Appointment

From: Couts, Todd (CMS/OIS) NotResp NotResp

Sent: 9/23/2013 10:28:29 PM

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Subject:	MEETING: Pre-Production Cutover Review
Location:	CGI Herndon; (b)(6) / https:/ (b)(6)
Start:	9/24/2013 8:00:00 PM
End:	9/24/2013 9:30:00 PM
Show Time As:	Busy
Recurrence:	(none)
Required Attendees:	Oh, Mark U. (CMS/OIS); Margush, Doug C. (CMS/OIS); Dill, Walter (CMS/OIS); Thompson, Tyrone (CMS/OIS); Um, Peter (CMS/CTR); Shao, Lijun (CMS/CPI); Outerbridge, Monique (CMS/OIS); Chao, Henry (CMS/OIS); 'Rubin, Keith (CGI Federal) (Keith.Rubin@cgifederal.com) (Keith.Rubin@cgifederal.com)'; 'monica.winthrop@cgifederal.com'; ''Leak, Jennifer J (CGI Federal)' (Jennifer.Leak@cgifederal.com)'; 'Karlton Kim (kkim@qssinc.com)'; 'Jagadish Gangahanumaiah'; 'Par Rachakonda - US (prachakonda@caci.com)'; 'Fred Covert - US (fcovert@caci.com)'; Radcliffe, Glenn D. (CMS/OIS); Van, Hung B. (CMS/OIS); Basavaraju, Venkat (CMS/OIS); Booth, Jon G. (CMS/OC); Patel, Ketan (CMS/OC); 'Sharma, Hemant (CGI Federal) (Hemant.Sharma@cgifederal.com)'; CMS - EIDM CMS Team; Rhones, Rhonda D. (CMS/OIS); Berkley, Katrina (CMS/OIS); Grothe, Kirk A. (CMS/OIS); Speights, Richard A. (CMS/OIS); Fletcher, John A. (CMS/OIS); Rich Martin (Rich.Martin@cgifederal.com)

Here are logistics:

- Webinar: **https://** (b)(6)
- Dial In:
  (b)(6) / PIN: (b)(6)

Here is the document we will use. I know there is a lot going on right now with TEST2 debugging. So, we will go ahead with who we have a move on.

Consolidated
Cutover Tasklist....

Appointment

From:	Pass, Jeffrey [jeff.pass@aquilent.com]
Sent:	7/23/2013 4:10:23 PM
To:	Pass, Jeffrey [jeff.pass@aquilent.com]; Stoltz, Craig (CMS/OC); Hodges, Kim; Tobolsky, Alexandra; Guthrie, Tamara; Das, Krista (CMS/OC); McDermott, Kevin; Slavinsky, Gary F. (CMS/OC); Nethery, Charles; Calabrese, Anthony (CMS/OC); Mudd, Nathaniel (CMS/OC); Balasubramanian, Mohanraj (CMS/OC); Patel, Ketan (CMS/OC); Pressley, Erin L. (CMS/OC); Trefzger, William (CMS/DWO); Booth, Jon G. (CMS/OC); Johnson, James E. (CMS/OC)
Subject:	HealthCare.gov/WNMG Continuous Site Improvement Plan and Change Control Plan Review
Location:	CMS War Room; dial-in and WebEx in body of invite
Start:	7/23/2013 5:30:00 PM
End:	7/23/2013 6:30:00 PM
Show Time As:	Tentative
Recurrence:	(none)
Required Attendees:	Stoltz, Craig (CMS/OC); Hodges, Kim; Tobolsky, Alexandra; Guthrie, Tamara; Das, Krista (CMS/OC); McDermott, Kevin; Slavinsky, Gary F. (CMS/OC); Nethery, Charles; Calabrese, Anthony (CMS/OC); Mudd, Nathaniel (CMS/OC); Balasubramanian, Mohanraj (CMS/OC); Patel, Ketan (CMS/OC); Pressley, Erin L. (CMS/OC); Trefzger, William (CMS/DWO); Booth, Jon G. (CMS/OC); Johnson, James E. (CMS/OC)

"War Room" confirmed for in-person attendees. --Jeff

Attaching Continuous Improvement Plan and updating invitation with location and dial-in/WebEx information.

All the Best,
Jeff Pass

In Person:
Room: CMS War Room

Remote:
Webinar: https:// (b)(6)
Phone: to access this conference, please dial:
Central Office Participant (b)(6)
All other Participants (b)(6)
Meeting ID: (b)(6)
Meeting password: Not required

Meeting to present and discuss the WNMG Continuous Site Improvement Plan (CIP). The CIP is the outgrowth of the continuous improvement brainstorm session from 07/08/2013 and has been expanded to include the WNMG Change Control Plan (CCP).

Aquilent will present the plan, and identify areas where CMS inputs are required. Afterward Aquilent will update the plan and re-distribute to the group for review and feedback.

Invite will be updated with CMS location and dial-in/WebEx information.

-Jeff Pass

Jeffrey Ryan Pass | Lead User Experience Consultant | Aquilent
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Center for Medicare & Medicaid Services (CMS) Continuous Improvement Plan

Version 1.0

Prepared by Aquilent, Inc.

Prepared for WNMG

Date July 23, 2013

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1 Introduction

This document is to provide guidance on the process for the Continuous Analysis & Improvement as well as Change Management across online properties owned or controlled by the Centers for Medicare and Medicaid Services (CMS) Office of Communications (OC) Web and New Media Group (WNMG).

All changes, including technical, content, and UX/design, will follow this process. The WNMG Continuous Improvement Plan (hereafter "the Plan") is the owner of coordination and collaboration between groups and subcontractors working with WNMG on WNMG-owned online projects.

This document will be maintained and updated to reflect the changing needs of WNMG as well as the depth and breadth of WNMG online projects. Project-specific appendices will be created to provide specific points of contact and unambiguous guidance on a project-by-project basis.

1.1 Background

WNMG has a diversity of projects and online properties therefore the Plan is intentionally high-level, providing direction and support. A collection of appendices for individual projects and online properties (hereafter referred to as "sites") will provide project-/site-specific documentation and guidance.

NOTE: The Plan combines and replaces the preceding version of the WNMG Change Management Plan (CMP). As a result it is expected that the Plan will be revised and may expand its scope based on continuous improvement and change management needs identified through other WNMG projects.

1.2 Continuous Improvement and Change Management Approach

To ensure that this plan serves the needs of WNMG as well as the consumers of WNMG sites, the following principals were adopted:

1.2.1 Iterative

Iterative process allows for the measured and incremental implementation of pre-defined tasks. It is comprised of cycles with finite start and end dates, called iterations and sprints. Iterations are worked on by project teams to reduce overall risk to the project by building on smaller releases rather than one long project where requirements may change over time. Iterations may map directly to a release schedule and are made up of pre-determined number of contiguous sprints in which groupings of prioritized tasks are carried out. WNMG employs the Agile development process which is iterative and supports this approach.

1.2.2 Consumer-Focused

The needs and experience of the user is a driving force in all decision-making related to the site, including development, design and testing. The site is also informed by industry best practices and by the Obama Administration's Building a 21st Century Digital Government directive, Digital Government Strategy and related initiatives.

1.2.3 Metrics-Based

Metrics are quantitative data (e.g. search and web logs) or feedback (e.g. ACSI/American Customer Satisfaction Index user data) gathered to evaluate site performance and identify specific areas for improvement. Metrics can describe all aspects of site ranging from server environment and performance to user experience. They take into account the quality of the user experience and the goals of the product or project. This data allows for the measurable and continuous optimization of the digital experience including the identification and tracking of key performance indicators (KPIs) that can be used to gauge the effectiveness of site changes.

NOTE: From the standpoint of Change Management, issue tracking tools (e.g. JIRA) not only allow for the creation and tracking of 'tickets' through workflows, they also produce rich quantitative data relating to both individual tickets and the larger project.

1.2.4 Repeatable

In order to be successful, Continuous Analysis & Improvement and Change Management approaches require repeatable processes that can be easily understood, adopted, and analyzed.

2 Improvement Sources

There are a variety of sources for continuous improvement direction including user feedback/input, formal usability testing results, site metrics, site audits and heuristic reviews, and change control, governance, and program management bodies.

2.1 Feedback/Input

Feedback and input sources include users, stakeholders, and project teams.

NOTE: For all of 3.1 Feedback/Input, see Appendix 1: Sources of Feedback & Input for detailed listings.

2.1.1 Users

User feedback and input provides key information about what aspects of the site work or need improvement, the questions or concerns that users are bring with them to the site, and users goals and/or expectations relating to the site. User feedback and input are captured by through variety of tools including:

- Page- and site-level level feedback surveys (e.g. the Voice of the Consumer tool or PollDaddy)
- Call Center interactions
- Online help (e.g. live chat) interactions
- Social Media interactions

- Persistent and ad-hoc surveys (general or issue-specific)
- Email (potentially from webmaster inboxes or other accountholders identified on the site)

2.1.2 Stakeholders

Stakeholder feedback provides political guidance as well as tactical direction and drives site improvements. Stakeholders include agency-level stakeholders as well as official-stakeholders from outside of the agency:

- The White House
- The Department of Health and Human Services (HHS)
- Other federal agencies/departments (e.g. the Social Security Administration)

2.1.3 Project Teams

Communication between project teams is essential to continuous site improvement. Project teams may be they functional or organizational (and may overlap). Project team roles are defined in Section 3.

2.2 Usability Testing

The goals of usability testing include identifying or validating user goals or top tasks, and identifying potential or existing concerns in order to improve site efficiency, productivity, and end-user satisfaction. Additionally, usability testing can identify or and validate areas of content or functionality to be considered for inclusion or modification.

Usability testing includes a diversity of techniques (some of which overlap with metrics collection) including:

- Surveys
- Focus groups
- Online card sorting (open, closed, and reverse)
- Moderated usability testing (or formal usability testing)
- A/B testing
- Multivariate testing
- Eye-tracking and heat mapping (overlaps with metrics)

See Appendix 2: Usability Testing Methods for a detailed listing.

2.3 Metrics

Metrics establish and prove the value of implementing good practices by quantifying key success measures (also referred to as key performance indicators or KPIs). They provide insight and direction during all project phases as well as objective means for historical analysis and long-term projection.

Any given site will produce a diversity of metrics, the most universal being:

- Search logs (inclusive of social media)

- Web logs (inclusive of social media)
- Quality and accessibility reporting
- Infrastructure monitoring data/reporting

See Appendix 3: Metrics for a detailed listing.

2.4 Site Audits and Heuristic Reviews

To ensure WNMG sites meet all of its objectives and to effectively measure the progress and success of the new site, site audits and heuristic reviews are conducted. Site audits and heuristic reviews are systematic evaluations performed to evaluate user performance, user satisfaction, and the usefulness of site features and functions. They may ask a specific question (e.g. is a particular phrase-of-art used consistently throughout the site?), evaluate a particular issue (e.g. navigability to or findability of key content), or serve as an overall quality assessment (e.g. a site-wide plain language – or plain writing – assessment).

- **Site audits** – usually cover an entire site or pre-identified sections of or paths through the site. They can be performed using automated tools, by individual team members (typically members of the Content, Quality, and/or Usability teams), or by a combination of the two.
- **Heuristic reviews** – are performed by individual team members (typically in teams of two or more made up of members of the Content, Quality, and/or Usability teams). As the name implies, heuristic reviews are based on experimentation, evaluation, and trial-and-error methods. They usually consist of reviewers attempting to complete pre-identified tasks (or assessing known issues) but without a pre-determined approach or path through the site.

Site audits and heuristic reviews should be performed on an ongoing basis (ideally at least quarterly) as well as on an ad-hoc basis when the need arises (e.g. before rolling out significant new content or functionality, or following changes of policy or strategic direction).

2.5 Change Control, Governance, and Program Management Office

Existing change control, governance, and program management bodies primarily serve to manage site-/project-related activities, but directives as well as procedural guidance from these bodies may provide direction for continuous improvement activities including:

- Prioritization of improvements
- Assignment of improvements to iterations/sprints
- Division of labor and responsibility across project teams
- Procedural and workflow guidance

See Appendix 4: Change Control, Governance, and Program Management Bodies for a detailed listing.

3 Roles

The key roles related to continuous site improvement are listed below beginning with Change Control Board (CCB) followed by an alphabetic listing of project teams. A Continuing

Improvement Lead (CIL) will be identified for each role (see appendix 5 for a specific listing) and will drive the Continuous Improvement Workflow outlined in section 4.

Table 1: Project Roles

Role	Definition
Change Control Board	- Includes CMS WNMG and CSG Leadership - Provides final approval on new features and politically sensitive issues
Continuous Improvement Lead (CIL)	- Responsible for all activity within their discipline (including JIRA Ticket approval/rejection) - Responsible for liaising between activities with their discipline and the PMO - Manage JIRA workflow and issues within their component - Evaluate issues for escalation to CCB
Accessibility	- Verifies compliance with Section 508 and existing HHS and CMS standards - Involved in all phases of the development lifecycle (analysis, design, implementation and support) - Considers accessibility issues from the foundation up
Business Analyst	- Responsible for documenting website functional and system requirements - Works with major stakeholders and all work stream leads to identify necessary and desired site behavior - Responsible for validation of requirements (with the QA/QC)
Content	- Sources, creates, revises and seeks approval of all site content - Creates taxonomy, keywords and metadata in conjunction with Information Architect (UX) and the Metrics & Analytics team - Creates Content Strategy and ensures it is consistently implemented
Development	- Performs technical work required for system functionality and supports efforts by the infrastructure and security teams - Involved with any proposed site improvements to determine plausibility, level-of-effort, and prerequisites and/or dependencies for any improvement that requires development effort
Infrastructure	- Builds the system's infrastructure, and installs and configures applications including the implementation and maintenance of

	the WCMS - Supports the hosting environment
Security	- Ensures the system meets CMS security requirements - Generates documentation to support Authority to Operate (ATO) certification - Participates in the audit and remediate any findings uncovered
Marketing & Publicity	- Manages communications and outreach efforts including press/media inquiries - Responsible for social media strategy
QA & QC	- Measures and assures the quality of the site being delivered in order to ensure it meets consumer expectations
SEO & Analytics	- Responsible for search and traffic logs as well as other quantitative site data - Gathers quantitative data about potential areas for improvement - Employs Search Engine Management (SEM) and Search Engine Optimization (SEO) in order to improve the findability
UX	- Responsible for Information architecture (IA), usability testing, analysis, and recommendations - Creates and maintains consumer audience personas, wireframes and functional specifications - Assists in creation and consistent implementation of taxonomy and metadata
Visual Design	- In conjunction with Stakeholders, creates site brand and ensures consistent implementation - Creates, revises, and manages page mock-ups - Develops electronic production files (HTML/CSS/Cut graphics) to support the development team

4 Workflow

The continuous improvement workflow ensures that changes are evaluated and implemented so that traceability and accountability are supported.

Using a JIRA workflow, issues will be controlled in a manner that:

- Allows broadest number of people to identify problems and make suggestions for improvement
- Improves communication amongst development, content and UX
- Empowers the Continuous Improvement Leads (CIL) to:
  - Determine issue ownership in weekly PMO meeting if needed
  - Determines if the JIRA ticket has value and moves the ticket forward or closes it within their areas of expertise
  - Escalates New Feature and significant or politically sensitive Improvements to the CCB
- CCB makes final decisions regarding site direction
- As CIL or CCB approve changes, the issue is placed in a path to follow resolution and sprint deployment.

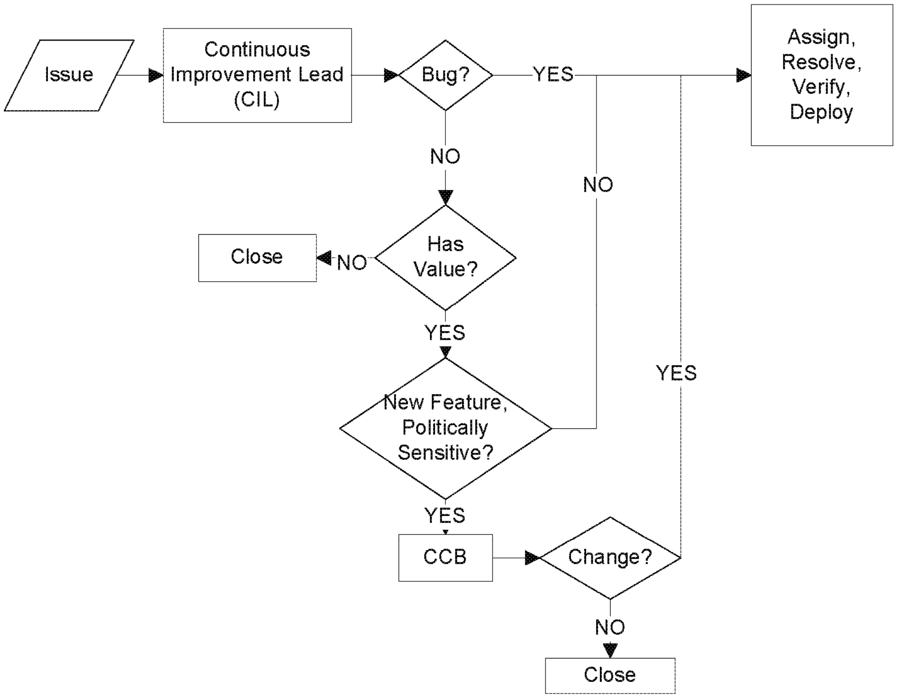

Issue
Continuous Improvement Lead (CIL)
Bug?
YES
Assign, Resolve, Verify, Deploy
NO
NO
Close
NO
Has Value?
YES
YES
New Feature, Politically Sensitive?
YES
CCB
Change?
NO
Close

Figure 1: Continuous Improvement Workflow

4.1 Issue Types and Privileges

Issues will be categorized into the following Issue Types. The table below shows the definition of each issue type with examples, and identifies who can open and close the issue.

Table 2: Issue Types and Privileges

Issue Type	Definition	Examples	Can Create	Can Close
Bug	- Website functionality is broken, not working as required or intended - Content on Website is incorrect, typo - Missing documentation	- Broken link Screen content cannot be seen - Button not working - Wrong feedback message appears - Typo, misspelling, grammar Error	User	CIL
Improvement	- Website functionality change that improves performance or experience - Editorial Change to improve message - Documentation updates	- Opening external link in new window - Reduce size of Help tab - Cut paragraph down to bullet points - Add explanation on screen	User	CIL or CCB
New Feature	- New Website functionality that may need new front-end or back-end technology - New section or content area of site.	- Incorporate geo-location Incorporate syndication functionality - Add comments to Article pages	CIL or CCB	CCB

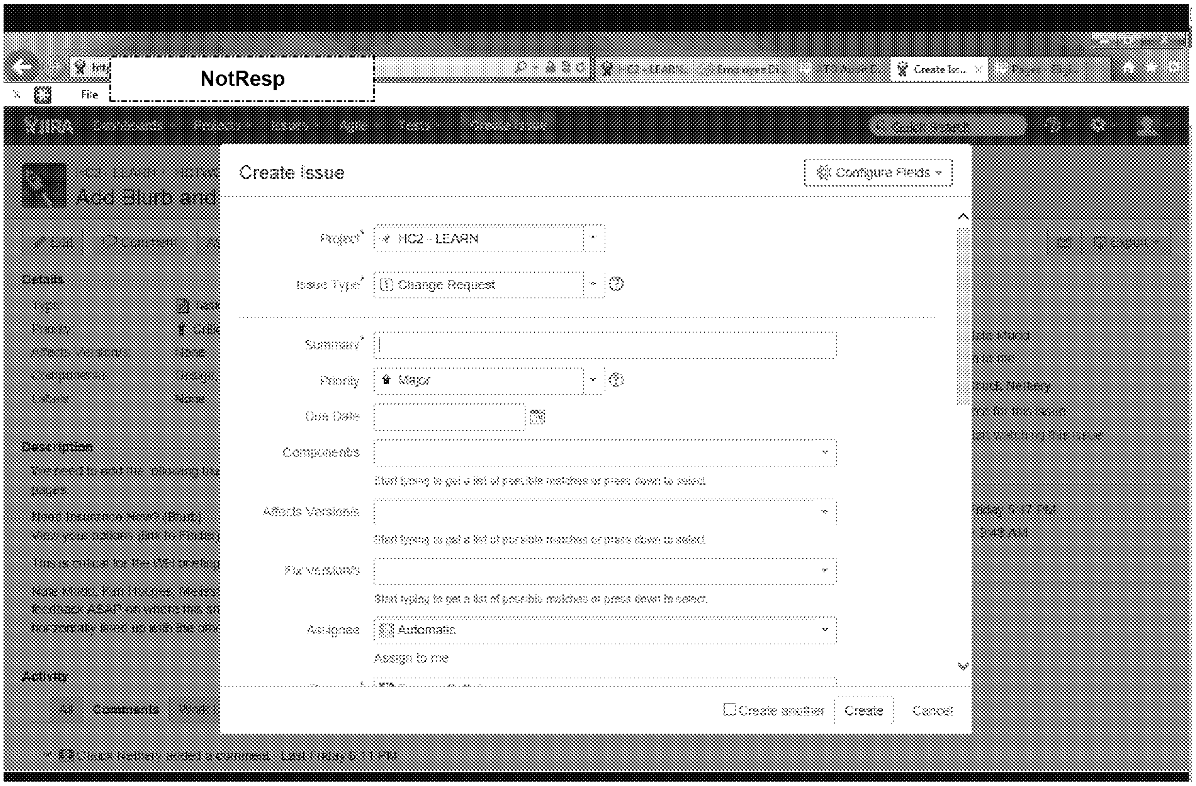
4.2 Issue Capture

Once an opportunity for site improvement has been identified, it is entered as an issue in JIRA. JIRA is a ticketing software application used for tracking purposes (https:/ NotResp cms.gov). (Note: Documentation will be stored in Confluence.)

JIRA Steps to Creating an Issue

Step	Description
Check for duplicate ticket	Search based on ticket number or key word
Create Issue	Select from top navigation; dialogue box appears
Project	Select appropriate project
Issue Type	Select issue type; options include bug, improvement or new feature
Summary [Title]	Enter title; clear concise and with key words
Priority	Select priority; defaults to Major; options include: - Blocker – top priority change that adds system functionality missing from the site

	▪ Critical – must have changes that provide users with additional functionality that are critical to the site experience ▪ Major – must have changes that provide users with additional functionality but aren't critical to the site experience ▪ Minor – nice to have changes that don't impact the user's experience on the site
Due Date	▪ Enter due date as the date for next action on the ticket ▪ Used primarily to move an issue through content, ux, design and into development
Components	▪ Assign one component (functional workstream) at a time. ▪ Example, if an issue impacts Content, UX, Design and Development, the issue should be assigned the Content component first. ▪ Upon completion of the Content task, the Content lead will reassign the issue to the next impacted workstream, UX, and remove the Content component. This will reassign the issue to the UX workstream.
Fix Version/s	Select sprint when issue will be fixed (CIL/PMO may change as needed)
Assignee	▪ Is automatically assigned based on the Component selected ▪ CIL can assign an issue to anyone ▪ Most users cannot assign tickets to individuals
Environment	▪ If bug, include browser information ▪ State if the issue is found in a non-production environment
Description:	▪ What needs to change ▪ What is to be accomplished as a result of the change ▪ Business and/or technical reason for the change ▪ To include others in the ticket for their review, tracking or input, type "@firstname" and a list of JIRA users appears for selection.
Attachment	Including screenshots or supporting documentation as available
Linked Issues	If there are other issues that related to this issue, link them using this field
Click Create	n/a



Project* HC2 - LEARN
Issue Type* Change Request
Summary*
Priority Major
Due Date
Components
Start typing to get a list of possible matches or press down to select.
Affects Version/s
Start typing to get a list of possible matches or press down to select.
Fix Version/s
Start typing to get a list of possible matches or press down to select.
Assignee Automatic
Assign to me

Figure 2: Example of JIRA Issue Form

4.3 Issue Review

The CIL and CCB will manage issues through the JIRA Agile Board. The Plan view allows CIL and CCB to create, prioritize and manage which issues get released during which sprints and which get put the backlog -- an ever-evolving list of bugs, improvements and new features entered. Issues that have not been assigned to a JIRA project sprint reside in the JIRA project backlog until a CIL allocates the issue to a specific sprint or determines it should be closed.

4.3.1 Assigning Issues to Sprints

JIRA automatically assigns each issue to the CIL based on the identification of project components for that individual issue (e.g., components may include Analytics, Compliance, Content, Design, etc.).

As shown in Figure 1: Continuous improvement workflow, CIL responsibilities include:

- Review each issue under their assigned components to understand the request and its value. Obtain clarification as needed. Consolidate issues that are related.
- If the issue is of the type "improvement", but determines that it doesn't add value, close the issue using "won't fix" option for the Resolution.
- Determine whether the issue needs to be escalated to the CCB for approval before being assigned to a sprint. If the issue is a New Feature or Improvement that is politically sensitive or significant, escalate the issue to the CCB. See section 5 for CCB processes.

- The remaining Improvements and Bugs are assigned to the appropriate project sprint via use of the JIRA Agile Board – Plan View.
- Review the "priority field" and prioritize issues within each Sprint so the workstreams know where to focus their time and effort.
- Review each issue to ensure it is completed with the correct Issue Type, Priority, Fix Version, Component, Assignee is reflected. Add Comments with further direction that needs to be communicated to the workstream teams as they implement and deploy the issue.
- Include anyone that may want input or to be aware of the ticket in the Description using the @Name function in the Comment field.

4.3.2 Issue Assignment and Resolution

Once the issues are assigned to a Sprint, each workstream lead reviews their workstream issues on a regular basis and consolidates similar issues as appropriate. They assign issues to team members and track issues to completion for intended sprints.

As the Sprint ends, issues are Resolved for verification and Closed in JIRA, or moved to a future Sprint for completion upon agreement from the group of CILs.

4.4 Communication

Each workstream is holding daily/weekly SCRUMs. CILs will use these meetings to discuss various issues, obtain clarification, discuss sprint priorities and discuss whether CCB approval is needed.

Meetings where CIP/CCB issues are on the agenda include:

- Weekly PMO meeting for CIL and workstream leads (to be scheduled) regarding any issues that require discussion across multiple workstreams or CCB approval.
- Designated day of the technical SCRUM (i.e. every Wednesday)
- Weekly workstream SCRUMs
- CILs separately scheduled meeting
- Editorial Review meeting
- The sprint planning meeting, designed to finalize the sprint release.

5 Change Control Board (CCB) Approvals

CILs escalate any issue to the CCB that has an Issue Type of New Feature or Improvement that is significant or politically sensitive as outlined in Table 2.

NOTE: The Health Insurance Marketplace listing of CCB members can be found in Appendix 4: Change Control, Governance, and Program Management Office.

5.1 Responsibilities

The CCB responsibilities are:

- Approving or rejecting changes submitted based on business and/or technical impacts
- Ensuring all changes requested for the project fit with the site vision, brand, content strategy and technical architecture
- Setting priorities for changes that are implemented on the site based on business and/or technical need, project funding, etc.
- Meet weekly during the weekly lead PMO meeting to review and approve changes (meeting being scheduled)

5.2 CCB Approval Workflow

The approval process for a change is escalated to the CCB through the JIRA issue ticket. The steps are as follows:

- CIL will assign the change to the CCB component.
- The CCB member assigned as the default assignee for the CCB component will review the issue and assign it to the correct CCB member for evaluation and approval.

5.2.1 Evaluating a Change

The appropriate CCB member(s) reviews the change, evaluates business and technical impacts and requests more information as needed.

- Assignee to update the Comment field with the business and technical impacts, and includes other members of the CCB using the @firstname feature.
- If the assignee has questions, ask the question via the Comment field within the ticket:
- If the assignee wants to share the status of the ticket with others:
  - Add a comment and then select the icon in the right corner of a folder with an arrow pointing right
  - Add the user name or email and a note if desired
  - Click Share
- The assignment of the ticket doesn't change until the assignee task is complete (e.g., a discussion about plan of action doesn't shift assignment between respondents)

5.2.2 Approving a Change

- The approval response is captured via the Comment's field in each JIRA ticket so that the approver name and date of approval is automatically captured.
- At the time the ticket is approved or rejected, the Comments should include the following information:
  - Business impacts
  - Technical impacts
  - Any additional information needed and the associated answers
  - Risks
  - Approval response (approve/reject)
    - If rejected, why
    - If approved, what changes are needed (technical, content, documentation)

Once the approval is made, the assignee reclassifies the Component of the ticket to the next workstream impacted, i.e. UX if the change needs UX input). The ticket then follows the standard process as outlined in section 4.3.2.

Appendix 1: Sources of Feedback & Input

This appendix serves to identify the sources of feedback and input for continuous site improvement for the Health Insurance Marketplace (HealthCare.gov) site.

- Accessibility Team
- Analytics Team
- Business Analyst Team
- Call Center(s)
- ChartBeat
- CMS
- WNMG (CMS)
- Content Team
- Development Team
- Infrastructure & Security Team
- HHS
- ASPA
- Major Stakeholders
- Marketing & Publicity Team(s)
- Metrics & Analytics Team(s)
- Other Government Agencies
- QA & QC Team(s)
- SEM & SEO Team(s)
- SMEs
- UX Team

To validate usability, content organization, and visual design, Aquilent recommends conducting two iterations of usability testing throughout the design lifecycle. The first round of usability testing should use an interactive IA prototype based on wireframes. The second round should use a high-fidelity prototype, which includes the visual design.

- Visual Design Team
- PollDaddy
- White House

Appendix 2: Usability Testing Methods

This appendix serves to identify the usability testing methods available for use by the Usability, Content, and Marketing teams supporting the Health Insurance Marketplace (HealthCare.gov) site. Usability testing methods are listed in order of use for a typical User-Centered Design project.

A. Surveys

Online surveys are the most efficient way to gather data about user experiences, opinions, preferences, and concerns from a large number of site visitors. Tools like SurveyMonkey (http://www.surveymonkey.com/) and SurveyGizmo (http://www.surveygizmo.com/) can be used for online surveys. Participants usually access a survey by following a URL, and they do not need to install anything on their computers to take the survey. Survey tools automatically collect and tally participants' responses and present the survey results graphically using charts and tables.

Before online surveys are initiated, interviews with a small number of participants can be conducted to ensure survey questions are easy to understand and relevant as well as to gather interviewees' suggestions and feedback. Sometimes online surveys are also conducted after site user interviews so that information collected from the interviewees can be validated / tested with a larger group.

B. Focus Groups

A method of research in which quantitative data is derived from collecting views from a group of participations about their perceptions and experiences using a site. There is a variety of types, ranging from one group observing another and recording interactions to online testing. They are particularly useful in gathering data from specific geographical areas to determine marketability in that area prior to a launch.

C. Online Card Sorting (Open, Closed, & Reverse)

Card sorting is used to learn about relationships between information and to define and evaluate user interface hierarchies, information architectures, or branching structures with parent-child relationships. It allows for better understanding of users' expectations about how content items and features will be grouped and which content categories or labels users misunderstand or do not understand. This approach can also help to evaluate how well a secondary or tertiary category fits within the primary category and how well content and functionality items fit with each other in a particular category.

There are two types of card sorting – "Open" and "Closed." "Open card sorting" asks users to sort multiple content items ("cards") into categories or groups without guidance as to how many groups there should be or what the defining characteristics of those groups should be. "Closed card sorting" asks users to sort multiple content items into categories predefined by the researchers. The IA designed in the Discovery and refined and expanded in the Design Phases has been tested in two rounds of closed card sorting exercises and usability testing, so it is anticipated that more "closed card sorting" will be conducted in the Implementation Phase, since the primary and secondary categories were already verified by the users to some extent.

D. Moderated Usability Testing

One-on-one moderated usability testing is the most time-consuming usability method proposed in this document, which also collects the richest data. Such tests usually take more than two weeks to complete from initial preparation and recruiting to execution to reporting findings and concluding with analysis and recommendations. During this Implementation Phase, Aquilent will conduct at least two such studies.

Moderated usability testing sessions can be conducted either in person or remotely. However, to reach out to users from various geographic locations in the U.S., to make it easy for people to participate, and to ensure a consistent and even testing experience, Aquilent plans to conduct all moderated usability testing sessions remotely. During these sessions, participants will control Aquilent's host computer via a GoToMeeting connection (http://www.gotomeeting.com), while conversing with the test administrator by phone. Aquilent will conduct all the sessions using its mobile usability lab.

E. A/B Testing

Compared to multivariate testing, A/B testing, sometimes also referred to as split testing, is an easier place to start if similar testing has not been done previously. It produces fast results and helps experimenters build experience for moving on to multivariate testing at a later date. In A/B testing, a pre-determined percentage of all visitors are randomly presented with two versions of a page, and conversion goals are tracked and calculated separately to see which version proves to be better.

Sometimes it makes sense to only test a few elements. For example, two pages can be created but only one element is changed, such as a button label. The same page layout and text can be kept to ensure that any difference between the page results is due to that single difference. Otherwise, it can be difficult to figure out which element or combination of elements lead to the best or worst results.

During the testing, cookies are used to maintain a consistent user experience—if a visitor sees one version, they will see it again when visiting the site as long as the cookies are not deleted.

F. Multivariate Testing

Compared with A/B testing, multivariate testing makes it possible to test two or more pages and changes to multiple elements on those pages in the same test, such as headlines, images, promotions, and buttons. Multivariate testing can theoretically test the effectiveness of limitless combinations of page elements and makes it possible to find the best combination of changes that result in the highest increase in conversions.

Multivariate testing setup is similar to A/B testing, but it is important to first choose a tool or framework that supports it. Not all A/B testing tools support multivariate testing. In addition, as mentioned above, what to test is different in A/B and multivariate testing. Unlike testing only two versions in an A/B test, multivariate testing allows more factors to be dynamically generated on the server and various combinations of the page elements to be displayed to the visitors and tracked.

There are other types of fractional factorial test, such as Taguchi, but they can be complicated to understand and explain. A quick Google search will return many results, if needed, but full factorial testing is usually the recommended way to conduct multivariate testing.

G. Eye Tracking / Heat Mapping

These are visual representations of how users experience the site and what that experience prompts them to do while visiting it. Eye tracking is a technique mapping the user's eye movement and measuring gaze times and locations in order to identify popular and/or trouble areas. Heat mapping is a similar technique, measuring mouse clicks rather than eye movement.

Appendix 3: Metrics

This appendix serves to identify the available metrics for the Health Insurance Marketplace (HealthCare.gov) site.

(In order or relevance to continuous improvement and change management)

- Search Logs: Google Search Appliance (GSA)
- Web Logs/Traffic
    - Google Search Appliance (GSA)
    - NotResp
- Eye Tracking / Heat Mapping
- Infrastructure Monitoring NotResp

Appendix 4: Change Control Board and Program Management Office

This appendix serves to identify members of the Change Control Board (CCB) and program management office (PMO) for the Health Insurance Marketplace (HealthCare.gov) site.

A. Change Control Board

Members of the Health Insurance Marketplace CCB are detailed in the table below.

Table 3: Change Control Board (CCB) Members

Name	Company	Email/Phone
Product Owner: Jon Booth	CMS	Jon.Booth@cms.hhs.gov 410-786-6577
Creative Services Group Director: Erin Pressley	CMS	Erin.Pressley@cms.hhs.gov 410-786-5569
Director of Operations: Ketan Patel	CMS	Ketan.Patel@cms.hhs.gov 410 786-5927
Director of Web Strategy: Bill Trefzger	CMS	william.trefzger@cms.hhs.gov 410-786-3394
Project Management/ Budget: James Johnson	CMS	James.Johnson1@cms.hhs.gov 410-786-3489

NOTE: James Johnson will receive CCB requests and assign them to the appropriate CCB member for review.

B. Program Management Office

Members of the Health Insurance Marketplace PMO are detailed in the table below.

Table 4: Program Management Office (PMO) Members

Name	Company	Email/Phone
James Johnson	CMS	James.Johnson1@cms.hhs.gov 410-786-3489
Tamara Guthrie	Aquilent	tamara.guthrie@aquilent.com 301-939-1359
Chuck Nethery	Aquilent	charles.nethery@aquilent.com 301-939-1650

Appendix 5: Continuous Improvement Leads (CILs) by Project Roles

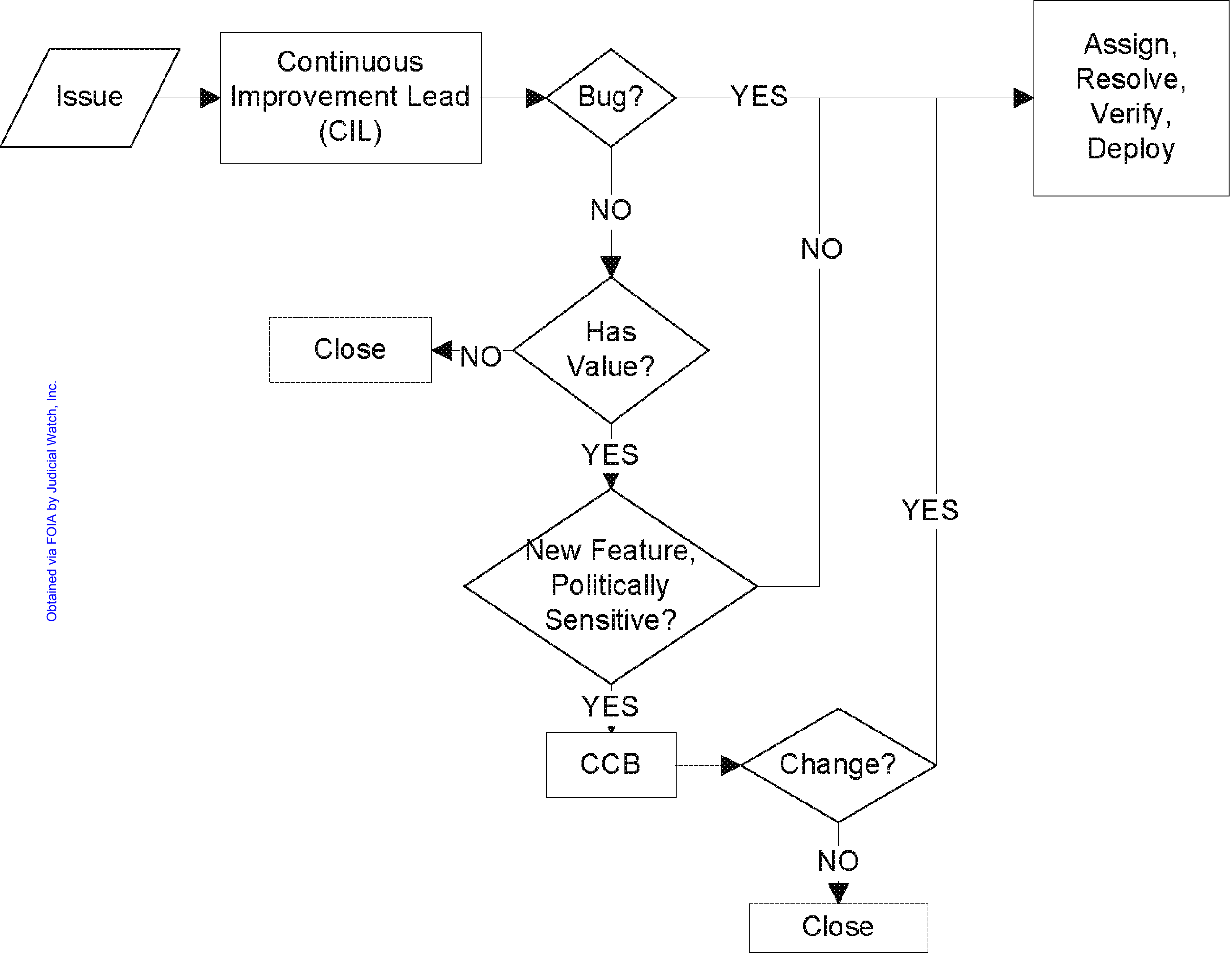
This appendix serves to identify the main points of contact (POC) for each project role both within the Web and New Media Group (WNMG) and across Health Insurance Marketplace project who serve as a CIL and have the ability to initiate, approve and drive improvements. It is not intended to list all resources or workstream leads within a given role.

Table 5: Continuous Improvement Owners by Project Role

Category	Role	WNMG	Aquilent	Blast	CGI
Business	Business Analyst		Beverly Bricker		
Business	Program Management (Learn)	Jon Booth, Ketan Patel, James Johnson	Tamara Guthrie, Chuck Nethery		
Business	Program Management (Get Insurance)	Bill Trefzger (product owner) Bob Amos (???) Susan Tudor (My Account) Mimi Burch (???) Leticia Ramsey (SHOP) Michael Mitchell (Individual App)			Dharitri Banerjee
Content	Content (Learn)	Craig Stoltz Krista Das	Kevin McDermott		
Content	Content (Get Insurance)	Mike Pison (My Account) Cristina Kane (Individual App) Valerie Perkins (SHOP, Plan Compare) Mary Bonner (Help Content, SHOP)			

Category	Role	WNMG	Aquilent	Blast	CGI
Content	SEO & Analytics	Craig Stoltz Krista Das		Lauren McReynolds	
Development	Development	Greg Lindenstruth	Ravi Mudumby		Jeremy Jackson
Development	Infrastructure	Greg Lindenstruth	Ravi Mudumby		
Development	Security	Greg Lindenstruth	Ravi Mudumby		
Test	Accessibility	Vidit Majmudar	Paula Cooper		???
Test	QA, QC & UAT	Vidit Majmudar	Paula Cooper		???
UX & Design	UX	Nate Mudd	Kim Hodges		
UX & Design	Visual Design	Nate Mudd	Kim Hodges		

This space intentionally left blank.


Issue
Continuous Improvement Lead (CIL)
Bug?
YES
NO
Assign, Resolve, Verify, Deploy
Has Value?
NO
Close
YES
New Feature, Politically Sensitive?
NO
YES
CCB
Change?
YES
NO
Close

Message

From: Jackson, Jeremy (CGI Federal) [Jeremy.Jackson@cgifederal.com]
Sent: 7/31/2013 1:05:10 AM
To: Li, Catherine [jiefli@akamai.com]; Carter, Daniel (CMS/OC NotResp NotResp Patel, Ketan (CMS/OC NotResp NotResp
CC: Lee, Minsu [mlee@akamai.com]; 'thurston@sage-technologies.com' [thurston@sage-technologies.com]; Thurston, Robert (CMS/CTR NotResp Booth, Jon G. (CMS/OC NotResp Oh, Mark U. (CMS/OIS NotResp NotResp Margush, Doug C. (CMS/OIS) NotResp NotResp Millheiser, Robert [rmillhei@akamai.com]
Subject: RE: Urgent Akamai Call please join.
Attachments: FW: EIDM TEST - Scheduled Maintenance - OAM Outage 6-7PM Tuesday July 30, 2013

See attached it's a planned outage.

We need a shared calendar at some point, I think to keep these all straight. Catherine I will validate caching after it comes back up.

Jeremy Jackson | CGI Federal

From: Jackson, Jeremy (CGI Federal)
Sent: Tuesday, July 30, 2013 8:02 PM
To: 'Li, Catherine'; carter, daniel; Patel, Ketan
Cc: Lee, Minsu; 'thurston@sage-technologies.com'; Thurston, Robert (CMS/CTR); booth, jon; Oh, Mark U. (CMS/OIS); Margush, Doug C. (CMS/OIS); Millheiser, Robert
Subject: RE: Urgent Akamai Call please join.

Yes.

I found that as well OAM seems to be down I am reaching out.

Jeremy Jackson | CGI Federal

From: Li, Catherine [mailto:jiefli@akamai.com]
Sent: Tuesday, July 30, 2013 7:40 PM
To: carter, daniel; Jackson, Jeremy (CGI Federal); Patel, Ketan
Cc: Lee, Minsu; 'thurston@sage-technologies.com'; Thurston, Robert (CMS/CTR); booth, jon; Oh, Mark U. (CMS/OIS); Margush, Doug C. (CMS/OIS); Millheiser, Robert
Subject: Re: Urgent Akamai Call please join.

Sorry, typo fixed below.

And we can adjust the case sensitivity if needed.

I wanted to test your origin and see if it's case sensitive, but I could not get to it now. NotResp Operation Error"
https:/ NotResp .healthcare.gov/ NotResp

https:// NotResp healthcare.gov/ NotResp

Thanks and feel free to call me if you want to discuss,
Catherine

From: <Li>, Akamai Helpdesk <jiefli@akamai.com>
Date: Tuesday, July 30, 2013 7:29 PM
To: Daniel Carter <Daniel.Carter@cms.hhs.gov>, "Jackson, Jeremy (CGI Federal)" <Jeremy.Jackson@cgifederal.com>, Ketan Patel <Ketan.Patel@cms.hhs.gov>
Cc: Minsu Lee <mlee@akamai.com>, "'thurston@sage-technologies.com'" <thurston@sage-technologies.com>, "Thurston, Robert (CMS/CTR)" <Robert.Thurston@cms.hhs.gov>, "Booth, Jon G. (CMS/OC)" <Jon.Booth@cms.hhs.gov>, "Oh, Mark U. (CMS/OIS)" <mark.oh@cms.hhs.gov>, "Margush, Doug C. (CMS/OIS)" <douglas.margush@cms.hhs.gov>
Subject: Re: Urgent Akamai Call please join.

Good thinking Daniel.

Learn side, we treat cache key case insensitive.
On the marketplace side, we treat cache key case sensitive. Meaning if the html sources says <include file=" NotResp > and the actual file is NotResp , it

Can we check if developers have been naming files consistently? Between builds; and within the build, between the html references and the actual file names

Is the application issue's symptom somewhat related to missing files? If so, this may play a factor. Thanks

From: <Carter>, Daniel Carter <Daniel.Carter@cms.hhs.gov>
Date: Tuesday, July 30, 2013 7:21 PM
To: "Jackson, Jeremy (CGI Federal)" <Jeremy.Jackson@cgifederal.com>, Ketan Patel <Ketan.Patel@cms.hhs.gov>, Akamai Helpdesk <jiefli@akamai.com>
Cc: Minsu Lee <mlee@akamai.com>, "'thurston@sage-technologies.com'" <thurston@sage-technologies.com>, "Thurston, Robert (CMS/CTR)" <Robert.Thurston@cms.hhs.gov>, "Booth, Jon G. (CMS/OC)" <Jon.Booth@cms.hhs.gov>, "Oh, Mark U. (CMS/OIS)" <mark.oh@cms.hhs.gov>, "Margush, Doug C. (CMS/OIS)" <douglas.margush@cms.hhs.gov>
Subject: RE: Urgent Akamai Call please join.

One thing I want to bring up as well, we had issues with our other sites with files of mixed case names and the way that akamai handles the cache, and I wonder if that same problem is what we are seeing with some of the issues here.

For example NotResp and NotResp are viewed as two different entries in the case. If through your workflow you do not use the same case everywhere, this might be the cause of some issues.

Catherine, can you elaborate some more and see if there might be some merit to this idea? We had to force all files to lower-case on the other sites on akamai and then set the cache to ignore case, and the cache issues we were seeing on some sites like marketplace.cms.gov went away completely.

Daniel Carter, CISSP CISA
Information Systems Security Officer

Office of Communications
Centers for Medicare & Medicaid Services
daniel.carter@cms.hhs.gov
W: (410) 786-1226

From: Jackson, Jeremy (CGI Federal) [Jeremy.Jackson@cgifederal.com]
Sent: Tuesday, July 30, 2013 7:17 PM
To: Patel, Ketan (CMS/OC); 'jiefli@akamai.com'; Carter, Daniel (CMS/OC)
Cc: 'mlee@akamai.com'; 'thurston@sage-technologies.com'; Thurston, Robert (CMS/CTR); Booth, Jon G. (CMS/OC); Oh, Mark U. (CMS/OIS); Margush, Doug C. (CMS/OIS)
Subject: RE: Urgent Akamai Call please join.

Something's up.

The marketplace pages aren't coming up it just keeps requesting resources. I had multiple team members try this and they all saw the same results.

Catherine can you double check the configuration?

Jeremy Jackson | CGI Federal

From: Patel, Ketan
Sent: Tuesday, July 30, 2013 7:01 PM
To: 'jiefli@akamai.com'; Jackson, Jeremy (CGI Federal); carter, daniel
Cc: 'mlee@akamai.com'; 'thurston@sage-technologies.com'; Thurston, Robert (CMS/CTR); booth, jon; Oh, Mark U. (CMS/OIS); Margush, Doug C. (CMS/OIS)
Subject: Re: Urgent Akamai Call please join.

How are we looking after purge?

Sent using BlackBerry

From: Li, Catherine [mailto:jiefli@akamai.com]
Sent: Tuesday, July 30, 2013 06:44 PM
To: Patel, Ketan (CMS/OC); Jeremy Jackson <Jeremy.Jackson@cgifederal.com>; Carter, Daniel (CMS/OC)
Cc: Lee, Minsu <mlee@akamai.com>; thurston@sage-technologies.com <thurston@sage-technologies.com>; Thurston, Robert (CMS/CTR); Booth, Jon G. (CMS/OC); Oh, Mark U. (CMS/OIS); Margush, Doug C. (CMS/OIS)
Subject: Re: Urgent Akamai Call please join.

test1.healthcare is ready with the change. Please feel free to purge and test.

I saw a lot 302 on some js files when I tried https:/ NotResp healthcare.gov/ NotResp ust now. Let's see if they will clear after purge is completed.

Thanks,
Catherine

From: <Patel>, Ketan Patel <Ketan.Patel@cms.hhs.gov>
Date: Tuesday, July 30, 2013 6:30 PM
To: Akamai Helpdesk <jiefli@akamai.com>, Jeremy Jackson <Jeremy.Jackson@cgifederal.com>, Daniel Carter

<Daniel.Carter@cms.hhs.gov>
Cc: Minsu Lee <mlee@akamai.com>, "thurston@sage-technologies.com" <thurston@sage-technologies.com>, "Thurston, Robert (CMS/CTR)" <Robert.Thurston@cms.hhs.gov>, "Booth, Jon G. (CMS/OC)" <Jon.Booth@cms.hhs.gov>, "Oh, Mark U. (CMS/OIS)" <mark.oh@cms.hhs.gov>, "Margush, Doug C. (CMS/OIS)" <douglas.margush@cms.hhs.gov>
Subject: Re: Urgent Akamai Call please join.

Catherine,
This looks good on CMS side. JJ please confirm at CGI?

Thanks,
Ketan

From: <Li>, Catherine Li <jiefli@akamai.com>
Date: Tuesday, July 30, 2013 6:26 PM
To: Ketan PATEL <ketan.patel@cms.hhs.gov>, Jeremy Jackson <Jeremy.Jackson@cgifederal.com>, Daniel Carter BB <Daniel.Carter@cms.hhs.gov>
Cc: Minsu Lee <mlee@akamai.com>
Subject: Re: Urgent Akamai Call please join.

Changing Akamai configurations for both English and Spanish sites:
* Learn side: 10 min
* Marketplace side:
- css & images: 24 hour NotResp

NotResp

- Other application (registration/profile/logout/etc) pages: no-store

For Spanish, replace en_US with es_MX in the paths above.

I will let you know when deployment is done for test1. Thanks,
Catherine

From: <Patel>, Ketan Patel <Ketan.Patel@cms.hhs.gov>
Date: Tuesday, July 30, 2013 5:59 PM
To: Akamai Helpdesk <jiefli@akamai.com>, Akamai Helpdesk <jiefli@akamai.com>, Jeremy Jackson <Jeremy.Jackson@cgifederal.com>, Daniel Carter <Daniel.Carter@cms.hhs.gov>
Subject: Urgent Akamai Call please join.

NotResp

Message

From: Gumma, Suresh (Non-Member) [suresh.gumma@cgifederal.com]
Sent: 7/31/2013 12:04:03 AM
To: Jackson, Jeremy (CGI Federal) [Jeremy.Jackson@cgifederal.com]
Subject: FW: EIDM TEST - Scheduled Maintenance (b)(6) Outage 6-7PM Tuesday July 30, 2013

FYI

From: Nagarajan Pattabiraman [mailto:npattabiraman@qssinc.com]
Sent: Tuesday, July 30, 2013 6:53 PM
To: Minze Chien; CMS - EIDM Deploy Notification List; Portal Maricom Team; NotResp Singer, Joel (CGI Federal); Ramamoorthy, Balaji Manikandan (CGI Federal); Welshans, Richard (CGI Federal); 'Gandhi, Asit (Non-Member)'; Strychowski, Maria (CGI Federal); Carter, Cheryl K (CGI Federal); Neti, Saivilasini (CGI Federal); Gumma, Suresh (Non-Member); Subramanian, Nachi (CGI Federal); Cummings, Duane (CGI Federal); Colluru, Krishna Veni (CGI Federal); Malay, Chandra S (CGI Federal); Anuganti, Ravinder (CGI Federal); Duvvur, Satish K (CGI Federal); Michael.Smith@cms.hhs.gov; Tom Wolfe; c-aperalta@maricom.com; greg.colahan@oracle.com; L.Dennis.Battle@cms.hhs.gov; Calem, Mark (CGI Federal); 'Dohnalek, Danny (CGI Federal)'; Blandin, John (CGI Federal); Karlton Kim; Mccoy, Richard (CGI Federal); HIOS-RBIS OPS Team; Mark Small; Nitin Matta; Girish Shetty; Bavani Murari; Lev Bagirov; Tim Arafat; Alonzo Craig; Ivan Vinogradov; Ram Babu; Jayaprakash Thambusamy; Zeiders, Chris (CGI Federal); Ramamoorthy, Balaji Manikandan (CGI Federal); Kodavaluru, Radha (CGI Federal); Singer, Joel (CGI Federal); Ramamoorthy, Balaji Manikandan (CGI Federal); Welshans, Richard (CGI Federal); 'Gandhi, Asit (Non-Member)'; Strychowski, Maria (CGI Federal); Carter, Cheryl K (CGI Federal); Neti, Saivilasini (CGI Federal); Gumma, Suresh (Non-Member); Subramanian, Nachi (CGI Federal); Cummings, Duane (CGI Federal); Colluru, Krishna Veni (CGI Federal); Malay, Chandra S (CGI Federal); Anuganti, Ravinder (CGI Federal); Duvvur, Satish K (CGI Federal); Calem, Mark (CGI Federal); 'Dohnalek, Danny (CGI Federal)'; Blandin, John (CGI Federal); Mccoy, Richard (CGI Federal); annmarie.rieble@cgifederal.com; Wass, Stephen (CGI Federal); Vedam, Anand (CGI Federal); Alford, Justin (CGI Federal); Banerjee, Dharitri (CGI Federal); Welshans, Richard (CGI Federal); Vicki.Robinson@wellpoint.com; Michael.Minniear@wellpoint.com; Simmons, Shirin; NotResp Manjuprasad.Nagavendraswamy@ngc.com; Atchut.Kanthamani@ngc.com; Manik Naik; NotResp One PI Helpdesk; One PI Support; Sheehan, Robert; annmarie.rieble@cgifederal.com; EIDM Infrastructure Team; EIDM Testing Team; One PI Helpdesk; One PI Support; Gary Rubalsky; EIDMOnCall; Sean Moran
Subject: RE: EIDM TEST - Scheduled Maintenance - OAM Outage 6-7PM Tuesday July 30, 2013

All:

EIDM TEST deployment is progressing now. There will be NotResp intermittent outage today until 9:00 PM. Login to CMS Enterprise Portal DEV will be impacted during this time intermittently.

Sorry for the inconvenience.

Many Thanks,

Release Manager / Configuration Specialist
Nags, Nagarajan Pattabiraman, PMP, ITILF, CSM,
EIDM,
QSSI | www.qssinc.com
Email: npattabiraman@qssinc.com | Phone: 301-977-7884 Extn:279 | Fax: 301-977-8346

CMMI® Maturity Level 3 Rated
GSA Schedule 70 SIN 132-62: Approved for HSPD-12 System Integration Services

From: Minze Chien
Sent: Tuesday, July 30, 2013 12:10 PM

To: CMS - EIDM Deploy Notification List; Portal Maricom Team; NotResp 'Singer, Joel (CGI Federal)'; 'Ramamoorthy, Balaji Manikandan (CGI Federal)'; 'Welshans, Richard (CGI Federal)'; 'Gandhi, Asit (Non-Member)'; 'Strychowski, Maria (CGI Federal)'; 'Carter, Cheryl K (CGI Federal)'; 'Neti, Saivilasini (CGI Federal)'; 'Gumma, Suresh (Non-Member)'; 'Subramanian, Nachi (CGI Federal)'; 'Cummings, Duane (CGI Federal)'; 'Colluru, Krishna Veni (CGI Federal)'; 'Malay, Chandra S (CGI Federal)'; 'Anuganti, Ravinder (CGI Federal)'; 'Duvvur, Satish K (CGI Federal)'; Michael.Smith@cms.hhs.gov; Tom Wolfe; c-aperalta@maricom.com; greg.colahan@oracle.com; L.Dennis.Battle@cms.hhs.gov; 'Calem, Mark (CGI Federal)'; 'Dohnalek, Danny (CGI Federal)'; 'Blandin, John (CGI Federal)'; Karlton Kim; 'Mccoy, Richard (CGI Federal)'; NotResp Mark Small; Nitin Matta; Girish Shetty; Bavani Murari; Lev Bagirov; Tim Arafat; Alonzo Craig; Ivan Vinogradov; Ram Babu; Nagarajan Pattabiraman; Jayaprakash Thambusamy; Chris Zeiders; Ramamoorthy, Balaji Manikandan (CGI Federal; Kodavaluru, Radha (CGI Federal; Singer, Joel (CGI Federal)'; 'Ramamoorthy, Balaji Manikandan (CGI Federal)'; 'Welshans, Richard (CGI Federal)'; 'Gandhi, Asit (Non-Member)'; 'Strychowski, Maria (CGI Federal)'; 'Carter, Cheryl K (CGI Federal)'; 'Neti, Saivilasini (CGI Federal)'; 'Gumma, Suresh (Non-Member)'; 'Subramanian, Nachi (CGI Federal)'; 'Cummings, Duane (CGI Federal)'; 'Colluru, Krishna Veni (CGI Federal)'; 'Malay, Chandra S (CGI Federal)'; 'Anuganti, Ravinder (CGI Federal)'; 'Duvvur, Satish K (CGI Federal)'; 'Calem, Mark (CGI Federal)'; 'Dohnalek, Danny (CGI Federal)'; 'Blandin, John (CGI Federal)'; 'Mccoy, Richard (CGI Federal)'; annmarie.rieble@cgifederal.com; Wass, Stephen (CGI Federal; Vedam, Anand (CGI Federal; Alford, Justin (CGI Federal; Banerjee, Dharitri (CGI Federal; Welshans, Richard (CGI Federal; Vicki.Robinson@wellpoint.com; Michael.Minniear@wellpoint.com; Simmons, Shirin; NotResp Nagarajan Pattabiraman; Manjuprasad.Nagavendraswamy@ngc.com; Atchut.Kanthamani@ngc.com; Manik Naik; NotResp One PI Helpdesk; One PI Support; Robert.Sheehan@cms.hhs.gov; annmarie.rieble@cgifederal.com; EIDM Infrastructure Team; EIDM Testing Team; One PI Helpdesk; One PI Support; Gary Rubalsky; EIDMOnCall; Sean Moran
Subject: EIDM TEST - Scheduled Maintenance - OAM Outage 6-7PM Tuesday July 30, 2013

Teams,

Please note that EIDM will perform scheduled weekly deployment to EIDM TEST on Tuesdays. There will be an outage on OAM today from 6PM to 7PM as part of today's deployment. Login to CMS Enterprise Portal DEV will be impacted during the NotResp outage. Please let us know ASAP if you have any concern.

Scheduled Maintenance for EIDM TEST Environment –

EIDM Environment	Activities	Date & Time	Impacts
EIDM TEST	EIDM Release 3 Build 11 – Bug fixes in EIDM Web Services for FFM Lite Account integration. Support for Agent/Broker. ASP application creation. NotResp patch for NotResp upport.	Tuesday 7/30/2013 6PM – 9PM	CMS Enterprise Portal DEV **login will NOT be available from 6PM to 7PM.** New user registration and IDLM services will not be available during the maintenance window (6PM-9PM).

Thanks.

Minze

Minze V. Chien, Ph.D., CISSP
Technical Director, IAM Strategic Solutions
QSSI | www.qssinc.com
10025 Governor Warfield Parkway, Suite 401

Columbia, MD 21044
(301) 977-7884 x223 and x305 (O) / (b)(6) (M)
mchien@qssinc.com

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Message

From: Jackson, Jeremy (CGI Federal) [Jeremy.Jackson@cgifederal.com]
Sent: 7/30/2013 1:51:40 PM
To: Patel, Ketan (CMS/OC) NotResp Margush, Doug C. (CMS/OIS) NotResp NotResp Oh, Mark U. (CMS/OIS) NotResp NotResp ; Booth, Jon G. (CMS/OC) NotResp NotResp
CC: Lee, Minsu (mlee@akamai.com) [mlee@akamai.com]; Li, Catherine (jiefli@akamai.com) [jiefli@akamai.com]; Millheiser, Robert (rmillhei@akamai.com) [rmillhei@akamai.com]; Weiss, Paul (CGI Federal) [Paul.Weiss@cgifederal.com]; Zeiders, Chris (CGI Federal) [chris.zeiders@cgifederal.com]
Subject: FW: prepare ProdPrime
Attachments: Akamai_Marketplace_Domains.xlsx; HC_Marketplace_Rewrite_Config.doc

All here is what was sent previously regarding Akamai Configuration in preparation for Produciton.

See attached.

Thank you,
Jeremy Jackson | CGI Federal

From: Jackson, Jeremy (CGI Federal)
Sent: Friday, July 26, 2013 3:57 PM
To: carter, daniel; Li, Catherine; Kell, Karen
Cc: Lee, Minsu; Millheiser, Robert; Ketan Patel; Margush, Doug C. (CMS/OIS) (douglas.margush@cms.hhs.gov); Zeiders, Chris (CGI Federal); Wass, Stephen (CGI Federal); Weiss, Paul (CGI Federal); Banerjee, Dharitri (CGI Federal); Rowe, Brandon L (CGI Federal); Newhouse, Andrew
Subject: RE: prepare ProdPrime

Hi Catherine,

Thanks for reaching out it has been a crazy couple of days.

As we discussed during the Akamai call yesterday our production deployment plan is as follows.

- CGI will deploy the latest code to our PROD NotResp healthcare.gov) environment tomorrow 7/27 between 10-4
- For this initial production shakedown between tomorrow 7/27 through Tuesday 7/30 your Prod Prime domain NotResp althcare.gov) will point to our PROD domain. It will be physically using the code DevSeed and Aquilent are deploying to their IMPL environment today 7/26.
- On the day of go live 7/30 the latest production code will need to be staged to production and the live production traffic will need to be routed to the TRMK Prod origin that will be configured this weekend. As discussed this process will take 2 hours so we will need to plan adequate time to run testing.

As for you other questions:
1. Answered below.
2. I do not believe we need this.
3. We can help confirm but we will likely need Aquilent to re-validate the learn content.

4. Understood, I have informed CGI's management team. Daniel please make sure OC/OIS is in the loop on this time constraint for the 8pm cutover on 7/30.
5. We have added the sure route test object to our code but it won't be deployed to our prod environment until tomorrow.
6. Attached is what we discussed and outlined yesterday.

Let me know if you have any follow up questions.

Thanks,
Jeremy Jackson | CGI Federal

From: carter, daniel
Sent: Friday, July 26, 2013 2:07 PM
To: Li, Catherine; Kell, Karen; Jackson, Jeremy (CGI Federal)
Cc: Lee, Minsu; Millheiser, Robert
Subject: RE: prepare ProdPrime

Let's go ahead and separate it #1 just to make sure, so the same way that english is done with 2 codes do the same for spanish.

I will leave the rest to Jeremy.

Daniel Carter, CISSP CISA

Information Systems Security Officer

Office of Communications
Centers for Medicare & Medicaid Services
daniel.carter@cms.hhs.gov
W: (410) 786-1226

From: Li, Catherine [jiefli@akamai.com]
Sent: Friday, July 26, 2013 1:52 PM
To: Carter, Daniel (CMS/OC); Kell, Karen; Jackson, Jeremy (CGI Federal)
Cc: Lee, Minsu; Millheiser, Robert
Subject: prepare ProdPrime
A few things to confirm:

1) shall we use the same cpcode for Spanish marketplace portion as the English one, or create a new cpcode? The learn side uses different cpcode for English and Spanish.
2) I had a note from an early conversation that you may want Akamai to honor Cache-control and/or Expires header sent by Terremark origin. Do you still need that? By default, Akamai does not honor those and only look at the TTL set in the Akamai configuration.
3) After Minsu and I have the prodprime configuration ready later today, I would need your team to test and confirm that it does NOT affect the live site before deploying on Production network.

4) The same heads-up is that if we need to make change and deploy on Akamai on Production network over the weekend, it will take 2+ hours. So if need to be, we could temporarily change DNS to point to Akamai Staging, make the change, let your team test, then deploy on Production and flip the DNS back. I do recommend testing end-to-end on Production network though.
5) Jeremy, please confirm NotResp est object is put on your origin soon.
6) Jeremy, please send the document you have for the consolidated business rules.

Thanks,
Catherine Li
Sr. Technical Project Manager, CISSP, MBA, PMP
Akamai Technologies, Inc.
Office: 703.621.4021 **Cell** (b)(6) **Email**: catherine.li@akamai.com

English ?ACA=DF342DFe6 (access parameter)

Learn URL	Marketplace URL
NotResp	
www.healthcare.gov	NotResp

Spansih ?ACA=DF342DFe6 (access parameter)

Learn URL	Marketplace URL
NotResp	
www.cuidadodesalud.gov	NotResp

English

Server	Server Name
NotResp	

Spanish

NotResp

NotResp

NotResp

NotResp

Healthcare.gov/Marketplace Rules

Domain configuration

English ?ACA=DF342DFe6 (access parameter)

Learn URL	Marketplace URL
NotResp	
www.healthcare.gov	NotResp

Spanish ?ACA=DF342DFe6 (access parameter)

Learn URL	Marketplace URL
NotResp	
www.cuidadodesalud.gov	NotResp

Re-write Rules

English –www.healthcare.gov:

NotResp

Spanish -http://www.cuidadodesalud.gov:

NotResp

WAF policy rules

Please provide exceptions for the following files:

NotResp

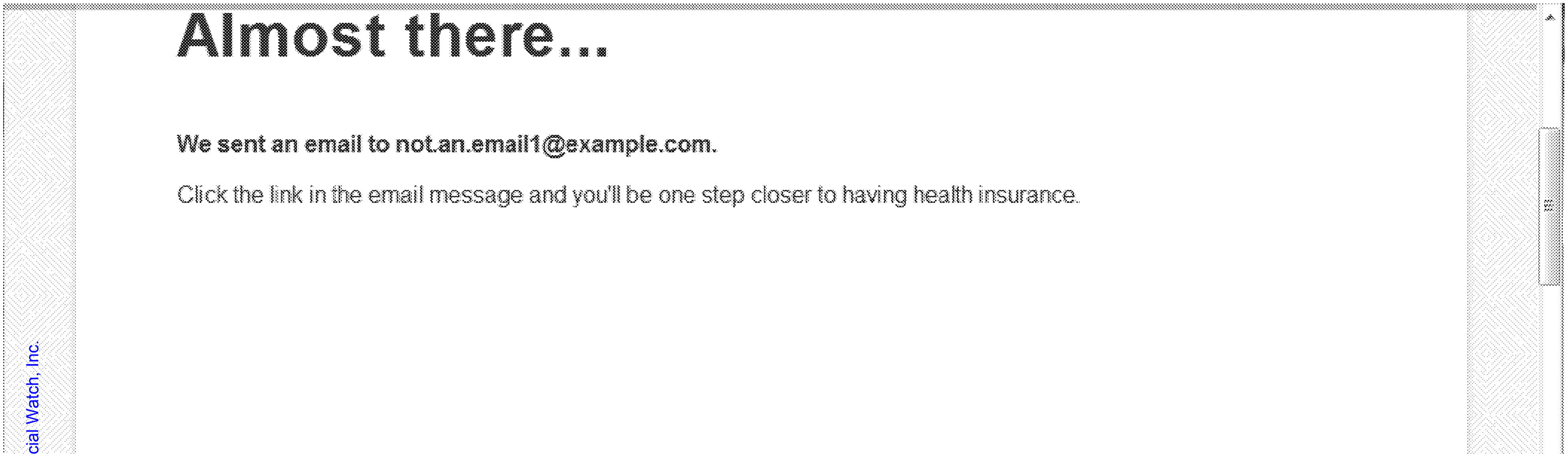
n English NotResp policy
n Spanish policy

Cache rules requested

Caching was requested with a TTL of 24 hours for these folders housing static resources.

NotResp

Per OC request we would like to disable Cache on the Akamai staging environments corresponding to the Terremark Test servers.

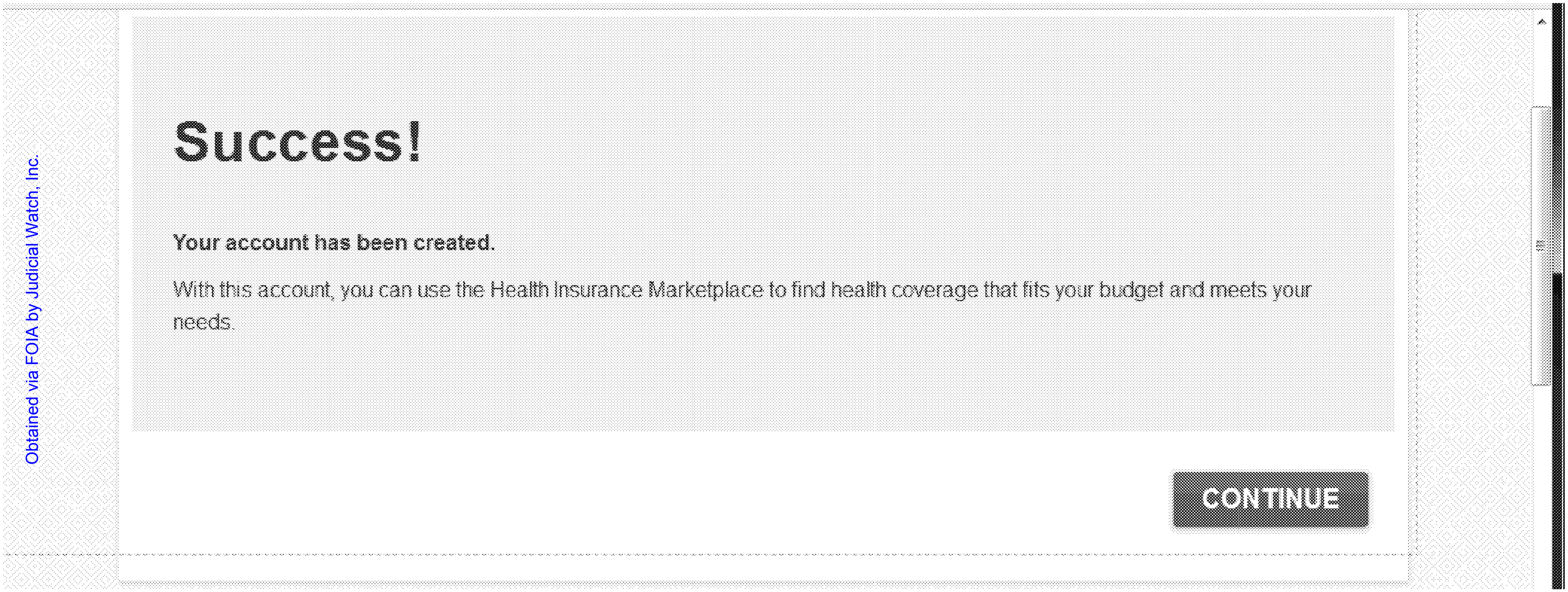


Almost there...

We sent an email to not.an.email1@example.com.

Click the link in the email message and you'll be one step closer to having health insurance.

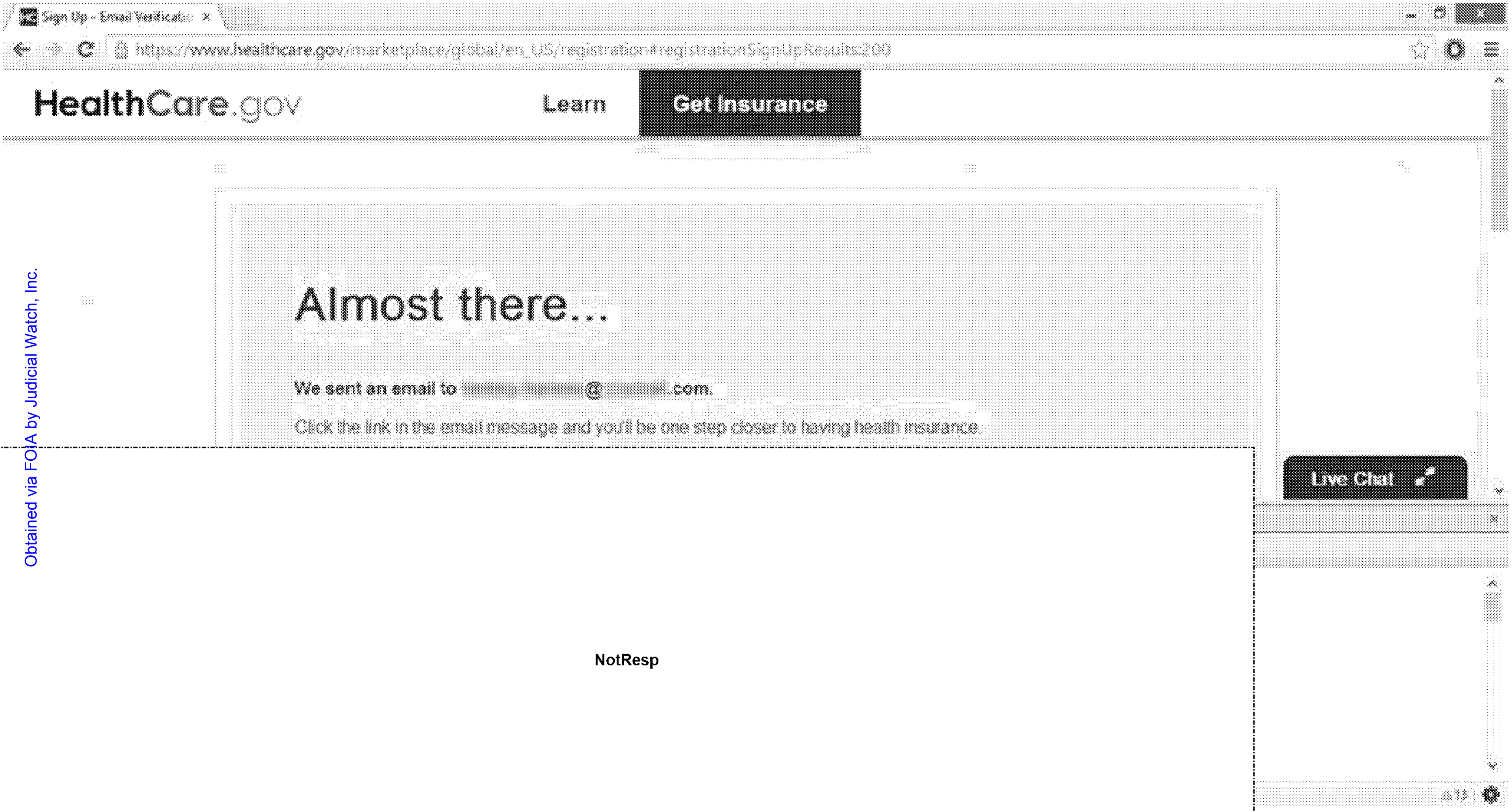
NotResp



Success!

Your account has been created.

With this account, you can use the Health Insurance Marketplace to find health coverage that fits your budget and meets your needs.



Sign Up - Email Verificatio ×
https://www.healthcare.gov/marketplace/global/en_US/registration#registrationSignUpResults:200
HealthCare.gov
Learn
Get Insurance
Live Chat

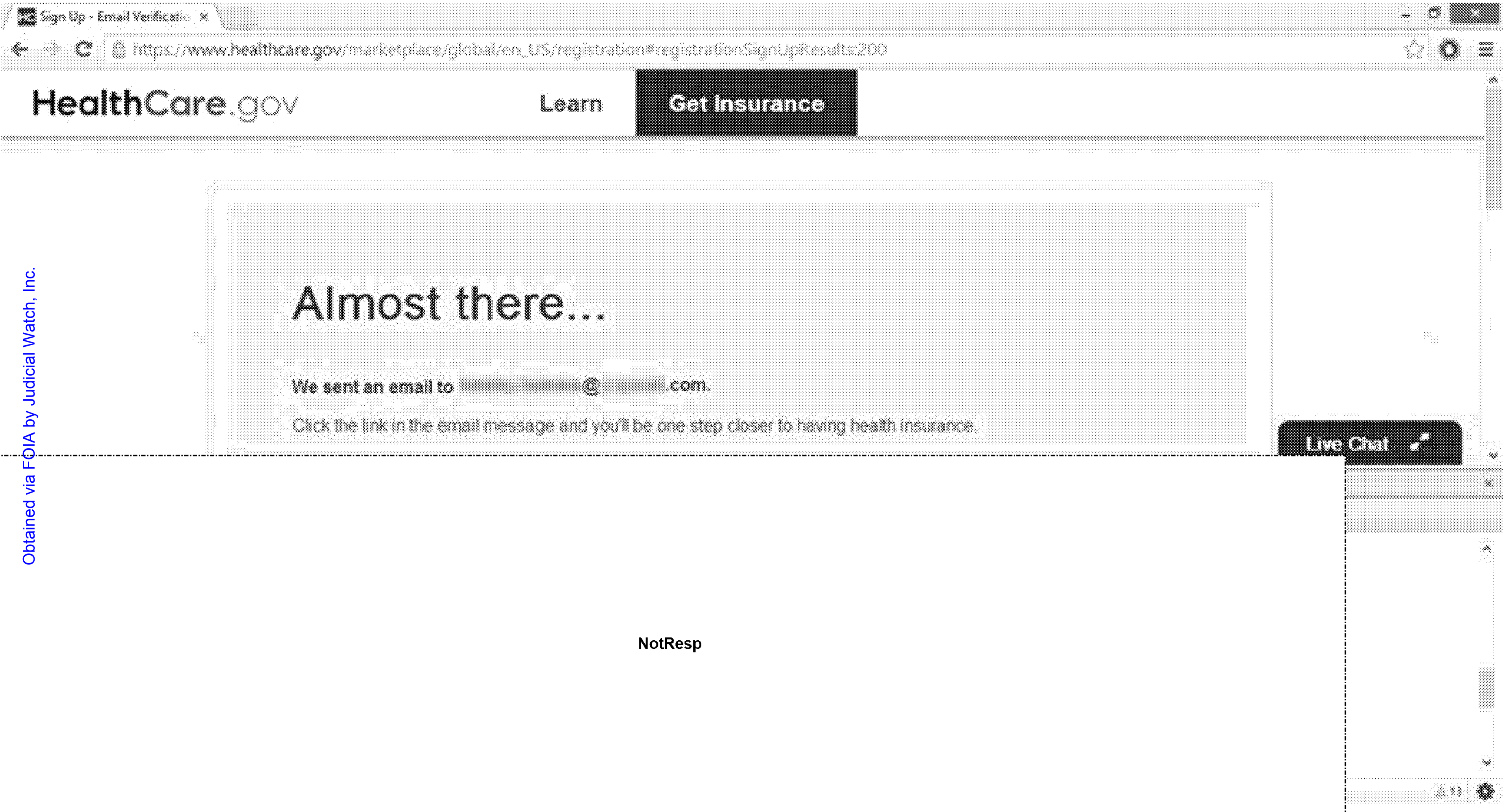
Almost there...

We sent an email to [redacted]@[redacted].com.

Click the link in the email message and you'll be one step closer to having health insurance.

NotResp

Obtained via FOIA by Judicial Watch, Inc.

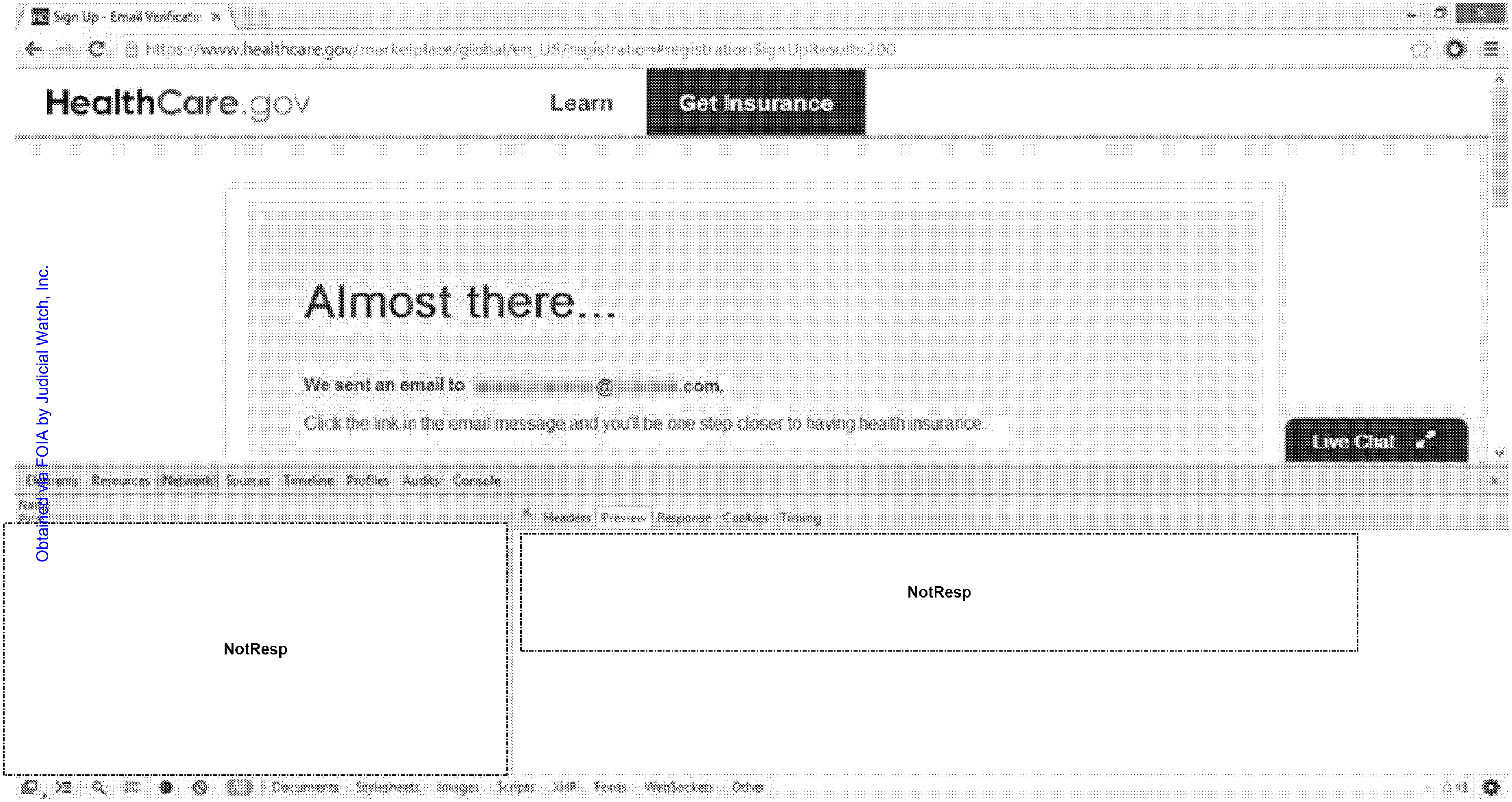

Sign Up - Email Verificatio
https://www.healthcare.gov/marketplace/global/en_US/registration#registrationSignUpResults:200
HealthCare.gov
Learn
Get Insurance
Live Chat

Almost there...

We sent an email to [redacted].com.

Click the link in the email message and you'll be one step closer to having health insurance.

NotResp


Sign Up - Email Verificatio
https://www.healthcare.gov/marketplace/global/en_US/registration#registrationSignUpResults:200
HealthCare.gov
Learn
Get Insurance
Live Chat
Elements Resources Network Sources Timeline Profiles Audits Console
Headers Preview Response Cookies Timing
Documents Stylesheets Images Scripts XHR Fonts WebSockets Other

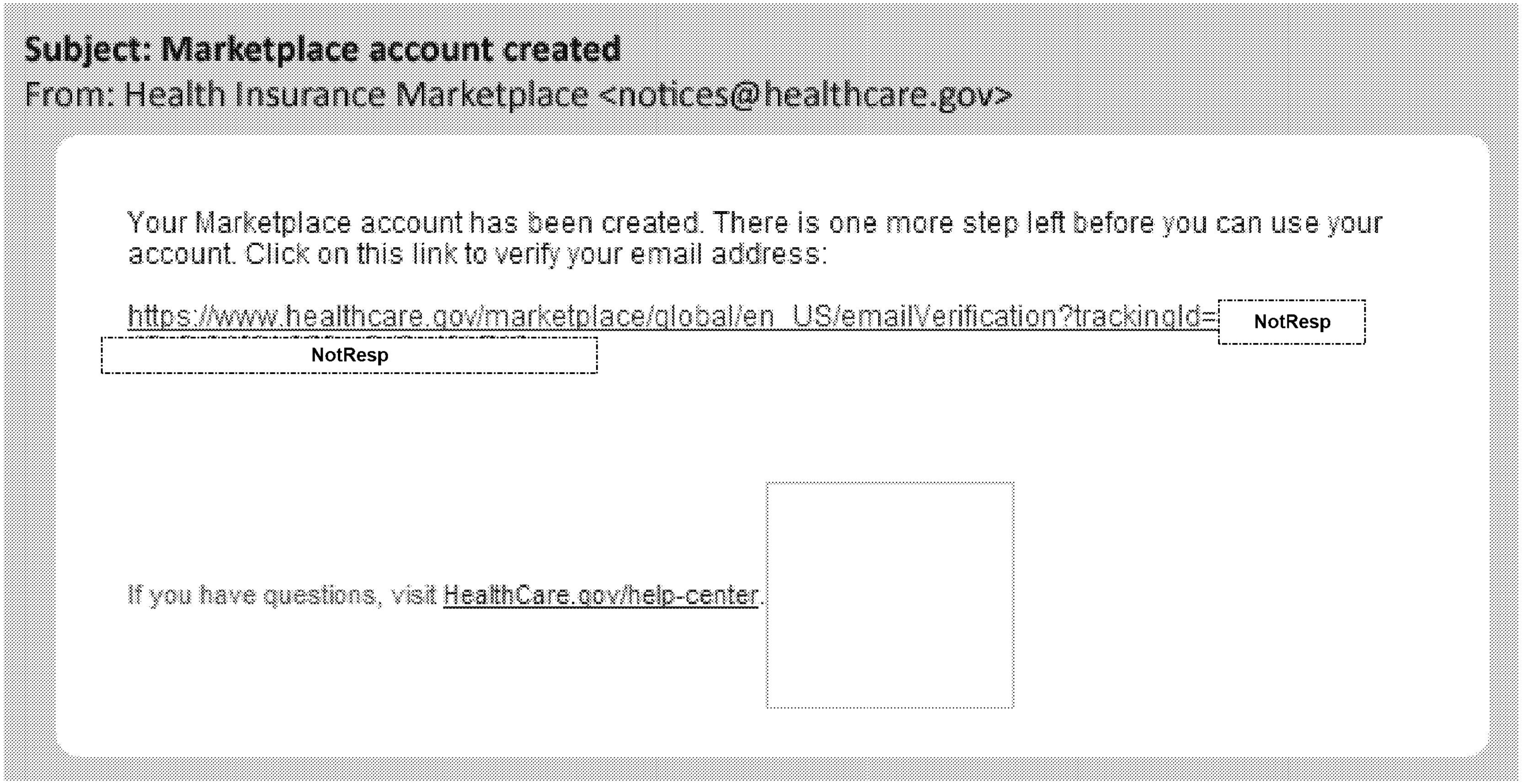
Almost there...

We sent an email to [redacted].com.

Click the link in the email message and you'll be one step closer to having health insurance.

NotResp

NotResp

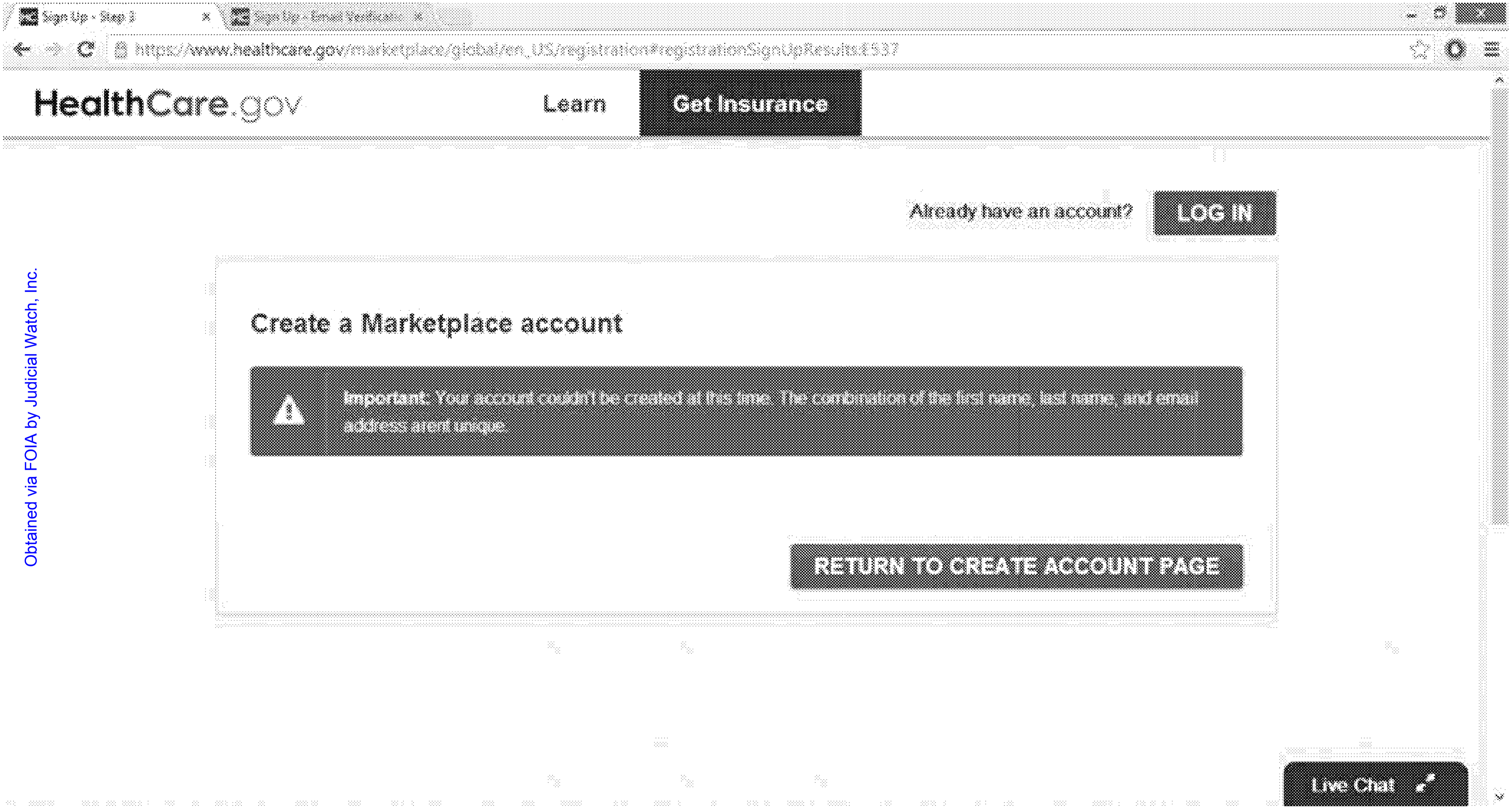


Subject: Marketplace account created
From: Health Insurance Marketplace <notices@healthcare.gov>

Your Marketplace account has been created. There is one more step left before you can use your account. Click on this link to verify your email address:

https://www.healthcare.gov/marketplace/global/en_US/emailVerification?trackingId= NotResp
NotResp

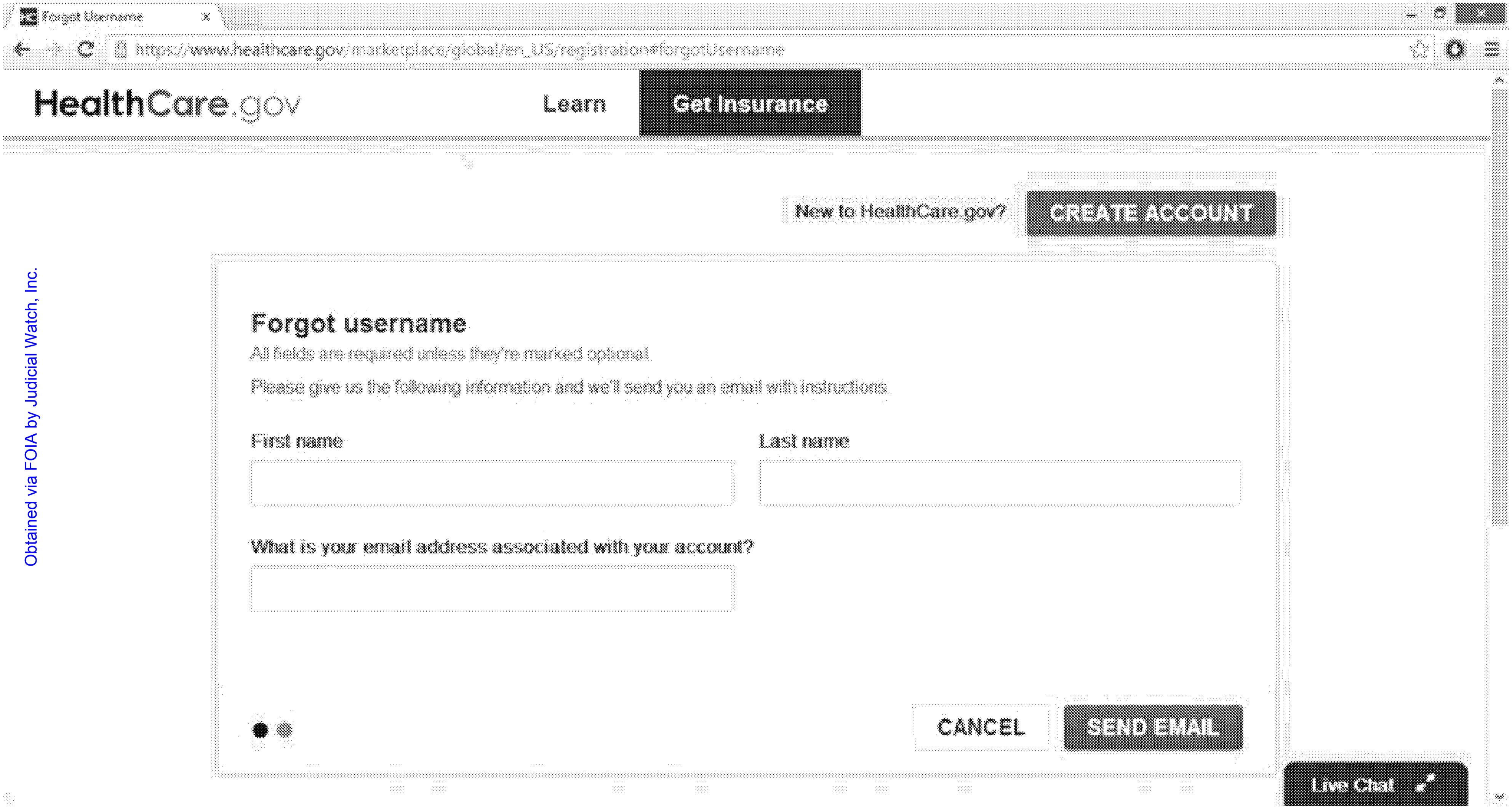
If you have questions, visit HealthCare.gov/help-center.


Sign Up - Step 3
Sign Up - Email Verificatio
https://www.healthcare.gov/marketplace/global/en_US/registration#registrationSignUpResults:E537
HealthCare.gov
Learn
Get Insurance
Already have an account?
LOG IN

Create a Marketplace account

Important: Your account couldn't be created at this time. The combination of the first name, last name, and email address aren't unique.

RETURN TO CREATE ACCOUNT PAGE
Live Chat


Forgot Username
https://www.healthcare.gov/marketplace/global/en_US/registration#forgotUsername
HealthCare.gov
Learn
Get Insurance
New to HealthCare.gov?
CREATE ACCOUNT
CANCEL
SEND EMAIL
Live Chat

Forgot username

All fields are required unless they're marked optional.

Please give us the following information and we'll send you an email with instructions.

First name

Last name

What is your email address associated with your account?

Message

From: Linares, George E. (CMS/OIS) NotResp NotResp

Sent: 10/30/2013 8:05:41 PM

To: Schankweiler, Thomas W. (CMS/OIS) NotResp NotResp

CC: Feuerberg, Lisa A.(CMS/OIS) NotResp Trudel, Karen (CMS/OIS) NotResp NotResp 'chip.steiner@noblis.org' (chip.steiner@noblis.org) [chip.steiner@noblis.org]; Cappelletti, John Danilo (john.cappelletti@noblis.org) [john.cappelletti@noblis.org]

Subject: FW NotResp issues

All,

See below, a security event...

George Linares

Acting Chief Technology Officer

Centers for Medicare & Medicaid Services (CMS)
☎ 410.786.2866 ✉ george.linares@cms.hhs.gov
7500 Security Blvd., N3-15-25
Baltimore, MD 21244-1850

Need more information? Visit the OIS website.

From: Stevenson, Corey B. (CMS/OIS)
Sent: Wednesday, October 30, 2013 3:55 PM
To: Carter, Daniel (CMS/OC); 'jiefli@akamai.com'; 'mlee@akamai.com'; 'rmillhei@akamai.com'
Cc: Patel, Ketan (CMS/OC); Lindenstruth, Gregory W. (CMS/OC); Le, Thao Q. (CMS/OC); 'david.kohlway@hp.com'; 'ruth.pine@hp.com'; Booth, Jon G. (CMS/OC); Linares, George E. (CMS/OIS); Fryer, Teresa M. (CMS/OIS)
Subject: Re: NotResp issues

Adding OIS to the trail.

Corey B. Stevenson

Director

Enterprise Data Center Group (EDCG)

Office of Information Services (OIS)

Centers for Medicare & Medicaid Services (CMS)

--Blackberry impaired typing.

From: Carter, Daniel (CMS/OC)
Sent: Wednesday, October 30, 2013 03:53 PM
To: Stevenson, Corey B. (CMS/OIS); 'jiefli@akamai.com' <jiefli@akamai.com>; 'mlee@akamai.com' <mlee@akamai.com>; 'rmillhei@akamai.com' <rmillhei@akamai.com>
Cc: Patel, Ketan (CMS/OC); Lindenstruth, Gregory W. (CMS/OC); Le, Thao Q. (CMS/OC); 'david.kohlway@hp.com' <david.kohlway@hp.com>; 'ruth.pine@hp.com' <ruth.pine@hp.com>; Booth, Jon G. (CMS/OC)
Subject: RE NotResp issues

Akamai,

We should probably re-issue all NotResp then for all domains that we have there.

From: Stevenson, Corey B. (CMS/OIS)
Sent: Wednesday, October 30, 2013 3:53 PM
To: Carter, Daniel (CMS/OC); 'jiefli@akamai.com'; 'mlee@akamai.com'; 'rmillhei@akamai.com'
Cc: Patel, Ketan (CMS/OC); Lindenstruth, Gregory W. (CMS/OC); Le, Thao Q. (CMS/OC); 'david.kohlway@hp.com'; 'ruth.pine@hp.com'; Booth, Jon G. (CMS/OC)
Subject: Re: NotResp issues

This has also impacted Healthcare.gov as well.

Corey B. Stevenson
Director
Enterprise Data Center Group (EDCG)
Office of Information Services (OIS)
Centers for Medicare & Medicaid Services (CMS)
--Blackberry impaired typing.

From: Carter, Daniel (CMS/OC)
Sent: Wednesday, October 30, 2013 03:51 PM
To: Li, Catherine (jiefli@akamai.com) <jiefli@akamai.com>; Lee, Minsu (mlee@akamai.com) <mlee@akamai.com>; Millheiser, Robert (rmillhei@akamai.com) <rmillhei@akamai.com>
Cc: Patel, Ketan (CMS/OC); Lindenstruth, Gregory W. (CMS/OC); Le, Thao Q. (CMS/OC); Kohlway, David <david.kohlway@hp.com>; Pine, Ruth (ruth.pine@hp.com) <ruth.pine@hp.com>; Stevenson, Corey B. (CMS/OIS); Booth, Jon G. (CMS/OC)
Subject: NotResp issues

Akamai,

We got a call from HHS that the NotResp have been "compromised" and need to be changed ASAP.

Have you heard anything along these lines at all? What do we need to do to issue new ones?

I have included HP on this since they used to host DNS and got the actual notification from HHS on this.

Daniel Carter, CISSP CISA
Information Systems Security Officer
Office of Communications
Centers for Medicare & Medicaid Services
daniel.carter@cms.hhs.gov
W: (410) 786-1226

Message

From: Linares, George E. (CMS/OIS) NotResp
NotResp
Sent: 10/29/2013 8:49:47 PM
To: Daniel Dutra Gralewski [daniel.gralewski@oracle.com]; Vignesh Srinivasan [vsrinivasan@qssinc.com]; Girish Shetty [gshetty@qssinc.com]; Basavaraju, Venkat (CMS/OIS) NotResp NotResp ; Richardson, Marc D. (CMS/OIS NotResp NotResp Ivan Vinogradov [ivinogradov@qssinc.com]; Pardha Reddy [pardha.reddy@oracle.com]; Dmitry Finkler [dfinkler@qssinc.com]; Ravi Vuppala [ravi.vuppala@oracle.com]; Basavaraju, Venkat (CMS/OIS NotResp NotResp
CC: CMS - EIDM CMS Team NotResp NotResp ; Schankweiler, Thomas W. (CMS/OIS) NotResp NotResp Carter, Cathy T. (CMS/OIS) NotResp Gass, Carole F. NotResp Krishnamoorthi Ganesan [kganesan@qssinc.com]; Nitin Matta [nmatta@qssinc.com]; Minze Chien [MChien@qssinc.com]; Jerome Leonard [jerome.leonard@oracle.com]
Subject: RE: NotResp to monitor the NotResp and NotResp servers ...

The statement below does not provide a very comfortable feeling that the implementation of these agents will work. Are we testing these agents in the lower environments before doing it in production? There is no need to rush and jeopardize the health of the production systems. CMS needs assurances that this installation will not cause outages or interruption of EIDM services – who can provide that?

Thanks

George Linares
Acting Chief Technology Officer
Centers for Medicare & Medicaid Services (CMS)
410.786.2866 george.linares@cms.hhs.gov
7500 Security Blvd., N3-15-25
Baltimore, MD 21244-1850

Need more information? Visit the OIS website.

From: Daniel Dutra Gralewski [mailto:daniel.gralewski@oracle.com]
Sent: Tuesday, October 29, 2013 4:24 PM
To: Vignesh Srinivasan; Girish Shetty; Basavaraju, Venkat (CMS/OIS); Richardson, Marc D. (CMS/OIS); Ivan Vinogradov; Pardha Reddy; Dmitry Finkler; Ravi Vuppala
Cc: CMS - EIDM CMS Team; Linares, George E. (CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Carter, Cathy T. (CMS/OIS); Gass, Carole F. (CMS/OIS); Krishnamoorthi Ganesan; Nitin Matta; Minze Chien; Jerome Leonard
Subject: RE: NotResp to monitor the NotResp and NotResp servers ...

And I would like to mention once again that this agent is not tested with any of the NotResp products running in EIDM solution.

And we are in no position to either support or recommend this deployment.

--

Thank you, Daniel

NotResp

Daniel Gralewski | Principal Solution Architect
Fax: +17033642122 | VOIP: +17033642122
NotResp Architects - "The A-Team"
| NotResp s committed to developing practices and products that help protect the environment

From: Vignesh Srinivasan [mailto:vsrinivasan@qssinc.com]
Sent: Tuesday, October 29, 2013 4:12 PM
To: Girish Shetty; Venkat Basavaraju; Marc Richardson; Ivan Vinogradov; Pardha Reddy; Daniel Dutra Gralewski; Dmitry Finkler; Ravi Vuppala
Cc: CMS - EIDM CMS Team; Linares, George E. (CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Carter, Cathy T. (CMS/OIS); Gass, Carole F. (CMS/OIS); Krishnamoorthi Ganesan; Nitin Matta; Minze Chien; Jerome Leonard
Subject: RE: NotResp to monitor the NotResp and NotResp servers ...

Meeting Minutes Captured...

Gabriel from NotResp provided a brief overview of the product and its features.
QSSI Raised concern for deploying a new agent onto EIDM Production servers without full cycle testing in lower environment.
Venkat provided confidence and accepted the risk for deploying the agent in short notice to IMPL first and followed by Production deployment tonight. Venkat further provided facts of this agent being deployed on multiple FFM servers and that the servers were functioning normal.

Action Items

1. Gabriel to provide documentation and installation steps for NotResp Agent
2. Venkat to provide IP addresses
3. QSSI to setup NotResp roxy in IMPL
4. QSSI to request for firewall rules once IP addresses are provided
5. QSSI to request CMS Approval for agent deployments into IMPL and PROD once installation steps are provided
6. QSSI to do deployment into IMPL and test
7. On successful testing, QSSI to deploy into Prod.

Thanks,

Vignesh Srinivasan
EIDM Operations Lead, QSSI
(O) 301-977-7884 x 789/337
(c) (b)(6)

-----Original Appointment-----
From: Girish Shetty
Sent: Tuesday, October 29, 2013 2:36 PM
To: Venkat Basavaraju; Marc Richardson; Ivan Vinogradov; Vignesh Srinivasan; 'pardha.reddy@oracle.com'; 'daniel.gralewski@oracle.com'; Dmitry Finkler; Ravi Vuppala
Cc: CMS - EIDM CMS Team; Linares, George E. (CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Carter, Cathy T. (CMS/OIS); Gass, Carole F. (CMS/OIS); Krishnamoorthi Ganesan; Nitin Matta; Minze Chien; Jerome Leonard
Subject: NewRelic to monitor the OIM and OAM servers ...
When: Tuesday, October 29, 2013 2:30 PM-3:00 PM (UTC-05:00) Eastern Time (US & Canada).
Where: Conf Call: (b)(6) Code : (b)(6)

Updated Conference line

Conference: (b)(6) Access: (b)(6)

From: Basavaraju, Venkat (CMS/OIS) [mailto:Venkat.Basavaraju@cms.hhs.gov]
Sent: Tuesday, October 29, 2013 2:13 PM
To: Girish Shetty; Marc Richardson; Ivan Vinogradov; Vignesh Srinivasan; 'pardha.reddy@oracle.com'; 'daniel.gralewski@oracle.com'
Cc: CMS - EIDM CMS Team; Linares, George E. (CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Carter, Cathy T. (CMS/OIS); Gass, Carole F. (CMS/OIS); Krishnamoorthi Ganesan; Nitin Matta; Minze Chien; Jerome Leonard
Subject: RE: NotResp o monitor the NotResp nd NotResp ervers ...

Girish – Sorry just seeing this and please schedule this for 2.30PM.

-Venkat

From: Girish Shetty [mailto:gshetty@qssinc.com]
Sent: Tuesday, October 29, 2013 1:09 PM
To: Richardson, Marc D. (CMS/OIS); Basavaraju, Venkat (CMS/OIS); Ivan Vinogradov; Vignesh Srinivasan; 'pardha.reddy@oracle.com'; 'daniel.gralewski@oracle.com'
Cc: CMS - EIDM CMS Team; Linares, George E. (CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Carter, Cathy T. (CMS/OIS); Gass, Carole F. (CMS/OIS); Krishnamoorthi Ganesan; Nitin Matta; Minze Chien; Jerome Leonard
Subject: RE: NotResp o monitor the NotRes and NotResp servers ...

Venkat
Can we have the meeting at 2 pm today to understand what is involved.
Thanks,
Girish Shetty | QSSI | www.qssinc.com
Project Manager, EIDM
Columbia V - 10440 Little Patuxent Parkway, Suite 1200
Columbia, MD 21044
Work : (301) 977-7884 x 246
Cell (b)(6)

From: Richardson, Marc D. (CMS/OIS) [mailto:Marc.Richardson@cms.hhs.gov]
Sent: Tuesday, October 29, 2013 1:05 PM
To: Venkat Basavaraju; Girish Shetty; Ivan Vinogradov; Vignesh Srinivasan; 'pardha.reddy@oracle.com'; 'daniel.gralewski@oracle.com'
Cc: CMS - EIDM CMS Team; Linares, George E. (CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Carter, Cathy T. (CMS/OIS); Gass, Carole F. (CMS/OIS)
Subject: Re: NotResp to monitor the NotRes and NotResp servers ...

OK. Please ensure that both QSSI and the CMS EIDM team have access to the reports. If someone is going to monitor, I'd like to be able to see what they are seeing.

Regards,
Marc Richardson, PMP, Director
Centers for Medicare & Medicaid Services (CMS)
Office of Information Services (OIS)
410.786.0016
marc.richardson@cms.hhs.gov
443-934-5237
7500 Security Blvd.,
N3-17-07
Baltimore, MD 21244-1850

From: Basavaraju, Venkat (CMS/OIS)
Sent: Tuesday, October 29, 2013 12:59 PM
To: Richardson, Marc D. (CMS/OIS); 'gshetty@qssinc.com' <gshetty@qssinc.com>; 'ivinogradov@qssinc.com' <ivinogradov@qssinc.com>; 'vsrinivasan@qssinc.com' <vsrinivasan@qssinc.com>; 'pardha.reddy@oracle.com' <pardha.reddy@oracle.com>; 'daniel.gralewski@oracle.com' <daniel.gralewski@oracle.com>
Cc: CMS - EIDM CMS Team; Linares, George E. (CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Carter, Cathy T. (CMS/OIS); Gass, Carole F. (CMS/OIS)
Subject: RE: NotResp to monitor the NotResp nd NotResp servers ...

Nope they are looking for a healthcare.gov level monitoring and I don't thin NotResp can be extended to that level.....

From: Richardson, Marc D. (CMS/OIS)
Sent: Tuesday, October 29, 2013 12:58 PM
To: Basavaraju, Venkat (CMS/OIS); 'gshetty@qssinc.com'; 'ivinogradov@qssinc.com'; 'vsrinivasan@qssinc.com'; 'pardha.reddy@oracle.com'; 'daniel.gralewski@oracle.com'
Cc: CMS - EIDM CMS Team; Linares, George E. (CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Carter, Cathy T. (CMS/OIS); Gass, Carole F. (CMS/OIS)
Subject: Re: NotResp to monitor th NotResp and NotResp ervers ...

What is the driver? Can we not leverage the existing NotResp frastructure to meet this need?

Regards,
Marc Richardson, PMP, Director
Centers for Medicare & Medicaid Services (CMS)
Office of Information Services (OIS)
410.786.0016
marc.richardson@cms.hhs.gov
443-934-5237

7500 Security Blvd.,
N3-17-07
Baltimore, MD 21244-1850

From: Basavaraju, Venkat (CMS/OIS)
Sent: Tuesday, October 29, 2013 12:56 PM
To: Richardson, Marc D. (CMS/OIS); Girish Shetty (gshetty@qssinc.com) <gshetty@qssinc.com>; 'Ivan Vinogradov' <ivinogradov@qssinc.com>; Vignesh Srinivasan <vsrinivasan@qssinc.com>; Pardha Reddy <pardha.reddy@oracle.com>; Dutra Gralewski Daniel (daniel.gralewski@oracle.com) <daniel.gralewski@oracle.com>
Cc: CMS - EIDM CMS Team; Linares, George E. (CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Carter, Cathy T. (CMS/OIS); Gass, Carole F. (CMS/OIS)
Subject: RE: NotResp o monitor the NotResp and NotResp ervers ...

NotResp logging and NotResp monitoring

From: Richardson, Marc D. (CMS/OIS)
Sent: Tuesday, October 29, 2013 12:55 PM
To: Basavaraju, Venkat (CMS/OIS); Girish Shetty (gshetty@qssinc.com); 'Ivan Vinogradov'; Vignesh Srinivasan; Pardha Reddy; Dutra Gralewski Daniel (daniel.gralewski@oracle.com)
Cc: CMS - EIDM CMS Team; Linares, George E. (CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Carter, Cathy T. (CMS/OIS); Gass, Carole F. (CMS/OIS)
Subject: RE NotResp to monitor the NotResp an NotResp servers ...

Venkat,

How is this related to the NotResp mplementation from Mark Plaugher? We already have NotResp Mark wants to do NotResp and now yet a third monitor?

Regards,
<< OLE Object: Picture (Device Independent Bitmap) >>
Marc Richardson, PMP, Director

Centers for Medicare & Medicaid Services (CMS)
Office of Information Services (OIS)
Innovative Healthcare Delivery Systems Group (IHDSG)
Division of Healthcare Information Systems (DHIS)
<< OLE Object: Picture (Device Independent Bitmap) >> 410.786.0016 << OLE Object: Picture (Device Independent Bitmap) >> marc.richardson@cms.hhs.gov
<< OLE Object: Picture (Device Independent Bitmap) >> 443-934-5237
7500 Security Blvd., N3-17-07
Baltimore, MD 21244-1850

Need more information? Please visit the OIS website.
<< OLE Object: Picture (Device Independent Bitmap) >>

From: Basavaraju, Venkat (CMS/OIS)
Sent: Tuesday, October 29, 2013 12:51 PM
To: Girish Shetty (gshetty@qssinc.com); 'Ivan Vinogradov'; Vignesh Srinivasan; Pardha Reddy; Dutra Gralewski Daniel (daniel.gralewski@oracle.com)

Cc: CMS - EIDM CMS Team; Linares, George E. (CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Carter, Cathy T. (CMS/OIS); Gass, Carole F. (CMS/OIS)
Subject: NotResp to monitor the NotResp and NotResp servers ...

Folks – Seems like we may have to install NotResp on EIDM servers NotResp and NotResp to enable the monitoring at the Healthcare.Gov level. Can we schedule a quick call (may be at 1.30PM) with NotResp e to make sure that it is Ok and supported...

As far as I know there will be a jar file as part of the config directory and there is a capability to scrub the PII information. Oh BTW the monitored data is written to an external server NotResp i.e. we need to open the FW via a common NotResp proxy.

Please call me if there are any questions or comments.

-Venkat

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Message

From: Fryer, Teresa M. (CMS/OIS) NotResp NotResp

Sent: 11/1/2013 12:09:33 AM

To: Trenkle, Tony (CMS/OIS) NotResp NotResp Schankweiler, Thomas W. (CMS/OIS) NotResp NotResp

CC: Linares, George E. (CMS/OIS) NotResp NotResp Outerbridge, Monique (CMS/OIS) NotResp NotResp rothe, Kirk A. (CMS/OIS) NotResp NotResp King, Terris (CMS/O NotResp Robinson, Carolyn E. (CMS/OIS NotResp Marantan, James (CMS/OIS) NotResp

Subject: RE: PenTesting tonight - I need help... please.

Sensitivity: Company Confidential

Yes I agree that there are conflict of interest issues since NotResp is involved with the development of the NotResp nd we have been conducting authenticated scans of the internet facing web servers (which is an extensive list) of the Marketplace systems (not just healthcare.gov). There also needs to be rules of engagement in place and signed by appropriate parties.

From: Trenkle, Tony (CMS/OIS)
Sent: Thursday, October 31, 2013 6:40 PM
To: Schankweiler, Thomas W. (CMS/OIS)
Cc: Linares, George E. (CMS/OIS); Outerbridge, Monique (CMS/OIS); Grothe, Kirk A. (CMS/OIS); Fryer, Teresa M. (CMS/OIS); King, Terris (CMS/OIS); Robinson, Carolyn E. (CMS/OIS)
Subject: Re: PenTesting tonight - I need help... please.

Tom

NotResp

Teresa

Do you know anything about this?

From: Schankweiler, Thomas W. (CMS/OIS)
Sent: Thursday, October 31, 2013 06:34 PM
To: Trenkle, Tony (CMS/OIS)
Cc: Linares, George E. (CMS/OIS); Outerbridge, Monique (CMS/OIS); Grothe, Kirk A. (CMS/OIS); Fryer, Teresa M. (CMS/OIS)
Subject: PenTesting tonight - I need help... please.

Tony, e.t. all,

NotResp is running a pen-test tonight against healthcare.gov (english). Presumably this was a request that came from Marilyn Tavener. The test is non-authenticated and is supposed to look for basic NotRes vulnerabilities.

Tomorrow there is supposed to be a larger discussion (no meeting scheduled yet) about releasing all the security documentation and vulnerability information to NotResp in support of a project they are doing. I just wanted to confirm with NotResp leadership that everyone is aware of this request and that it ok to release all of this sensitive information. I am hyper-sensitive about this situation and really don't want to release all of this data especially to the same group that is doing Hub security for NotResp (where is the whole separation of duties here?).

I am also concerned that we are getting hit with multiple requests to do the same thing repeatedly without a grand strategy. here is what I mean...

- HHS CSIRC has been on-site and reviewed and verified the program and open findings
- HHS CSIRC wants to scan weekly, and now has access to NotResp and will soon have access to the NotResp and the NotResp, and the NotResp
- NotResp has been tasked to independently investigate the independent findings from HHS which they got from the NotResp which is also independent of the developers. (that's three levels of independence)
- NotResp is conducting weekly scans
- We are preparing for the next NotResp test which is an end-to-end strategy
- NotResp is testing daily and working with developers
- We are getting hit by hackers, journalists, and other tester companies throwing darts at us
- Now there is testing by NotResp

This is just a lot to keep up with and respond to. Also our confidential and sensitive information is growing legs and going way beyond the normal borders, which has actually led to some of the recent security incidents. I need some executive cover here, and backing to ensure we are working with a strategy and have boundaries for releasing information.

Thanks,

Tom

Message

From: Fryer, Teresa M. (CMS/OIS) NotResp NotResp
Sent: 11/1/2013 12:03:38 AM
To: Trenkle, Tony (CMS/OIS NotResp NotResp chankweiler, Thomas W. (CMS/OIS) NotResp NotResp
CC: Linares, George E. (CMS/OIS) NotResp NotResp uterbridge, Monique (CMS/OIS) NotResp NotResp Grothe, Kirk A. (CMS/OIS NotResp NotResp King, Terris (CMS/OIS NotResp Robinson, Carolyn E. (CMS/OIS NotResp
Subject: RE: PenTesting tonight - I need help... please.

Sensitivity: Company Confidential

No I have not heard anything about this.

From: Trenkle, Tony (CMS/OIS)
Sent: Thursday, October 31, 2013 6:40 PM
To: Schankweiler, Thomas W. (CMS/OIS)
Cc: Linares, George E. (CMS/OIS); Outerbridge, Monique (CMS/OIS); Grothe, Kirk A. (CMS/OIS); Fryer, Teresa M. (CMS/OIS); King, Terris (CMS/OIS); Robinson, Carolyn E. (CMS/OIS)
Subject: Re: PenTesting tonight - I need help... please.

Tom

This is first I have heard of this and don't think that Marilyn would be ordering a security test. Is that what they told you? Who told you this and who is setting up the meeting?

Teresa

Do you know anything about this?

From: Schankweiler, Thomas W. (CMS/OIS)
Sent: Thursday, October 31, 2013 06:34 PM
To: Trenkle, Tony (CMS/OIS)
Cc: Linares, George E. (CMS/OIS); Outerbridge, Monique (CMS/OIS); Grothe, Kirk A. (CMS/OIS); Fryer, Teresa M. (CMS/OIS)
Subject: PenTesting tonight - I need help... please.

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NotResp is running a pen-test tonight against healthcare.gov (english). Presumably this was a request that came from Marilyn Tavener. The test is non-authenticated and is supposed to look for basic NotResp vulnerabilities.

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Thanks,

Tom

Message

From: Charest, Kevin (OS/ASA/OCIO/OIS NotResp
Sent: 10/31/2013 3:53:05 AM
To: Stevenson, Corey B. (CMS/OIS NotResp
NotResp
CC: Schankweiler, Thomas W. (CMS/OIS) NotResp
NotResp ; Chao, Henry (CMS/OIS) NotResp
NotResp ; Fryer, Teresa M. (CMS/OIS) NotResp
NotResp Outerbridge, Monique
(CMS/OIS) NotResp Carter, Daniel
(CMS/OC) NotResp Newton, Paul
(CMS/OIS
NotResp
Subject: Re: DNS Not Re issue closed
Flag: Follow up

We are preparing a Classified brief so whoever from Akamai that has the a high enough clearance can attend I just will need the name clearance level and clearance holding authority to get them cleared to attend the briefing.

Kevin

Sent from my iPad

On Oct 30, 2013, at 8:31 PM, "Stevenson, Corey B. (CMS/OIS)" <Corey.Stevenson@cms.hhs.gov> wrote:
Kevin,

Akamai can arrange for someone that has clearance on their security team to talk to whomever if that is what would be required, they are just desperately trying to determine the risk/impact on their systems right now since they signed the keys. Please advise

Corey B. Stevenson
Director
Enterprise Data Center Group (EDCG)
Office of Information Services (OIS)
Centers for Medicare & Medicaid Services (CMS)
--Blackberry impaired typing.

From: Charest, Kevin (OS/ASA/OCIO/OIS)
Sent: Wednesday, October 30, 2013 07:48 PM
To: Schankweiler, Thomas W. (CMS/OIS)
Cc: Chao, Henry (CMS/OIS); Fryer, Teresa M. (CMS/OIS); Stevenson, Corey B. (CMS/OIS); Outerbridge, Monique (CMS/OIS)
Subject: Re: DNS Not Res p issue closed

Thanks Tom. We will send you the ticket tomorrow.

Kevin

Sent from my iPad

On Oct 30, 2013, at 6:36 PM, "Schankweiler, Thomas W. (CMS/OIS)" <thomas.schankweiler@cms.hhs.gov> wrote:
Kevin,

DNS Not Res p keys for the following sites have been changed and will be propagated at midnight tonight.

1. <!--[if !supportLists]--><!--[endif]-->cms.gov
2. <!--[if !supportLists]--><!--[endif]-->cms.hhs.gov
3. <!--[if !supportLists]--><!--[endif]-->cuidadodesalud.gov
4. <!--[if !supportLists]--><!--[endif]-->healthcare.gov
5. <!--[if !supportLists]--><!--[endif]-->insurekidsnow.gov
6. <!--[if !supportLists]--><!--[endif]-->medicaide.gov
7. <!--[if !supportLists]--><!--[endif]-->medicare.gov
8. <!--[if !supportLists]--><!--[endif]-->mimedicare.gov
9. <!--[if !supportLists]--><!--[endif]-->mymedicare.gov

If you have any questions feel free to contact me. Also could you please send me the incident tracking number for this event.

Thanks,

Tom Schankweiler, CISSP
Information Security Officer, CCIIO
CMS\OIS\CIISG
Consumer Information and Insurance Systems Group
410-786-5956 (Balt. Office, N2-13-22)
(b)(6) (Mobile)

Message

From: Linares, George E. (CMS/OIS) NotResp
NotResp
Sent: 12/17/2013 4:37:57 PM
To: Steiner, Chip [frank.steiner@noblis.org]; Schankweiler, Thomas W. (CMS/OIS) NotResp
NotResp chatoff, Jack H. (CMS/OIS) NotResp
NotResp ; Feuerberg, Lisa A.(CMS/OIS) NotResp
NotResp Warren, Kevin (CMS/OIS) NotResp
NotResp
CC: Cappelletti, John Danilo [john.cappelletti@noblis.org]
Subject: RE: ACA testing report

All,
Even if the report is to be completed on a bi-weekly basis, the actual monitoring and pen testing needs to occur on a weekly basis as per the Decision Memo. I don't think we have any flexibility on that regard. So let's make sure that it happens weekly.

Thanks

George Linares
Acting Chief Technology Officer
Centers for Medicare & Medicaid Services (CMS)
☎ 410.786.2866 ✉ george.linares@cms.hhs.gov
7500 Security Blvd., N3-15-25
Baltimore, MD 21244-1850

Need more information? Visit the OIS website.

From: Steiner, Chip [mailto:frank.steiner@noblis.org]
Sent: Tuesday, December 17, 2013 9:41 AM
To: Schankweiler, Thomas W. (CMS/OIS); Schatoff, Jack H. (CMS/OIS); Feuerberg, Lisa A.(CMS/OIS); Warren, Kevin (CMS/OIS)
Cc: Linares, George E. (CMS/OIS); Cappelletti, John Danilo
Subject: RE: ACA testing report

George,

The Security Decision Memo that we are addressing states:

- *Monitor and perform the weekly testing of all border devices, including internet facing web servers;*

The HROB weekly status report states:
Penetration testing is conducted weekly from an external Internet Protocol (IP) address not associated with CMS or any .gov entity. The Internet-facing Web servers that comprise the FFM environment and are penetration tested are located at the following application Uniform Resource Locators (URLs):

- *www.healthcare.gov/marketplace*
- *https://www.cuidadodesalud.gov/es/*

I believe that we've stated in the past that testing would alternate weekly between the english and spanish sites. In addition, we still have the statement in the HROB weekly status report that testing of the firewalls that has been included since the original HROB report:

Penetration testing of network infrastructure devices (specifically, two redundant firewalls) will be underway shortly, pending coordination with the Terremark datacenter.

C.

From: Schankweiler, Thomas W. (CMS/OIS) [thomas.schankweiler@cms.hhs.gov]
Sent: Tuesday, December 17, 2013 9:19 AM
To: Schatoff, Jack H. (CMS/OIS); Feuerberg, Lisa A.(CMS/OIS); Warren, Kevin (CMS/OIS)
Cc: Linares, George E. (CMS/OIS); Cappelletti, John Danilo; Steiner, Chip
Subject: RE: ACA testing report

Jack,

Please let Kevin know which systems you need credentials for, and he can work on the coordination to get this for you.

George, I think if you end up making the HRoB report an bi-weekly delivery that the scan schedule for HC.gov will fit nicely.

Tom

From: Schatoff, Jack H. (CMS/OIS)
Sent: Tuesday, December 17, 2013 9:14 AM
To: Schankweiler, Thomas W. (CMS/OIS); Feuerberg, Lisa A.(CMS/OIS)
Cc: Linares, George E. (CMS/OIS); Cappelletti, John Danilo; Steiner, Chip
Subject: RE: ACA testing report

Tom,

Due to the large number of ACA sites, including satellite sites, my one tester can only thoroughly test a certain number of web sites each week. With that said, we hit the healthcare.gov site once every two weeks. We can hit it every week, but that will cause other ACA sites to be tested less frequently.

EISG could perform better testing if we had user credentials on all of the ACA systems.

Please advise.

Thanks,

Jack

From: Schankweiler, Thomas W. (CMS/OIS)
Sent: Monday, December 16, 2013 2:21 PM
To: Feuerberg, Lisa A.(CMS/OIS)
Cc: Linares, George E. (CMS/OIS); Schatoff, Jack H. (CMS/OIS); Cappelletti, John Danilo; Steiner, Chip
Subject: RE: ACA testing report

Jack,

I'll leave this one to you…

Tom

From: Feuerberg, Lisa A.(CMS/OIS)
Sent: Monday, December 16, 2013 2:15 PM
To: Schankweiler, Thomas W. (CMS/OIS)
Cc: Linares, George E. (CMS/OIS); Schatoff, Jack H. (CMS/OIS); Cappelletti, John Danilo; Steiner, Chip
Subject: RE: ACA testing report

Hi Tom:

Can you let us know why the scans didn't target healthcare.cov? We're anticipating that question from the recipients of the HROB which includes the administrator and OIG.

Lisa Feuerberg
Centers for Medicare & Medicaid Services (CMS)
Office of Information Services (OIS)
Information Services Design & Development Group (IHDSG)
☎ 410.786.6840 (O (b)(6)
✉ lisa.feuerberg@cms.hhs.gov
7500 Security Blvd., N3-17-26
Baltimore, MD 21244-1850

Need more information? Please visit the OIS website.

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From: Schankweiler, Thomas W. (CMS/OIS)
Sent: Friday, December 13, 2013 3:15 PM
To: Steiner, Chip
Cc: Linares, George E. (CMS/OIS); Schatoff, Jack H. (CMS/OIS); Feuerberg, Lisa A.(CMS/OIS); Cappelletti, John Danilo
Subject: RE: ACA testing report

Chip,

The scans from this week did not target healthcare.gov

The finder page shares the same namespace, but is actually tied to the HIOS application.

There would be no new findings for the HRob report for this week.

Tom

From: Steiner, Chip [mailto:frank.steiner@noblis.org]
Sent: Friday, December 13, 2013 11:24 AM
To: Schankweiler, Thomas W. (CMS/OIS)
Cc: Linares, George E. (CMS/OIS); Schatoff, Jack H. (CMS/OIS); Feuerberg, Lisa A.(CMS/OIS); Cappelletti, John Danilo
Subject: [WARNING : MESSAGE ENCRYPTED] FW: ACA testing report

Tom,

I didn't get this report until after the meeting started this morning so I couldn't ask about the details, but it appears that we did not test the specific urls that we list in the status report [Jack - please correct me if this is not the case]. However, the associated url was tested:

https:/ NotResp

How should the following paragraphs be updated in the weekly status report to reflect this change?

Procedure

The dedicated security team conducts ongoing vulnerability assessments of the FFM network infrastructure and Internet-facing Web servers through penetration testing and monitoring. The purpose of this ongoing testing is to identify exploitable vulnerabilities present within devices that are used to support the Affordable Care Act. Identified vulnerabilities are managed, tracked, and resolved using the established CMS vulnerability management processes, details of which are provided below.

Penetration testing is conducted weekly from an external Internet Protocol (IP) address not associated with CMS or any .gov entity. The Internet-facing Web servers that comprise the FFM environment and are penetration tested are located at the following application Uniform Resource Locators (URLs):

- www.healthcare.gov/marketplace
- https://www.cuidadodesalud.gov/es/

Results

During this reporting period, penetration testing of Internet-facing Web servers identified no high or moderate vulnerabilities within FFM. Vulnerabilities identified in prior reports that have not been closed continue to be worked per the processes described above.

We also need an update of the following paragraph:

Penetration testing of network infrastructure devices (specifically, two redundant firewalls) will be underway shortly, pending coordination with the Terremark datacenter. The firewall devices are not publically accessible and require coordination with datacenter contractors to create the internal tunnels necessary to support this scanning activity.

I appreciate your help in completing this update.

C.

Chip Steiner | Senior Principal
Noblis | 3150 Fairview Park Drive South | Falls Church, Virginia | 22042-4519
o: 703.610.1574 | f: 703.610.1702 | chip.steiner@noblis.org

From: Kellison, Daryl L. (CMS/CTR) [Daryl.Kellison@cms.hhs.gov]
Sent: Friday, December 13, 2013 10:31 AM
To: Steiner, Chip
Subject: FW: ACA testing report

From: Kellison, Daryl L. (CMS/CTR)
Sent: Thursday, December 12, 2013 10:52 AM
To: Fryer, Teresa M. (CMS/OIS); Marantan, James (CMS/OIS); Elky, Mark (CMS/OIS); john.cappalletti@noblis.org; Schankweiler, Thomas W. (CMS/OIS); Lyles, Darrin V. (CMS/OIS); Feuerberg, Lisa A.(CMS/OIS); Linares, George E. (CMS/OIS)
Cc: Schatoff, Jack H. (CMS/OIS); Kreider, Brett (CMS/CTR); Conte, Michael B. (CMS/CTR); bryce.kunz@defpoint.com
Subject: ACA testing report

All

Attached is the report and CFACTS input for all applications supporting the ACA which were tested this week. The password to open the files will follow.

Thanks

Dary

Message

From: Linares, George E. (CMS/OIS) NotResp NotResp

Sent: 12/17/2013 7:17:17 PM

To: Schankweiler, Thomas W. (CMS/OIS) NotResp NotResp; Marantan, James (CMS/OIS) NotResp NotResp

CC: Fryer, Teresa M. (CMS/OIS) NotResp NotResp

Subject: FW: Need quick review please

Importance: High

Tom and James,
Please the statements below, please review and provide your comments asap. This is a response to the SCAs that were released

Thanks

From: Boulanger, Jennifer L. (CMS)
Sent: Tuesday, December 17, 2013 2:07 PM
To: Nelson, David J. (CMS/OEM); Linares, George E. (CMS/OIS)
Subject: FW: Need quick review please
Importance: High

Please give me your comments on this ASAP. Thank you

From: Friedman, Jennifer (OS/ASPA)
Sent: Tuesday, December 17, 2013 1:27 PM
To: OConnor, Jen (OS/OGC); Schultz, William B (HHS/OGC); Flamberg, Gemma (HHS/OGC); Blackwood, Kristine (HHS/ASL); Scott, Meghan (HHS/ASL); Barstow, Kevin (HHS/ASL); Boulanger, Jennifer L. (CMS); Clark, Apryl C. (CMS/OL); Unruh, Patti (CMS/OC)
Cc: Peters, Joanne (OS/ASPA)
Subject: Need quick review please
Importance: High

Draft/ deliberative/ pre-decisional

HHS Response to Issa letter:

"We have received the letter and will respond directly to the Chairman.

Regarding the documents that Chairman Issa released today, as we have said repeatedly, the components of the HealthCare.gov website that are operational have been determined to be compliant with the Federal Information Security Management Act (FISMA), based on standards promulgated by the National Institutes of Standards and Technology (NIST) and promulgated through the Office of Management and Budget (OMB)."

To date, there have been no successful security attacks on Healthcare.gov and no person or group has maliciously accessed personally identifiable information from the site.

Each piece of the live Healthcare.gov system that was going into operation October 1st had been tested by an independent security control assessor and testing was completed prior to October 1, 2013 with no high findings. All high, moderate, and low security risk findings listed on the SCAs for the portions of the website that launched on October 1st were either fixed, or have strategies and plans in place to fix the findings that meet industry standards.

Security testing is conducted on an ongoing basis using industry best practices to appropriately safeguard consumers' personal information.

We are committed to working with the Committee to accommodate its interests in this issue and to respond to the Committee's requests for documents while protecting the privacy and security of consumers' personal information and vital IT assets."

Additional background: Refer to 12/12 letter

Message

From:	Couts, Todd (CMS/OIS) NotResp NotResp
Sent:	11/27/2013 7:36:50 PM
To:	Kane, David (CMS/OIS) NotResp
CC:	Outerbridge, Monique (CMS/OIS NotResp NotResp Schankweiler, Thomas W. (CMS/OIS) NotResp NotResp Grothe, Kirk A. (CMS/OIS) NotResp NotResp
Subject:	RE: Security Items that Need Attention

Hi David,

No, we have not received a response.

From: Kane, David (CMS/OIS)
Sent: Wednesday, November 27, 2013 2:34 PM
To: Couts, Todd (CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Michael Finkel
Cc: Warren, Kevin (CMS/OIS); Fletcher, John A. (CMS/OIS); Van, Hung B. (CMS/OIS); Grothe, Kirk A. (CMS/OIS); Lyles, Darrin V. (CMS/OIS); 'Venky Natarajan' (vnatarajan@qssinc.com) (vnatarajan@qssinc.com); lynn.goodrich@cgifederal.com; Thomas.Kirk@gss-cgi.com; 'Ramamoorthy, Balaji Manikandan (CGI Federal)' (balajimanikandan.ramamoorthy@cgifederal.com); Outerbridge, Monique (CMS/OIS)
Subject: RE: Security Items that Need Attention

Todd,

Did we receive a response indicating the status of each? Please advise.

Respectfully,

DAVID KANE
Office: 410-786-1193
BB: (b)(6)
David.Kane@cms.hhs.gov

From: Couts, Todd (CMS/OIS)
Sent: Tuesday, November 26, 2013 3:48 PM
To: Schankweiler, Thomas W. (CMS/OIS); Kane, David (CMS/OIS); Michael Finkel
Cc: Warren, Kevin (CMS/OIS); Fletcher, John A. (CMS/OIS); Van, Hung B. (CMS/OIS); Grothe, Kirk A. (CMS/OIS); Lyles, Darrin V. (CMS/OIS); 'Venky Natarajan' (vnatarajan@qssinc.com) (vnatarajan@qssinc.com); lynn.goodrich@cgifederal.com; Thomas.Kirk@gss-cgi.com; 'Ramamoorthy, Balaji Manikandan (CGI Federal)' (balajimanikandan.ramamoorthy@cgifederal.com); Outerbridge, Monique (CMS/OIS)
Subject: Security Items that Need Attention

QSSI and CGI,

I am writing to highlight several security incidents that need your attention. As they are security issues, please consider the NotResp ticket your authorization to act. I am only sending the NotResp numbers to avoid transmitting too much detail. By tomorrow, please communicate back to use their status (closed, in process, etc) and at least a tentative date for resolution.

1. These are the two that Tom Schankweiler raised today.
    - INC000002589982
    - artf161265 INC2598675

2. Additionally, we identified several open tickets in NotResp
    - 2614246
    - 2614253
    - 2614255
    - 2614297
    - 2614299
    - 2614303
    - 2614304
    - 2614305
    - 2614307
    - 2614309
    - 2614310
    - 2614311
    - 2614313
    - 2614316
    - 2614317
    - 2614318
    - 2614319
    - 2614320
    - 2614321
    - 2614322
    - 2614323
    - 2614324
    - 2614325
    - 2614326
    - 2614328
    - 2614329
    - 2614330
    - 2614331
    - 2614332
    - 2614327
    - 2614333
    - 2614334
    - 2614335
    - 2614336
    - 2614337
    - 2614338
    - 2614339
    - 2614340
    - 2614341

Todd Couts
Centers for Medicare & Medicaid Services
Office of Information Services
301-492-5139 (office) (b)(6) (mobile) | todd.couts1@cms.hhs.gov
7700 Wisconsin Ave Bethesda MD 20814 | Location: 9308

From: Schankweiler, Thomas W. (CMS/OIS)
Sent: Tuesday, November 26, 2013 12:41 PM
To: Couts, Todd (CMS/OIS); Kane, David (CMS/OIS); Michael Finkel
Cc: Warren, Kevin (CMS/OIS); Fletcher, John A. (CMS/OIS); Van, Hung B. (CMS/OIS); Grothe, Kirk A. (CMS/OIS); Lyles,

Darrin V. (CMS/OIS)
Subject: INC000002589982 Need details regarding NotResp

Todd,

I would like to escalate this ticket NC000002589982 as being high risk on the defect list. I know that a bunch of security risk have recently appeared on the list but I wanted to let you know this one is considered high priority. In total we now have two tickets that are considered high priority. Contact me if you have any questions.

Thanks,

Tom

From: Ramamoorthy, Balaji Manikandan (CGI Federal) [mailto:balajimanikandan.ramamoorthy@cgifederal.com]
Sent: Tuesday, November 26, 2013 10:52 AM
To: Schankweiler, Thomas W. (CMS/OIS); Willard, Adam (CMS/CTR)
Cc: Warren, Kevin (CMS/OIS); Quaintance, Eric (CGI Federal); Dhas, Navin (CGI Federal); Alford, Justin (CGI Federal); Martin, Rich (CGI Federal)
Subject: RE: artf160711 / INC000002589982 Need details regarding NotResp

Hi Tom,
We promoted the code fix into production. Apparently the security enforcement is turned off.

The NotResp documents (notices) that are saved are not having the proper meta data populated to turn on the enforcements. So in addition to the fix that has been rolled in the following actions needs to occur.

1. Do a manual batch job to update the meta data for all the existing notices.
2. Have the developers fix the code so that any new notices that are saved has the proper metadata for enforcement.

These 2 action items are being coordinated internally right now. We don't have an ETA yet.

Thanks
Balaji M. Ramamoorthy

From: Schankweiler, Thomas W. (CMS/OIS) [mailto:thomas.schankweiler@cms.hhs.gov]
Sent: Tuesday, November 26, 2013 10:42 AM
To: Ramamoorthy, Balaji Manikandan (CGI Federal); Willard, Adam (CMS/CTR)
Cc: Warren, Kevin (CMS/OIS); Quaintance, Eric (CGI Federal); Dhas, Navin (CGI Federal)
Subject: artf160711 / INC000002589982 Need details regarding NotResp

Balaji, Adam, and Kevin

I am looking for an update on this ticket. Can someone provide be a status of where we are with this item? Has it been corrected? Is the situation still occurring?

Thanks,

Tom

From: Ramamoorthy, Balaji Manikandan (CGI Federal) [mailto:balajimanikandan.ramamoorthy@cgifederal.com]
Sent: Wednesday, November 06, 2013 12:39 PM
To: Willard, Adam (CMS/CTR)
Cc: Warren, Kevin (CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Quaintance, Eric (CGI Federal); Dhas, Navin (CGI Federal)
Subject: RE: Need details regarding NotResp

Hi Adam,

There are multiple instances of NotResp We expect NotResp guarantees for the uniqueness across NotResp We did go this route to see if there were duplicates.

So far the root cause has not been determined for the notices. In this particular instance we did see that the username were closely identical between the user1 and user2. There was a special character "-" at the end (and that was the only difference). We are also looking into the NotResp to see how it behaves and whether it has to be tweaked.

Thanks
Balaji M. Ramamoorthy

From: Willard, Adam (CMS/CTR) [mailto:Adam.Willard@cms.hhs.gov]
Sent: Wednesday, November 06, 2013 12:05 PM
To: Ramamoorthy, Balaji Manikandan (CGI Federal)
Cc: Warren, Kevin (CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Quaintance, Eric (CGI Federal); Dhas, Navin (CGI Federal)
Subject: RE: Need details regarding NotResp

Is NotResp just 1 instance or are there several instances in production? If there are multiple systems generating a NotResp there could be collisions.

What was the analysis from the Users who said they saw someone's Notice instead of theirs. Was there any check to see if the NotResp for that user and the other user was the same?

Adam Willard (Contractor)
703-354-2229 x513 (Direct)
(b)(6) Mobile)
Adam.Willard@cms.hhs.gov

CMS Not Res Security Team
Consumer Information & Insurance Systems Group (CIISG)
Centers for Medicare & Medicaid Services (CMS)
NotResp

From: Ramamoorthy, Balaji Manikandan (CGI Federal) [balajimanikandan.ramamoorthy@cgifederal.com]
Sent: Wednesday, November 06, 2013 11:47 AM
To: Willard, Adam (CMS/CTR)
Cc: Warren, Kevin (CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Quaintance, Eric (CGI Federal); Dhas, Navin (CGI Federal)
Subject: RE: Need details regarding NotResp

Hi Adam,

The eligibility notices are stored in NotResp and the URI's for the notices are stored against the user record in NotResp

The NotResp for the PDF document itself is generated by NotResp and it is sufficiently random.

We did identify this issue internally and it is in the list of high priority items to be fixed. I will track down on the ETA for the fix and let you know.

I agree that in the meantime to see if the rate control can be applied to this specific URL.

Thanks
Balaji M. Ramamoorthy

From: Willard, Adam (CMS/CTR) [mailto:Adam.Willard@cms.hhs.gov]
Sent: Wednesday, November 06, 2013 9:37 AM
To: Ramamoorthy, Balaji Manikandan (CGI Federal)
Cc: Warren, Kevin (CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Quaintance, Eric (CGI Federal)
Subject: Need details regarding NotResp
Importance: High

Balaji,

I noticed this morning that it is possible for anyone to run a NotResp healthcare.gov to obtain the results of their eligibility.

I need to know where you are grabbing the file from NotResp or something else). Is that system publicly accessible?

We need to know if there is anyway to put in permission checking of the workspace url NotResp against the list of possible NotResp for a user.

I sent Shima NotResp my eligibility URL and she was able to see my results in PDF format.

We are looking into a Rate Control for the NotResp o block or limit access to this screen if several attempts are made over X period of time.

Adam Willard (Contractor)
703-354-2229 x513 (Direct)
NotResp (Mobile)
Adam.Willard@cms.hhs.gov

CMS NotResp ecurity Team
Consumer Information & Insurance Systems Group (CIISG)
Centers for Medicare & Medicaid Services (CMS)
NotResp

Message

From: Fryer, Teresa M. (CMS/OIS) NotResp NotResp
Sent: 12/5/2013 4:33:35 PM
To: Ambrosini, Ellen M. (CMS/OEM) NotResp NotResp Alexander, David (CMS/OIS) NotResp NotResp Schankweiler, Thomas W. (CMS/OIS) NotResp NotResp
CC: Reinhold, Leslie A. (CMS/OEM) NotResp NotResp Wills, Theodora (CMS/OEM) NotResp NotResp
Subject: RE: HHS Request: IT Response Plans for 2 Tickets

Ellen,

What is #25244, Tom has indicated he does not know what this is and you have indicated that both tickets are for Marketplace.

Teresa

From: Ambrosini, Ellen M. (CMS/OEM)
Sent: Wednesday, December 04, 2013 6:58 PM
To: Fryer, Teresa M. (CMS/OIS); Alexander, David (CMS/OIS); Schankweiler, Thomas W. (CMS/OIS)
Cc: Reinhold, Leslie A. (CMS/OEM); Wills, Theodora (CMS/OEM)
Subject: HHS Request: IT Response Plans for 2 Tickets
Importance: High

Good evening, Teresa-

We met with HHS today and they are requesting several HHS Response Plans on several tickets. Therefore, please complete a Response Plan (template attached) for the below two IT tickets from the Marketplace:

- NotResp # 24913, NotResp # INC000002589982 (see below for status)
- NotResp 25244, N/A NotResp as this was entered by CMS IRT.

We will be preparing a Response Plan for several tickets covering an issue regarding potential PII violations and will ask you to review / input the IT section, as necessary.

All of these plans are due to the Department before COB on Friday, December 6th. We asked for an extension today and was told that the information is required on Friday.
Please let me know if you have any questions.

Thank you,

Ellen M. Ambrosini
Acting Director, Division of Privacy Policy

Privacy Policy Compliance Group, Office of E-Health Standards & Services
Centers for Medicare & Medicaid Services
7500 Security Boulevard
Baltimore, Maryland 21244
410-786-6918

INFORMATION NOT RELEASABLE TO THE PUBLIC UNLESS AUTHORIZED BY LAW: This information has not been publicly disclosed and may be privileged and confidential. It is for internal government use only and must not be disseminated, distributed, or copied to persons not authorized to receive the information. Unauthorized disclosure may result in prosecution to the full extent of the law.

From: Schankweiler, Thomas W. (CMS/OIS)
Sent: Tuesday, December 03, 2013 1:02 PM
To: Reinhold, Leslie A. (CMS/OEM)
Subject: Fw: INC000002589982

From: Ramamoorthy, Balaji Manikandan (CGI Federal) [mailto:balajimanikandan.ramamoorthy@cgifederal.com]
Sent: Tuesday, December 03, 2013 12:31 PM
To: Schankweiler, Thomas W. (CMS/OIS); Warren, Kevin (CMS/OIS); Lyles, Darrin V. (CMS/OIS); sbanks@foregroundsecurity.com <sbanks@foregroundsecurity.com>
Cc: FFM Security Defects <FFMSecurityDefects@cgifederal.com>; Martin, Rich (CGI Federal) <Rich.Martin@cgifederal.com>; Promisel, Andrew L (CGI Federal) <andy.promisel@cgifederal.com>; Alford, Justin (CGI Federal) <justin.alford@cgifederal.com>
Subject: INC000002589982

Hi Tom,

As discussed here is the write up for the incident # INC000002589982. Please forward it as necessary.

Issue:

An authenticated user can craft a NotResp against the URL that provides the EligibilityNotice.pdf. If the NotResp on the system is not truly Unique, this could pose a risk of disclosure to users. Once logged into HealthCare.gov, a user could script NotResp the system to retrieve any user's eligibility form.

Analysis:

A Proof of Concept was performed by the Marketplace Security Team where user A provided a URL to user B. User B was able to see the EligibilityNotice.pdf for User A.

Resolution:

FFM security team have put a code fix in place that will check the meta data of the notices stored in NotResp and make sure that it is associated with the user who is logged in before it could be downloaded by the user. The meta data for the notice includes the NotResp and the username. The fix accounts for different roles such as

1. Consumers
2. Agents/Brokers
3. CCR's
4. ESD workers.

The fix has been successfully tested in the lower environments for all these roles and the code has been promoted to the production. The enforcement has not been turned on in production due to the following reasons.

1. Currently the meta data is not populated for the notices stored in NotResp All the existing notices have to be updated for the meta data by the data cleanup team. This involves checking the NotResp for all notices, obtaining the NotResp and username and populating NotResp with proper meta data.
2. The development team has to update the code to make sure that any new notice generation is populating the proper meta data going forward.

Action Items

We don't have an ETA for these 2 tasks listed above and when the enforcement can be turned on. I have copied Justin Alford (who leads the data cleanup team) and Andy Promisel (who leads the development efforts) in the email as well.

Please let me know if you need more information.

Thanks
Balaji M. Ramamoorthy

Message

From: Fryer, Teresa M. (CMS/OIS) NotResp
NotResp

Sent: 11/13/2013 2:17:36 AM

To: Linares, George E. (CMS/OIS) NotResp
NotResp Feuerberg, Lisa A.(CMS/OIS) NotResp
NotResp Schankweiler, Thomas W. (CMS/OIS) NotResp
NotResp ; Marantan, James (CMS/OIS)
NotResp

CC: Steiner, Chip [frank.steiner@noblis.org]

Subject: RE: HROB report for 11/7. draft as of 11/12, 5:15

Stating for the record that we did not agree that only www.healthcare.gov/marketplace and https://www.cuidadodesalud.gov should be included in the report. As stated previously all external web facing marketplace servers are being scanned and if vulnerabilities found, could lead to FFM systems being exploited. The action was to "Monitor and perform weekly testing of all border devices, including internet facing web servers". It did not specifically state only the healthcare.gov website. All the sites being scanned are FFM related systems, so to state they were non-FFM systems is incorrect.

Teresa

Teresa Fryer, CISSP, HCISPP, CIPP/G
Chief Information Security Officer and
Director, Enterprise Information Security Group (EISG)
Centers for Medicare & Medicaid Services
Office of Information Services (OIS)
7500 Security Blvd, N1-26-18
Baltimore, MD 21244
410-786-2614 (W)
443-602-1561 (C)
teresa.fryer@cms.hhs.gov

This space intentionally left blank.

From: Linares, George E. (CMS/OIS)
Sent: Tuesday, November 12, 2013 8:42 PM
To: Cappelletti, John Danilo; Feuerberg, Lisa A.(CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Marantan, James (CMS/OIS); Fryer, Teresa M. (CMS/OIS)
Cc: Steiner, Chip
Subject: RE: HROB report for 11/7. draft as of 11/12, 5:15
Here are my comments

- Please add Acting to my title
- Page 4 Results - Remove Table 1 and change paragraph something like this and add caveat of s follows: During this reporting period, penetration testing of Internet-facing Web servers identified no vulnerabilities within FFM. However, during the prior reporting period one High and several Moderate vulnerabilities that were determined

to be potentially exploitable were identified for non-FFM systems. In addition, five low… … Starting with this reporting period, only FFM related vulnerabilities will be included.

-
- A2 - please add caveat, that since this is data center metrics that some non-ffm systems have been included
- A6 - leave it as is

James and Teresa, comments A2-A5 require your input

Thanks

From: Cappelletti, John Danilo [john.cappelletti@noblis.org]
Sent: Tuesday, November 12, 2013 5:18 PM
To: Feuerberg, Lisa A.(CMS/OIS); Linares, George E. (CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Marantan, James (CMS/OIS); Fryer, Teresa M. (CMS/OIS)
Cc: Steiner, Chip; Cappelletti, John Danilo
Subject: [WARNING : MESSAGE ENCRYPTED] HROB report for 11/7. draft as of 11/12, 5:15

Lisa, et al.:

This version has a number of updates, as discussed and presented further below. The following two sections are in most need of refinement / additional information:

- Section 2.3 Continuous Monitoring
- Section 2.2 Border Testing
- Executive summary once the above are refined

Updates include:

- Refined the assets being tested and monitored to only those pertaining to FFM per our discussion today. These specifically include www.healthcare.gov/marketplace and https://www.cuidadodesalud.gov. And the five mentinoed FFM systems.
- Updated the vulnerabilities listed in Table 5 per the email from Hank.
- Included some of the updates from Corey in NotResp migration.
- Added specific dates to SCA testing.

Lisa, we'll give you a call to discuss the needed additional information.

Regards,
John
PS: we have our documentation specialist cleaning up the acronym list presently

Message

From: Trenkle, Tony (CMS/OIS) NotResp NotResp

Sent: 11/12/2013 11:15:08 PM

To: Unruh, Patti (CMS/OC) NotResp Boulanger, Jennifer L. (CMS) NotResp Snyder, Michelle (CMS/OA NotResp Kerr, James T. (CMS/CMHPO NotResp ; Chao, Henry (CMS/OIS) NotResp Khalid, Aryana C. (CMS/OA NotResp Aronson, Lauren (CMS/OL NotResp NotResp Bataille, Julie (CMS/OC) NotResp NotResp

CC: Bradley, Tasha (CMS/OC) NotResp Outerbridge, Monique (CMS/OIS NotResp NotResp Schankweiler, Thomas W. (CMS/OIS) NotResp NotResp Fryer, Teresa M. (CMS/OIS) NotResp NotResp King, Terris (CMS/OIS) NotResp Nelson, David J. NotResp

Subject: RE: REVIEW: Statement & Background

Patti,

I'm sticking with the changes we suggested several hours ago. Jennifer can explain why.

Tony

From: Unruh, Patti (CMS/OC)
Sent: Tuesday, November 12, 2013 4:14 PM
To: Boulanger, Jennifer L. (CMS); Trenkle, Tony (CMS/OIS); Snyder, Michelle (CMS/OA); Kerr, James T. (CMS/CMHPO); Chao, Henry (CMS/OIS); Khalid, Aryana C. (CMS/OA); Aronson, Lauren (CMS/OL); Bataille, Julie (CMS/OC)
Cc: Bradley, Tasha (CMS/OC); Outerbridge, Monique (CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Fryer, Teresa M. (CMS/OIS); King, Terris (CMS/OIS); Nelson, David J. (CMS/OEM)
Subject: RE: REVIEW: Statement & Background

Thanks so much Jennifer, Tony and all for looking at this. Want to note that I think the phrase "stringent security standards" is simple language for press purposes that means FISMA and NIST standards. Plus this line is already in our "Securing the MP" fact sheet which CMS issued several weeks ago. The fact sheet went thru both CMS Press clearance and Dept clearance, and we've been using it.

Putting aside that line, can I rephrase the last sentence in statement below – see the caps.

CMS Statement:
"The privacy and security of consumers' personal information are a top priority for us. When consumers fill out their online Marketplace applications, they can trust that the information that they are providing is protected by stringent security standards.
Security testing happens on an ongoing basis using industry best practices to appropriately safeguard consumers' personal information. THE COMPONENTS OF the HealthCare.gov website THAT ARE OPERATIONAL HAVE been

determined to be compliant with the Federal Information Security Management Act (FISMA), based on standards promulgated by the National Institutes of Standards and Technology (NIST)."

Additional Background:

The September 3, 2013 Authority to Operate document is only for the Qualified Health Plan and Dental Modules of the website. These modules allow insurers to submit and upload information about their insurance plans into the system. Even when modules of the FFM go online, they will not submit or share personally identifiable information (PII) as they will only share insurance information plan data.

The document that was under discussion is separate from the authorization to operate the FFM and the parts of the website that launched on October 1. That document relates to functions of the website that will go online as needed beginning in 2014– the Qualified Health Plan and Dental modules.

CMS has taken action on each of the two high findings in the 9/3 ATO by putting in place compensating controls to sufficiently mitigate risks.

The authorization to operate the FFM was issued by CMS leadership on September 27, 2013~~, consistent with relevant security standards~~. The authorization to operate is limited to six months and is conditioned on a number of strategies to mitigate risks outlined in the ATO, including regular testing.

From: Boulanger, Jennifer L. (CMS)
Sent: Tuesday, November 12, 2013 4:00 PM
To: Trenkle, Tony (CMS/OIS); Unruh, Patti (CMS/OC); Snyder, Michelle (CMS/OA); Kerr, James T. (CMS/CMHPO); Chao, Henry (CMS/OIS); Khalid, Aryana C. (CMS/OA); Aronson, Lauren (CMS/OL); Bataille, Julie (CMS/OC)
Cc: Bradley, Tasha (CMS/OC); Outerbridge, Monique (CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Fryer, Teresa M. (CMS/OIS); King, Terris (CMS/OIS); Nelson, David J. (CMS/OEM)
Subject: RE: REVIEW: Statement & Background

Tony -- I played around with the statement some more. Would this work any better from your perspective? -- Thanks, Jennifer

The privacy and security of consumers' personal information are a top priority for CMS. When consumers fill out their online Marketplace applications, they can trust that the information that they are providing is protected in accordance with federal standards including the Federal Information Security Management Act (FISMA),which is based on standards promulgated by the National Institutes of Standards and Technology (NIST). Security testing happens on an ongoing basis using industry best practices to appropriately safeguard consumers' personal information.

From: Trenkle, Tony (CMS/OIS)
Sent: Tuesday, November 12, 2013 3:31 PM
To: Unruh, Patti (CMS/OC); Snyder, Michelle (CMS/OA); Kerr, James T. (CMS/CMHPO); Chao, Henry (CMS/OIS); Boulanger, Jennifer L. (CMS); Khalid, Aryana C. (CMS/OA); Aronson, Lauren (CMS/OL); Bataille, Julie (CMS/OC)
Cc: Bradley, Tasha (CMS/OC); Outerbridge, Monique (CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Fryer, Teresa M. (CMS/OIS); Trenkle, Tony (CMS/OIS); King, Terris (CMS/OIS); Nelson, David J. (CMS/OEM)
Subject: RE: REVIEW: Statement & Background

See my changes below after discussion with Teresa. Any questions, please call me.

From: Unruh, Patti (CMS/OC)
Sent: Tuesday, November 12, 2013 3:13 PM
To: Trenkle, Tony (CMS/OIS); Snyder, Michelle (CMS/OA); Kerr, James T. (CMS/CMHPO); Chao, Henry (CMS/OIS); Boulanger, Jennifer L. (CMS); Khalid, Aryana C. (CMS/OA); Aronson, Lauren (CMS/OL); Bataille, Julie (CMS/OC)
Cc: Bradley, Tasha (CMS/OC); Outerbridge, Monique (CMS/OIS); Schankweiler, Thomas W. (CMS/OIS)
Subject: REVIEW: Statement & Background

Hi all,
Pls review and provide your OK or edits by 4:30...sorry for the tight turn-around, but reporters are writing on this today and we need to clear w/ others.

Some of the language in the statement you have seen before. However, the background information was developed today. Many thanks.

CMS Statement:
The privacy and security of consumers' personal information are a top priority for us. ~~When consumers fill out their online Marketplace applications, they can trust that the information that they are providing is protected by stringent security standards.~~ Security testing happens on an ongoing basis using industry best practices to appropriately safeguard consumers' personal information. ~~The HealthCare.gov website has been determined to be compliant with the Federal Information Security Management Act (FISMA), based on standards promulgated by the National Institutes of Standards and Technology (NIST)."~~

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Message

From: Linares, George E. (CMS/OIS) NotResp
NotResp
Sent: 11/13/2013 2:34:17 AM
To: Fryer, Teresa M. (CMS/OIS) NotResp
NotResp Feuerberg, Lisa A.(CMS/OIS NotResp
NotResp Schankweiler, Thomas W. (CMS/OIS) NotResp
NotResp Marantan, James (CMS/OIS)
NotResp
CC: 'frank.steiner@noblis.org' [frank.steiner@noblis.org]
Subject: Re: HROB report for 11/7. draft as of 11/12, 5:15

You are correct, the monitor is happening for all systems regardless of FFM. The only thing that we are saying is that for the weekly reporting purposes, we are focusing on ffm only. The decision memo clearly states the boundaries to ffm, e&e, fm and pm and for sca purposes that's the system boundary as well. So would be staying consistent there. We can review the decision memo and discuss this further, but I am just going with what's on the decision memo as to what the boundaries and scope for reporting purposes.
The report as is becoming extremely difficult to manage as well as getting all the information timely.

George Linares

Office of Information Services
Centers for Medicare & Medicaid Services
------ Sent using BlackBerry -------

From: Fryer, Teresa M. (CMS/OIS)
Sent: Tuesday, November 12, 2013 09:17 PM
To: Linares, George E. (CMS/OIS); Feuerberg, Lisa A.(CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Marantan, James (CMS/OIS)
Cc: Steiner, Chip <frank.steiner@noblis.org>
Subject: RE: HROB report for 11/7. draft as of 11/12, 5:15

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Teresa

Teresa Fryer, CISSP, HCISPP, CIPP/G
Chief Information Security Officer and
Director, Enterprise Information Security Group (EISG)

Centers for Medicare & Medicaid Services
Office of Information Services (OIS)
7500 Security Blvd, N1-26-18
Baltimore, MD 21244
410-786-2614 (W)
443-602-1561 (C)
teresa.fryer@cms.hhs.gov

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From: Linares, George E. (CMS/OIS)
Sent: Tuesday, November 12, 2013 8:42 PM
To: Cappelletti, John Danilo; Feuerberg, Lisa A.(CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Marantan, James (CMS/OIS); Fryer, Teresa M. (CMS/OIS)
Cc: Steiner, Chip
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-
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Thanks

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Sent: Tuesday, November 12, 2013 5:18 PM
To: Feuerberg, Lisa A.(CMS/OIS); Linares, George E. (CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Marantan, James (CMS/OIS); Fryer, Teresa M. (CMS/OIS)
Cc: Steiner, Chip; Cappelletti, John Danilo
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Regards,
John
PS: we have our documentation specialist cleaning up the acronym list presently

Message

From: Couts, Todd (CMS/OIS) NotResp NotResp

Sent: 6/27/2013 2:13:39 AM

To: Dill, Walter (CMS/OIS NotResp kkim@qssinc.com; peter@t1cg.com; tate_marc@bah.com; Van, Hung B. (CMS/OIS) NotResp NotResp ; Dunick, Walter T. (CMS/OIS) NotResp Wallace, Mary H. (CMS/OC) NotResp ari.knausenberger@strategi-consulting.com; Burger, Robert (CMS/OIS NotResp NotResp Margush, Doug C. (CMS/OIS) NotResp NotResp Murray, Ruairi S. (CMS/OIS) NotResp NotResp parvathi.rachakonda@idl.com; Miller, Daniel J. (CMS/OIS NotResp Lakshmi.Manambedu@cgifederal.com; Cabral, Michael J. (CMS/OIS) NotResp NotResp Birkmire, Tom (CMS/OIS) NotResp NotResp Schankweiler, Thomas W. (CMS/OIS NotResp NotResp Chao, Bing (CMS/OIS) NotResp NotResp ; morlando@foregroundsecurity.com; Mark.Calem@cgifederal.com; Lorsbach, Michael J. (CMS/OIS) NotResp NotResp rich.schwarzkopf@urs.com; irafalovich@relis-llc.com; Schmidt, Donna W. (CMS/OIS NotResp NotResp Bill.Branch@cognosante.com; Grothe, Kirk A. (CMS/OIS) NotResp Adkins, Laura J. (CMS/OIS NotResp NotResp Donohoe, Paul X. (CMS/OIS NotResp NotResp Outerbridge, Monique (CMS/OIS) NotResp NotResp Thompson, Tyrone (CMS/OIS) NotResp NotResp Oh, Mark U. (CMS/OIS) NotResp NotResp]; Rhones, Rhonda D. (CMS/OIS) NotResp NotResp Mike Finkel (mfinkel@qssinc.com) [mfinkel@qssinc.com]; Thurston, Robert (CMS/CTR) NotResp NotResp Burke, Sheila M. (CMS/OIS) NotResp NotResp]; =SMTP:bborden@mathematica-mpr.com [bborden@mathematica-mpr.com]; =SMTP:vnatarajan@qssinc.com [vnatarajan@qssinc.com]; Webber, JoAnn (CMS/OIS NotResp NotResp =SMTP:michael.torppey@noblis.org [michael.torppey@noblis.org]; Alvarez, Carlos (CMS/OIS NotResp NotResp ; =SMTP:Peter.Mork@noblis.org [Peter.Mork@noblis.org]; =SMTP:akoch@terremark.com [akoch@terremark.com]; =SMTP:lbjones@mitre.org [lbjones@mitre.org]; =SMTP:jlyman@CCSIN.COM [jlyman@CCSIN.COM]; Booth, Jon G. (CMS/OC NotResp =SMTP:don.heim@genovatech.com [don.heim@genovatech.com]; Gray, Brian (CMS/OIS NotResp NotResp NotResp ; Cole, Reba R. (CMS/OIS) NotResp NotResp Speights, Richard A. (CMS/OIS) NotResp NotResp Patel, Ketan (CMS/OC) NotResp Reilly, Megan C. (CMS/OC) NotResp Lyles, Darrin V. (CMS/OIS NotResp NotResp jgangahanumaiah@qssinc.com; Trefzger, William (CMS/DWO NotResp NotResp; sgrant@washingtonconsulting.com; :stuart.grant@genovatech.com [stuart.grant@genovatech.com]; 'kkim@qssinc.com' [kkim@qssinc.com]; 'peter@t1cg.com' [peter@t1cg.com]; 'tate_marc@bah.com' [tate_marc@bah.com]; 'ari.knausenberger@strategi-consulting.com' [ari.knausenberger@strategi-consulting.com]; 'parvathi.rachakonda@idl.com' [parvathi.rachakonda@idl.com]; 'Lakshmi.Manambedu@cgifederal.com' [Lakshmi.Manambedu@cgifederal.com]; 'morlando@foregroundsecurity.com' [morlando@foregroundsecurity.com]; 'Mark.Calem@cgifederal.com' [Mark.Calem@cgifederal.com]; 'rich.schwarzkopf@urs.com' [rich.schwarzkopf@urs.com]; 'ramesh.chintagumpala@tpgsi.com' [ramesh.chintagumpala@tpgsi.com]; 'irafalovich@relis-llc.com' [irafalovich@relis-llc.com]; 'Bill.Branch@cognosante.com' [Bill.Branch@cognosante.com]; 'Nick.Mistry@eglobaltech.com' [Nick.Mistry@eglobaltech.com]; 'mfinkel@qssinc.com' [mfinkel@qssinc.com]; 'bborden@mathematica-mpr.com' [bborden@mathematica-mpr.com]; 'vnatarajan@qssinc.com' [vnatarajan@qssinc.com]; 'michael.torppey@noblis.org' [michael.torppey@noblis.org]; 'Peter.Mork@noblis.org' [Peter.Mork@noblis.org]; 'akoch@terremark.com' [akoch@terremark.com]; 'lbjones@mitre.org' [lbjones@mitre.org]; 'jlyman@CCSIN.COM' [jlyman@CCSIN.COM]; 'don.heim@genovatech.com' [don.heim@genovatech.com]; 'Jagadish Gangahanumaiah' [jgangahanumaiah@qssinc.com]; 'Grant, Stuart F' [sgrant@washingtonconsulting.com]; 'Stu (stuart.grant@genovatech.com)' [stuart.grant@genovatech.com]; 'Nick Mistry (Nick.Mistry@eglobaltech.com) (Nick.Mistry@eglobaltech.com)' [Nick.Mistry@eglobaltech.com]; Outerbridge, Monique (CMS/OIS NotResp NotResp Justin Alford (justin.alford@gmail.com) (justin.alford@gmail.com) (justin.alford@gmail.com) (justin.alford@gmail.com) [justin.alford@gmail.com]; Vanny, Kolap S (CGI Federal) (kolap.vanny@cgifederal.com) [kolap.vanny@cgifederal.com]; Mccoy, Richard (CGI Federal) (Richard.Mccoy@cgifederal.com) (Richard.Mccoy@cgifederal.com) [Richard.Mccoy@cgifederal.com]

CC: 'pdecastro@mitre.org' [pdecastro@mitre.org]; 'alicia@mitre.org' [alicia@mitre.org]; 'Ari Knausenberger' [ari.knausenberger@strategi.com]; 'Alan Koch' [akoch@verizon.com]; 'Mccoy, Richard (CGI Federal) (Richard.Mccoy@cgifederal.com)' [Richard.Mccoy@cgifederal.com]; Ross, Cassandra (CMS/OIS) NotResp NotResp Holden, Stacey (CMS/OIS NotResp NotResp Richardson, Marc D. (CMS/OIS) NotResp NotResp 'mdonovan@mitre.org' [mdonovan@mitre.org]; 'Tuneski, Patricia A.' [ptuneski@mitre.org]; Henry, Galina (CMS/OIS) NotResp

Subject: LAST CHANCE: Readiness Rvw Slides by 12 noon Thursday

Attachments: Readiness Review-Contentv2-Templatev1.pptx

Attached, please find the latest slides. I need your edits and additions by noon Thursday.

Here is the significant content missing:

1. IDL
    - Look at the 7/15 production deployment again. Is MIDAS impacted? It looks like it based on CGI's input
    - Fill in the development status slides for the relevant production prime deployments for UAT/issuer testing.
2. Help Desk (Sheila Burke, Nick Mistry)
    - Have significant gaps in help desk sections.
    - At a minimum, fill in the chart I created to show 1st, 2nd, 3rd levels of escalation
3. CGI

- No elasticity plans for 7/31 account lite? Please confirm
- Note: I moved around the architecture slides for 7/15. But, there are in there.

4. CGI/QSSI/Walt Dill
    - No risk/workaround input for the 7/15 and 8/15 production deployments? That doesn't resonate. Please address these slides and think about what happens when things go wrong.

5. Walt Dill
    - Need to revisit the operations slides for the E&E deployments for UAT/issuer testing – they are distinct from the production deployments.
        i. What is staffing plan for the issuer testing?
        ii. What about onboarding issuers for testing?

Readiness
Review-Contentv...

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-----Original Appointment-----
From: Couts, Todd (CMS/OIS)
Sent: Tuesday, June 25, 2013 9:34 AM
To: Couts, Todd (CMS/OIS); Quijada, Jose A. (CMS/OIS); Dill, Walter (CMS/OIS); =SMTP:kkim@qssinc.com; =SMTP:peter@t1cg.com; =SMTP:tate_marc@bah.com; Van, Hung B. (CMS/OIS); Dunick, Walter T. (CMS/OIS); Wallace, Mary H. (CMS/OC); Chao, Henry (CMS/OIS); =SMTP:ari.knausenberger@strategi-consulting.com; Burger, Robert (CMS/OIS); Margush, Doug C. (CMS/OIS); Murray, Ruairi S. (CMS/OIS); =SMTP:parvathi.rachakonda@idl.com; Miller, Daniel J. (CMS/OIS); =SMTP:Lakshmi.Manambedu@cgifederal.com; Cabral, Michael J. (CMS/OIS); Birkmire, Tom (CMS/OIS); Schankweiler, Thomas W. (CMS/OIS); Chao, Bing (CMS/OIS); =SMTP:morlando@foregroundsecurity.com; =SMTP:Mark.Calem@cgifederal.com; Nguyen, Tina D. (CMS/OIS); Lorsbach, Michael J. (CMS/OIS); =SMTP:rich.schwarzkopf@urs.com; =SMTP:ramesh.chintagumpala@tpgsi.com; =SMTP:irafalovich@relis-llc.com; Schmidt, Donna W. (CMS/OIS); =SMTP:Bill.Branch@cognosante.com; Grothe, Kirk A. (CMS/OIS); Adkins, Laura J. (CMS/OIS); Donohoe, Paul X. (CMS/OIS); Outerbridge, Monique (CMS/OIS); =SMTP:Nick.Mistry@eglobaltech.com; Thompson, Tyrone (CMS/OIS); Oh, Mark U. (CMS/OIS); Rhones, Rhonda D. (CMS/OIS); =SMTP:mfinkel@qssinc.com; Thurston, Robert (CMS/CTR); Burke, Sheila M. (CMS/OIS); =SMTP:bborden@mathematica-mpr.com; =SMTP:vnatarajan@qssinc.com; Webber, JoAnn (CMS/OIS); =SMTP:michael.torppey@noblis.org; Alvarez, Carlos (CMS/OIS); =SMTP:Peter.Mork@noblis.org; =SMTP:akoch@terremark.com; =SMTP:lbjones@mitre.org; =SMTP:jlyman@CCSIN.COM; Booth, Jon G. (CMS/OC); =SMTP:don.heim@genovatech.com; Gray, Brian (CMS/OIS); Cole, Reba R. (CMS/OIS); Speights, Richard A. (CMS/OIS); Patel, Ketan (CMS/OC); Reilly, Megan C. (CMS/OC); Lyles, Darrin V. (CMS/OIS); =SMTP:jgangahanumaiah@qssinc.com; Trefzger, William (CMS/DWO); =SMTP:sgrant@washingtonconsulting.com; =SMTP:stuart.grant@genovatech.com; 'kkim@qssinc.com'; 'peter@t1cg.com'; 'tate_marc@bah.com'; 'ari.knausenberger@strategi-consulting.com'; 'parvathi.rachakonda@idl.com'; 'Lakshmi.Manambedu@cgifederal.com'; 'morlando@foregroundsecurity.com'; 'Mark.Calem@cgifederal.com'; 'rich.schwarzkopf@urs.com'; 'ramesh.chintagumpala@tpgsi.com'; 'irafalovich@relis-llc.com'; 'Bill.Branch@cognosante.com'; 'Nick.Mistry@eglobaltech.com'; 'mfinkel@qssinc.com'; 'bborden@mathematica-mpr.com'; 'vnatarajan@qssinc.com'; 'michael.torppey@noblis.org'; 'Peter.Mork@noblis.org'; 'akoch@terremark.com'; 'lbjones@mitre.org'; 'jlyman@CCSIN.COM'; 'don.heim@genovatech.com'; 'Jagadish Gangahanumaiah'; 'Grant, Stuart F'; 'Stu (stuart.grant@genovatech.com)'
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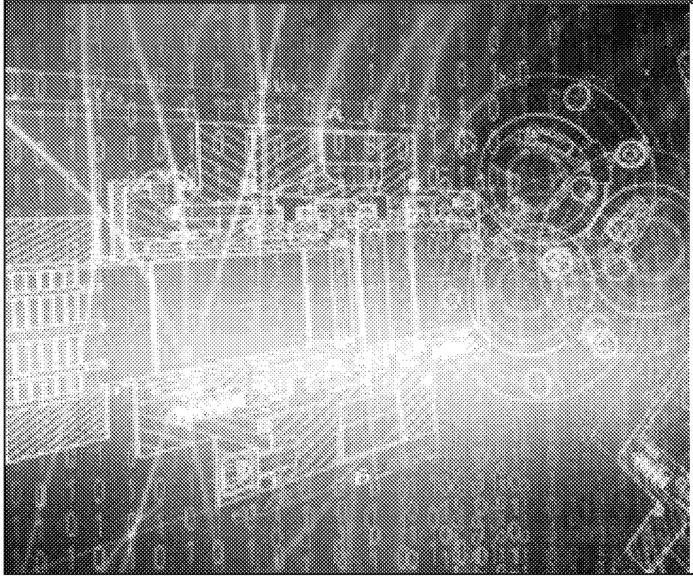
Subject: MEETING: June Marketplace Readiness Review
When: Friday, June 28, 2013 9:00 AM-2:00 PM (UTC-05:00) Eastern Time (US & Canada).
Where: CMS C-113

1. This is a NEW appointment for Friday 6/28/13
2. This REPLACES the Wednesday 6/26/13

CMS
CENTERS FOR MEDICARE & MEDICAID SERVICES
OFFICE OF INFORMATION SERVICES

Health Insurance Marketplace
June IT Readiness Review



June 28, 2013

Version 2 of Content

Version 1 of Template

Session 1 (9:15 – 12:00): July/August Production Deployments

Session I: July and August Production Deployments

- 7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)
- 7/31 E&E Deployment (Account Lite)
- 8/15 PM Deployment (Ratification/ Accreditation, Plan Transfer from OPM. RR Content Reviewer, SBM CSR calculation)

For each deployment, cover the following topics from the standard Readiness outline:

- Deployment Overview
- Development & Testing
- Integration Status
- Security
- Infrastructure
- Go-Live Readiness
- Business Operations
- IT Operations
- External Partners & Users
- Risk & Workaround Planning

7/15 PM Deployment
- *Deployment Overview*
- Development & Testing
- Integration Status
- Security
- Infrastructure
- Go-Live Readiness
- Business Operations
- IT Operations
- External Partners & Users
- Risk & Workaround Planning

Deployment Overview

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

Deployment Goals:

PM – Plan Preview, Plan Transfers from NAIC – To allow issuers to see what their plans will look like when individuals access them. Transfer plan details from SBM states through NAIC.

FM – SBM Data Collection & CSR Calculations

MIDAS – Development for Rate Review and PM Data Mart

Systems (or major external partners) Impacted

System	Impacted (Yes/No)	Brief Comments
FFM	Yes	Functionality added for testing by Issuers
DSH	Yes	HUB used for Plan Transfers from NAIC
MIDAS	Yes	Rate Reviews integration with LMI
HIOS	Yes	Roles need to be assigned for new users
EIDM/RIDP	Yes	Accounts set up for new users
RBIS	No	
Enterprise Portal	Yes	Accounts set up for new users
Edge Server	No	
HC.gov	No	
LMI	Yes	Integration with MIDAS
NAIC SERFF	Yes	Plan Transfers
OPM	No	
States	Yes	SBM Plan Transfers
Federal	No	
Other (specify)		

Assumptions
- Need to be validated with CGI
- Systems Impacted based on BAH's understanding of impacts on external systems

Responsible for Slide: IT PM and PMO

7/15 PM Deployment
- *Deployment Overview*
- Development & Testing
- Integration Status
- Security
- Infrastructure
- Go-Live Readiness
- Business Operations
- IT Operations
- External Partners & Users
- Risk & Workaround Planning

High Level Milestones

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

Milestone	Date	Status
Scope/Release Defined	6/24/13	Complete
Code Freeze	7/1/13	
Internal Developer Testing Completed: Plan Preview, Plan Transfer - SERFF SBM Data Collection	 7/5/13 6/28/13	
Independent Testing Completed: Plan Preview & Plan Transfer - SERFF SBM – Data Collection (Elements) CSR Calculation	 7/11/13 7/11/13 6/28/13	
Performance/Stress Testing Completed	?	
External Testing Completed: HIOS SBM & CSR Calculation UAT/CMS Testing: SBM Data Collection (Elements) DSH SBM Testing, DSH Integration testing for HIGLAS (274) UAT/States/Issuers/Others: SBM Data Collection (Elements)	 6/24/13 7/8/13 6/21/13, 7/1/13 71/13	
Help Desk Scripts Updated	7/15/13	
O&M Manual Updated	7/11/13	
Production Readiness Review	7/15/13	
Code Migrations: PM - FFM-TEST1 Environment for ACA Testing PM - FFM/IMP1A PM - FFM-IMP0 PM - FFM-PROD0 FM - FFM-IMP0 FM - FFM -PROD	 7/8/13 7/8/13 7/12/13 7/13/13 7/10/13 7/10/13	

Assumptions
- Code freeze is after ACA testing completion:
- Code migrations are different for PM and FM (FM from CGI schedule)
- All dates from CGI detailed schedule

Users &Volume Forecast

Users relevant for this deployment:

- Backend processes (Plan Transfer, SBM Data Collection) will not drive user account creation or login volumes
- Plan Preview will be used by Issuer users with “QHP Submitter” or “QHP Validator” roles, already provisioned (10,000 accounts). A subset representing 306 Issuers who submitted candidate QHPs will login to review their data.

Volume

- Plan Preview—no data collected, review only.
- Plan Transfer—350 plans per state (approx) * 10 MBs per plan (approx) * 17 states = 59.5 GBs between July 15 and July 31
- SBM Data Collection—17 SBMs, expected 1 MB per state

Define how you are defining “transaction” and then expected transaction volume per timeframe.

Responsible for Slide: IT PM and Development Contractors

Architecture Update

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

- **Physical Architecture Overview**
  - No major change to the physical production architecture. The setup, number of VMs in production, etc. remains the same.
  - Additional dependencies on following CMS Shared Services
    - Enterprise File Transfer for receiving and transferring files from NAIC, SBMs and issuers
    - Tivoli Workload Scheduler for scheduling batch jobs
    - Adobe NotResp for Deficiency Notice Generation
- **Security Architecture Overview**
  - No fundamental changes to security architecture
  - Integration with EIDM, HIOS and CMS Enterprise Portal remains the same

See supplemental slides for architecture diagrams

7/15 PM Deployment

- Deployment Overview
- *Development* & Testing
- Integration Status
- Security
- Infrastructure
- Go-Live Readiness
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Development Status

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

FFM

Function/Service/Module	Requirements & Scope Complete & Delivered (Y/N)	Design Completed & Delivered (Y/N)	Development Completed & Delivered (Y/N)	Internal Developer Testing Completed (Y/N)
Plan Preview	Y	N	N	N
Plan Transfer	Y	N	N	N
SBM Data Collection	Y	N	N	N

Artifacts/Evidence (provide a link)

Scope / CR Issues?
User Stories and System requirements are not in place for the use of FFM Plan Data for CSR calculations

Risks (provide CALT ID/link)
SBM Data Collection: Production deployment will occur before partners are ready to test. Development has not started for Washington (SBM). NAIC development will complete 7/18.
If submissions of Change Requests for issues/incidents continue to increase, then ability to provide sufficient resources to complete pending development for upcoming 7/15 deployment will be impacted. (artf130551)
If an approach is not clearly defined for how LMI will receive submitted plans from NAIC, this may impact LMI's ability to begin Plan Transfer on 7/15 & complete evaluations by 7/31. (artf142975)

Responsible for Slide: IT PM and Development Contractors

7/15 PM Deployment

• Deployment Overview	• Go-Live Readiness
• *Development* & Testing	• Business Operations
• Integration Status	• IT Operations
• Security	• External Partners & Users
• Infrastructure	• Risk & Workaround Planning

Development Status

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

Hub

Function/Service/Module	Requirements & Scope Complete & Delivered (Y/N)	Design Completed & Delivered (Y/N)	Development Completed & Delivered (Y/N)	Internal Developer Testing Completed (Y/N)
Plan Transfer Service - NAIC	Y (Final BSD to be delivered to CMS on 7/1)	Y (Final Design artifacts be delivered to CMS on 7/1)	Y (Testing in progress – Defects any will have to be addressed and redeployed)	In Progress

Artifacts/Evidence (provide a link)
Draft Design on CALT: PM_Plan_Transfer_Technical_Design_Draft.docx

Scope / CR Issues?
Partners need to establish EFT connectivity
Integration testing with partners is scheduled to happen on 7/1 onwards and dependent on EFT connectivity
FFM team is requesting files in AZ instead of DZ, this is being discussed currently. Depending on the decision, the design and development will have to be revised.

Risks (provide CALT ID/link)

Responsible for Slide: IT PM and Development Contractors

7/15 PM Deployment

- Deployment Overview
- *Development* & Testing
- Integration Status
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- Infrastructure
- Go-Live Readiness
- Business Operations
- IT Operations
- External Partners & Users
- Risk & Workaround Planning

Development Status

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

MIDAS

Function/Service/Module	Requirements & Scope Complete & Delivered (Y/N)	Design Completed & Delivered (Y/N)	Development Completed & Delivered (Y/N)	Internal Developer Testing Completed (Y/N)

Artifacts/Evidence (provide a link)

Scope / CR Issues?

Risks (provide CALT ID/link)

Guidance

- Include short synopsis of scope issue / risk and then a link to CALT item.

Responsible for Slide: IT PM and Development Contractors

7/15 PM Deployment

- Deployment Overview
- *Development* & Testing
- Integration Status
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- Risk & Workaround Planning

Development Status

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

HC.gov

Function/Service/Module	Requirements & Scope Complete & Delivered (Y/N)	Design Completed & Delivered (Y/N)	Development Completed & Delivered (Y/N)	Internal Developer Testing Completed (Y/N)

Not Applicable for Deployment

Artifacts/Evidence (provide a link)

Scope / CR Issues?

Risks (provide CALT ID/link)

Guidance

- Include short synopsis of scope issue / risk and then a link to CALT item.

Responsible for Slide: IT PM and Development Contractors

7/15 PM Deployment
- Deployment Overview
- Development & Testing
- *Integration Status*
- Security
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Integration Status

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

Integration / Interface (end point – to – end point)	Requirements & Design Complete and Delivered	Development Status Complete and Delivered	Artifacts/Evidence (provide a link)
NAIC/SERFF to FM (SBM Data Collection)	Y	N	
SBM (Washington) to FM (SBM Data Collection)	Y	N	
NAIC/SERFF to FFM PM (Plan Transfer)	Y	N	
NAIC – HUB - FFM	Y	Y (Hub Service)	
NAIC – HUB - MIDAS	In Progress	N/A (EFT)	
NAIC – HUB - LMI	In Progress	N/A (EFT)	

Guidance
- Include short s
issue / risk an
CALT item.

Guidance:
1. **Interfaces with CMS systems** (e.g., (FFM-EIDM)
2. **Interfaces within FMPS** (e.g., FFM – Hub)
3. **Interface with external partners**

Scope / CR Issues?

Risks (provide CALT ID/link)
SBM Data Collection: Production deployment will occur before partners (SBM Data Collection) are ready to test. Development has not started for Maryland. NAIC development will complete 7/18.

Responsible for Slide: IT PM and Development Contractors

Testing Status

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

FFM (Independent Testing)

Test Case Status			
Test Case Planned	**Test Cases Executed**	**Test Cases Passed**	**Test Cases Failed**
Planned Test Scripts # 30	Not Started – Planned start date 07/01	Not Started	Not started

Defect Summary		
Defect Level	**Nbr of Defects**	**Comments**
Not started	Not started	Not started

Test Data Status

Responsible for Slide: Testing Team & Independent Test Contractor

7/15 PM Deployment

- Deployment Overview
- Development & *Testing*
- Integration Status
- Security
- Infrastructure
- Go-Live Readiness
- Business Operations
- IT Operations
- External Partners & Users
- Risk & Workaround Planning

Testing Status

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

Hub (Independent Testing)

Test Case Status			
Test Case Planned	Test Cases Executed	Test Cases Passed	Test Cases Failed

Defect Summary		
Defect Level	Nbr of Defects	Comments

Test Data Status

Responsible for Slide: Testing Team & Independent Test Contractor

7/15 PM Deployment

- Deployment Overview
- Development & *Testing*
- Integration Status
- Security
- Infrastructure
- Go-Live Readiness
- Business Operations
- IT Operations
- External Partners & Users
- Risk & Workaround Planning

Testing Status

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

MIDAS (Independent Testing)

Test Case Status			
Test Case Planned	Test Cases Executed	Test Cases Passed	Test Cases Failed

Not Applicable for Deployment

Defect Summary		
Defect Level	Nbr of Defects	Comments

Test Data Status

Responsible for Slide: Testing Team & Independent Test Contractor

7/15 PM Deployment
- Deployment Overview
- Development & *Testing*
- Integration Status
- Security
- Infrastructure
- Go-Live Readiness
- Business Operations
- IT Operations
- External Partners & Users
- Risk & Workaround Planning

Testing Status

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

HC.gov

Test Case Status			
Test Case Planned	Test Cases Executed	Test Cases Passed	Test Cases Failed

Not Applicable for Deployment

Defect Summary		
Defect Level	Nbr of Defects	Comments

Test Data Status

Responsible for Slide: Testing Team & Independent Test Contractor

Testing Status

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

External Testing

Test Case Status				
External Partner	Test Cases Planned	Test Cases Executed	Test Cases Passed	Test Cases Failed
Issuer Testing	10 Test Scripts will be provided	Not Started- Planned start date 07/10	Not Started	Not Started

Defect Summary		
Defect Level	Nbr of Defects	Comments
Not Started	Not Started	Not Started

Test Data Status

Responsible for Slide: Testing Team & Independent Test Contractor

Testing Status

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

Performance & Stress Testing

- Not relevant for this deployment. No performance testing planned for Plan Transfer, Plan Preview or SBM Data Collection.
  - Plan Transfer data volumes are assumed to be similar or lower to those handled for PM API data validation.
  - SBM Data Collection transaction sizes are much smaller than Plan Transfer (40 data elements per plan).

Guidance

Describe:
- Assumptions
- Test Results achieved
- Max throughput
- Expected capacity

Responsible for Slide: Development Contractor & Independent Test Contractor

7/15 PM Deployment

- Deployment Overview
- Development & Testing
- Integration Status
- *Security*
- Infrastructure
- Go-Live Readiness
- Business Operations
- IT Operations
- External Partners & Users
- Risk & Workaround Planning

Security

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

System	Test Plan	SCA testing	Code Review	Comments

Not Applicable for Deployment

Scan Results

Responsible for Slide: Security Team

Demonstration /Walkthrough

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

NotResp

Demonstration /Walkthrough

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

NotResp

7/15 PM Deployment

- Deployment Overview
- *Development* & Testing
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- Risk & Workaround Planning

Demonstration /Walkthrough

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

NotResp

Demonstration /Walkthrough

- **Plan Transfer**

NotResp

Demonstration /Walkthrough

- **PM Plan Transfer from NAIC – Logical Flow**

  1. NAIC will send a single plan submission data to DSH using web service. All required templates and supporting documents will be sent as MTOM attachments. A
  2. DSH receive files from NAIC using web service and create FFM manifest file.
  3. DSH transfer manifest and plan related files to shared gluste.
  4. FFM FTO (File Transfer Orchestrator) component will move the files from shared gluster folder to private gluster for processing
  5. FFM PM batch process will process the files from private gluster, store it in alfresco and delete it from private gluster
  6. FFM PM batch process will store plan data in FFM data base if there are no validation errors
  7. FFM will send the status(Validation errors or Success) to DSH using the web service (call back service) and delete all files from app zone
  8. DSH will send the response to NAIC using web service

Demonstration /Walkthrough

- **SBM Data Collection and Validation Plan**

Table 1: SBM Data Collection and Validation Test Steps

Process Step Description	Responsible Party	Automated or Manual Step
A file is submitted to EFT folder and FTP picks up the file for validations. *Note: SBM/SERFF will send an email notification to CMS that a file has been submitted.*	SERFF, SBM	Manual
Header Error report is generated if any errors are encountered on header. This report gets sent to SBM via EFT for review.	SERFF, SBM *Note: CMS does not need a copy of this report*	Manual
If header passes validations, the Data Validation report is generated. 1. This report gets sent to SBM via EFT for review. 2. CMS will receive an email from SERFF/State when a file has been submitted for validations. CMS will retrieve this report via a designated location in CALT.	1. SBM 2. CGI	1. Automated 2. Manual
After receiving the Data Validation file, CMS can review and approve the submitted data via an Excel file. 1. CMS will email CGI the approval/disapproval per SBM. 2. Not Res UI will be used to approve/disapprove the SBM data.	1. CMS 2. CGI	1. Manual 2. Manual

Demonstration /Walkthrough

Preliminary CSR Process Plan

Table 2: Preliminary CSR Calculation Test Steps

Process Step Description	Responsible Party	Automated or Manual Step
CMS will send CGI an email to initiate the process vi Not UI.	CMS	Manual
CGI initiates the Preliminary CSR Calculation process via Not I. CGI will upload the Outlier File to a designated location in CALT.	*CGI*	Manual
CMS Emails CGI the approval/disapproval decision. CGI will use Not I to update this decision.	CMS, CGI	Manual

Integration of FFM Plan Data with FEPS

Table 3: Integration of FFM Plan Data Test Steps

Process Step Description	Responsible Party	Automated or Manual Step
Initiate FFM process. *Note: This is a process that will only happen once. This data will be used in the Preliminary CSR Calculation.*	CGI	Manual

Demonstration /Walkthrough

- **SBM & CSR**
  - Integration of FFM Plan Data
    - Table 3: Integration of FFM Plan Data Test Steps

Process Step Description	Responsible Party	Automated or Manual Step
Initiate FFM process. **Note: This is a process that will only happen once. This data will be used in the Preliminary CSR Calculation.**	**CGI**	**Manual**

7/15 PM Deployment

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Demonstration/ Walkthrough

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

- ## FM Plan Data Collection and CSR Calculation – Logical Flow

NotResp

Functionality going live on 7/15

Functionality scheduled to go live on 8/15

Demonstration/ Walkthrough

- **FM Plan Data Collection Application Architecture**

1. SBM and NAIC Submitting two files manifest and payload with plan data using EFT
2. EFT drops files received to FFM public folder
3. TWS polling public folder for arrival of manifest.
4. On arrival of manifest FTO is invoked, FTO moves files to private folder and NotResp to validate the received packet.
5. FTO invokes FM specific FTA
6. FTA moves file to NotResp nd invokes process management framework to initiate processing submitted file.
7. Process managemen NotResp nvokes Spring batch to validate plans
8. Spring batch validates plans, it calls HIOS to get issuer and plan details to validate.
9. Plan are successfully validated and stored in marklogic with appropriate validation status
10. Process management NotResp invokes spring batch to generate validation report and EFT back to state
11. Process management invokes create task in Task management framework.
12. CMS Reviewer retrieves task details including the reports that got generated

Infrastructure

7/15 FM and QHP Deploy

Element	Status (Completed/Not Completed)	Notes
Capacity Estimate Completed	Completed	Review in process prior to submission
VMs Ordered	Submit by 6/28	Reduce resources on 15 VMs across Prod; will require restart of servers and system
VM's Configured (software version, patching level)	Not completed	
Presentation Zone Configured		
Web Server	No change anticipated	
Load Balance Configured	No change anticipated	
Clustering Configured	No change anticipated	
Application Zone Configured		
	No change anticipated	
NotResp	Reduce resources on 9 SOA-P servers	Recommended by Peter Um. Will monitor and adjust as needed
	No change anticipated	
	No change anticipated	
Load Balance Configured	No change anticipated	
Clustering Configured	No change anticipated	
Data Zone Configured		
	Reduce resources on 6 SOA-P servers	Recommended by Peter Um. Will monitor and adjust as needed
	No change anticipated	
	No change anticipated	
NotResp	No change anticipated	
	No change anticipated	
	Not applicable	
	Not applicable	
Other		
SSL Certificates	No change anticipated	
Monitoring Tools Installed/Configured	No change anticipated	
Scheduling Tools Installed/Configured	No change anticipated	

Environment & Code Promotion Path

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

	Current Environment		FFM			Hub			
Environment	Current Release in Environment	Current Activity in Environment	Required for Deployment? (Yes/No)	Dates Code will be in environment	Release Number Promoted	Required for Deployment? (Yes/No)	Dates Code will be in environment	Release Number Promoted	Notes
DEV3									
DEV2									
DEV1	R5.3.0	Ongoing development	Yes	6/26	R5.3.0	No			
DEV0	PM_CMM_20130621110 2_S013_R5_34	Internal HUB testing in progress				Y	6/22/2013	PM_CMM_20 1306211102_S 013_R5_34	
TEST3									
TEST2									
TEST1									
TEST0	PM_CMM_20130621110 2_S013_R5_3*					Y	6/25/2013		Build number will be determined when deployed
TEST 1 PM	R5.3.0	Development contractor testing	Yes	6/24	R5.3.0	Yes	7/1		
FFM IMP 1A									
FFM IMP 1B									
Hub IMP 1A	R5.2.1	Not in use (smoke test)	Yes	7/8	R5.3.0	Yes	7/8		UAT 7/9 through 7/11
Hub IMP 1B									
IMP0	R5.2.1	Not in use (smoke test)	Yes	7/11	R5.3.0	Y	7/1/2013		
PROD	R5.2.1	Production	Yes	7/12	R5.3.0	Y	7/12-14/2013		The weekend of 12-14 (needs coordination with HUB/FFM/NAIC)
PROD0 PRIME									

CMS CENTERS FOR MEDICARE & MEDICAID SERVICES

Responsible for Slide: CMS Infrastructure Team and Development Contractors

7/15 PM Deployment

- Deployment Overview
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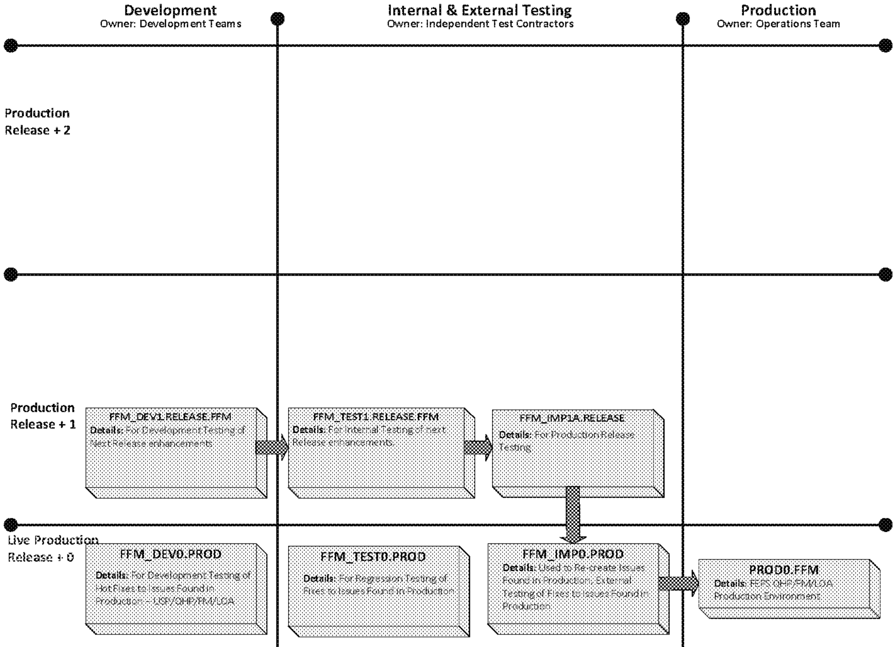
- Risk & Workaround Planning

Environment & Code Promotion Path

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

FEPS Environments



Development
Owner: Development Teams

Internal & External Testing
Owner: Independent Test Contractors

Production
Owner: Operations Team

Production Release + 2

Production Release + 1

FFM_DEV1.RELEASE.FFM
Details: For Development Testing of Next Release enhancements

FFM_TEST1.RELEASE.FFM
Details: For Internal Testing of next Release enhancements.

FFM_IMP1A.RELEASE
Details: For Production Release Testing

Live Production Release + 0

FFM_DEV0.PROD
Details: For Development Testing of Hot Fixes to Issues Found in Production – USP/QHP/FM/LOA

FFM_TEST0.PROD
Details: For Regression Testing of Fixes to Issues Found in Production

FFM_IMP0.PROD
Details: Used to Re-create Issues Found in Production, External Testing of Fixes to Issues Found in Production

PROD0.FFM
Details: FEPS QHP/FM/LOA Production Environment

Responsible for Slide: CMS Infrastructure Team and Development Contractors

Elasticity/Scalability

- Elastic servers configured, added to the environment ahead of the 3/28 QHP go-live. Servers are currently live.

Guidance
1. How will system scale (e.g., bring more VMs on line?)
2. What will trigger the scaling (e.g., when CPU utilization gets to x%)?
3. Who is responsible for enacting the scaling activities?

Responsible for Slide: CMS Infrastructure Team and Development Contractors

7/15 PM Deployment
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Go-Live Readiness

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

Overview

Element	Completed? (Yes/No)	Artifacts/Evidence (include link)	Notes
Implementation Tasks and Checklists	No	NotResp	The XOC has a checklist of what is required, however we do not have the artifacts as of yet. Each Developer creates and submits to the team when ready for deployment.
Contact List	Yes	NotResp	We have the contact / escalation list for 7/15.
Escalation Path if Problems Occur	Yes	Trouble ticket NotResp Crisis Management document NotResp Crisis Protocol document NotResp	

Roles and Responsibilities

Role	Person	Notes
FFM Code Promotion	Cassandra Ross & CI/CD Team	Cassandra will work with CGI to deploy the code.
Operational Readiness	Walter Dill	Walter is responsible to ensure that all monitoring tools and check list are ready and completed.

CMS
CENTERS FOR MEDICARE & MEDICAID SERVICES
OFFICE OF INFORMATION SERVICES

Go-Live Readiness
User Onboarding

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

User Community	What do users need to be onboarded to? (e.g., EFT, EDI, Web Services)	Has the onboarding process been successfully tested?
Issuers	EFT – Incoming and Outgoing file transfer connectivity	As of the time of this writing (Sunday) 58% inbound and 2% of outbound has been tested.

Summarize Onboarding Plan

We receive request for onboarding from several sources NotResp AIC, and separate request to name a few).

- Once we receive the request we call the issuer, NAIC, States and we outline the process and naming conventions and we request the information needed for us to send outbound files to them. (User Id, Password, IP address etc…)
- Once that is completed we send the issuer, NAIC, States thei NotResp NotResp and the password in separate e-mails along with an example of the file naming convention again.
- We then load the incoming information into th NotR routing tables and start testing the inbound files and ensure they are moved to the appropriate application folder for the application to pickup.
- Once we receive the outbound file information from the issuer, NAIC, States we load the information into the TIBCO routing system and start testing with the issuers by sending the test files.

Artifacts/Evidence (provide a link)

All onboarding information for issuers is in zONE within the issuer community.

Responsible for Slide: CMS Operations Team

7/15 PM Deployment
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IT Operations

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

Overview

Element	Completed? (Yes/No)	Artifacts/Evidence	Notes
Change control process up-to-date and ready for this deployment?	Yes		This would be part of the PMO
Incident management process up-to-date and ready for this deployment?	Yes		
Monitor Tools Installed and Configured	Yes		
Job Schedule Defined and Configured (e.g., ETL execution)	No		
O&M Manual Created/Updated	Yes	NotResp	
Backup & Recovery Plan	Yes		

Add additional pages as necessary to demonstrate the plan for these elements.

Responsible for Slide: CMS Operations Team

IT Operations

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

Federal Staffing Plan

Role	Person	Notes
Operations Lead	Walter Dill	Will be responsible for operations monitoring, Code Deployment, crisis management if needed.
Infrastructure Lead	Doug Margush	Infrastructure, Code Deployment, participating on all crisis management calls

Contractor Staffing Plan

Contractor	Role	Capacity under normal conditions (e.g., # of FTEs)	Surge Capacity (e.g., # of FTEs under escalated conditions)
QuTech	EFT & TWS onboarding	3	6
CGI	Operation Support. Running batch jobs and onboarding TWS.	1	2
QSSI	Monitoring systems	1	1

Responsible for Slide: CMS Operations Team

IT Operations

Help Desk

Element	Completed? (Yes/No)	Artifacts/Evidence	Notes
Help Desk Scripts Created/Updated			
Help Desk Roles and Escalation Paths Defined			

Identify the relevant help desks and escalation paths

	Plan Management	Plan Transfer	FM – SBM Data Calculation
Tier 1 Help Desk			
Tier 2 Help Desk			
Tier 3 Help Desk			
Other Escalation			

Responsible for Slide: CMS Operations Team

7/15 PM Deployment
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Business Operations

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

- **Critical Business Processes for Deployment**

Identify business processes critical for the deployment (e.g., certifying issuers for QHP)

Business Operations Contractor	Role	Onboarding / Training Needed	Testing Needed	Business Contractor Readiness	Notes

Identify business operations contractors that are relevant for the deployment (e.g., eligibility support contractor)

Responsible for Slide: CMS IT PM and Business Component

External Partners & Users

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

- Training Plan
  - Plan Preview Webinar for Issuers scheduled for July 11, content being authored by CGI FFM team
- User Manual Development
  - User guide for Plan Preview being authored by CGI FFM team
  - Delivery for CMS review July 2, final delivery July 15
- External Partner Readiness
  - NAIC reports development complete, ready for integration testing

Responsible for Slide: CMS IT PM

Risk & Workaround Planning

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

Scenario Handling

Scenario	Workaround Process	Error Message and Error Handling Process (if relevant)	Notes

Describe what happens when . . .
- Manual processes necessary to support production
- Non Happy Path Scenarios (e.g., data sources are down, unable to RIDP a consumer)
- Functionality is deferred or downscoped functionality
- External partners not ready

Responsible for Slide: CMS IT PM, CMS Operations Team, Development Contractors

Supplemental Slides for 7/15 Deployment

7/15 Deployment – Physical Architecture Diagram

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

NotResp

Supplemental Slides for 7/15 Deployment

7/15 Deployment - FM Plan Data Collection Application Architecture

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

NotResp

Supplemental Slides for 7/15 Deployment

7/15 Deployment – Security Architecture

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

NotResp

Supplemental Slides for 7/15 Deployment

Architecture Overview

7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)

NotResp

Session 1 (9:15 – 12:00): July/August Production Deployments

Session I: July and August Production Deployments

- 7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)
- 7/31 E&E Deployment (Account Lite)
- 8/15 PM Deployment (Ratification/ Accreditation, Plan Transfer from OPM. RR Content Reviewer, SBM CSR calculation)

For each deployment, cover the following topics from the standard Readiness outline:

- Deployment Overview
- Development & Testing
- Integration Status
- Security
- Infrastructure
- Go-Live Readiness
- Business Operations
- IT Operations
- External Partners & Users
- Risk & Workaround Planning

Deployment Overview

7/31 E&E Deployment (Account Lite)

Deployment Goal: Launch initial marketplace functionality to allow consumers to register and manage an LOA1 account on the Healthcare.gov website

Systems (or major external partners) Impacted

System	Impacted (Yes/No)	Brief Comments
FFM	Yes	My Account (LOA1) functionality delivered
DSH	No	
MIDAS	Yes	Providing reporting capabilities on account creation
HIOS	No	
EIDM/RIDP	Yes	FFM will interface with EIDM to register and maintain user accounts. Note: RIDP is not included in the 7/31 Account Lite.
RBIS	No	
Enterprise Portal	No	
Edge Server	No	
HC.gov	Yes	FFM will integrate with HC.gov system for content and email delivery (via GovDelivery)
LMI	No	
NAIC SERFF	No	
OPM	No	
States	No	
Federal	No	
Other (specify)		

Responsible for Slide: IT PM and PMO

7/31 E&E Deployment
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High Level Milestones

7/31 E&E Deployment (Account Lite)

Milestone	Date	Status
Scope/Release Defined	7/2/13	
Code Freeze	7/15/13	
Internal Developer Testing Completed:		
Account Registration Account Lite Functional Testing	7/17/13	
Independent Testing Completed:		
Lite Account ACA Independent Testing	7/29/13	
Performance/Stress Testing Completed	?	?
External Testing Completed:	?	?
Help Desk Scripts Updated	7/15/13	
O&M Manual Updated	7/15/13	
Production Readiness Review	7/17/13	
Code Migrations:		
Lite Account Go-live Deploy Code to FFM-DEV1	7/25/13	
Lite Account Go-live Deploy code to FFM-TEST1 Environment	7/25/13	
Lite Account Go-live Deploy code to FFM-PROD Environment	7/26/13	

Assumptions
- No separate call-out in CGI schedule for 7/31 Lite Account developer testing, ACA testing, or external testing
- Used 7/15 test deployment dates in CGI schedule and 7/15 ACA testing dates as placeholders

7/31 E&E Deployment

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- Risk & Workaround Planning

Users &Volume Forecast

7/31 E&E Deployment (Account Lite)

Users relevant for this deployment:

- Individual Consumers

Volume

- ~2M users between 7/31 LOA1 go-live and 10/1 Marketplace go-live
- Expecting 1st day/week surge due to planned media push from White House and others
- Additional ramp up expected throughout September

- Transactions
  - ~2M Account Creation transactions
  - ~3M Login transactions
  - ~0.5M Forgot User Name and/or Forgot Password transactions

CMS

Responsible for Slide: IT PM and Development Contractors

7/31 E&E Deployment

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Architecture Update

7/31 E&E Deployment
(Account Lite)

NotResp

7/31 E&E Deployment
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Development Status

7/31 E&E Deployment
(Account Lite)

FFM

Function/Service/Module	Requirements & Scope Complete & Delivered (Y/N)	Design Completed & Delivered (Y/N)	Development Completed & Delivered (Y/N)	Internal Developer Testing Completed (Y/N)
Account Lite	Yes	No (6/30)	No (6/30)	No (7/11)

Artifacts/Evidence (provide a link)
• EE_R6.2.0_UISpecifications (doc34955) •EE_R6.2.0_ServiceSequenceDiagrams (doc34953) • Service Specifications (Data, Business, Gateway)

Scope / CR Issues?

Risks (provide CALT ID/link)
NotResp
(???) Receiving OC/CSG content in time to integrate it into the FFM and test it fully (e.g., English/Spanish content, Headers/footers)

CMS

Responsible for Slide: IT PM and Development Contractors

7/31 E&E Deployment
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Development Status

7/31 E&E Deployment
(Account Lite)

Hub

Function/Service/Module	Requirements & Scope Complete & Delivered (Y/N)	Design Completed & Delivered (Y/N)	Development Completed & Delivered (Y/N)	Internal Developer Testing Completed (Y/N)

Not Applicable for Deployment

Artifacts/Evidence (provide a link)

Scope / CR Issues?

Risks (provide CALT ID/link)

Guidance
- Include short synopsis of scope issue / risk and then a link to CALT item.

Responsible for Slide: IT PM and Development Contractors

7/31 E&E Deployment

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Development Status

7/31 E&E Deployment
(Account Lite)

MIDAS

Function/Service/Module	Requirements & Scope Complete & Delivered (Y/N)	Design Completed & Delivered (Y/N)	Development Completed & Delivered (Y/N)	Internal Developer Testing Completed (Y/N)

Not Applicable for Deployment

Artifacts/Evidence (provide a link)	Scope / CR Issues?	Risks (provide CALT ID/link)

Guidance

- Include short synopsis of scope issue / risk and then a link to CALT item.

Responsible for Slide: IT PM and Development Contractors

7/31 E&E Deployment
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Development Status

7/31 E&E Deployment
(Account Lite)

HC.gov

Function/Service/Module	Requirements & Scope Complete & Delivered (Y/N)	Design Completed & Delivered (Y/N)	Development Completed & Delivered (Y/N)	Internal Developer Testing Completed (Y/N)

Artifacts/Evidence (provide a link)

Scope / CR Issues?

Risks (provide CALT ID/link)

Guidance
- Include short synopsis of scope issue / risk and then a link to CALT item.

Responsible for Slide: IT PM and Development Contractors

7/31 E&E Deployment

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Integration Status

7/31 E&E Deployment
(Account Lite)

Integration / Interface (end point – to – end point)	Requirements & Design Complete and Delivered	Development Status Complete and Delivered	Artifacts/Evidence (provide a link)
FFM-EIDM	Yes	Yes	???
FFM-GovDelivery	Yes	No (6/30)	???
FFM-HC.gov	Yes	No (6/30)	???

Scope / CR Issues?

Risks (provide CALT ID/link)
NotResp

Responsible for Slide: IT PM and Development Contractors

Testing Status

7/31 E&E Deployment (Account Lite)

FFM (Independent Testing)

Test Case Status			
Test Case Planned	**Test Cases Executed**	**Test Cases Passed**	**Test Cases Failed**
49 test scripts created so far based on the scope and document received	Not started	Not started	Not started

Defect Summary		
Defect Level	**Nbr of Defects**	**Comments**
Not started	Not started	Not started

Test Data Status

Responsible for Slide: Testing Team & Independent Test Contractor

Testing Status

7/31 E&E Deployment
(Account Lite)

Hub (Independent Testing)

Test Case Status			
Test Case Planned	Test Cases Executed	Test Cases Passed	Test Cases Failed

Not Applicable for Deployment

Defect Summary		
Defect Level	Nbr of Defects	Comments

Test Data Status

Responsible for Slide: Testing Team & Independent Test Contractor

Testing Status

7/31 E&E Deployment
(Account Lite)

MIDAS (Independent Testing)

Test Case Status			
Test Case Planned	Test Cases Executed	Test Cases Passed	Test Cases Failed

Not Applicable for Deployment

Defect Summary		
Defect Level	Nbr of Defects	Comments

Test Data Status

Responsible for Slide: Testing Team & Independent Test Contractor

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Testing Status

7/31 E&E Deployment
(Account Lite)

HC.gov

Test Case Status			
Test Case Planned	**Test Cases Executed**	**Test Cases Passed**	**Test Cases Failed**

Defect Summary		
Defect Level	**Nbr of Defects**	**Comments**

Test Data Status

Responsible for Slide: Testing Team & Independent Test Contractor

Testing Status

External Testing

Test Case Status				
External Partner	Test Cases Planned	Test Cases Executed	Test Cases Passed	Test Cases Failed
Issuer Testing	TBD	Not Started	Not Started	Not Started
UAT Testing	49 Scripts created based on the scope received so far	Not Started	Not Started	Not Started

Defect Summary		
Defect Level	Nbr of Defects	Comments
Not Started	Not Started	Not Started

Test Data Status

Responsible for Slide: Testing Team & Independent Test Contractor

Testing Status

Performance & Stress Testing

07/31 E&E code will be part of August UI performance test

Guidance
Describe:
- Assumptions
- Test Results achieved
- Max throughput
- Expected capacity

Responsible for Slide: Development Contractor & Independent Test Contractor

7/31 E&E Deployment

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Demonstration /Walkthrough

7/31 E&E Deployment
(Account Lite)

NotResp

Security

System	Test Plan	SCA testing	Code Review	Comments

Not Applicable for Deployment

Scan Testing Results

- CGI does internal testing in July
- SCA conducted in August

Responsible for Slide: CMS Security Team

7/30 MyAccount Lite/LOA

- Deployment Overview
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- Risk & Workaround Planning

Infrastructure

7/31 E&E Deployment (Account Lite)

Element	Status (Completed/Not Completed)	Notes
Capacity Estimate Completed	Completed	Review in process prior to submission
VMs Ordered	Submit by 6/28	4 VMs
VM's Configured (software version, patching level)	Not completed	
Presentation Zone Configured		
Web Server	No change anticipated	
Load Balance Configured	No change anticipated	
Clustering Configured	No change anticipated	
Application Zone Configured		
NotResp	No change anticipated	
	Will add 2 SOAP servers	
	No change anticipated	
	No change anticipated	
Load Balance Configured	No change anticipated	
Clustering Configured	No change anticipated	
Data Zone Configured		
NotResp	Will add 2 SOAP servers	
	No change anticipated	
	No change anticipated	
	No change anticipated	
	No change anticipated	
	Not applicable	
	Not applicable	
Other		
SSL Certificates	No change anticipated	
Monitoring Tools Installed/Configured	Not completed	Will update monitoring
Scheduling Tools Installed/Configured	No change anticipated	
Protocols Defined/Ports Opened	No change anticipated	

7/31 E&E Deployment

- Deployment Overview
- Development & Testing
- Integration Status
- Security
- *Infrastructure*
- Go-Live Readiness
- Business Operations
- IT Operations
- External Partners & Users
- Risk & Workaround Planning

Environment & Code Promotion Path

7/31 E&E Deployment (Account Lite)

Environment	Current Environment		FFM			Hub			Notes
	Current Release in Environment	Current Activity in Environment	Required for Deployment? (Yes/No)	Dates Code will be in environment	Release Number Promoted	Required for Deployment ? (Yes/No)	Dates Code will be in environment	Release Number Promoted	
DEV3									
DEV2									
DEV1	PM 6.0.x	CGI Internal Dev/ Testing (PM)	Yes	7/11/13	EE 6.4.x				
DEV0	PM 6.0.x	Break-fix development	Yes	7/27/13	EE 6.4.x				
TEST3									
TEST2									
TEST1									
TEST0	PM 6.0.x	Break-fix ACA Testing	Yes	7/28/13	EE 6.4.x				
TEST 1 PM		ACA Testing	Yes	7/15/13	EE 6.4.x				
FFM IMP 1A	PM 6.0.x	PM External Partner testing	Yes	7/19/13	EE 6.4.x				
FFM IMP 1B	PM 6.0.x	CGI Performance Testing	Yes						
Hub IMP 1A									
Hub IMP 1B									
IMP0	PM 6.0.x	Break-fix External Partner Testing	Yes	7/22/13	EE 6.4.x				
PROD	PM 6.0.x	Deficiency Notices/Re-submission	Yes	7/26/13	EE 6.4.x				
PROD0 PRIME									

Responsible for Slide: CMS Infrastructure Team and Development Contractors

7/31 E&E Deployment

- Deployment Overview
- Development & Testing
- Integration Status
- Security
- *Infrastructure*
- Go-Live Readiness
- Business Operations
- IT Operations
- External Partners & Users
- Risk & Workaround Planning

Environment & Code Promotion Path

7/31 E&E Deployment
(Account Lite)

NotResp

Responsible for Slide: CMS Infrastructure Team and Development Contractors

Elasticity/Scalability

7/31 E&E Deployment
(Account Lite)

- Describe elasticity approach

Guidance
1. How will system scale (e.g., bring more VMs on line?)
2. What will trigger the scaling (e.g., when CPU utilization gets to x%)?
3. Who is responsible for enacting the scaling activities?

Responsible for Slide: CMS Infrastructure Team and Development Contractors

7/31 E&E Deployment

- Deployment Overview
- Development & Testing
- Integration Status
- Security
- Infrastructure
- *Go-Live Readiness*
- Business Operations
- IT Operations
- External Partners & Users
- Risk & Workaround Planning

Go-Live Readiness
User Onboarding

7/31 E&E Deployment
(Account Lite)

User Community	What do users need to be onboarded to? (e.g. EFT, EDI, Web Services)	Has the onboarding process been successfully tested?

Summarize O

Not Applicable for Deployment

Responsible for Slide: CMS Operations Team

Go-Live Readiness

Overview

Element	Completed? (Yes/No)	Artifacts/Evidence (include link)	Notes
Implementation Tasks and Checklists	No	NotResp	The XOC has a checklist of what is required, however we do not have the artifacts as of yet. Each Developer creates and submits to the team when ready for deployment.
Contact List	Yes	NotResp	We have the contact / escalation list for 7/31.
Escalation Path if Problems Occur	Yes	NotResp Crisis Management document NotResp NotResp	

Roles and Responsibilities

Role	Person	Notes
FFM Code Promotion	Cassandra Ross & CI/CD Team	Cassandra will work with CGI to deploy the code.
Operational Readiness	Walter Dill	Walter is responsible to ensure that all monitoring tools and check list are ready and completed.

IT Operations

7/31 E&E Deployment
(Account Lite)

Overview

Element	Completed? (Yes/No)	Artifacts/Evidence	Notes
Change control process up-to-date and ready for this deployment?	Yes		This would be part of the PMO
Incident management process up-to-date and ready for this deployment?	Yes		
Monitor Tools Installed and Configured	Yes		
Job Schedule Defined and Configured (e.g., ETL execution)	No		
O&M Manual Created/Updated	Yes	**NotResp**	
Backup & Recovery Plan	Yes		

Add additional pages as necessary to demonstrate the plan for these elements.

Responsible for Slide: CMS Operations Team

IT Operations

Federal Staffing Plan

Role	Person	Notes
Operations Lead	Walter Dill	Will be responsible for operations monitoring, Code Deployment, crisis management if needed.
Infrastructure Lead	Doug Margush	Infrastructure, Code Deployment, participating on all crisis management calls

Contractor Staffing Plan

Contractor	Role	Capacity under normal conditions (e.g., # of FTEs)	Surge Capacity (e.g., # of FTEs under escalated conditions)
QuTech	EFT & TWS onboarding	3	6
CGI	Operation Support. Running batch jobs and onboarding TWS.	1	2
QSSI	Monitoring systems	1	1

IT Operations

Help Desk

Element	Completed? (Yes/No)	Artifacts/Evidence	Notes
Help Desk Scripts Created/Updated			
Help Desk Roles and Escalation Paths Defined			

Identify the relevant help desks and escalation paths

	Account Lite
Tier 1 Help Desk	
Tier 2 Help Desk	
Tier 3 Help Desk	
Other Escalation	

Responsible for Slide: CMS Operations Team

7/31 E&E Deployment

- Deployment Overview
- Development & Testing
- Integration Status
- Security
- Infrastructure
- Go-Live Readiness
- *Business Operations*
- IT Operations
- External Partners & Users
- Risk & Workaround Planning

Business Operations

7/31 E&E Deployment (Account Lite)

- **Critical Business Processes for Deployment**

Identify business processes critical for the deployment (e.g., certifying issuers for QHP)

Business Operations Contractor	Role	Onboarding / Training Needed	Testing Needed	Business Contractor Readiness	Notes

Identify business operations contractors that are relevant for the deployment (e.g., eligibility support contractor)

Responsible for Slide: CMS IT PM and Business Component

External Partners & Users

- **Training Plan**
  - *No consumer My Account Lite user/system training*
- **User Manual Development**
  - User guides developed by CGI are in progress
  - Geared towards internal CMS support, not end user (consumer) consumption
- **External Partner Readiness**

Responsible for Slide: CMS IT PM

Risk & Workaround Planning

Scenario Handling

Scenario	Workaround Process	Error Message and Error Handling Process (if relevant)	Notes
EIDM is down	No workaround for registering accounts or logging in.		Mitigation is for consumer to call center and for call center to contact EIDM help desk
Healthcare.gov integration not working	No workaround. If FFM is unable to source content (e.g., headers and footers) from HC.gov, it is likely HC.gov itself (and therefore the Marketplace/Lite Account) is down as well		
GovDelivery integration down	Currently, no workaround. FFM-GovDelivery integration is asynchronous so the FFM is not aware if there are issues with GovDelivery. If GovDelivery is down when a user registers an account or subscribes to newsletters, those individuals would not get emails. For users who are registering, this would mean they would not get an email to verify their account and would not be able to log in.		

Responsible for Slide: CMS IT PM, CMS Operations Team, Development Contractors

Session 1 (9:15 – 12:00): July/August Production Deployments

Session I: July and August Production Deployments

- 7/15 PM Deployment (Plan Preview/Plan Transfer, SBM Data Collection)
- 7/31 E&E Deployment (Account Lite)
- 8/15 PM Deployment (Ratification/ Accreditation, Plan Transfer from OPM. RR Content Reviewer, SBM CSR calculation)

For each deployment, cover the following topics from the standard Readiness outline:

- Deployment Overview
- Development & Testing
- Integration Status
- Security
- Infrastructure
- Go-Live Readiness
- Business Operations
- IT Operations
- External Partners & Users
- Risk & Workaround Planning

Deployment Overview

(8/15 PM Deployment (Ratification/ Accreditation, Plan Transfer from OPM, RR Content Reviewer, SBM CSR calculation)

Deployment Goal:

PM – Plan ratification and accreditation workflows, Plan Transfer from OPM, Rate Review Content Reviewer Functionality

FM – SBM Cost Sharing Reduction Calculations Implementation

Systems (or major external partners) Impacted

System	Impacted (Yes/No)	Brief Comments
FFM	Yes	New PM and FM Functionality
DSH	Yes	Transfer of Plans from OPM involves HUB calls
MIDAS	No	
HIOS	No	
EIDM/RIDP	No	
RBIS	No	
Enterprise Portal	No	
Edge Server	No	
HC.gov	No	
LMI	Yes	LMI Involvement for Rate Reviews
NAIC SERFF	Yes	SBM CSR Calculations
OPM	Yes	OPM Plan transfers will use Hub calls
States	Yes	SBM States CSR calculations
Federal	No	
Other (specify)	No	

Assumptions
- Need to be validated with CGI
- Systems Impacted based on BAH's understanding of impacts on external systems

Responsible for Slide: IT PM and PMO

8/15 FM and E&E Deployment

- *Deployment Overview*
- Development & Testing
- Integration Status
- Security
- Infrastructure
- Go-Live Readiness
- Business Operations
- IT Operations
- External Partners & Users
- Risk & Workaround Planning

High Level Milestones

(8/15 PM Deployment (Ratification/ Accreditation, Plan Transfer from OPM, RR Content Reviewer, SBM CSR Calculation UI)

Milestone	Date	Status
Scope/Release Defined	7/23/2013	?
Code Freeze	8/2/13	
Internal Developer Testing Completed:		
Ratification, Certification and QHP Agreements	8/9/13	
Accreditation Verification	8/9/13	
Plan Transfer – OPM	8/9/13	
FM CSR Calc. Feed	7/9/13	
URR Data Dissemination and Content Reviewer	8/9/13	
SBM – Advance CSR Amount Calculations	6/28/13	
Independent Testing Completed:		
8/15 ACA Independent Testing	8/9/13	
Performance/Stress Testing Completed:	?	?
External Testing Completed:		
UAT/CMS Testing: SBM – Advance CSR Calculations	7/10/13	
UAT/States/Issuers/Others: SBM Advance CSR Amounts to Issuers	7/10/13	
Help Desk Scripts Updated	8/15/13	
O&M Manual Updated	8/14/13	
Production Readiness Review	8/14/13	
Code Migrations:		
FFM-TEST1 Environment for ACA Testing	8/5/13	
FFM-IMP1A	8/9/13	
FFM-IMP0	8/14/13	
FFE-PROD0	8/15/13	

Assumptions
- No separate code migrations for FM & PM
- No external testing or performance testing in detailed CGI schedule
- Need validation on what CSR activities should be called out here

Users &Volume Forecast

(8/15 FM Deployment (Ratification/ Accreditation, Plan Transfer from OPM, RR Content Reviewer, SBM CSR calculation)

Users relevant for this deployment:

Volume

- Expected User Volume
- Transactions

Define how you are defining "transaction" and then expected transaction volume per timeframe.

Responsible for Slide: IT PM and Development Contractors

Development Status

(8/15 FM Deployment (Ratification/ Accreditation, Plan Transfer from OPM, RR Content Reviewer, SBM CSR calculation)

FFM

Function/Service/Module	Requirements & Scope Complete & Delivered (Y/N)	Design Completed & Delivered (Y/N)	Development Completed & Delivered (Y/N)	Internal Developer Testing Completed (Y/N)
Plan Transfer—OPM	N	N	N	N
Ratification / Certification / QHP Agreements	Y	N	N	N
Verification Accreditation	Y	N	N	N
URR - Data Dissemination	On hold	On hold	On hold	On hold
URR – Content Review	N	N	N	N
SBM CSR Calculation	N	N	N	N

Artifacts/Evidence (provide a link)

Scope / CR Issues?
Rate Review Data Dissemination is on hold until a scope decision is made.

Risks (provide CALT ID/link)

Guidance
- Include short synopsis of scope issue / risk and then a link to CALT item.

Responsible for Slide: IT PM and Development Contractors

8/15 FM and E&E Deployment
- Deployment Overview
- Development & Testing
- *Integration Status*
- Security
- Infrastructure
- Go-Live Readiness
- Business Operations
- IT Operations
- External Partners & Users
- Risk & Workaround Planning

Integration Status

(8/15 PM Deployment (Ratification/ Accreditation, Plan Transfer from OPM, RR Content Reviewer, SBM CSR calculation)

Integration / Interface (end point – to – end point)	Requirements & Design Complete and Delivered	Development Status Complete and Delivered	Artifacts/Evidence (provide a link)
OPM to FFM PM	N	N	
FFM PM to Healthcare.gov	On hold	On hold	
URAC to FFM PM (Accreditation)	Y	N	
NCQA to FFM PM (Accreditation)	Y	N	

Guidance:
1. **Interfaces with CMS systems** (e.g., (FFM-EIDM)
2. **Interfaces within FMPS** (e.g., FFM – Hub)
3. **Interface with external partners**

Scope / CR Issues?
Rate Review Data Dissemination is on hold until a scope decision is made.

Risks (provide CALT ID/link)

Guidance
- Include short synopsis of scope issue / risk and then a link to CALT item.

Responsible for Slide: IT PM and Development Contractors

Testing Status

(8/15 FM Deployment (Ratification/ Accreditation; Plan Transfer from OPM; RR Content Reviewer; SBM CSR calculation)

FFM (Independent Testing)

Test Case Status			
Test Case Planned	**Test Cases Executed**	**Test Cases Passed**	**Test Cases Failed**
300+ test scripts based on the scope received so far	Not Started	Not Started	Not Started

Defect Summary		
Defect Level	**Nbr of Defects**	**Comments**
Not Started	Not Started	Not Started

Test Data Status

Responsible for Slide: Testing Team & Independent Test Contractor

8/15 FM and E&E Deployment

- Deployment Overview
- Development & *Testing*
- Integration Status
- Security
- Infrastructure
- Go-Live Readiness
- Business Operations
- IT Operations
- External Partners & Users
- Risk & Workaround Planning

Testing Status

(8/15 PM Deployment
(Ratification/ Accreditation, Plan
Transfer from OPM, RR Content
Reviewer, SBM CSR calculation)

External Testing

Test Case Status				
External Partner	Test Cases Planned	Test Cases Executed	Test Cases Passed	Test Cases Failed
Issuer Testing	TBD	Not Started	Not Started	Not Started
UAT Testing	TBD	Not Started		

Defect Summary		
Defect Level	Nbr of Defects	Comments
Not Started	Not Started	Not Started

Test Data Status

Responsible for Slide: Testing Team & Independent Test Contractor

Testing Status

(8/15 FM Deployment (Ratification/ Accreditation, Plan Transfer from OPM, RR Content Reviewer, SBM CSR calculation)

Performance & Stress Testing

08/15 E&E code will be part of August UI performance test

Responsible for Slide: Development Contractor & Independent Test Contractor

Go-Live Readiness

Overview

Element	Completed? (Yes/No)	Artifacts/Evidence (include link)	Notes
Implementation Tasks and Checklists	No	NotResp	The XOC has a checklist of what is required, however we do not have the artifacts as of yet. Each Developer creates and submits to the team when ready for deployment.
Contact List	Yes	NotResp	We have the contact / escalation list for 8/15.
Escalation Path if Problems Occur	Yes	Trouble ticket NotResp Crisis Management document NotResp Crisis Protocol document NotResp	

Roles and Responsibilities

Role	Person	Notes
FFM Code Promotion	Cassandra Ross & CI/CD Team	Cassandra will work with CGI to deploy the code.
Operational Readiness	Walter Dill	Walter is responsible to ensure that all monitoring tools and check list are ready and completed.

Responsible for Slide: CMS Operations Team

Go-Live Readiness
User Onboarding

(8/15 FM Deployment (Ratification/ Accreditation, Plan Transfer from OPM, RR Content Reviewer, SBM CSR calculation)

User Community	What do users need to be onboarded to? (e.g., EFT, EDI, Web Services)	Has the onboarding process been successfully tested?

Summarize Onboarding Plan	Artifacts/Evidence (provide a link)

Responsible for Slide: CMS Operations Team

IT Operations

(8/15 FM Deployment (Ratification/ Accreditation, Plan Transfer from OPM, RR Content Reviewer, SBM CSR calculation)

Overview

Element	Completed? (Yes/No)	Artifacts/Evidence	Notes
Change control process up-to-date and ready for this deployment?	Yes		This would be part of the PMO
Incident management process up-to-date and ready for this deployment?	Yes		
Monitor Tools Installed and Configured	Yes		
Job Schedule Defined and Configured (e.g., ETL execution)	No		
O&M Manual Created/Updated	Yes	**NotResp**	
Backup & Recovery Plan	Yes		

Add additional pages as necessary to demonstrate the plan for these elements.

Responsible for Slide: CMS Operations Team

IT Operations

(8/15 FM Deployment (Ratification/ Accreditation, Plan Transfer from OPM, RR Content Reviewer, SBM CSR calculation)

Federal Staffing Plan

Role	Person	Notes
Operations Lead	Walter Dill	Will be responsible for operations monitoring, Code Deployment, crisis management if needed.
Infrastructure Lead	Doug Margush	Infrastructure, Code Deployment, participating on all crisis management calls

Contractor Staffing Plan

Contractor	Role	Capacity under normal conditions (e.g., # of FTEs)	Surge Capacity (e.g., # of FTEs under escalated conditions)
QuTech	EFT & TWS onboarding	2	4
CGI	Operation Support. Running batch jobs and onboarding TWS.	1	2
QSSI	Monitoring systems	1	1

Responsible for Slide: CMS Operations Team

8/15 FM and E&E Deployment
- Deployment Overview
- Development & Testing
- Integration Status
- Security
- Infrastructure
- Go-Live Readiness
- Business Operations
- *IT Operations*
- External Partners & Users
- Risk & Workaround Planning

IT Operations

(8/15 FM Deployment (Ratification/ Accreditation, Plan Transfer from OPM, RR Content Reviewer, SBM CSR calculation)

Help Desk

Element	Completed? (Yes/No)	Artifacts/Evidence	Notes
Help Desk Scripts Created/Updated			
Help Desk Roles and Escalation Paths Defined			

Identify the relevant help desks and escalation paths

	Plan Transfer	Rate Review	SBM Cost Calculation
Tier 1 Help Desk			
Tier 2 Help Desk			
Tier 3 Help Desk			
Other Escalation			

Responsible for Slide: CMS Operations Team

Business Operations

(8/15 PM Deployment (Ratification/ Accreditation, Plan Transfer from OPM, RR Content Reviewer, SBM CSR calculation)

- **Critical Business Processes for Deployment**

Identify business processes critical for the deployment (e.g.., certifying issuers for QHP)

Business Operations Contractor	Role	Onboarding / Training Needed	Testing Needed	Business Contractor Readiness	Notes

Identify business operations contractors that are relevant for the deployment (e.g.., eligibility support contractor)

Responsible for Slide: CMS IT PM and Business Component

8/15 FM and E&E Deployment
- Deployment Overview
- Development & Testing
- Integration Status
- Security
- Infrastructure
- Go-Live Readiness
- Business Operations
- IT Operations
- *External Partners & Users*
- Risk & Workaround Planning

External Partners & Users

(8/15 PM Deployment (Ratification/ Accreditation; Plan Transfer from OPM; RR Content Reviewer; SBM CSR calculation)

- **Training Plan**
  - *Describe training planning*
    - *Who?*
    - *When?*
    - *How? (e.g.., webinar, in person?)*
- **User Manual Development**
- **External Partner Readiness**

Describe training planning
- Who?
- When?
- How? (e.g.., webinar, in person?)

User Manual
- Is one being developed?
- Who is developing?
- Status?

- External Partner Readiness
  - What is readiness level of external business partners?

Responsible for Slide: CMS IT PM

8/15 FM and E&E Deployment
- Deployment Overview
- Development & Testing
- Integration Status
- Security
- Infrastructure
- Go-Live Readiness
- Business Operations
- IT Operations
- External Partners & Users
- *Risk & Workaround Planning*

Risk & Workaround Planning

(8/15 PM Deployment (Ratification/ Accreditation, Plan Transfer from OPM, RR Content Reviewer, SBM CSR calculation)

Scenario Handling

Scenario	Workaround Process	Error Message and Error Handling Process (if relevant)	Notes

Describe what happens when . . .
- Manual processes necessary to support production
- Non Happy Path Scenarios (e.g.., data sources are down, unable to RIDP a consumer)
- Functionality is deferred or downscoped functionality
- External partners not ready

Responsible for Slide: CMS IT PM, CMS Operations Team, Development Contractors

Session 2 (1:00 – 4:30): Deployments for Issuer and UAT Testing

Session II: Remaining Deployments for Issuer and UAT Testing

- 6/30 E&E Deployment for UAT & Issuer Testing
- 7/15 E&E Deployment for UAT & Issuer Testing
- 7/31 E&E Deployment for UAT & Issuer Testing

For each deployment, cover the following topics from the standard Readiness outline:

- Deployment Overview
- Development & Testing
- Integration Status
- ~~Security~~
- Infrastructure
- ~~Go-Live Readiness~~
- ~~Business Operations~~
- IT Operations -> only help desk readiness for issuer testing defects.
- External Partners & Users
- ~~Risk & Workaround Planning~~

Deployment Overview

Deployment Goal: Deploy initial back-end services to existing code base to support Direct Enrollment and initial enrollment (EDI) transactions and core functionality for My Account, Individual Application, and Plan Compare in the Production Prime environment.

Systems (or major external partners) Impacted

System	Impacted (Yes/No)	Brief Comments
FFM	Yes	Updates to 6/14 release to include back-end services for Direct Enrollment and initial Enrollment (EDI) transactions
DSH	Yes	New interfaces with FFM for Direct Enrollment and initial Enrollment (EDI) transactions
MIDAS	No	
HIOS	No	
EIDM/RIDP	No	
RBIS	No	
Enterprise Portal	No	
Edge Server	No	
HC.gov	No	
LMI	No	
NAIC SERFF	No	
OPM	No	
States	No	
Federal	No	
Other (specify)		

Responsible for Slide: IT PM and PMO

High Level Milestones

Milestone	Date	Status
Scope/Release Defined	6/3/13	
Code Freeze	7/2/13 (FFM) 6/21/13 (Hub)	Hub deployed into DEV2 environment, Internal testing in progress
Internal Developer Testing Completed:		
Individual Application (FFM)	6/28/2013	
Secondary Layering (for Consumer UI) (FFM)	6/28/2013	
Enrollment (FFM)	6/28/2013	
Direct Enrollment (FFM)	6/28/2013	
Hub Internal Testing (Hub)	6/28/2013	
Independent Testing Completed:		Hub: Deployment to TEST2 scheduled on 7/2 (pending CMS approval)
6/30 ACA Independent Testing (FFM)	7/10/13	
Hub Independent Testing (Hub)	7/8/13	
Performance/Stress Testing Completed (Hub)	7/8/13	Hub: Internal Performance testing scheduled to start 7/2
External Testing Completed:		
6/30 UAT Testing	7/12/13	
Help Desk Scripts Updated	7/2/13	
O&M Manual Updated	7/2/13	
Code Migrations:		
6/30 Deploy code to FFM-DEV2	6/27/13	
6/30 Deploy code to FFM-TEST2 Environment	6/28/13	
6/30 Deploy code to FFM-PROD-PRIME Environment	7/17/13	

Assumptions
- Unsure if performance testing will take place
- Pulled UAT testing dates from ACA schedule
- Need other external testing dates

Architecture Overview

Guidance

Provide relevant diagrams

- Logical Architecture
- Application/Data Architecture
- Security Architecture

Responsible for Slide: Development Contractors

6/30 E&E Deployment for UAT/Issuer Testing
- Deployment Overview
- *Development* & Testing
- Integration Status
- Infrastructure
- IT Operations
- External Partners & Users

Development Status

6/30 E&E Deployment for UAT & Issuer Testing

FFM

Function/Service/Module	Requirements & Scope Complete & Delivered (Y/N)	Design Completed & Delivered (Y/N)	Development Completed & Delivered (Y/N)	Internal Developer Testing Completed (Y/N)
▪ My Account ▪ Account Management - Individual ▪ Integrate with Gov Delivery	Yes	Yes (6/30)	Partial – integration with GovDelivery scheduled for completion after 6/30 deployment code freeze on 6/26	No (6/29)
▪ Secondary Layering (for Consumer UI - partial)	Yes	Yes (6/30)	Partial – full capabilities for Lite Account go-live scheduled for completion on 6/30	No (6/29)
▪ Enrollment (basic scenarios) ▪ Enrollment Transactions (x12)	Yes	Yes (6/30)	Partial – Initial Enrollment transaction complete for 6/30. Cancel, Terminate, and Change transactions scheduled for 7/15.	No (6/29)
▪ Direct Enrollment API	Yes	Yes (6/30)	Partial – Direct Enrollment (Submit Enrollment) is stubbed out in 6/30 release	No (6/29)

Artifacts/Evidence (provide a link)
- Artifacts/links to be provided on 6/30 when CALT is updated

Scope / CR Issues?

Risks (provide CALT ID/link)

CMS

Responsible for Slide: IT PM and Development Contractors

6/30 E&E Deployment for UAT/Issuer Testing
- Deployment Overview
- *Development* & Testing
- Integration Status
- Infrastructure
- IT Operations
- External Partners & Users

Development Status

6/30 E&E Deployment for UAT & Issuer Testing

Hub

Function/Service/Module	Requirements & Scope Complete & Delivered (Y/N)	Design Completed & Delivered (Y/N)	Development Completed & Delivered (Y/N)	Internal Developer Testing Completed (Y/N)
Fetch Eligibility Service (Refactor)	Y	Y	In Progress	In Progress
Applicant (Direct) Enrollment Service (Refactor)	Y	Y	In Progress	In Progress
Exchange Enrollment Service (Refactor)	Y	Y	In Progress	In Progress
Account Transfer (AT) Service	Y	Y	In Progress	N
Verify Non-Employer-Sponsored Insurance Minimal Essential Coverage (Verify Non-ESI MEC) Service	Y	Y	Y	In Progress

Artifacts/Evidence (provide a link)
AT service requirements were finalized on 6/21, BSD along with schemas were revised to reflect the same. Account Transfer BSD Applicant Enrollment BSD Fetch Eligibility BSD Exchange Enrollment

Scope / CR Issues?
Any changes to Leg 1/ Leg 4 schemas in any of the above three services will significantly impact the partners (issuers and states)

Risks (provide CALT ID/link)
Functional testing using harness does not reveal all potential issues
Functional testing with partners are not comprehensive

Responsible for Slide: IT PM and Development Contractors

6/30 E&E Deployment for UAT/Issuer Testing

- Deployment Overview
- *Development* & Testing
- Integration Status
- Infrastructure
- IT Operations
- External Partners & Users

Development Status

6/30 E&E Deployment for UAT & Issuer Testing

MIDAS

Function/Service/Module	Requirements & Scope Complete & Delivered (Y/N)	Design Completed & Delivered (Y/N)	Development Completed & Delivered (Y/N)	Internal Developer Testing Completed (Y/N)

Artifacts/Evidence (provide a link)

Scope / CR Issues?

Risks (provide CALT ID/link)

Guidance

- Include short synopsis of scope issue / risk and then a link to CALT item.

Responsible for Slide: IT PM and Development Contractors

6/30 E&E Deployment for UAT/Issuer Testing

- Deployment Overview
- *Development* & Testing
- Integration Status
- Infrastructure
- IT Operations
- External Partners & Users

Development Status

6/30 E&E Deployment for UAT & Issuer Testing

HC.gov

Function/Service/Module	Requirements & Scope Complete & Delivered (Y/N)	Design Completed & Delivered (Y/N)	Development Completed & Delivered (Y/N)	Internal Developer Testing Completed (Y/N)

Artifacts/Evidence (provide a link)

Scope / CR Issues?

Risks (provide CALT ID/link)

Guidance

- Include short synopsis of scope issue / risk and then a link to CALT item.

Responsible for Slide: IT PM and Development Contractors

Integration Status

Integration / Interface (end point – to – end point)	Requirements & Design Complete and Delivered	Development Complete and Delivered	Artifacts/Evidence (provide a link)
HUB – FFM	Y	Yes (FFM) / No (Hub)	
HUB – EQUIFAX	Y	Y	Current Income BSD

Guidance:
1. **Interfaces with CMS systems** (e.g., (FFM-EIDM)
2. **Interfaces within FMPS** (e.g., FFM – Hub)
3. **Interface with external partners**

Scope / CR Issues?
Integration testing with EQUIFAX has been delayed for two weeks due to connectivity issues. Both teams are working with respective vendors to resolve the connectivity issue.
Application layer testing with VHA resumed on 6/21 after the connectivity issues were resolved. Testing has been delayed by three weeks.
Account Transfer service will be refactored by 6/30 to accommodate the recent changes in requirements/schemas but testing effort is complex and will continue in July. Defects any that arise will be addressed in July accordingly. Integration with FFM will happen in July as well.

Risks (provide CALT ID/link)
Integration testing for Fetch Eligibility and Applicant Enrollment services are pending as of 6/24 and might affect the issuer testing if not completed by 6/30.

Guidance
- Include short synopsis of scope issue / risk and then a link to CALT item.

Responsible for Slide: IT PM and Development Contractors

Integration Status

Integration / Interface (end point – to – end point)	Requirements & Design Complete and Delivered	Development Status Complete and Delivered	Artifacts/Evidence (provide a link)
HUB – FFM	Y	Yes (FFM) / No (Hub)	
HUB – EQUIFAX	Y	Y	Current Income BSD

Guidance:
1. **Interfaces with CMS systems** (e.g., (FFM EIDM)
2. **Interfaces within FMPS** (e.g., FFM – Hub)
3. **Interface with external partners**

Service Name	Integrated with FFM Till Date	Integration with TDS Till Date
APTC	Y	Y
APTC Bulk Services	N	Y
IFSV	Y	Y
IFSV Bulk Services	N	Y
Non-ESI MEC	Y	Medicare (only) VHA (In-Progress)
SSA Composite	Y	Y
VLP v32.1 (Step 1, 2 & 3)	Y	Y
VLP v33 (Step 1, 2 & 3)	Y	Y
ESI MEC	Y	N
RIDP	N	N
RIDP FARS	N	N
Benefit Enrollment	Y	N
999 Enrollment Callback Servie	In Progress	N
Current Income (Prior to Sprint 18)	Y	N
Current Income (Sprint 18)	In Progress	N
Account Transfer	N	N

opsis of scope
hen a link to

Responsible for Slide: IT PM and Development Contractors

Testing Status

FFM (Independent Testing)

Test Case Status			
Test Case Planned	**Test Cases Executed**	**Test Cases Passed**	**Test Cases Failed**
49 Test scripts created so far based on the scope received	Not Started	Not Started	Not Started

Defect Summary		
Defect Level	**Nbr of Defects**	**Comments**
Not Started	Not Started	Not Started

Test Data Status

Responsible for Slide: Testing Team & Independent Test Contractor

Testing Status as of 6/24

Hub (Independent Testing) Sprint 17.0

Item #	HUB Service name	PL2 Test Cases execution results			PL4 Test Cases execution results			Comments
		Total TC Executed	Pass	Fail	Total TC Executed	Pass	Fail	
1	H1-RIDP	21	21	0	21	21	0	DSH Reference # - not an issue
2	H31 - nonESI MEC	0	Actual PL not delivered	Actual PL not delivered	42	0	42	new ETA on Actual PL-data from Hub-dev team is 6/26/2013. Test Data developer provided Expected PL-data on 6/20/2013.
3	H9-IFSV	21	4	17	21	2	19	ETA for new Actual-PL data from Hub dev team is 6/25/2013
4	H19-APTC	4	4	0	4	4	0	HUB/IRS - not an issue
5	H8-CHI	0	Actual PL not delivered	Actual PL not delivered	0	Actual PL not delivered	Actual PL not delivered	new ETA on Actual PL-data from Hub-dev team is 6/26/2013. Test Data developer provided Expected PL-data on 6/20/2013.
6	H59-VLP	0	Actual PL not delivered	Actual PL not delivered	0	Actual PL not delivered	Actual PL not delivered	new ETA on Actual PL-data from Hub-dev team is 6/26/2013. Test Data developer provided Expected PL-data on 6/20/2013.

Sprint 17.0 Defects Summary as of 06/24/2013 Reflected for only 3.5 Hub Services out of 6 Hub Services				
Item #	Defect Level	# of defects in PL2	# of defects in PL4	Comments
1	Critical	0	0	
2	High	17	42	Under investigation by Hub-dev team - HVSS team may receive new PL-data to re-run the PL-comparison testing.
3	Moderate	0	19	Under investigation by Hub-dev team - HVSS team may receive new PL-data to re-run the PL-comparison testing.
4	Low	0	0	

Test Data Status: ***Partial Delivered –*** 100% Expected PL-test data delivered/ only 50% of Actual-PL test data delivered

Responsible for Slide: eGlobalTech Hub Verification Support Service

Testing Status

MIDAS (Independent Testing)

Test Case Status			
Test Case Planned	**Test Cases Executed**	**Test Cases Passed**	**Test Cases Failed**

Defect Summary		
Defect Level	**Nbr of Defects**	**Comments**

Test Data Status

Responsible for Slide: Testing Team & Independent Test Contractor

6/30 E&E Deployment for UAT/Issuer Testing
- *Deployment Overview*
- Development & Testing
- Integration Status
- Infrastructure
- IT Operations
- External Partners & Users

Testing Status

6/30 E&E Deployment for UAT & Issuer Testing

HC.gov

Test Case Status			
Test Case Planned	Test Cases Executed	Test Cases Passed	Test Cases Failed

Defect Summary		
Defect Level	Nbr of Defects	Comments

Test Data Status

Responsible for Slide: Testing Team & Independent Test Contractor

Testing Status

External Testing

Test Case Status				
External Partner	**Test Cases Planned**	**Test Cases Executed**	**Test Cases Passed**	**Test Cases Failed**
UAT Testing	49 Test scripts based on the scope received so far	Not Started	Not Started	Not Started

Defect Summary		
Defect Level	**Nbr of Defects**	**Comments**
Not Started	Not Started	Not Started

Test Data Status

Responsible for Slide: Testing Team & Independent Test Contractor

Testing Status

Performance & Stress Testing

- 06/30 E&E code will be part of August UI performance test
- HUB internal performance testing is scheduled between 7/2 and 7/8. Environment is being determined currently.

Guidance

Describe:
- Assumptions
- Test Results achieved
- Max throughput
- Expected capacity

Responsible for Slide: Development Contractor & Independent Test Contractor

6/30 E&E Deployment for UAT/Issuer Testing
- Deployment Overview
- *Development* & Testing
- Integration Status
- Infrastructure
- IT Operations
- External Partners & Users

Demonstration /Walkthrough

6/30 E&E Deployment for UAT & Issuer Testing

NotResp

Responsible for Slide: IT PM and Development Contractor

6/30 Prod Prime

- Deployment Overview
- Development & Testing
- Integration Status
- Security
- *Infrastructure*
- Go-Live Readiness
- Business Operations
- IT Operations
- External Partners & Users
- Risk & Workaround Planning

Infrastructure

6/30 E&E Deployment for UAT & Issuer Testing

Element	Status (Completed/Not Completed)	Notes
Capacity Estimate Completed	Completed	
VMs Ordered	Completed	43 VMs. Includes issuer POC on 4 VMs
VM's Configured (software version, patching level)	Completed	
Presentation Zone Configured		
Web Server	Setup Completed; testing/integration with EIDM pending	NotResp nd EIDM connectivity pending
Load Balance Configured	Setup Completed; testing/integration with EIDM pending	Via CISCO hardware load balancer
Clustering Configured	Setup Completed; testing/integration with EIDM pending	
Application Zone Configured		
NotResp	Connectivity pending	
	Setup Completed; testing/integration with EIDM pending	
	Setup Completed; testing/integration with EIDM pending	
	Setup Completed; testing/integration with EIDM pending	
Load Balance Configured	Setup Completed; testing/integration with EIDM pending	
Clustering Configured	Setup Completed; testing/integration with EIDM pending	
Data Zone Configured		
NotResp	Setup Completed; testing/integration with EIDM pending	
	Setup Completed; testing/integration with EIDM pending	Set up as single node. Hardware in place for failover configuration w NotResp NotRes onfiguration pending
	Setup Completed; testing/integration with EIDM pending	
	Setup Completed; testing/integration with EIDM pending	
	Setup Completed; testing/integration with EIDM pending	
	Incomplete	Working with MIDAS to provide access to ML databases as first step.
	Connectivity pending	
Other		
SSL Certificates	Setup Completed; testing/integration with EIDM pending	
Monitoring Tools Installed/Configured	Tivoli agents installed on P-Prime servers	Will work with XOC to enable monitoring
Scheduling Tools Installed/Configured	Not applicable at this time	

6/30 E&E Deployment for UAT/Issuer Testing
- Deployment Overview
- Development & Testing
- Integration Status
- *Infrastructure*
- IT Operations
- External Partners & Users

Environment & Code Promotion Path

6/30 E&E Deployment for UAT & Issuer Testing

	Current Environment		FFM			Hub			
Environment	**Current Release in Environment**	**Current Activity in Environment**	**Required for Deployment? (Yes/No)**	**Dates Code will be in environment**	**Release Number Promoted**	**Required for Deployment? (Yes/No)**	**Dates Code will be in environment**	**Release Number Promoted**	**Notes**
DEV3			No						
DEV2	6.2.0 (EE 6/14) DSH_CMM_201306221205_S018_R6_01	CGI Internal Dev/Testing QSSI Internal testing in progress	Yes	6/26/13	6.3.0 (EE 6/30)	N	6/21/2013		
DEV1			No						
DEV0			No						
TEST3			No						
TEST2	6.2.0 (EE 6/14)	ACA Testing	Yes	N/A[1]	N/A[1]	N	7/2/2013		See Note [1] below
TEST1			No						
TEST0			No						
TEST 1 PM			No						
FFM IMP 1A			No						
FFM IMP 1B			No						
Hub IMP 1A			No						
Hub IMP 1B			No						
IMP0			No						If performance testing has to be done in IMP1B, deployment needs to happen on 7/2. Any external testing activities will have to be coordinated accordingly.
PROD			No						
PROD0 PRIME	N/A	N/A	Yes	6/27/13	6.3.0 (EE 6/30)				

[1] TEST2 will remain with 6.2.0 until after July 1 to allow ACA Testing on 6.2.0 to complete, then receive 6.3.x (internal CGI deployment) for CGI testing once ACA in in PROD PRIME (DEV2 does not have EIDM integration)

Responsible for Slide: CMS Infrastructure Team and Development Contractors

7/31 E&E Deployment

- Deployment Overview
- Development & Testing
- Integration Status
- Security
- *Infrastructure*
- Go-Live Readiness
- Business Operations
- IT Operations
- External Partners & Users
- Risk & Workaround Planning

Environment & Code Promotion Path

6/30 E&E Deployment for UAT & Issuer Testing

EEPS Environments

NotResp

6/30 E&E Deployment for UAT/Issuer Testing

- Deployment Overview
- Development & Testing
- Integration Status
- Infrastructure
- *IT Operations*
- External Partners & Users

User Onboarding

6/30 E&E Deployment for UAT & Issuer Testing

User Community	What do users need to be onboarded to? (e.g. EFT, EDI, Web Services)	Has the onboarding process been successfully tested?

Summarize Onboarding Plan	Artifacts/Evidence (provide a link)

Responsible for Slide: CMS Operations Team

IT Operations

Overview

Element	Completed? (Yes/No)	Artifacts/Evidence	Notes
Help Desk Scripts Created/Updated			
Help Desk Roles and Escalation Paths Defined			
Defect Management process up-to-date and ready for this deployment?			
Monitor Tools Installed and Configured			
Job Schedule Defined and Configured (e.g, ETL execution)			
Backup & Recovery Plan			

Add additional pages as necessary to demonstrate the plan for these elements.

Responsible for Slide: CMS Operations Team

IT Operations

Federal Staffing Plan

Role	Person	Notes

Contractor Staffing Plan

Contractor	Role	Capacity under normal conditions (e.g., # of FTEs)	Surge Capacity (e.g, # of FTEs under escalated conditions)

Responsible for Slide: CMS Operations Team

6/30 E&E Deployment for UAT/Issuer Testing

- Deployment Overview
- Development & Testing
- Integration Status
- Infrastructure
- *IT Operations*
- External Partners & Users

IT Operations

Defect Management / Help Desk

6/30 E&E Deployment for UAT & Issuer Testing

NotResp

External Partners & Users

- **Training Plan**
  - *No training plan for 6/30 E&E deployment*
- **External Partner Readiness**
  - *Not relevant for this deployment for Issuer Testing*

Session 2 (1:00 – 4:30): Deployments for Issuer and UAT Testing

Session II: Remaining Deployments for Issuer and UAT Testing

- 6/30 E&E Deployment for UAT & Issuer Testing
- 7/15 E&E Deployment for UAT & Issuer Testing
- 7/31 E&E Deployment for UAT & Issuer Testing

For each deployment, cover the following topics from the standard Readiness outline:

- Deployment Overview
- Development & Testing
- Integration Status
- ~~Security~~
- Infrastructure
- ~~Go-Live Readiness~~
- ~~Business Operations~~
- IT Operations -> only help desk readiness for issuer testing defects.
- External Partners & Users
- ~~Risk & Workaround Planning~~

Deployment Overview

Deployment Goal: Deploy core Individual Application and Plan Compare functionalities and establish initial link between UI and Enrollment (EDI) and Direct Enrollment services. Additionally, deploy initial Call Center API services for integration testing.

Systems (or major external partners) Impacted

System	Impacted (Yes/No)	Brief Comments
FFM	Yes	Deploying updates to Individual Application and Plan Compare and initiating Call Center API
DSH	Yes	Integration with FFM for Eligibility/Enrollment and Direct Enrollment services
MIDAS	Yes	Continued data extracts/reporting on data in PROD PRIME
HIOS	No	
EIDM/RIDP	Yes	Continued support of EIDM integration and start of RIDP integration
RBIS	No	
Enterprise Portal	No	
Edge Server	No	
HC.gov	Yes	Continued support of HC.gov integrations established for 7/31 LOA1 go-live
LMI	No	
NAIC SERFF	No	
OPM	No	
States	No	
Federal	No	
Call Center	Yes	Integration testing with FFM Call Center APIs

Responsible for Slide: IT PM and PMO

High Level Milestones

Milestone	Date	Status
Scope/Release Defined	7/2/13	
Code Freeze	7/15/13	
Internal Developer Testing Completed:		
My Account	7/15/13	
Individual Application	7/15/13	
Secondary Layering (for Consumer UI)	7/15/13	
Navigators/Assisters/Agents/Brokers/CMS Admin Workflow	7/15/13	
E&E Federal Functions	7/15/13	
Enrollment	7/15/13	
Call Center Integration	7/15/13	
Plan Compare	7/15/13	
Independent Testing Completed:		
7/15 ACA Independent Testing	7/29/13	
Performance/Stress Testing Completed	?	?
External Testing Completed:		
7/15 UAT Testing	7/30/13	
Help Desk Scripts Updated	7/5/13	
O&M Manual Updated	7/15/13	
Code Migrations:		
6/30 Deploy code to FFM-DEV2	7/12/13	
6/30 Deploy code to FFM-TEST2 Environment	7/15/13	
6/30 Deploy code to FFM-PROD-PRIME Environment	7/15/13	

Assumptions
- Unsure if performance testing will take place
- Pulled UAT testing dates from ACA schedule
- Need other external testing dates
- Some code freeze/migration dates seem off in detailed CGI schedule

7/15 E&E Deployment for UAT/Issuer Testing
- *Deployment Overview*
- Development & Testing
- Integration Status
- Infrastructure
- IT Operations
- External Partners & Users

Architecture Overview

7/15 E&E Deployment for UAT & Issuer Testing

Guidance

Provide relevant diagrams
- Logical Architecture
- Application/Data Architecture
- Security Architecture

Responsible for Slide: Development Contractors

7/15 E&E Deployment for UAT/Issuer Testing

- Deployment Overview
- *Development* & Testing
- Integration Status
- Infrastructure
- IT Operations
- External Partners & Users

Development Status

7/15 E&E Deployment for UAT & Issuer Testing

FFM

Function/Service/Module	Requirements & Scope Complete & Delivered (Y/N)	Design Completed & Delivered (Y/N)	Development Completed & Delivered (Y/N)	Internal Developer Testing Completed (Y/N)
Remaining My Account (includes LOA2 (partial) set up and EIDM integration)	Yes	No	No (7/15)	No (7/15)
Individual Application (includes Build Household and Insurance (partial))	Yes	Yes	No (7/15)	No (7/15)
Plan Compare ▪ Anonymous Shopper ▪ Change enrollment grouping ▪ Plan Select for end-to-end flow			No (7/15)	No (7/15)
Call Center Integration (NGD)			No (7/15)	No (7/15)
Enrollment Data Store (partial)	Yes	No	No (7/15)	No (7/15)
Federal Function - Double-Dipping check	Yes	No	At Risk for 7/15	At Risk for 7/15

Artifacts/Evidence (provide a link)

Scope / CR Issues?

Risks (provide CALT ID/link)
(???) Support for LOA1 go-live may delay completion of additional My Account functions for 7/15

Responsible for Slide: IT PM and Development Contractors

7/15 E&E Deployment for UAT/Issuer Testing
- Deployment Overview
- *Development* & Testing
- Integration Status
- Infrastructure
- IT Operations
- External Partners & Users

Development Status

7/15 E&E Deployment for UAT & Issuer Testing

Hub

Function/Service/Module	Requirements & Scope Complete & Delivered (Y/N)	Design Completed & Delivered (Y/N)	Development Completed & Delivered (Y/N)	Internal Developer Testing Completed (Y/N)

Artifacts/Evidence (provide a link)

Scope / CR Issues?

Risks (provide CALT ID/link)

Guidance
- Include short synopsis of scope issue / risk and then a link to CALT item.

CMS

Responsible for Slide: IT PM and Development Contractors

7/15 E&E Deployment for UAT/Issuer Testing
- Deployment Overview
- *Development* & Testing
- Integration Status
- Infrastructure
- IT Operations
- External Partners & Users

Development Status

7/15 E&E Deployment for UAT & Issuer Testing

MIDAS

Function/Service/Module	Requirements & Scope Complete & Delivered (Y/N)	Design Completed & Delivered (Y/N)	Development Completed & Delivered (Y/N)	Internal Developer Testing Completed (Y/N)

Artifacts/Evidence (provide a link)

Scope / CR Issues?

Risks (provide CALT ID/link)

Guidance
- Include short synopsis of scope issue / risk and then a link to CALT item.

Responsible for Slide: IT PM and Development Contractors

7/15 E&E Deployment for UAT/Issuer Testing
- Deployment Overview
- *Development* & Testing
- Integration Status
- Infrastructure
- IT Operations
- External Partners & Users

Development Status

7/15 E&E Deployment for UAT & Issuer Testing

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Function/Service/Module	Requirements & Scope Complete & Delivered (Y/N)	Design Completed & Delivered (Y/N)	Development Completed & Delivered (Y/N)	Internal Developer Testing Completed (Y/N)

Artifacts/Evidence (provide a link)

Scope / CR Issues?

Risks (provide CALT ID/link)

Guidance
- Include short synopsis of scope issue / risk and then a link to CALT item.

Responsible for Slide: IT PM and Development Contractors

7/15 E&E Deployment for UAT/Issuer Testing
- Deployment Overview
- Development & Testing
- *Integration Status*
- Infrastructure
- IT Operations
- External Partners & Users

Integration Status

7/15 E&E Deployment for UAT & Issuer Testing

Integration / Interface (end point – to – end point)	Requirements & Design Complete and Delivered	Development Status Complete and Delivered	Artifacts/Evidence (provide a link)
FFM-DHS	Yes	No (7/15)	???
FFM-Call Center	Yes	No (7/15)	???

Scope / CR Issues?
Call Center APIs for ESD Task integration and Fetch Activity Log will not be available on 7/15. Both require completion of additional work (ESD development and Activity Logging) that will not yet be completed by 7/15.

Risks (provide CALT ID/link)

Responsible for Slide: IT PM and Development Contractors

Testing Status

FFM (Independent Testing)

Test Case Status			
Test Case Planned	Test Cases Executed	Test Cases Passed	Test Cases Failed
TBD	Not started	Not Started	Not Started

Defect Summary		
Defect Level	Nbr of Defects	Comments
Not Started	Not Started	Not Started

Test Data Status

Responsible for Slide: Testing Team & Independent Test Contractor

Testing Status

Hub (Independent Testing)

Test Case Status			
Test Case Planned	Test Cases Executed	Test Cases Passed	Test Cases Failed

Defect Summary		
Defect Level	Nbr of Defects	Comments

Test Data Status

Responsible for Slide: Testing Team & Independent Test Contractor

7/15 E&E Deployment for UAT/Issuer Testing
- Deployment Overview
- Development & *Testing*
- Integration Status
- Infrastructure
- IT Operations
- External Partners & Users

Testing Status

7/15 E&E Deployment for UAT & Issuer Testing

MIDAS (Independent Testing)

Test Case Status			
Test Case Planned	Test Cases Executed	Test Cases Passed	Test Cases Failed

Defect Summary		
Defect Level	Nbr of Defects	Comments

Test Data Status

Responsible for Slide: Testing Team & Independent Test Contractor

Testing Status

HC.gov

Test Case Status			
Test Case Planned	**Test Cases Executed**	**Test Cases Passed**	**Test Cases Failed**

Defect Summary		
Defect Level	**Nbr of Defects**	**Comments**

Test Data Status

Responsible for Slide: Testing Team & Independent Test Contractor

Testing Status

External Testing

Test Case Status				
External Partner	Test Cases Planned	Test Cases Executed	Test Cases Passed	Test Cases Failed
UAT Testing	TBD	Not Started	Not Started	Not Started

Defect Summary		
Defect Level	Nbr of Defects	Comments
Not Started	Not Started	Not Started

Test Data Status

Responsible for Slide: Testing Team & Independent Test Contractor

Testing Status

Performance & Stress Testing

- 07/15 E&E code will be part of August UI performance test

Guidance
Describe:
- Assumptions
- Test Results achieved
- Max throughput
- Expected capacity

Responsible for Slide: Development Contractor & Independent Test Contractor

Demonstration /Walkthrough

Guidance
1. For UI components, perform a demonstration or screen walkthough.
2. For other functions without a UI, illustrate and walkthrough the functional/data flow.

Responsible for Slide: IT PM and Development Contractor

7/15, 7/30 Prod Prime

- Deployment Overview
- Development & Testing
- Integration Status
- Security
- *Infrastructure*
- Go-Live Readiness
- Business Operations
- IT Operations
- External Partners & Users
- Risk & Workaround Planning

Infrastructure

7/15 E&E Deployment for UAT & Issuer Testing

Element	Status (Completed/Not Completed)	Notes
Capacity Estimate Completed	Completed	Review in process prior to submission
VMs Ordered	Submit by 6/28	55 VMs
VM's Configured (software version, patching level)	Not completed	
Presentation Zone Configured		
Web Server	Completed for P-Prime 6/30. New servers added to the configuration	
Load Balance Configured	Completed for P-Prime 6/30. New servers added to the configuration	
Clustering Configured	Completed for P-Prime 6/30. New servers added to the configuration	
Application Zone Configured		
NotResp	Connectivity pending	
	Completed for P-Prime 6/30. New servers added to the configuration	
	Completed for P-Prime 6/30. New servers added to the configuration	
	Completed for P-Prime 6/30. New servers added to the configuration	
Load Balance Configured	Completed for P-Prime 6/30. New servers added to the configuration	
Clustering Configured	Completed for P-Prime 6/30. New servers added to the configuration	
Data Zone Configured		
NotResp	Completed for P-Prime 6/30. New servers added to the configuration	
	Completed for P-Prime 6/30. New servers added to the configuration	
	Completed for P-Prime 6/30. New servers added to the configuration	
	Completed for P-Prime 6/30. New servers added to the configuration	
	Completed for P-Prime 6/30. New servers added to the configuration	
	Incomplete	
	Connectivity pending	
Other		
SSL Certificates	Completed for P-Prime 6/30. New servers added to the configuration	
Monitoring Tools Installed/Configured	Not completed	Will update monitoring
Scheduling Tools Installed/Configured	Not completed	
Protocols Defined/Ports Opened	Completed for P-Prime 6/30. Config will be adjusted as needed	

7/15 E&E Deployment for UAT/Issuer Testing
- Deployment Overview
- Development & Testing
- *Integration Status*
- Infrastructure
- IT Operations
- External Partners & Users

Environment & Code Promotion Path

7/15 E&E Deployment for UAT & Issuer Testing

	Current Environment		FFM			Hub			
Environment	Current Release in Environment	Current Activity in Environment	Required for Deployment? (Yes/No)	Dates Code will be in environment	Release Number Promoted	Required for Deployment? (Yes/No)	Dates Code will be in environment	Release Number Promoted	Notes
DEV3			No						
DEV2	6.4.0.x	CGI internal dev/testing	Yes	7/10/13	6.5.x				
DEV1			No						
DEV0			No						
TEST3			No						
TEST2	6.4.0.x	CGI internal testing (w/ EIDM)	Yes	7/11/13	6.5.x				
TEST1			No						
TEST0			No						
TEST 1 PM			No						
FFM IMP 1A			No						
FFM IMP 1B			No						
Hub IMP 1A			No						
Hub IMP 1B			No						
IMP0			No						
PROD			No						
PROD0 PRIME	6.4.0	ACA and External Partner Testing	Yes	7/15/13	6.5.x				

Responsible for Slide: CMS Infrastructure Team and Development Contractors

7/31 E&E Deployment

- Deployment Overview
- Development & Testing
- Integration Status
- Security
- *Infrastructure*
- Go-Live Readiness
- Business Operations
- IT Operations
- External Partners & Users
- Risk & Workaround Planning

Environment & Code Promotion Path

7/15 E&E Deployment for UAT & Issuer Testing

NotResp

7/15 E&E Deployment for UAT/Issuer Testing

- Deployment Overview
- Development & Testing
- Integration Status
- Infrastructure
- *IT Operations*
- External Partners & Users

User Onboarding

7/15 E&E Deployment for UAT & Issuer Testing

User Community	What do users need to be onboarded to? (e.g. EFT, EDI, Web Services)	Has the onboarding process been successfully tested?

Summarize Onboarding Plan	Artifacts/Evidence (provide a link)

Responsible for Slide: CMS Operations Team

IT Operations

Overview

Element	Completed? (Yes/No)	Artifacts/Evidence	Notes
Help Desk Scripts Created/Updated			
Help Desk Roles and Escalation Paths Defined			
Defect Management process up-to-date and ready for this deployment?			
Monitor Tools Installed and Configured			
Job Schedule Defined and Configured (e.g, ETL execution)			
Backup & Recovery Plan			

Add additional pages as necessary to demonstrate the plan for these elements.

Responsible for Slide: CMS Operations Team

IT Operations

Federal Staffing Plan

Role	Person	Notes

Contractor Staffing Plan

Contractor	Role	Capacity under normal conditions (e.g., # of FTEs)	Surge Capacity (e.g, # of FTEs under escalated conditions)

Responsible for Slide: CMS Operations Team

7/15 E&E Deployment for UAT/Issuer Testing

- Deployment Overview
- Development & Testing
- Integration Status
- Infrastructure
- *IT Operations*
- External Partners & Users

IT Operations

Defect Management / Help Desk

7/15 E&E Deployment for UAT & Issuer Testing

NotResp

External Partners & Users

- **External Partner Readiness**
  - Communications include 3x week CMS to Issuer Webinars addressing:
    - Testing
    - Direct Enrollment
    - EDI
  - Current & future content on zONE:
    - Communications Guide, Testing Handbook
    - Weekly posting of Issuer Questions & Answers
    - Weekly posting of "known issues" for issuer testers
  - External partner readiness for 7/15 comes down to how many Issuers have established connectivity for EDI/EFT and Direct Enrollment.
  - As of 6/26, 89 issuers (113 files) have completed inbound connectivity testing for EFT and 4 issuers (8 files) have completed outbound connectivity testing for EFT
  - FET has been working with OC, CCIIO, and others to determine how many Issuers will be able to be supported for EDI Testing in Wave 1 (7/15-7/28).

Session 2 (1:00 – 4:30): Deployments for Issuer and UAT Testing

Session II: Remaining Deployments for Issuer and UAT Testing

- 6/30 E&E Deployment for UAT & Issuer Testing
- 7/15 E&E Deployment for UAT & Issuer Testing
- 7/31 E&E Deployment for UAT & Issuer Testing

For each deployment, cover the following topics from the standard Readiness outline:

- ~~Deployment Overview~~
- Development & Testing
- Integration Status
- ~~Security~~
- Infrastructure
- ~~Go-Live Readiness~~
- ~~Business Operations~~
- ~~IT Operations -> only help desk readiness for issuer testing defects.~~
- ~~External Partners & Users~~
- ~~Risk & Workaround Planning~~

Deployment Overview

Deployment Goal:
Issuers and CCIIO Testing (UAT) – new E&E features such as Account Transfer, Employer Support Desktop, Appeals, and Notices will be tested in this deployment

Systems (or major external partners) Impacted

System	Impacted (Yes/No)	Brief Comments
FFM	Yes	Additional E&E features and new features added in FFM
DSH	Yes	Functions like Account Transfer make extensive use of Hub Calls
MIDAS	No	
HIOS	Yes	New Roles may be needed (e.g. ESD, Call Center Integration)
EIDM/RIDP	Yes	New users may need to be set up
RBIS	No	
Enterprise Portal	Yes	New users
Edge Server	No	
HC.gov	No	
LMI	No	
NAIC SERFF	No	
OPM	No	
States	No	
Federal	No	
Other (specify)		

Assumptions
- Need to be validated with CGI
- Systems Impacted based on BAH's understanding of impacts on external systems

7/31 E&E Deployment for UAT/Issuer Testing
- *Deployment Overview*
- Development & Testing
- Integration Status
- Infrastructure
- IT Operations
- External Partners & Users

High Level Milestones

7/31 E&E Deployment for UAT & Issuer Testing

Milestone	Date	Status
Scope/Release Defined	7/16	
Code Freeze	7/31	
Internal Developer Testing Completed:		
My Account	7/31/13	
Individual Application	7/31/13	
SHOP (Employer & Employee)	7/31/13	
Mid-Year Changes	7/31/13	
Secondary Layering (for Consumer UI)	7/31/13	
Navigators/Assisters/Agents/Brokers/CMS Admin Workflow	7/31/13	
E&E Federal Functions	7/31/13	
Account Transfer	7/31/13	
Enrollment	7/31/13	
ESD	7/31/13	
Appeals	7/31/13	
Call Center Integration	7/31/13	
Plan Compare	7/31/13	
Notices	7/31/13	
Mailing Contractor Integration	7/31/13	

Assumptions
- Unsure if performance testing will take place
- Pulled UAT testing dates from ACA schedule
- Need other external testing dates
- Some code freeze/migration dates seem off in detailed CGI schedule
- O&M manual not explicitly called out

High Level Milestones

Milestone	Date	Status
Independent Testing Completed: 7/31 ACA Independent Testing	8/13/13	
Performance/Stress Testing Completed	?	?
External Testing Completed: 7/15 UAT Testing	8/14/13	
Help Desk Scripts Updated	7/31/13	
O&M Manual Updated	7/31/13	
Code Migrations: 6/30 Deploy code to FFM-DEV2 6/30 Deploy code to FFM-TEST2 Environment 6/30 Deploy code to FFM-PROD-PRIME Environment	 7/31/13 7/31/13 7/31/13	

Assumptions
- Unsure if performance testing will take place
- Pulled UAT testing dates from ACA schedule
- Need other external testing dates
- Some code freeze/migration dates seem off in detailed CGI schedule
- O&M manual not explicitly called out

Development Status

FFM

Function/Service/Module	Requirements & Scope Complete & Delivered (Y/N)	Design Completed & Delivered (Y/N)	Development Completed & Delivered (Y/N)	Internal Developer Testing Completed (Y/N)
▪ My Account ▪ SHOP Employee/Employer ▪ Authorized Representative ▪ Mid-year Change	No (Mid Year Change remains)	No (Mid Year Change remains)	SHOP/Mid-year Change at Risk for Dev Complete by 7/31	No (7/31)
▪ SHOP ▪ Employer Application ▪ Employee Application Employer Election & Application Submission	Yes	Yes	At Risk for Dev Complete by 7/31	At Risk for 7/31
▪ Secondary Layering (for Consumer UI)	Yes	Yes	No (7/31)	No (7/31)
▪ E&E Federal Functions ▪ DEV Enrollment Submissions from SBE	Yes	No	No (7/31)	No (7/31)
▪ Enrollment (all scenarios) ▪ Initial, Cancellation, Termination, and Change Enrollment Triggers (partial) ▪ Effectuation ▪ Impact Due to Eligibility Change Logic ▪ UI - Post Eligibility Enrollment Impacts	No (Change Triggers, Post Eligibility Enrollment)	No (Change Triggers, Post Eligibility Enrollment Impacts remain)	Change Triggers/Post Eligibility Enrollment Impacts at Risk for Dev Complete by 7/31	Change Triggers/Post Eligibility Enrollment Impacts at Risk for 7/31
▪ Plan Compare ▪ PC-Dental ▪ Plan Select Confirmation	Yes	No (Dental remains)	No (7/31)	No (7/31)
▪ Notices (main functionality)	No	No	At Risk for Dev Complete by 7/31	At Risk for 7/31
▪ Mailing Contactor Integration (notices)	No	No	At Risk for Dev Complete by 7/31	At Risk for 7/31

Responsible for Slide: IT PM and Development Contractors

Development Status

FFM

Artifacts/Evidence (provide a link)

- To be provided once uploaded into CALT

Scope / CR Issues?

Risks (provide CALT ID/link)

Guidance
- Include short synopsis of scope issue / risk and then a link to CALT item.

Responsible for Slide: IT PM and Development Contractors

7/31 E&E Deployment for UAT/Issuer Testing

- Deployment Overview
- Development & Testing
- *Integration* Status
- Infrastructure
- IT Operations
- External Partners & Users

Integration Status

7/31 E&E Deployment for UAT & Issuer Testing

Integration / Interface (end point – to – end point)	Requirements & Design Complete and Delivered	Development Status Complete and Delivered	Artifacts/Evidence (provide a link)
FFM-DSH	No	No (7/31)	???
FFM NotResp	No	No (at risk for 7/31)	???
FFM-Mailing Contractor	No	No (at risk for 7/31)	???

Scope / CR Issues?
Definition of SBM enrollment integration needs to be completed
Notice requirements/design are not completed
Mailing contractor not awarded and final requirements/designs not completed

Risks (provide CALT ID/link)

CMS

Responsible for Slide: IT PM and Development Contractors

7/31 E&E Deployment for UAT/Issuer Testing

- Deployment Overview
- Development & Testing
- Integration Status
- Infrastructure
- *IT Operations*
- External Partners & Users

Environment & Code Promotion Path

7/31 E&E Deployment for UAT & Issuer Testing

	Current Environment		FFM			Hub			
Environment	Current Release in Environment	Current Activity in Environment	Required for Deployment? (Yes/No)	Dates Code will be in environment	Release Number Promoted	Required for Deployment? (Yes/No)	Dates Code will be in environment	Release Number Promoted	Notes
DEV3			No						
DEV2	6.5.0.x	CGI internal dev/testing	Yes	7/29/13	6.6.x				
DEV1			No						
DEV0			No						
TEST3			No						
TEST2	6.5.0.x	CGI internal testing (w/ EIDM)	Yes	7/31/13	6.6.x				
TEST1			No						
TEST0			No						
TEST 1 PM			No						
FFM IMP 1A			No						
FFM IMP 1B			No						
Hub IMP 1A			No						
Hub IMP 1B			No						
IMP0			No						
PROD			No						
PROD0 PRIME	6.5.0	ACA and External Partner Testing	Yes	8/2/13	6.6.x				

Responsible for Slide: CMS Infrastructure Team and Development Contractors

Testing Status

7/31 E&E Deployment for UAT & Issuer Testing

FFM (Independent Testing)

Test Case Status			
Test Case Planned	Test Cases Executed	Test Cases Passed	Test Cases Failed
49 test scripts planned so far based on the scope recieved	Not Started	Not Started	Not Started

Defect Summary		
Defect Level	Nbr of Defects	Comments
Not Started	Not Started	Not Started

Test Data Status

Responsible for Slide: Testing Team & Independent Test Contractor

Testing Status

External Testing

Test Case Status				
External Partner	**Test Cases Planned**	**Test Cases Executed**	**Test Cases Passed**	**Test Cases Failed**
UAT Testing	49 test scripts planned based on the scope received	Not Started	Not Started	Not Started

Defect Summary		
Defect Level	**Nbr of Defects**	**Comments**
Not Started	Not Started	Not Started

Test Data Status

Responsible for Slide: Testing Team & Independent Test Contractor

Testing Status

Performance & Stress Testing

- 07/31 E&E code will be part of August UI performance test

Responsible for Slide: Development Contractor & Independent Test Contractor

Enrollment Transactions from FFE (Initial) – Updated 2/14/2013

Boxes/Lines in red outline apply only to initial enrollments

Consumer

FFE

EDS

DSH

Issuer

NotResp

Legend

NotResp

Enrollment Transactions from FFE (Changes/Cancel/Term) – Updated 2/14/2013

Boxes/Lines in red outline apply only to FFE initiated change/cancel/term enrollments.

Consumer

FFE

EDS

DSH

Issuer

NotResp

Legend

NotResp

Enrollment Transactions from Issuer (Cancel/Term) – Updated 2/14/2013

Consumer

FFE

EDS

DSH

Issuer

NotResp

Legend

NotResp

Outside of the Exchange Processing

Message

From: Couts, Todd (CMS/OIS NotResp NotResp

Sent: 7/23/2013 7:05:07 PM

To: Quijada, Jose A. (CMS/OIS) NotResp NotResp ; Dill, Walter (CMS/OIS) NotResp NotResp ; 'Karlton Kim (kkim@qssinc.com)' [kkim@qssinc.com]; 'peter@t1cg.com' [peter@t1cg.com]; Van, Hung B. (CMS/OIS NotResp NotResp]; Dunick, Walter T. (CMS/OIS) NotResp Wallace, Mary H. (CMS/OC NotResp ; Chao, Henry (CMS/OIS) NotResp 'Ari Knausenberger (ari.knausenberger@strategi.com)' [ari.knausenberger@strategi.com]; Burger, Robert (CMS/OIS) NotResp NotResp ; Margush, Doug C. (CMS/OIS) NotResp]; Murray, Ruairi S. (CMS/OIS NotResp ; 'Par Rachakonda - US (prachakonda@caci.com)' [prachakonda@caci.com]; Miller, Daniel J. (CMS/OIS NotResp NotResp 'Lakshmi.Manambedu@cgifederal.com' [Lakshmi.Manambedu@cgifederal.com]; Cabral, Michael J. (CMS/OIS NotResp NotResp ; Birkmire, Tom (CMS/OIS NotResp NotResp ; Schankweiler, Thomas W. (CMS/OIS NotResp NotResp Chao, Bing (CMS/OI NotResp NotResp ''morlando@foregroundsecurity.com' (morlando@foregroundsecurity.com)' [morlando@foregroundsecurity.com]; 'Calem, Mark (CGI Federal) (Mark.Calem@cgifederal.com)' [Mark.Calem@cgifederal.com]; Lorsbach, Michael J. (CMS/OIS NotResp 'rich. schwarzkopf (rich.schwarzkopf@urs.com)' [rich.schwarzkopf@urs.com]; ''ramesh.chintagumpala@tpgsi.com' (ramesh.chintagumpala@tpgsi.com)' [ramesh.chintagumpala@tpgsi.com]; Schmidt, Donna W. (CMS/OIS) NotResp NotResp Grothe, Kirk A. (CMS/OIS) NotResp 'irafalovich@relis-llc.com' [irafalovich@relis-llc.com]; 'Nick Mistry (Nick.Mistry@eglobaltech.com) (Nick.Mistry@eglobaltech.com)' [Nick.Mistry@eglobaltech.com]; Adkins, Laura J. (CMS/OIS NotResp NotResp Donohoe, Paul X. (CMS/OIS NotResp NotResp Outerbridge, Monique (CMS/OIS) NotResp NotResp Thompson, Tyrone (CMS/OIS) NotResp NotResp Oh, Mark U. (CMS/OIS) NotResp NotResp Rhones, Rhonda D. (CMS/OIS NotResp NotResp Thurston, Robert (CMS/CTR NotResp Burke, Sheila M. (CMS/OIS NotResp Webber, JoAnn (CMS/OIS) NotResp NotResp Alvarez, Carlos (CMS/OIS) NotResp NotResp ; Booth, Jon G. (CMS/OC NotResp ; ''Venky Natarajan' (vnatarajan@qssinc.com) (vnatarajan@qssinc.com)' [vnatarajan@qssinc.com]; 'Mike Finkel (mfinkel@qssinc.com)' [mfinkel@qssinc.com]; Gray, Brian (CMS/OIS) NotResp NotResp Cole, Reba R. (CMS/OIS) NotResp 'Alan Koch

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Chatman, Sheena C. (CMS/OIS NotResp
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Katrina (CMS/OIS) NotResp
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Holliday, Jeff (CMS/OIS) NotResp
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Jenkins, Michelle L. (CMS/OIS) NotResp
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Subject: MATERIALS: Health Insurance Marketplace E&E IT Readiness Review #3

Attachments: EE-Readiness-Rvw -FunctionalWalkthru_v5.pdf

Here are the materials we will use tomorrow.

EE-Readiness-R...
-FunctionalWalkt...

Also, a reminder of logistics:

1. **Time:** 9:00 – 1:00

2. **Location**: MITRE's Baltimore office (just outside CMS' North entrance)
   2275 Rolling Run Drive
   Woodlawn, MD 21244
   (410) 402-2701

3. **Focus:**
   - Application development/testing readiness for FFM, Hub, and MIDAS
   - We will not talk other topics on Wednesday (operations, environments, infrastructure, etc). We will solely focus on the status and readiness of E&E functionality.

4. **Remote access information**

   Webinar: NotResp

   Dial In: NotResp

Todd Couts
Centers for Medicare & Medicaid Services
Office of Info. Services | Consumer Info. & Insurance Systems Group
301-492-5139 (office) | (b)(6) (mobile) | todd.couts1@cms.hhs.gov
7700 Wisconsin Ave Bethesda MD 20814 | Location: 9308

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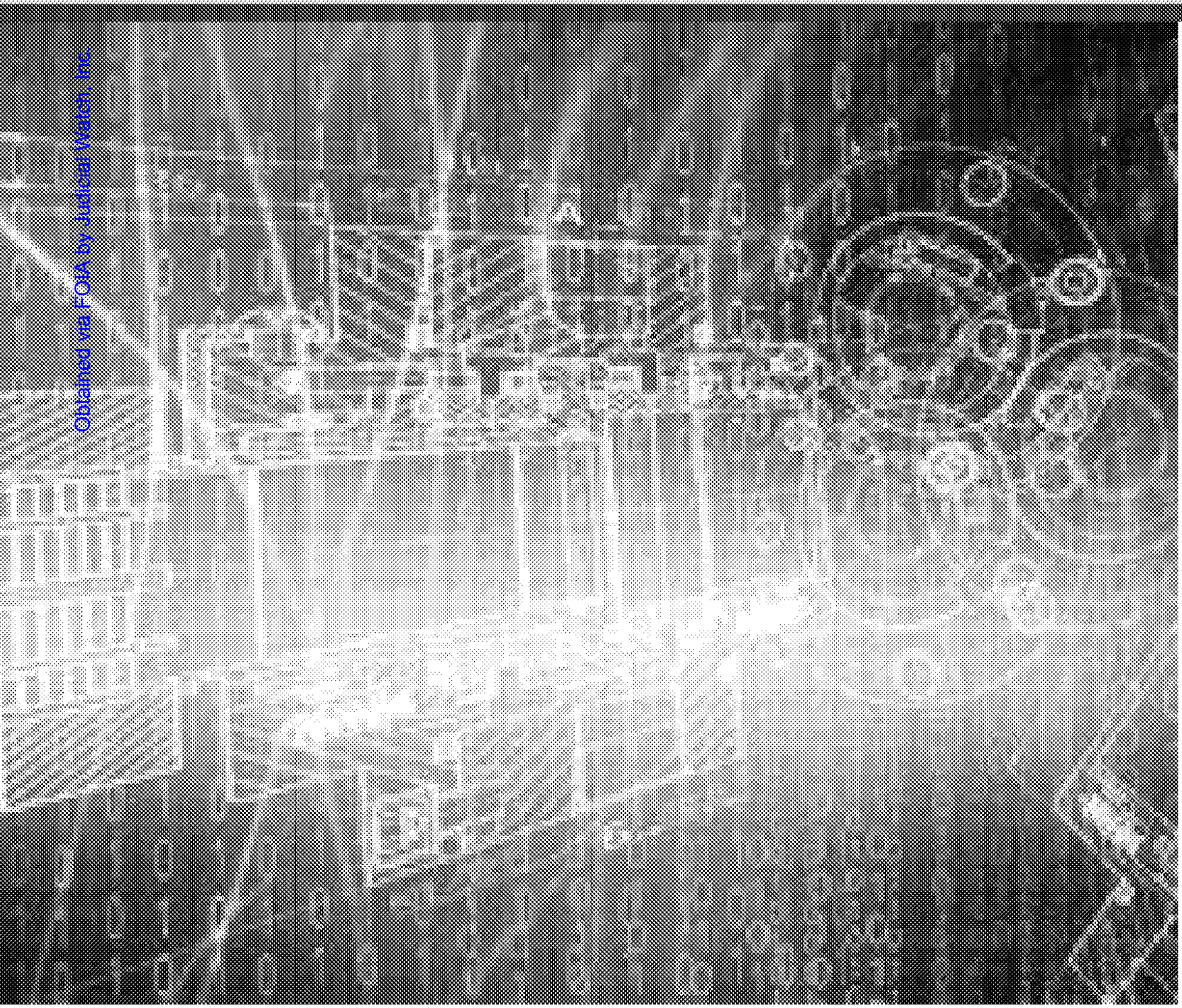
CMS
CENTERS FOR MEDICARE & MEDICAID SERVICES
OFFICE OF INFORMATION SERVICES

Health Insurance Marketplace
IT Readiness Reviews: Open Enrollment



Book 1: Functional Walkthrough

July 24, 2013

Version 5

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Agenda & Topics

Introduction and Context (Pages 3 through 8) **9:00 – 9:15**

Baseline Reconfirmation (Pages 11 through 24) **9:15 – 9:45**

Functional Readiness Walkthrough (Pages 26 through 31) **9:45 – 11:15**

- My Account and Application
- Eligibility, Notices, Account Transfer
- Plan Compare & Plan Select

Break **11:15 – 11:30**

Functional Readiness Walkthrough (Pages 33 through 36) **11:30 – 1:00**

- Enrollment & Direct Enrollment
- Appeals & SHOP
- Operational Reporting & Analytics

Backup Slides for Use as Needed

- **Detail: Development, Integration, & Testing Status** (Pages 36 through 104)
- **Appendix: Architecture Overview** (Pages 105 through 118)

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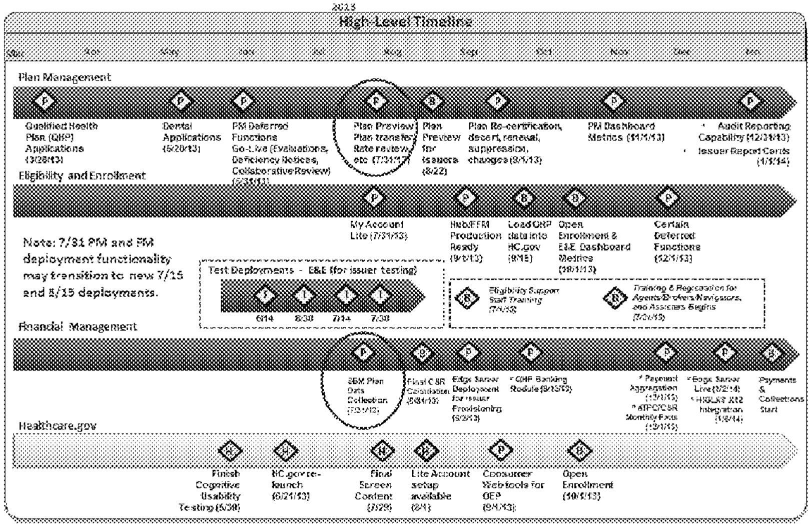
Overall Approach to Readiness Reviews

We have to be ready across many perspectives . . .

- Business Operations
- IT Operations
- Applications & Data
- Security
- External Stakeholders
- Infrastructure
- Governance & Architecture

For multiple deployments and business operations milestones. . .



We will review readiness for each deployment.

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Today's Focus: Readiness of E&E Functionality

Readiness Perspectives . . .	Focus
Business Operations	Another forum
IT Operations	8/2 IT Readiness Review Topics
Applications & Data	The readiness of the IT functionality for the Marketplace
Security	Internal Meeting with Deputy CIO: Week of 7/29/13
External Stakeholders	Focus for future August review
Infrastructure	8/2 IT Readiness Review Topic
Governance & Architecture	Inherent in all reviews

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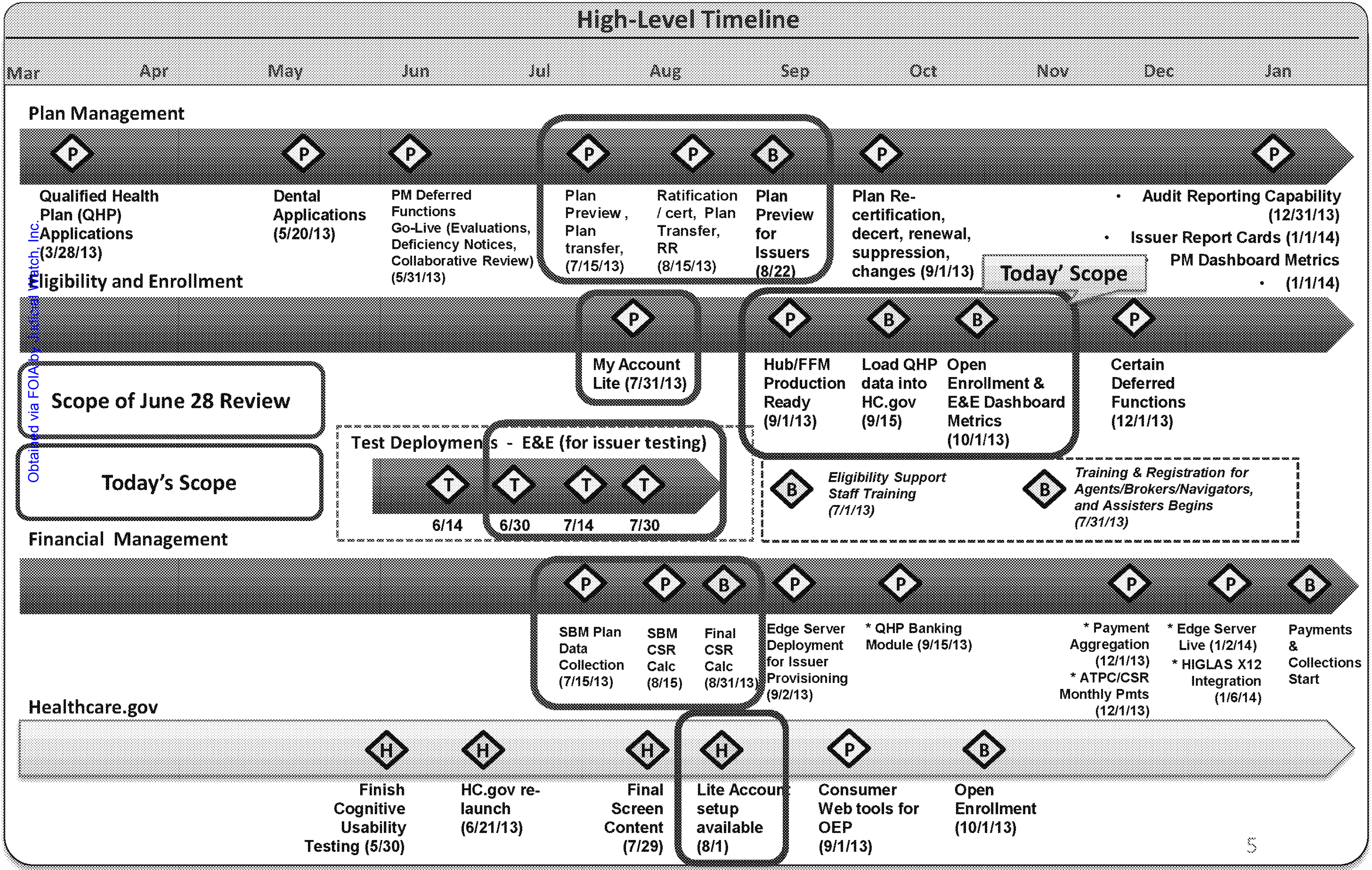
Context: Open Enrollment Deployments

◆P	Delivery of system functionality to production for business use
◆B	Key Business Operations Event using system functionality.
◆T	Delivery of system functionality to "pre-production" for issuer testing
◆H	HC.gov milestones



High-Level Timeline

Plan Management

- P: Qualified Health Plan (QHP) Applications (3/28/13)
- P: Dental Applications (5/20/13)
- P: PM Deferred Functions Go-Live (Evaluations, Deficiency Notices, Collaborative Review) (5/31/13)
- P: Plan Preview , Plan transfer, (7/15/13)
- P: Ratification / cert, Plan Transfer, RR (8/15/13)
- B: Plan Preview for Issuers (8/22)
- P: Plan Re-certification, decert, renewal, suppression, changes (9/1/13)
- P:
  - Audit Reporting Capability (12/31/13)
  - Issuer Report Cards (1/1/14)
  - PM Dashboard Metrics (1/1/14)

Eligibility and Enrollment

- P: My Account Lite (7/31/13)
- P: Hub/FFM Production Ready (9/1/13)
- B: Load QHP data into HC.gov (9/15)
- B: Open Enrollment & E&E Dashboard Metrics (10/1/13)
- P: Certain Deferred Functions (12/1/13)

Test Deployments - E&E (for issuer testing)

- T: 6/14
- T: 6/30
- T: 7/14
- T: 7/30

- B: *Eligibility Support Staff Training (7/1/13)*
- B: *Training & Registration for Agents/Brokers/Navigators, and Assisters Begins (7/31/13)*

Today' Scope

Scope of June 28 Review

Today's Scope

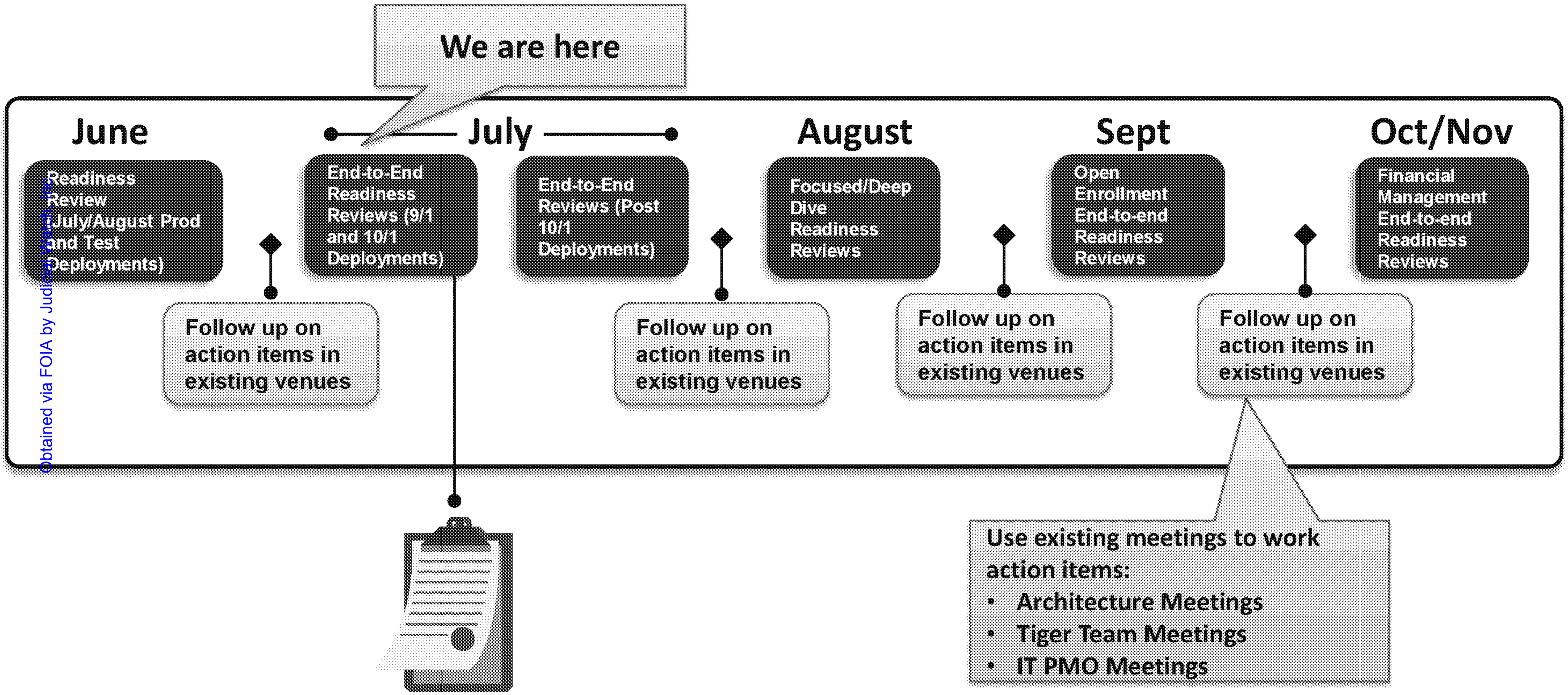
Financial Management

- P: SBM Plan Data Collection (7/15/13)
- P: SBM CSR Calc (8/15)
- B: Final CSR Calc (8/31/13)
- P: Edge Server Deployment for Issuer Provisioning (9/2/13)
- P: * QHP Banking Module (9/15/13)
- P: * Payment Aggregation (12/1/13) * ATPC/CSR Monthly Pmts (12/1/13)
- P: * Edge Server Live (1/2/14) * HIGLAS X12 Integration (1/6/14)
- B: Payments & Collections Start

Healthcare.gov

- H: Finish Cognitive Usability Testing (5/30)
- H: HC.gov re-launch (6/21/13)
- H: Final Screen Content (7/29)
- H: Lite Account setup available (8/1)
- P: Consumer Web tools for OEP (9/1/13)
- B: Open Enrollment (10/1/13)

2013 Readiness Reviews



We are here

June

Readiness Review (July/August Prod and Test Deployments)

Follow up on action items in existing venues

July

End-to-End Readiness Reviews (9/1 and 10/1 Deployments)

End-to-End Reviews (Post 10/1 Deployments)

Follow up on action items in existing venues

August

Focused/Deep Dive Readiness Reviews

Follow up on action items in existing venues

Sept

Open Enrollment End-to-end Readiness Reviews

Follow up on action items in existing venues

Oct/Nov

Financial Management End-to-end Readiness Reviews

Use existing meetings to work action items:

- Architecture Meetings
- Tiger Team Meetings
- IT PMO Meetings

We will apply a standard Readiness outline in each review.

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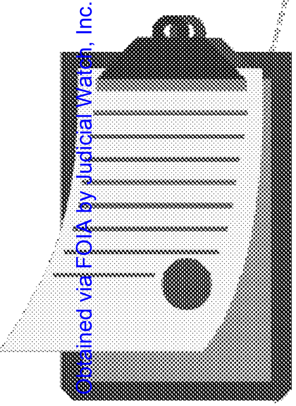
Standard Readiness Outline

Focus for Today



I. **Deployment Overview**
- Business Goal
- System Impacted & System Interfaces
- Architecture Overview
- High level timeline / milestones
- Users
- Volume Forecast

II. **Development & Testing**
- Development Status
- Demonstration or walkthrough
- Deferred functionality
- Artifact Status
- Validation Status
  - Functional (internal/external) Testing Results
  - Performance Testing Results
  - Stress Testing Results
- Development & Testing Readiness Dashboard

III. **Integration Status**
- Intra-FMPS Integration
- Integration with other CMS systems (e.g., EIDM)

IV. **Security**
- SCA Testing Results
- ATO
- DR/COOP
- Security Readiness Dashboard

V. **Infrastructure**
- Equipment order, install, configuration status
- Software order, install, configuration status
- Connectivity configuration status
- Code Promotion Path & Environmental Readiness
- Elasticity plans
- Infrastructure Readiness Dashboard

VI. **Go Live Readiness**
- User Onboarding (e.g., Trading Partner Agreements, EFT setup)
- Implementation Plan and Checklists
- Contact List
- Escalation Paths
- Go Live Readiness Dashboard

VII. **Business Operations**
- Identify supporting business operations
- Business contractor roles and scope
- Contractor onboarding and training
- Business Contractor Readiness
- Business Operations Readiness Dashboard

VIII. **IT Operations**
- System error messages and handling
- Help Desk Readiness
  - Escalation Paths / Help Desk Scripts / Supporting Tools
- Backup and Recovery
- Monitoring
- Job Schedules
- IT Operations Readiness Dashboard

IX. **External Partners & Users**
- Agreement Status (e..g, CMA, TPA)
- Readiness of external partners
  - System readiness
  - Operational readiness
- Training Plan and Execution
- External Partners Readiness Dashboard

X. **Risk and Workaround Planning**
- Non Happy Path Scenarios (e.g., data sources are down, unable to RIDP a consumer)
- Workaround plan for deferred or downscoped functionality
- External partners not ready

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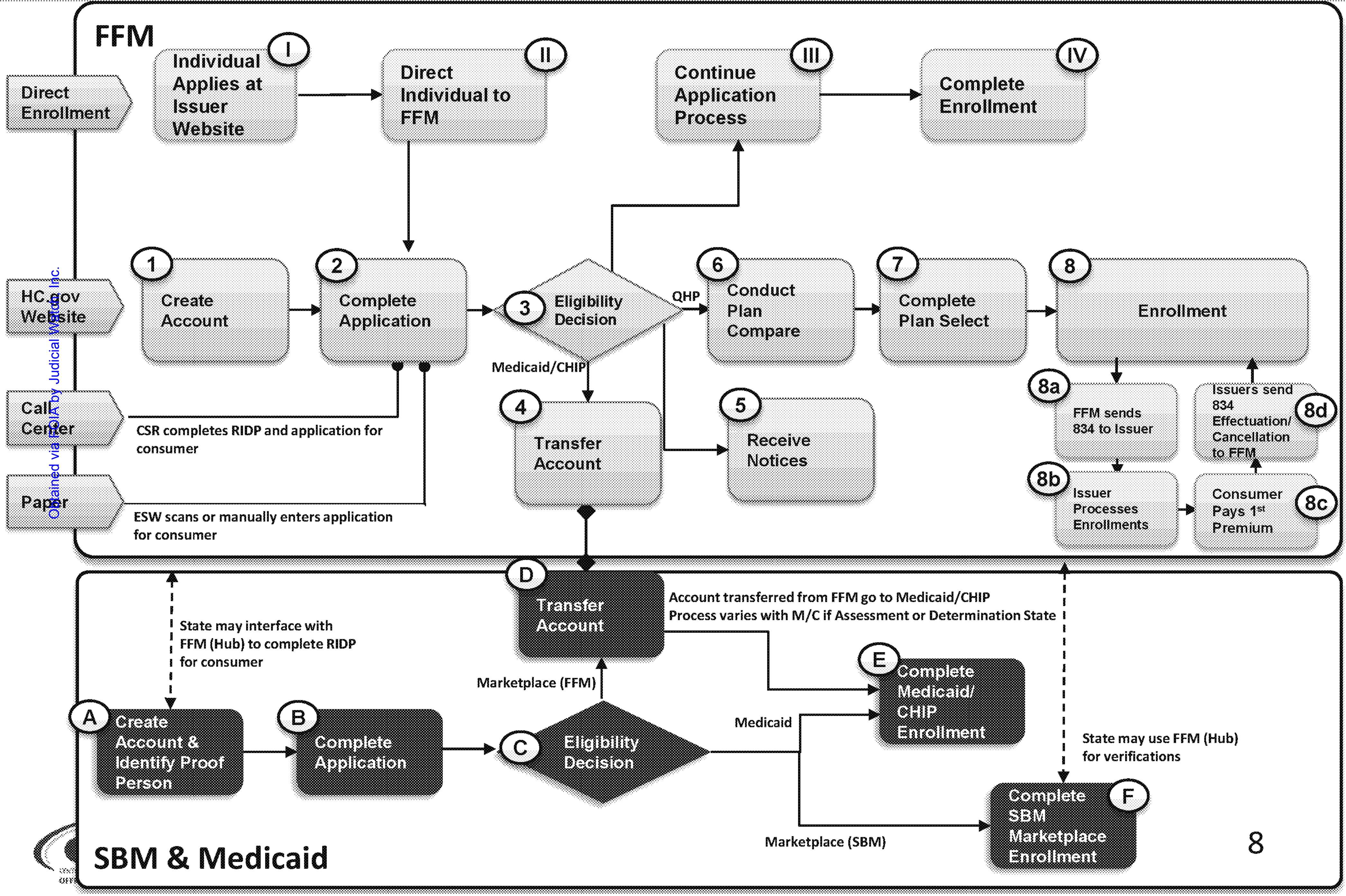
We will organize the Open Enrollment IT Readiness review around the processes individuals can follow to obtain health insurance



FFM

Direct Enrollment

I Individual Applies at Issuer Website

II Direct Individual to FFM

III Continue Application Process

IV Complete Enrollment

HC.gov Website

1 Create Account

2 Complete Application

3 Eligibility Decision

QHP

Medicaid/CHIP

4 Transfer Account

5 Receive Notices

6 Conduct Plan Compare

7 Complete Plan Select

8 Enrollment

8a FFM sends 834 to Issuer

8b Issuer Processes Enrollments

8c Consumer Pays 1st Premium

8d Issuers send 834 Effectuation/ Cancellation to FFM

Call Center

CSR completes RIDP and application for consumer

Paper

ESW scans or manually enters application for consumer

SBM & Medicaid

A Create Account & Identify Proof Person

State may interface with FFM (Hub) to complete RIDP for consumer

B Complete Application

C Eligibility Decision

Marketplace (FFM)

D Transfer Account

Account transferred from FFM go to Medicaid/CHIP Process varies with M/C if Assessment or Determination State

Medicaid

E Complete Medicaid/ CHIP Enrollment

Marketplace (SBM)

F Complete SBM Marketplace Enrollment

State may use FFM (Hub) for verifications

Goals and Ground Rules for Today

Goals:

- Assess the **state** of E&E functionality for Open Enrollment.
- Identify **action plans** to remove barriers and address risks to the remaining development and testing
- Identify possible **gaps** in functionality that will require workaround planning

DO

- Give an honest view of readiness.
- Identify gaps, risks, and action items.
- ALLOW yourself to "be facilitated" to cover all the topics. Keep an eye on the clock.

DON'T

- Talk about operations, infrastructure, environments (that is the focus of 8/2).
- Solve problems and create solutions on the spot.
- Sugarcoat the true forecast of what will be completed.

We need to get through the entire agenda!

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Agenda & Topics

Introduction and Context (Pages 3 through 8)	9:00 – 9:15
Baseline Reconfirmation (Pages 11 through 24)	9:15 – 9:45
Functional Readiness Walkthrough (Pages 26 through 31) ▪ My Account and Application ▪ Eligibility, Notices, Account Transfer ▪ Plan Compare & Plan Select	9:45 – 11:15
Break	11:15 – 11:30
Functional Readiness Walkthrough (Pages 33 through 36) ▪ Enrollment & Direct Enrollment ▪ Appeals & SHOP ▪ Operational Reporting & Analytics	11:30 – 1:00

Backup Slides for Use as Needed

- **Detail: Development, Integration, & Testing Status** (Pages 36 through 104)
- **Appendix: Architecture Overview** (Pages 105 through 118)

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Overview

- The next set of pages are excerpts of the baseline that we presented to the CMS Administrator and COO.
- Intended Outcome
  - Confirm that the build will include the baseline functionality.
  - Identify deviations and gaps from the baseline functionality.
- DO NOT do a line-by-line walkthrough of each function.

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My Account: Reconfirm Baseline

Key Functionality Included for Day 1

- **Applies to:**
  - Individuals
- **Integration with Enterprise Identity Management**
  - Registration/ Account Creation
  - Remote Identity Proofing
  - Security Questions
  - Password/Username Management
- **Other Functions**
  - Add/Remove Authorized Representative
  - View Eligibility Determination Results
  - View and Navigate to “To Do List” ,” including for inconsistencies resolution
  - View enrollment and link to plan payment website or plan customer service channels
  - Message Center
  - Document Upload
  - View Documents (including Notices)

Key Functionality Excluded for Day 1

- These capabilities are geared toward the individual market, not SHOP.
- Ability to track an appeal and cancel an appeal from their My Account
- Ability to search and associate with different types of assisters
- Ability to submit a web-based exemption application and report an exemption related change
- While we will display the APTC applied to the premium(s), the enrollee will not be able to change the APTC election until April 2014

Confirm that the scope has remained the same

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10/1 Open Enrollment

- **Session I: Readiness to Support Business Processes**
- *My Account and Application*
- Eligibility, Notices, Account Transfer
- Plan Compare & Plan Select
- Enrollment & Direct Enrollment
- Operational Reporting/Analytics
- Appeals & SHOP

Application Reconfirm Baseline

1 Create Account

2 Complete Application

Key Functionality Included for Day 1

- **Individual Application user interface and services**
    - Financial assistance and non-financial assistance application
    - Identify Authorized Representatives and Assisters
    - Household Contact
    - Income Screener related to Help Paying for Coverage
    - Building the Household & Personal Information
    - Special Circumstances
    - Income
    - Insurance
    - Other Program Specific Information
    - Application Summary
    - Eligibility Results Page
    - To Do List, including document upload
    - Attestations and Signature
    - "Non-dynamic" application for data sources down (with ability to set application date) and ID proofing failure

Key Functionality Excluded for Day 1

- Special Enrollment Periods

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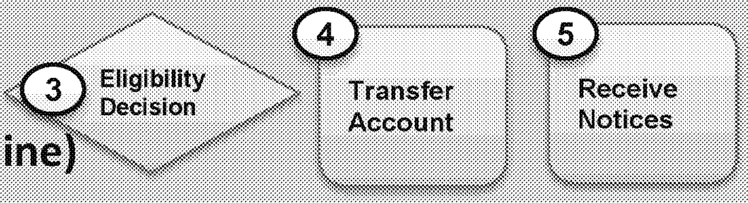
Verifications – Interactions w/ External Entities (Reconfirm Baseline)



Key Functionality Included for Day 1

- DHS: Verify Lawful Presence (Citizenship/Immigration Status)
- SSA: SSN, Citizenship, Title II Income, Quarters of Coverage, Incarceration
- IRS: Get Maximum APTC, Verify Family Size, and Annual Household Income
- TRICARE, VA, Peace Corps, Medicaid/CHIP, Medicare: Minimum Essential Health Coverage (non-Employer Sponsored Insurance)
- OPM and SHOP: Minimum Essential Health Coverage (Employer Sponsored Insurance)*
- Equifax: Commercial Source of Current Income / Employment Information*
- Experian: Remote Identity Proofing and Multi-Factor Authentication
- Verification of Existing QHP, APTC, and CSR Enrollment

Key Functionality Excluded for Day 1

- Verifications for which we have no data sources:
    - Residency (attestation and USPS address validation)
    - Indian Status (attestation and documentation, as needed)
- Quarterly data matching (begins in early 2014)
- Verifications Services to support annual redeterminations and renewals (August 2014)

Confirm that the scope has remained the same

* These services will be live on 10/1, but the data sources are not comprehensive

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Eligibility & Verification Logic (Reconfirm Baseline)

3 Eligibility Decision

4 Transfer Account

5 Receive Notices

Key Functionality Included for Day 1

- Eligibility for enrollment in a QHP through a Marketplace (including Catastrophic Plan)
- APTC/CSR Eligibility
- Medicaid/CHIP Assessment/Determination, non-MAGI referral
- Special Enrollment Periods (SEPs)
- Mid-year Changes
- Prevent duplicate APTC (Based on FFM Exchange enrollment data in EDS)
- Inconsistencies and pends
- Connection to rating engine to support eligibility logic and to support Plan Compare
- Account transfer to and from Medicaid/CHIP agencies

Key Functionality Excluded for Day 1

Confirm that the scope has remained the same

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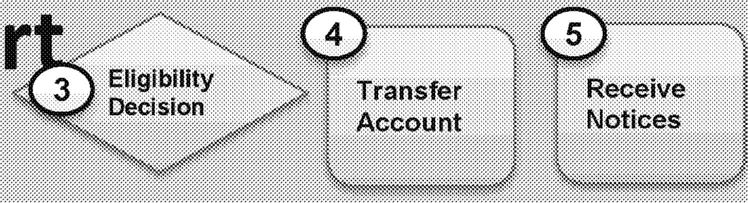
Eligibility Support Desktop (ESD)



Key Functionality Included for Day 1

- Desktop tool for Eligibility Support Staff (ESS), CMS staff, and other contractors to address/resolve eligibility and enrollment issues
- Paper form intake and processing – incudes 'smart upload' of data from the application to the system (OCR – optical character recognition) [OPEN ISSUE]
- Capability for ESS to run verifications for inconsistency/pend resolution and resolve ID proofing failures
- Views that allow the management of work - Task Queue & Management Task Queue
- Complex Issue Resolution – allows users to research issues and make changes to eligibility and enrollment data
- Connection to Notices – preview of notices and custom notice generation
- Person view – allows user to view information about a specific person
- Limited interoperability with CMS call center (sharing of tasks and notes)

Key Functionality Excluded for Day 1

- Mass changes – would allow corrections/modification of multiple files, e.g., overriding SSN validation failure for a set of individuals

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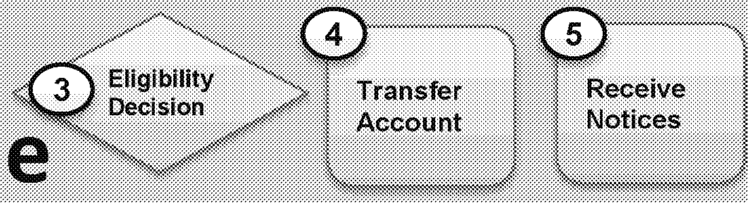
Exemptions
Confirm Baseline



3 Eligibility Decision

4 Transfer Account

5 Receive Notices

Key Functionality Included for Day 1

- No Day 1 Functionality

Key Functionality Excluded for Day 1

- Online application delayed until April 1, 2014; below dates indicate availability of paper applications
  - Hardship Exemption – December 1, 2013
  - Religious Conscience & Member of an Indian Tribe – January 1, 2014
  - Incarceration & Member of a Health Care Sharing Ministry – February 1, 2014

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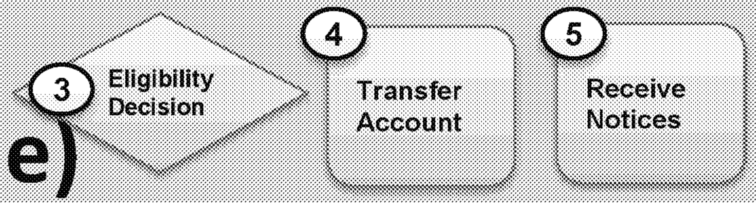
Notices (Confirm Baseline)



Key Functionality Included for Day 1

- Ability to generate customized eligibility notices based on an agreed-upon set of templates. For individuals and employers (when an employee is determined eligible for APTC).
- Electronic notices are posted to My Account message center, with a generic notification to the individual by e-mail indicating that a new message is available
- Paper notices are printed and sent by a separate contractor

Key Functionality Excluded for Day 1

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Plan Compare (Reconfirm Baseline)

6 Conduct Plan Compare

7 Complete Plan Select

Key Functionality Included for Day 1

- **Plan Compare & Enrollment process for consumers**
  - General window shopping of plans based on geography with premium ranges
  - Authenticate Plan Compare with sort & filter capabilities by premium, max out of pocket costs, deductibles/copays, issuers
  - APTC selection to preview pricing during shopping experience
  - Metal level bucket selection (i.e. compare all Bronze, compare Silver & Gold, etc)
  - Plan select grouping of family members for different enrollment selections
  - Plan details with full benefit information, link to plan provider directories/plan websites
  - Compare up to 15 plans side-by-side, viewing 3 at a time in a slider
  - Plan selection, enrollment final APTC election & enrollment questions (tobacco use)
  - Plan enrollment summary with confirmation number and plan customer service information (link to payment website, phone number, etc)

Key Functionality Excluded for Day 1

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10/1 Open Enrollment
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- Plan Compare & Plan Select
- ***Enrollment & Direct Enrollment***
- Operational Reporting/Analytics
- Appeals & SHOP

Enrollment (Confirm Baseline)

8

Enrollment

Key Functionality Included for Day 1

- Redirect to Issuer for payment arrangements
- Submit Enrollment
- Add/ Remove Member
- Change plan (During IEP)
- EDI Transactions
  - 834 to Issuers
  - 834 Effectuation from Issuers
  - 834 Cancellation from Issuers
  - 834 Changes (will be provided uni-directional from FFM to Issuers)
  - 834 Cancellation/ Termination to Issuers
  - Inbound 834 from SBM
  - 999 Acknowledgement (bi-directional)
  - Error Reporting (XML file)

Key Functionality Excluded for Day 1

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10/1 Open Enrollment

- **Session I: Readiness to Support Business Processes**
- My Account and Application
- Eligibility, Notices, Account Transfer
- Plan Compare & Plan Select
- *Enrollment & Direct Enrollment*
- Operational Reporting/Analytics
- Appeals & SHOP

Direct Enrollment (Confirm Baseline)

⑧ Enrollment

Key Functionality Included for Day 1

- Redirect from issuer website (accept individual demographics information)
- Determine eligibility for QHP, APTC/CSR
- Redirect individual back to issuer website with eligibility information for issuer
- Accept inbound enrollments from issuer.
- Process enrollment
- Send outbound 834 to issuer.

Key Functionality Excluded for Day 1

- Access for issuer customer service representatives to assist applicants.

Confirm that the scope has remained the same

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Appeals (Confirm Baseline)

- Minimal Capability for Day One
- Standalone System to be setup by Appeals contractor with minimal interface to FFM
- Access for Appeals workers to ESD and Individual Application
  - Access rights similar to Eligibility Support Worker
- Consumer/ Assister capability to register an appeal
  - Simple page linked to Eligibility Summary
  - Minimal data capture related to Appeal (Date etc. + Free text)
  - Day end file dump of new appeals
  - Capture appeal status on FFM (Service exposed by FFM)

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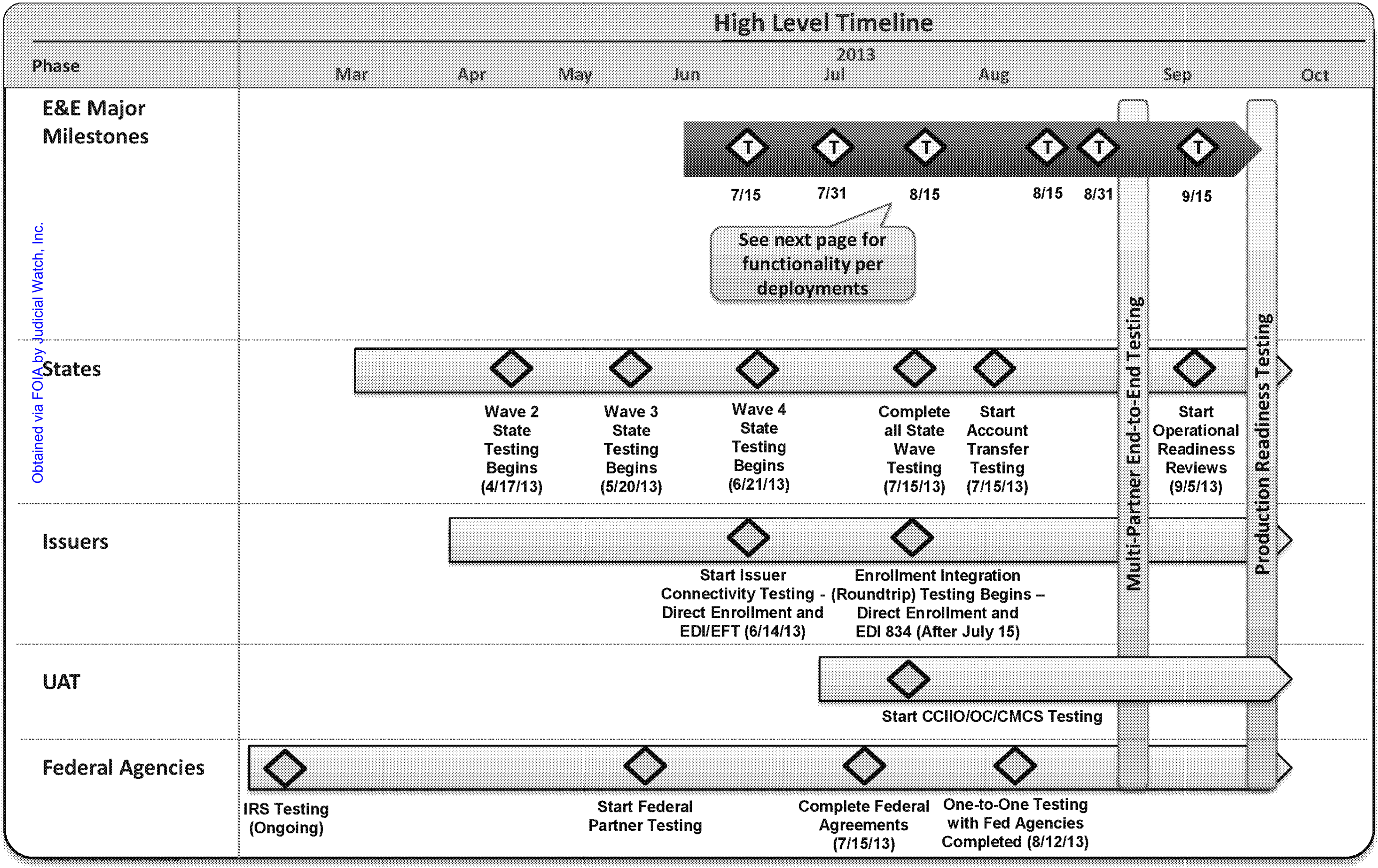
E&E Timeline

T Delivery of developed functionality for testing


High Level Timeline
Phase
2013
Mar
Apr
May
Jun
Jul
Aug
Sep
Oct
E&E Major Milestones
T
7/15
7/31
8/15
8/15
8/31
9/15
See next page for functionality per deployments
States
Wave 2 State Testing Begins (4/17/13)
Wave 3 State Testing Begins (5/20/13)
Wave 4 State Testing Begins (6/21/13)
Complete all State Wave Testing (7/15/13)
Start Account Transfer Testing (7/15/13)
Start Operational Readiness Reviews (9/5/13)
Issuers
Start Issuer Connectivity Testing - Direct Enrollment and EDI/EFT (6/14/13)
Enrollment Integration (Roundtrip) Testing Begins – Direct Enrollment and EDI 834 (After July 15)
UAT
Start CCIIO/OC/CMCS Testing
Federal Agencies
IRS Testing (Ongoing)
Start Federal Partner Testing
Complete Federal Agreements (7/15/13)
One-to-One Testing with Fed Agencies Completed (8/12/13)
Multi-Partner End-to-End Testing
Production Readiness Testing

Functionality in Each Deployment (Development Completion Dates)

7/15/13 T

- **My Account** – Individual (Partial Functionality), Gov. Delivery
- **My Account** – Account Registration (Majority for Lite Account Functionality; Partial Full/LOA2 Functionality)
- **Individual Application** – Build household; Eligibility QHP, APTC, CSR, Plan compare
- **Secondary Layering (for Consumer UI)** (Partial Functionality)
- **Enrollment** – enrollment policy creation; 834 trigger
- **Direct Enrollment API** – Redirect to/from Issuer, web services, key validations (fetch eligibility; submit enrollment)
- **Call Center Integration** (Partial Functionality)
- **Plan Compare** – Screening Questions (Partial Functionality), Individual (Partial Functionality), Anonymous Ind. Shopper, Plan Select (Partial Functionality)

7/31/13 T

- **My Account** – Individual (Majority Functionality), EIDM Integration
- **Individual Application** – for RIDP integration
- **Enrollment** – Initial Enrollment Triggers (Individual), Cancellation Triggers, Termination Triggers, Create EDS, x12 Transactions
- **ESD** – ESS Task Queue, Task Management Queue
- **Direct Enrollment API** Expanded enrollment service w/ cancel & terminate, Agent/Broker Workflow
- **Call Center Integration** (Partial Functionality)
- **Plan Compare** – Screening Questions (Majority Functionality), Individual (Majority Functionality), Plan Select (Majority Functionality)

8/15/13 T

- **My Account** – Individual (Partial Functionality)
- **Individual Application** - My Account Integration, Enrollment changes, first set of Notices
- **Secondary Layering (for Consumer UI)** (Partial Functionality)
- **E&E Federal Functions** (Partial Functionality)
- **Account Transfer (to State Agency)**
- **Enrollment** – Initial Enrollment Triggers, Termination Triggers, Change Triggers, Impact Due to Eligibility Change Logic, UI – Post Eligibility Impacts
- **ESD** – Task Creation, Management, Escalation

8/31/13 T

- **My Account** – Employee/Employer
- **Individual Application** - Change in circumstances
- **SHOP** – Employer Application
- **Mid-Year Changes**
- **Secondary Layering (for Consumer UI)** (Partial Functionality)
- **Account Transfer (from State Agency)**
- **Enrollment** – Enrollment Data Store, Double Dip Check
- **ESD** – Person View (Majority Functionality), Verifications (Majority Functionality), Orphan Processing
- **Plan Compare** – Change in Circ – Open Enrollment, special Enrollment Periods

9/15/13 T

- **SHOP** – Employer Election & Application Submission
- **E&E Federal Functions** (Partial Functionality)
- **Enrollment** – Initial Enrollment Triggers (SHOP), Cancellation Triggers (SHOP), Termination Triggers (SHOP, Change Triggers (SHOP), Effectuation (SHOP), Impact Due to Eligibility Change Logic (SHOP), UI – Post Eligibility Impact (SHOP)
- **ESD** – Person View (Majority Functionality), Verifications (Majority Functionality), Paper Form Intake and Processing, User Roles, Notices & Emails
- **Appeal**
- **Notices**
- **Mailing Contractor Integration**

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Backup Slides for Use as Needed

- **Detail: Development, Integration, & Testing Status** (Pages 36 through 104)
- **Appendix: Architecture Overview** (Pages 105 through 118)

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Overview

- **Summary slides**
  - Identify the life cycle status of each function and integration point.
  - Provide a "Level of Attention Needed" assessment based on release management, testing team, and PMO analysis of:
    - Requirements & Scope Stability (what is the degree of requirements volatility and completeness of document artifacts?)
    - Schedule (what is the history of schedule slips and potential of future slips)
    - Quality (what is the projected quality of the code based on the testing results to date and design artifact completeness?)
- **Detailed slides to support conversation as needed**
  - Development, Integration, & Testing Status (Pages 36 through 104)
  - Architecture Overview (Pages 105 through 118)
- **Intended Outcome**
  - Brief confirmation of life cycle facts for each function (e.g., requirements done, design done, etc).
  - Key barriers, risks, action items for completion of the function
  - Achieve group consensus of the items requiring attention (e.g., Senior OIS leadership intervention, conversation with other components, etc)
- **DO NOT** debate the "Level of Attention Needed" assessment. Use it as a starting point for identifying functions that need elevated focus.

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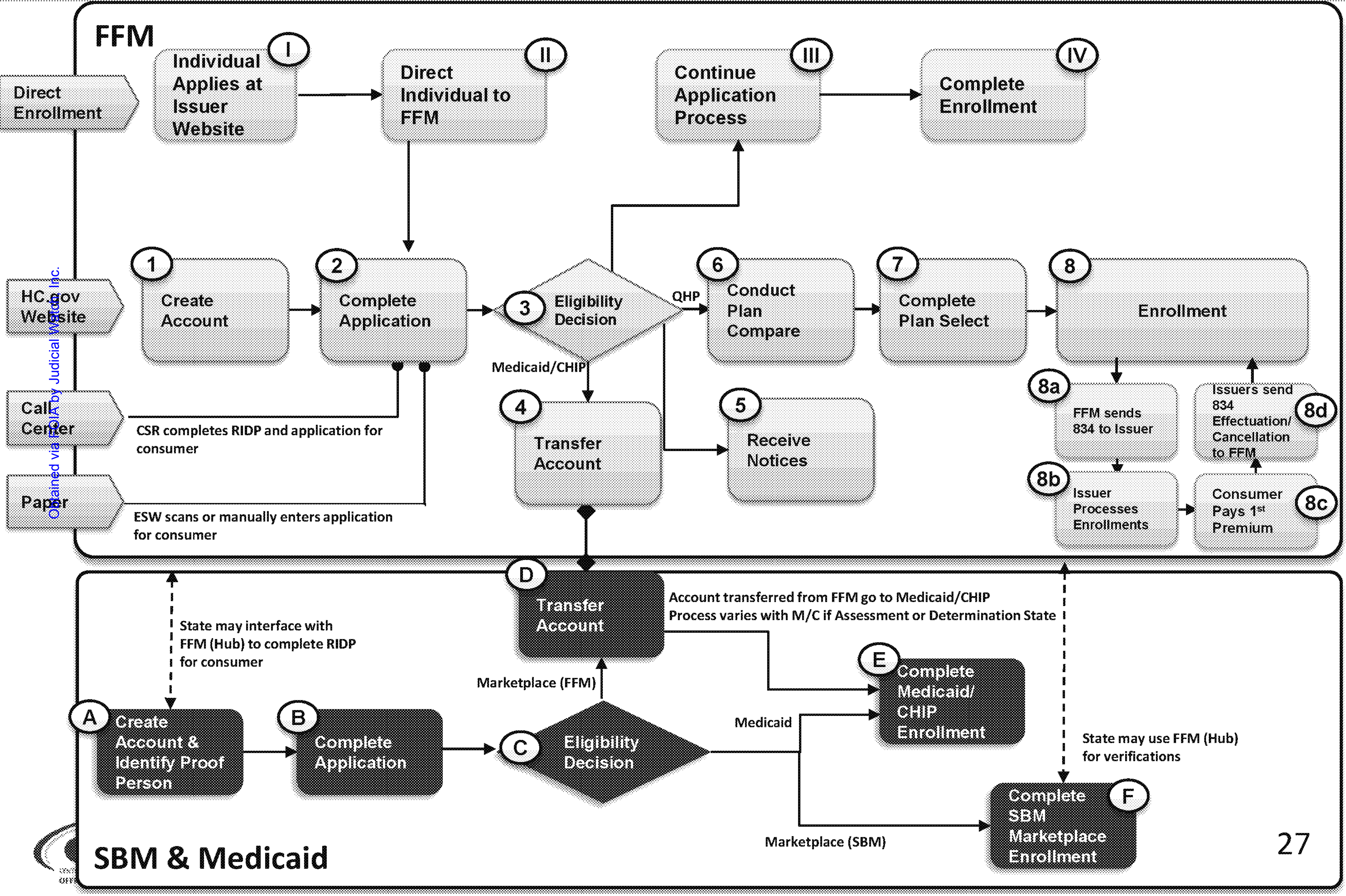
We will organize the Open Enrollment IT Readiness review around the processes individuals can follow to obtain health insurance



FFM

Direct Enrollment

I Individual Applies at Issuer Website

II Direct Individual to FFM

III Continue Application Process

IV Complete Enrollment

HC.gov Website

Call Center

Paper

1 Create Account

2 Complete Application

3 Eligibility Decision

QHP

Medicaid/CHIP

4 Transfer Account

5 Receive Notices

6 Conduct Plan Compare

7 Complete Plan Select

8 Enrollment

8a FFM sends 834 to Issuer

8b Issuer Processes Enrollments

8c Consumer Pays 1st Premium

8d Issuers send 834 Effectuation/ Cancellation to FFM

CSR completes RIDP and application for consumer

ESW scans or manually enters application for consumer

SBM & Medicaid

A Create Account & Identify Proof Person

B Complete Application

C Eligibility Decision

D Transfer Account

E Complete Medicaid/ CHIP Enrollment

F Complete SBM Marketplace Enrollment

State may interface with FFM (Hub) to complete RIDP for consumer

Marketplace (FFM)

Medicaid

Marketplace (SBM)

Account transferred from FFM go to Medicaid/CHIP Process varies with M/C if Assessment or Determination State

State may use FFM (Hub) for verifications

10/1 Open Enrollment

- **Session I: Readiness to Support Business Processes**
- *My Account and Application*
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- Plan Compare & Plan Select
- Enrollment & Direct Enrollment
- Operational Reporting/Analytics
- Appeals & SHOP

Summary

Create Account & Application

① **Create Account**

② **Complete Application**

Business Process Step	System Component or Integration Point	Rqmts & Scope	Design	Development	Internal Developer Testing	Independent Testing	Level of Attention Needed	Deployment(s)
Create Account								
	FFM: My Account	Yes	Yes	No (8/31)	No (8/31)	In Progress	High	8/31
	FFM: My Account Lite	Yes	Yes	Yes	In Progress	In Progress	Medium	7/31 Lite Account
	Hub: RIDP Service	Yes	Yes	Yes	Yes	In Progress	Medium	
	EIDM Development	Yes	Yes	Yes	Yes	Yes		
	Integration: FFM – EIDM	Yes	Yes	Yes	In Progress	In Progress	Medium	
	Integration: FFM – GovDelivery	Yes	Yes	Yes	In Progress	In Progress	Low	
	Integration: FFM - HC.gov	Yes	Yes	No (8/15)	Not started	Not started	Medium	8/15
	Integration: FFM - Hub	Yes	Yes	Yes	In Progress	In Progress	Low	
	Integration: FFM - HIOS	Yes	Yes	Yes	In Progress	In Progress	Low	
	Integration: FFM – CCR	Yes		No (8/15)	No (8/15)	Not started	Medium	8/15
	Integration: FFM – Direct Enrollment Issuers	Yes		No (7/31)	No (7/31)	Not started	High	7/31
	Integration: HUB – AdobeLiveCycle	Yes	Yes	Yes	Yes	Yes	Low	
Complete Application								
	FFM: Individual Application	Yes	Yes	No (8/15)	No (8/15)	Not started	High	8/15
	FFM: Secondary Layering (for Consumer UI)	Yes	Yes	No (8/30)	No (8/30)	Not started	Medium	8/30

Detailed Backup Slides:

- My Account & Appeals: Pages 38 – 48

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10/1 Open Enrollment

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Summary

Eligibility, Notices, AT

3 Eligibility Decision

4 Transfer Account

5 Receive Notices

Business Process Step	System Component or Integration Point	Rqmts & Scope	Design	Development	Internal Developer Testing	Independent Testing	Level of Attention Needed	Deployment(s
Eligibility Decision								
	FFM: Verifications	Yes	Yes	No (7/31)	No (7/31)	Not started	Medium	7/31
	FFM: Verifications & Eligibility Logic	Yes	Yes	No (8/31)	No (8/31)	Not started	Medium	8/31
	FFM: Eligibility Support Desktop	Yes	Yes	No (9/15)	No (9/15)	Not started	High	9/15
	FFM: Mid-Year Changes	Yes	Yes	No (8/31)	No (8/31)		Medium	8/31
	Hub: Fetch Eligibility Service	Yes	Yes	Yes	Yes	Not started	Medium	
	Hub: SSA Composite Service	Yes	Yes	Yes	Yes	Not started	Low	
	Hub: APTC Service	Yes	Yes	Yes	Yes	**Yes**	Medium	
	Hub: APTC Bulk Service	Yes	Yes	Yes	Yes	**No**	Medium	
	Hub: Non-ESI MEC Service	Yes	Yes	Yes	Yes	**Yes**	Low	
	Hub: ESI MEC Service	Yes	Yes	Yes	Yes	**Yes**	Low	
	Hub: Current Income Service	Yes	Yes	Yes	Yes	**Yes**	Low	
	Hub: ISFV Service	Yes	Yes	Yes	Yes	**Yes**	Low	
	Hub: ISFV Bulk Services	Yes	Yes	Yes	Yes	**No**	Low	
	Hub: VLP Service	Yes	Yes	Yes	Yes	**In Progress**	Medium	
	Hub: RIDP	Yes	Yes	Yes	Yes	**Yes**	Medium	
	Hub: Direct (Applicant) Enrollment	Yes	Yes	Yes	Yes	**No**	Low	
	Hub: Account Transfer	Yes	Yes	Yes	Yes	**No**	Medium	
	Hub: Exchange Enrollment	Yes	Yes	Yes	Yes	**No**	Medium	
Content updated from the hardcopies	Hub: IRS Monthly and 1095 Annual Reporting	Yes	Yes	Yes	Yes	**No**	Low	
	Integration: Hub - FFM	Yes	Yes	Hub: Yes FFM: No (8/31)		**No**	Medium	FFM (8/31)
	Integration: FFM – Call Center	Yes	Yes	No	No	**Not started**	Medium	10/1
	Integration: Hub – Equifax	Yes	Yes	Yes	Yes	**No**	Low	

10/1 Open Enrollment

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- Operational Reporting/Analytics
- Appeals & SHOP

Summary

Eligibility, Notices, AT

3 Eligibility Decision

4 Transfer Account

5 Receive Notices

Business Process Step	System Component or Integration Point	Rqmts & Scope	Design	Development	Internal Developer Testing	Independent Testing	Level of Attention Needed	Deployment(s
Notices								
	FFM: Notices	No	No	No (9/15)	No (9/15)	Not started	High	9/15
	Integration: Mailing Contractor Integration	Yes	Yes	No (9/15)	No (9/15)	Not started	High	9/15
	Integration: FFM – Adobe LiveCycle	Yes	Yes	Yes	Yes	?	Medium	
Account Transfer								
	FFM: Account Transfer (To State Agency)	Yes	No (7/30)	No (8/15)	No (8/15)	Not started	Medium	8/15
	FFM : Account Transfer (From State Agency)	Yes	No (7/15)	No (8/30)	No (8/30)	Not started	Medium	8/30
	Hub: Account Transfer Service	Yes	Yes	Yes	Yes	No	Medium	
General								
	Integration: FFM – Call Center	Yes	Yes	No (7/31)	No (7/31)	Not started	Medium	10/1

Content updated from the hardcopies

Detailed Backup Slides:

- Eligibility, Account Transfer, Notices: Pages - 49 - 59

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10/1 Open Enrollment

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- *Plan Compare & Plan Select*
- Enrollment & Direct Enrollment
- Operational Reporting/Analytics
- Appeals & SHOP

Summary

Plan Compare, Plan Select

6 Conduct Plan Compare

7 Complete Plan Select

Business Process Step	System Component or Integration Point	Rqmts & Scope	Design	Development	Internal Developer Testing	Independent Testing	Level of Attention Needed	Deployment(s
Plan Compare								
	FFM: Plan Compare / Rating Engine	Yes	Yes	No (8/15)	No (8/15)	Not started	High	8/15
	Integration: FFM – HIOS	Yes	Yes	Yes	?	?	Medium	
Plan Select								
	FFM: Plan Select	Yes	Yes	No (8/31)	No (8/31)	Not started	Medium	8/31

Detailed Backup Slides:

- Plan Compare & Plan Select: Pages 60 – 68

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Agenda & Topics

Introduction and Context (Pages 3 through 8)	**9:00 – 9:15**
Baseline Reconfirmation (Pages 11 through 24)	**9:15 – 9:45**
Functional Readiness Walkthrough (Pages 26 through 31) ▪ My Account and Application ▪ Eligibility, Notices, Account Transfer ▪ Plan Compare & Plan Select	**9:45 – 11:15**
Break	**11:15 – 11:30**
Functional Readiness Walkthrough (Pages 33 through 36) ▪ Enrollment & Direct Enrollment ▪ Appeals & SHOP ▪ Operational Reporting & Analytics	**11:30 – 1:00**

Backup Slides for Use as Needed

- **Detail: Development, Integration, & Testing Status** (Pages 36 through 104)
- **Appendix: Architecture Overview** (Pages 105 through 118)

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10/1 Open Enrollment

- **Session I: Readiness to Support Business Processes**
- My Account and Application
- Eligibility, Notices, Account Transfer
- Plan Compare & Plan Select
- *Enrollment & Direct Enrollment*
- Operational Reporting/Analytics
- Appeals & SHOP

Summary

Enrollment & Direct Enrollment

8

Enrollment

Business Process Step	System Component or Integration Point	Rqmts & Scope	Design	Develop ment	Internal Developer Testing	Independent Testing	Level of Attention Needed	Deployment(s
Enrollment								
	FFM: Enrollment Transactions	Yes	Yes	No (7/31)	No (7/31)	Not started	Medium	7/31
	FFM: Enrollment Data Store	Yes	No	No (8/31)	No (8/31)	Not started	High	8/31
	FFM: Navigators/Assisters/Agents/Brokers/CMS Administrators Workflow	Yes	No	No (7/31)	No (7/31)	Not started	High	7/31
	Hub: Fetch Eligibility Service (Refactor)	Yes	Yes	Yes	Yes	?	Medium	
	Hub: Exchange Enrollment Service (Refactor)	Yes	Yes	Yes	Yes	?	Medium	
Direct Enrollment								
	FFM: Direct Enrollment API	Yes	Yes	No (7/31)	No (7/31)	?	Medium	7/31
	Hub: Applicant (Direct) Enrollment Service (Refactor)	Yes	Yes	Yes	Yes	?	Medium	
	Integration: FFM – Hub	Yes	Yes	No (7/31)	No (7/31)	Not started	High	7/31
	Integration: FFM – Issuer Websites	Yes	Yes	No (7/31)	No (7/31)	Not started	Medium	7/31

Detailed Backup Slides

- Enrollment & Direct Enrollment: Pages 69 - 79

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10/1 Open Enrollment

- **Session I: Readiness to Support Business Processes**
- My Account and Application
- Eligibility, Notices, Account Transfer
- Plan Compare & Plan Select
- Enrollment & Direct Enrollment
- Operational Reporting/Analytics
- *Appeals & SHOP*

Summary

Reporting & Analytics

Reporting & Analytics

Business Process Step	System Component or Integration Point	Rqmts & Scope	Design	Development	Internal Developer Testing	Independent Testing	Level of Attention Needed	Deployment
Reporting & Analytics								
	MIDAS: Content Pump: Data pull from FFM/DSH to MIDAS	Yes	Yes	Yes	Yes	Not started	Medium	10/1
	MIDAS: Flattening of XML data	Yes	Yes	In progress	No	Not started	Medium	10/1
	MIDAS: MMI metrics/Dashboard	No	Yes	No	No	Not started	Medium	
	MIDAS: E&E day 1 metrics	Yes	Yes	No	No	Not started	Medium	
	MIDAS: SHOP PM metrics	Yes – Initial Scope defined but re-baselining with source data availability	No	No	No	Not started	Medium	
	Integration: FFM – MIDAS	Yes	Yes	No	In progress	Not started	Medium	10/1
	Integration: DSH – MIDAS	Yes	No	No	No	Not started	Medium	
	Integration: OEM – MIDAS	No	No	No	No	Not started	Medium	

Detailed Backup Slides

- Operational Reporting & Analytics: 80 – 89

CMS
CENTERS FOR MEDICARE & MEDICAID SERVICES
OFFICE OF INFORMATION SERVICES

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Summary

Appeals and SHOP

Business Process Step	System Component or Integration Point	Rqmts & Scope	Design	Development	Internal Developer Testing	Independent Testing	Level of Attention Needed	Deployment
Appeals								
	FFM: Appeals	No	No	No (9/15)	No (9/15)	Not started	Medium	9/15
SHOP								
	FFM: Employer Application	Yes	Yes	No (8/31)	No (8/31)	Not started	Medium	8/31
	FFM: Employee Application	Yes	Yes	No (10/15)	No (10/15)	Not started	Medium	10/15
	FFM: Employer Election & Application	Yes	Yes	No (8/31)	No (8/31)	Not started	Medium	8/31

Detailed Backup Slides

- Appeals & SHOP: Pages 90 - 103

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Detailed Development & Testing Slides

Detail

- My Account & Appeals: Pages 38 – 48
- Eligibility, Account Transfer, Notices: Pages - 49 - 59
- Plan Compare & Plan Select: Pages 60 – 68
- Enrollment & Direct Enrollment: Pages 69 - 79
- Operational Reporting & Analytics: 80 – 89
- Appeals & SHOP: Pages 90 - 103

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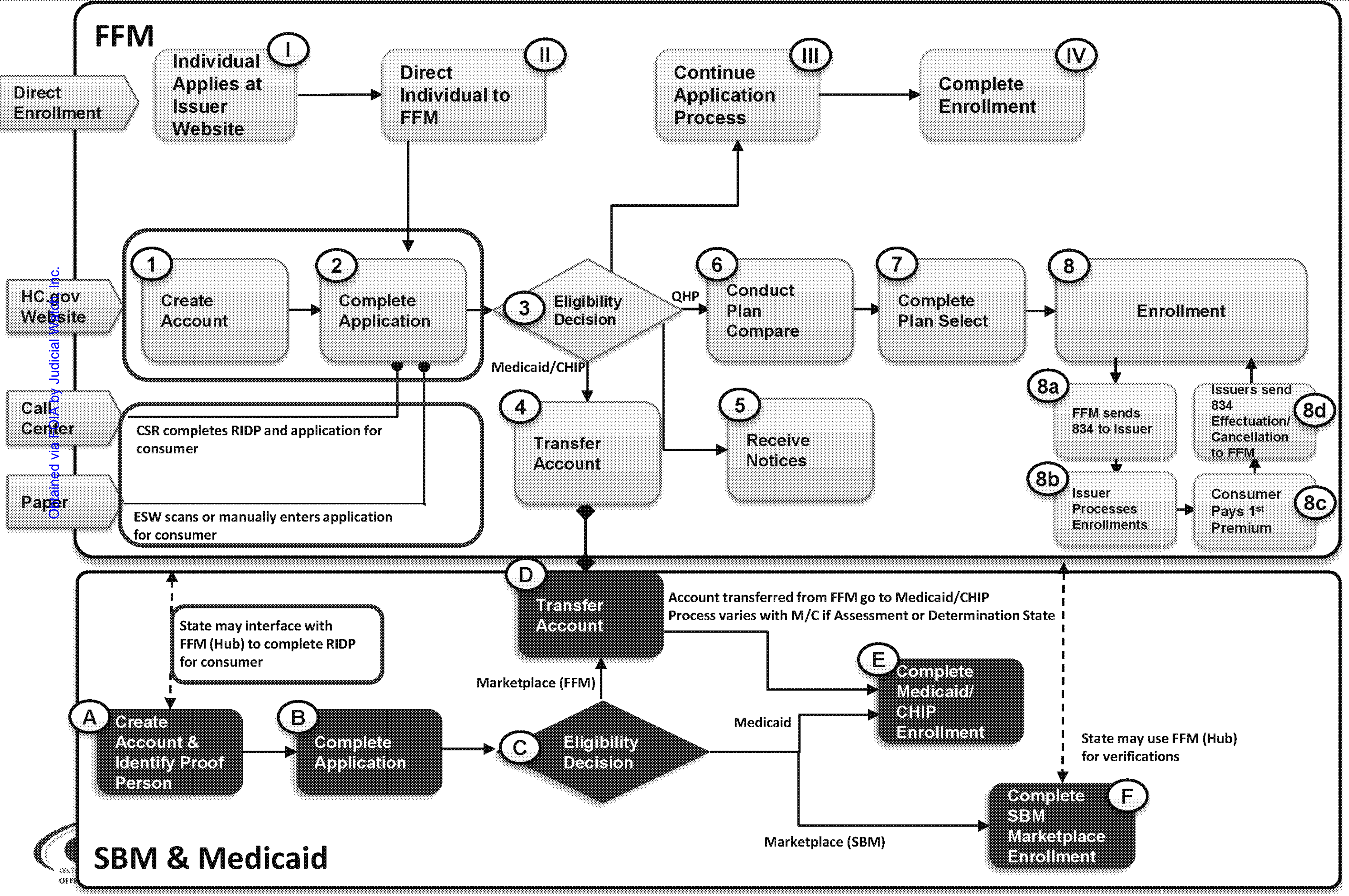
Topic: Account and Application Creation



FFM

Direct Enrollment

I Individual Applies at Issuer Website

II Direct Individual to FFM

III Continue Application Process

IV Complete Enrollment

HC.gov Website

Call Center

Paper

1 Create Account

2 Complete Application

CSR completes RIDP and application for consumer

ESW scans or manually enters application for consumer

3 Eligibility Decision

QHP

Medicaid/CHIP

4 Transfer Account

5 Receive Notices

6 Conduct Plan Compare

7 Complete Plan Select

8 Enrollment

8a FFM sends 834 to Issuer

8b Issuer Processes Enrollments

8c Consumer Pays 1st Premium

8d Issuers send 834 Effectuation/ Cancellation to FFM

SBM & Medicaid

A Create Account & Identify Proof Person

State may interface with FFM (Hub) to complete RIDP for consumer

B Complete Application

C Eligibility Decision

Marketplace (FFM)

D Transfer Account

Account transferred from FFM go to Medicaid/CHIP Process varies with M/C if Assessment or Determination State

Medicaid

E Complete Medicaid/ CHIP Enrollment

Marketplace (SBM)

F Complete SBM Marketplace Enrollment

State may use FFM (Hub) for verifications

Overview

Business Process Step: Create Account and Complete Application

Summary: Navigate to the Marketplace from HC.gov, create an LOA1 account, step up account to LOA2 and complete the eligibility application.

Systems (or major external partners) Impacted

System	Impacted (Yes/No)	Brief Comments
FFM	Yes	
DSH	Yes	FFM interfaces with DSH verification and eligibility, Account Transfer , Enrollment, and Direct Enrollment services
MIDAS	Yes	Providing reporting capabilities on account creation and application status and outcomes
HIOS	Yes	FFM interfaces to HIOS to retrieve the marketing names for issuer/plans. HIOS is the system of record for this data.
EIDM/RIDP	Yes	FFM will interface with EIDM to register and maintain user accounts.
RBIS	No	
Enterprise Portal	No	
Edge Server	No	
HC.gov	Yes	FFM will integrate with HC.gov system for content and email delivery (via GovDelivery)
LMI	No	
NAIC SERFF	No	
OPM	No	
States	Yes	Integration with FFM to receive/send Account Transfer and send SBM enrollments
Federal	Yes	Integration between federal data sources and FFM via the DSH
Other (specify)		

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Stakeholders/Users &Volume Forecast

① Create Account

② Complete Application

Relevant Stakeholders & Users

- **Individual Consumers**
- **Call Center Representatives**

Volume

- ~9-10 Million accounts created during open enrollment (~100K/day)
- ~6-7 Million applications submitted during open enrollment (~70K/day)
    - ~30-48M Hub Transactions during open enrollment period (accounting for multi-family households and multiple service calls per individual) during open enrollment (~0.5M transactions/day)
- ~3-4Million CCR API requests/responses during open enrollment period

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10/1 Open Enrollment

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Development Status

① Create Account

② Complete Application

FFM

Function/Service/Module	Requirements & Scope Complete & Delivered (Y/N)	Design Completed & Delivered (Y/N)	Development Completed & Delivered (Y/N)	Internal Developer Testing Completed (Y/N)
Create Account	Yes	Yes	No (8/31)	No (8/31)
Complete Application	Yes	Yes	No (8/31)	No (8/31)

Artifacts/Evidence (provide a link)

Scope / CR Issues?

Risks (provide CALT ID/link)

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- Appeals & SHOP

Development Status

① Create Account

② Complete Application

EIDM

Function/Service/Module	Requirements & Scope Complete & Delivered (Y/N)	Design Completed & Delivered (Y/N)	Development Completed & Delivered (Y/N)	Internal Developer Testing Completed (Y/N)
Create Lite Account web service	Yes	Yes	Yes	Yes
Step Up User web service (Upgrade to Full Account)	Yes	Yes	Yes	Yes
Forgot Password web service	Yes	Yes	Yes	Yes
Forgot User ID web service	Yes	Yes	Yes	Yes
Change Password web service	Yes	Yes	Yes	Yes
Change Challenge Questions and Answers web service	Yes	Yes	Yes	Yes
View & Modify User Profile web service	Yes	Yes	Yes	Yes
Change Expired Password web service	Yes	Yes	Yes	Yes
Verify Password web service	Yes	Yes	Yes	Yes
LOA 1 Confirmation web service	Yes	Yes	Yes	Yes
Validation Rules web service	Yes	Yes	Yes	Yes
Delegated Admin - Reset Password web service	Yes	Yes	Yes	Yes
Delegated Admin - Unlock Account web service	Yes	Yes	Yes	Yes
ARS database call web service	Yes	Yes	Yes	Yes
View Challenge Questions web service	Yes	Yes	Yes	Yes

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- Operational Reporting/Analytics
- Appeals & SHOP

Development Status

① Create Account

② Complete Application

Hub

Function/Service/Module	Requirements & Scope Complete & Delivered (Y/N)	Design Completed & Delivered (Y/N)	Development Completed & Delivered (Y/N)	Internal Developer Testing Completed (Y/N)
Hub: RIDP	Y	Y	Y	Y

Artifacts/Evidence (provide a link)

Scope / CR Issues?

Risks (provide CALT ID/link)

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- Operational Reporting/Analytics
- Appeals & SHOP

Integration Status

① Create Account

② Complete Application

Integration / Interface (end point – to – end point)	Requirements & Design Complete and Delivered	Development Status Complete and Delivered	Artifacts/Evidence (provide a link)
FFM-EIDM	Yes	Yes	
FFM-DSH	Yes	Yes	
FFM-GovDelivery	Yes	Yes	
FFM-HC.gov	Yes	No (8/15)	
FFM-HIOS	Yes	Yes	
FFM-CCR	Yes	No (8/15)	
FFM-Direct Enrollment Issuers	Yes	No (7/31)	

Scope / CR Issues?

Risks (provide CALT ID/link)
(artf136705) Lack of EIDM Web Service integration in DEV region: CGI cannot fully test EIDM integration in the development environment which could cause significant delays in troubleshooting any defects FROM EIDM Team: The team wants to clarify that EIDM web services have been available for integration testing on time (~5/17). There are bugs that are being worked on currently.

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- Plan Compare & Plan Select
- Enrollment & Direct Enrollment
- Operational Reporting/Analytics
- Appeals & SHOP

Testing Status

① **Create Account**

② **Complete Application**

FFM (Independent Testing)

Test Case Status			
Test Case Planned	Test Cases Executed	Test Cases Passed	Test Cases Failed
38 – Planned for My Account Lite	Not Started		
54 – Planned for 7/15	Not Started		
75- 6/14 & 6/30 combined	63	42	21

Defect Summary		
Defect Level	Nbr of Defects	Comments
High		
Medium	14	
Low		

Test Data Status

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10/1 Open Enrollment
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- Operational Reporting/Analytics
- Appeals & SHOP

Testing Status

① Create Account

② Complete Application

Hub (Independent Testing)

Test Case Status			
Test Case Planned	**Test Cases Executed**	**Test Cases Passed**	**Test Cases Failed**
H1 S17 – 21	21	21	0
H1 R6 – 21	Pending		

Test Data Status

- Test Data delivered for R6 testing, Harness being loaded (planned completion July 17)

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- Operational Reporting/Analytics
- Appeals & SHOP

Testing Status

① Create Account

② Complete Application

UAT and External Testing

Test Case Status				
External Partner	Test Cases Planned	Test Cases Executed	Test Cases Passed	Test Cases Failed
CCIIO	TBD			
OC	TBD			

Defect Summary		
Defect Level	Nbr of Defects	Comments
High		
Medium	1	
Low		

Test Data Status

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Demonstration /Walkthrough

1 Create Account

2 Complete Application

Guidance

1. For UI components, perform a demonstration or screen walkthrough.
2. For other functions without a UI, illustrate and walkthrough the functional/data flow.

CMS
CENTERS FOR MEDICARE & MEDICAID SERVICES
OFFICE OF INFORMATION SERVICES

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CMS001831

10/1 Open Enrollment
- **Session I: Readiness to Support Business Processes**
- *My Account and Application*
- Eligibility, Notices, Account Transfer
- Plan Compare & Plan Select
- Enrollment & Direct Enrollment
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Risk & Workaround Planning

① **Create Account**

② **Complete Application**

Scenario Handling

Scenario	Workaround Process	Error Message and Error Handling Process (if relevant)	Notes
EIDM is down	No workaround for registering accounts or logging in.		Mitigation is for consumer to call center and for call center to contact EIDM help desk
Healthcare.gov integration not working	No workaround. If FFM is unable to source content (e.g., headers and footers) from HC.gov, it is likely HC.gov itself (and therefore the Marketplace/Lite Account) is down as well		
GovDelivery integration down	Currently, no workaround. FFM-GovDelivery integration is asynchronous so the FFM is not aware if there are issues with GovDelivery. If GovDelivery is down when a user registers an account or subscribes to newsletters, those individuals would not get emails. For users who are registering, this would mean they would not get an email to verify their account and would not be able to log in.		

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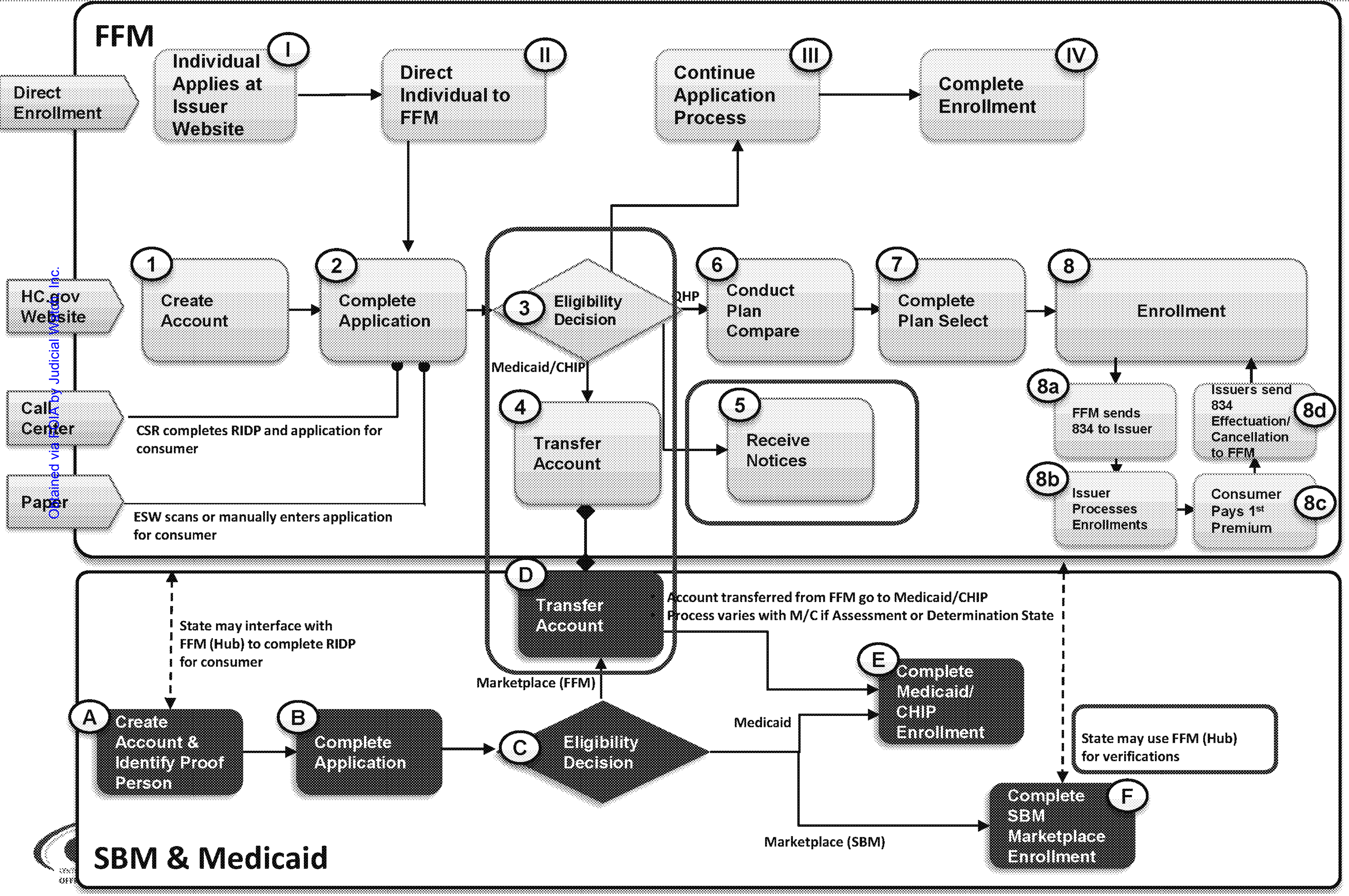
Topic: Eligibility, Notices, and Account Transfer



FFM

Direct Enrollment

HC.gov Website

Call Center

Paper

I Individual Applies at Issuer Website

II Direct Individual to FFM

III Continue Application Process

IV Complete Enrollment

1 Create Account

2 Complete Application

3 Eligibility Decision

4 Transfer Account

5 Receive Notices

6 Conduct Plan Compare

7 Complete Plan Select

8 Enrollment

8a FFM sends 834 to Issuer

8b Issuer Processes Enrollments

8c Consumer Pays 1st Premium

8d Issuers send 834 Effectuation/ Cancellation to FFM

QHP

Medicaid/CHIP

CSR completes RIDP and application for consumer

ESW scans or manually enters application for consumer

SBM & Medicaid

A Create Account & Identify Proof Person

B Complete Application

C Eligibility Decision

D Transfer Account

E Complete Medicaid/ CHIP Enrollment

F Complete SBM Marketplace Enrollment

State may interface with FFM (Hub) to complete RIDP for consumer

Marketplace (FFM)

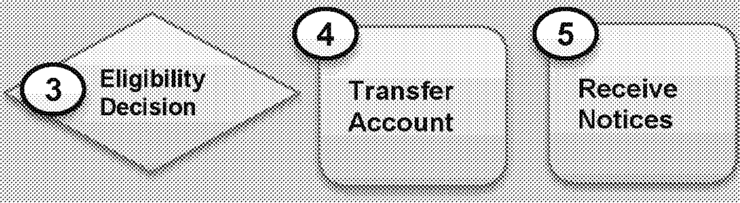
Medicaid

Marketplace (SBM)

Account transferred from FFM go to Medicaid/CHIP Process varies with M/C if Assessment or Determination State

State may use FFM (Hub) for verifications

Overview


3 Eligibility Decision

4 Transfer Account

5 Receive Notices

Business Process Step: Eligibility, Account Transfer, Notices

Summary: Determine eligibility based on information provided in application, transfer accounts to state Medicaid agency where applicable, and notify consumers of their outcome(s)

Systems (or major external partners) Impacted

System	Impacted (Yes/No)	Brief Comments
FFM	Yes	FFM will provide the eligibility determinations, transfer account information to the state Medicaid agency, and provide applicable notification
DSH	Yes	Verification services are offered via the DSH, Account Transfer will occur through the DSH
MIDAS	No	
HIOS	No	
EIDM/RIDP	No	
RBIS	No	
Enterprise Portal	No	
Edge Server	No	
HC.gov	Yes	Electronic notifications will be delivered via GovDelivery
LMI	No	
NAIC SERFF	No	
OPM	No	
States	Yes	State Medicaid agencies will receive and acknowledge account transfer and provide information on non-ESC MEC
Federal	Yes	Provide verification and eligibility information via the DSH
Mailing Contractor	Yes	Will receive notices from FFM for printing and mailing

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Development Status

③ Eligibility Decision

④ Transfer Account

⑤ Receive Notices

FFM

Function/Service/Module	Requirements & Scope Complete & Delivered (Y/N)	Design Completed & Delivered (Y/N)	Development Completed & Delivered (Y/N)	Internal Developer Testing Completed (Y/N)
Verifications	Yes	Yes	No (7/31)	No (7/31)
Verification and Eligibility Logic	Yes	Yes	No (8/31)	No (8/31)
Eligibility Support Desktop	Yes	Yes	No (9/15)	No (9/15)
Notices	No	No	No (9/15)	No (9/15)

Artifacts/Evidence (provide a link)

Scope / CR Issues?
Notice requirements and designs are still pending and are being delivered by CMS incrementally

Risks (provide CALT ID/link)
Delays in Notices requirements/designs will impact ability to develop all necessary notices for Day 1

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Development Status

3 Eligibility Decision

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Hub

Function/Service/Module	Requirements & Scope Complete & Delivered (Y/N)	Design Completed & Delivered (Y/N)	Development Completed & Delivered (Y/N)	Internal Developer Testing Completed (Y/N)
Hub: Fetch Eligibility Service	Y	Y	Y	Y
Hub: SSA Composite Service	Y	Y	Y	Y
Hub: APTC Service	Y	Y	Y	Y
Hub: APTC Bulk Service	Y	Y	Y	Y
Hub: Non-ESI MEC Service	Y	Y	Y	Y
Hub: ESI MEC Service	Y	Y	Y	Y
Hub: Current Income Service	Y	Y	Y	Y
Hub: ISFV Service	Y	Y	Y	Y
Hub: ISFV Bulk Services	Y	Y	Y	Y
Hub: VLP Service	Y	Y	Y	Y
Hub: Account Transfer	Y	Y	Y	Y
Hub: IRS Monthly and 1095 Annual Reporting	Y	Y	Y	Y

Artifacts/Evidence (provide a link)

Current Income BSD
SSA Composite Service BSD
Account Transfer BSD
Applicant Enrollment BSD
Fetch Eligibility BSD
Exchange Enrollment BSD
VLP v33 BSD
Verify ESI MEC BSD
Verify Non ESI MEC BSD
Remote ID Proofing BSD
IFSV BSD
APTC BSD
IRS Monthly and 1095 End of Year Reporting

Scope / CR Issues?
Functional testing using harness does not reveal all potential issues
Functional testing with partners not comprehensive
Hub is still troubleshooting Equifax application connectivity issues with vendors
APTC CSR Service will have to be refactored once Enrollment Data Store is implemented (Double dipping)

Risks (provide CALT ID/link)

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Integration Status

③ Eligibility Decision ④ Transfer Account ⑤ Receive Notices

Integration / Interface (end point – to – end point)	Requirements & Design Complete and Delivered	Development Status Complete and Delivered	Artifacts/Evidence (provide a link)
FFM-DSH	Yes	FFM: No (8/31) Hub: Yes	
FFM-Mailing Contractor	No	No	

Scope / CR Issues?
Mailing contractor has not been onboarded preventing finalization of interface requirements and designs

Risks (provide CALT ID/link)
Delays in Mailing Contractor onboarding will impact ability for the FFM and Mailing Contractor to develop necessary interfaces in time for Day 1

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Testing Status

3 Eligibility Decision

4 Transfer Account

5 Receive Notices

FFM (Independent Testing)

Test Case Status			
Test Case Planned	Test Cases Executed	Test Cases Passed	Test Cases Failed
~635	Not Started		

Defect Summary		
Defect Level	Nbr of Defects	Comments
High		
Medium		
Low		

Test Data Status

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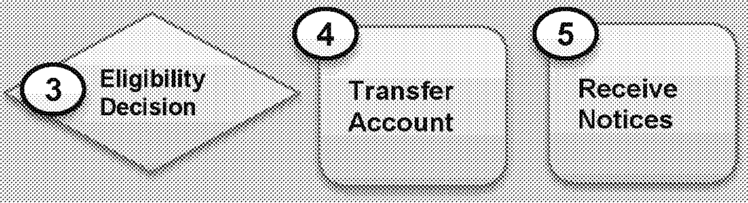
Testing Status



Hub (Independent Testing)

Test Case Status			
Test Case Planned	**Test Cases Executed**	**Test Cases Passed**	**Test Cases Failed**
H8B R6 -	Pending		
H9T S17 – 21	21	21	0
H9B R6 -	Pending		
H14 R6 -	Pending		
H15 R6 – No Test Data, Internal Testing Only	Internal Testing Only	N/A	N/A
H19 R6 -	Pending		
H31 S17 – 126	126	126	0
H31 R6 -	Pending		
H59 R6 -	Pending		
H65 R6 -	Pending		

Test Data Status

- Test Data delivered for R6 testing except for H15 Account Transfer, Harness being loaded (planned completion July 17)

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Testing Status

3 Eligibility Decision

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5 Receive Notices

UAT and External Testing

Test Case Status			
Test Case Planned	Test Cases Executed	Test Cases Passed	Test Cases Failed
157 - Federal Release 5 Test Scripts Created (CMS/EES, SSA, Peace Corps, IRS, DHS)	53 (no data available for test cases not executed)	28	25
90- Federal Release 6 Test Scripts Created (VHA, DMDC, OPM, Equifax) anticipated execution date 7/15 – 8/1	Not Started		
12 - Federal Performance Tests	5	0	
25 test applications per state	25	Completed Testing with 7 States	
10 – Transfer Account States	Not Started		

Test Data Status

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Testing Status

UAT and External Testing

Defect Summary		
Defect Level	Nbr of Defects	Comments
High		
Medium	Federal – 6, Performance – 2, State	
Low	Federal – 9	
Remedy Tickets created	States - 122	

Test Data Status

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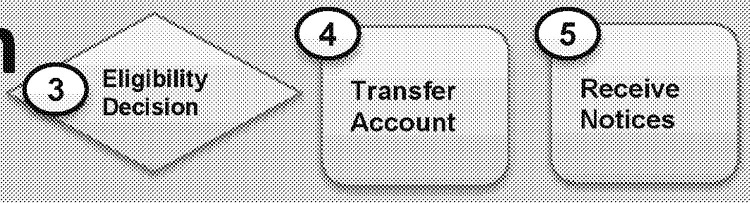
Demonstration /Walkthrough



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Risk & Workaround Planning

Scenario Handling

Scenario	Workaround Process	Error Message and Error Handling Process (if relevant)	Notes

Describe what happens when . . .
- Non Happy Path Scenarios (e.g., data sources are down, unable to RIDP a consumer)
- Functionality is deferred or downscoped functionality
- External partners not ready

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