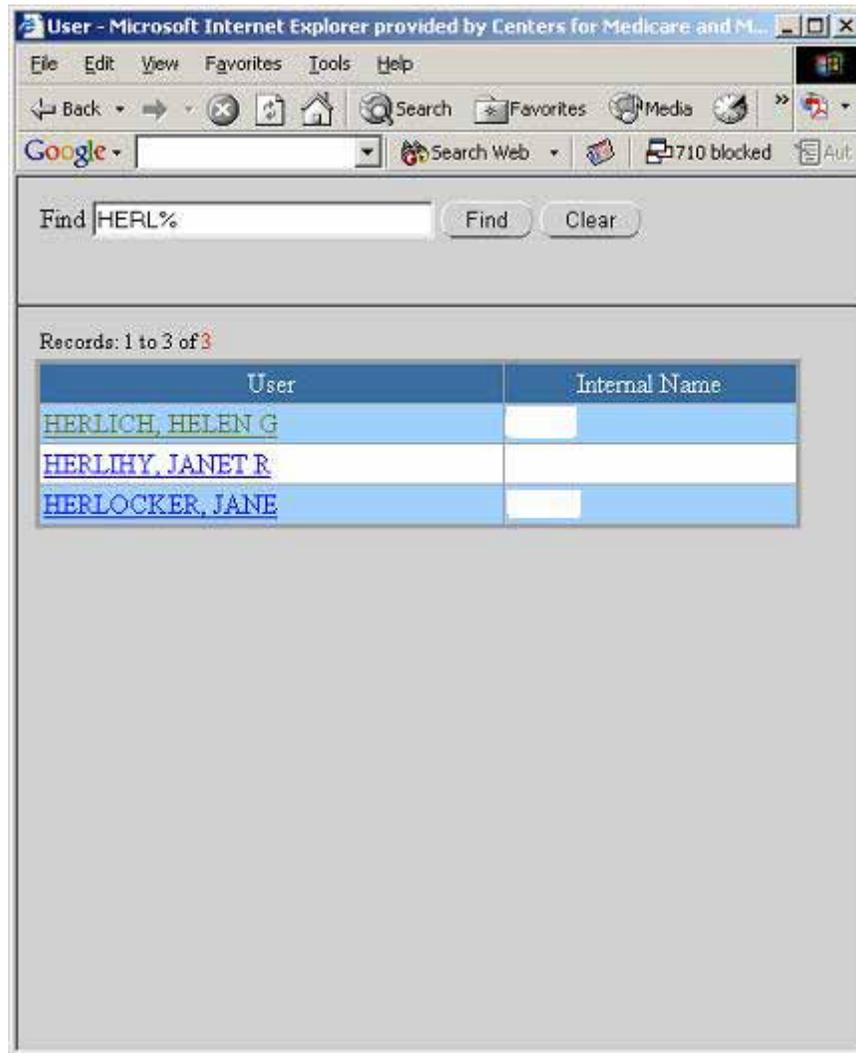
Note that a partial name can be specified. After making the selection, the window will close.

In the previous rule creation window, click the button next to **Delegate Authority for responding to Notifications**, and then click **OK**.

All approval notifications will be delegated to the designated person for the duration of time specified. If you need assistance in setting up the WorkFlow auto-respond rules, contact the CMS IT Service Desk at 1-800-562-1963.