

Exhibit 300 (BY2008)

PART ONE	
OVERVIEW	
1. Date of Submission:	2007-02-05
2. Agency:	009
3. Bureau:	38
4. Investment Name:	CMS Medicare Appeals System (MAS)
5. UPI:	009-38-01-04-01-1180-00
6. <i>What kind of investment will this be in FY2008?</i>	
Operations and Maintenance	
7. <i>What was the first budget year this investment was submitted to OMB?</i>	
FY2003	
8. <i>Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap.</i>	
The Medicare Appeals function ensures due process rights are protected under Medicare. There are four business drivers: 1) The Beneficiary Improvement & Protection Act 2) The Balanced Budget Act 3) Final rule CMS-424-FC; and 4) Medicare Modernization Act Goal: MAS' goal is to support the end-to-end appeals process for the fee-for-service, Medicare Advantage, and prescription drug programs. Implementation Approach: CMS is maintaining the system and implementing 4 to 6 maintenance releases per year that consist of approved change requests and system defect corrections.	
9. <i>Did the Agency's Executive/Investment Committee approve this request?</i>	
yes	
9.a. <i>If "yes," what was the date of this approval?</i>	
2006-06-23	
10. <i>Did the Project Manager review this Exhibit?</i>	
yes	
12. <i>Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project.</i>	
no	
12.a. <i>Will this investment include electronic assets (including computers)?</i>	
yes	
12.b. <i>Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)</i>	
no	
13. <i>Does this investment support one of the PMA initiatives?</i>	
yes	
<i>If yes, select the initiatives that apply:</i>	
Competitive Sourcing	
Eliminating Improper Payments	
Expanded E-Government	
Financial Performance	
13.a. <i>Briefly describe how this asset directly supports the identified initiative(s)?</i>	
Eliminating Improper Payments: MAS supports assurance that appropriate payment was made for medical services rendered to beneficiaries. The CMS claims processing systems deny payment for services that appear to fail Medicare criteria. However, providers and beneficiaries may appeal the payment denial. MAS helps the medical and legal personnel manage the review process that determines if the provider should be reimbursed for services.	

14. Does this investment support a program assessed using OMB's Program Assessment Rating Tool (PART)?				
no				
15. Is this investment for information technology (See section 53 for definition)?				
yes				
16. What is the level of the IT Project (per CIO Council's PM Guidance)?				
Level 3				
17. What project management qualifications does the Project Manager have? (per CIO Council's PM Guidance)				
(1) Project manager has been validated as qualified for this investment				
18. Is this investment identified as high risk on the Q4 - FY 2006 agency high risk report (per OMB's high risk memo)?				
no				
19. Is this a financial management system?				
no				
20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)				
Hardware	1			
Software	20			
Services	79			
21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?				
n/a				
22. Contact information of individual responsible for privacy related questions.				
<i>Name</i>				
Ashley Corbin				
<i>Phone Number</i>				
410-786-5775				
<i>Title</i>				
Director, Division of Requirements & Validation, Information Services Design & Development Group, Office of Information Services				
<i>Email</i>				
Ashley.Corbin@cms.hhs.gov				
23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?				
yes				
SUMMARY OF SPEND				
1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated Government FTE Cost, and should be excluded from the amounts shown for Planning, Full Acquisition, and Operation/Maintenance. The total estimated annual cost of the investment is the sum of costs for Planning, Full Acquisition, and Operation/Maintenance. For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.				
All amounts represent Budget Authority				
(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)				
	PY-1 & Earlier	PY	CY	BY
	-2005	2006	2007	2008
Planning Budgetary Resources	0.000	0.000	0.000	0.000

Acquisition Budgetary Resources	1.345	0.000	0.000	0.000
Maintenance Budgetary Resources	14.116	5.773	7.310	4.410
Government FTE Cost	0.212	0.219	0.225	0.329
# of FTEs	3	2	2	3

Note: For the cross-agency investments, this table should include all funding (both managing partner and partner agencies).

Government FTE Costs should not be included as part of the TOTAL represented.

2. Will this project require the agency to hire additional FTE's?

yes

2.a. If "yes," how many and in what year?

One, beginning BY08/

PERFORMANCE

In order to successfully address this area of the exhibit 300, performance goals must be provided for the agency and be linked to the annual performance plan. The investment must discuss the agency's mission and strategic goals, and performance measures must be provided. These goals need to map to the gap in the agency's strategic goals and objectives this investment is designed to fill. They are the internal and external performance benefits this investment is expected to deliver to the agency (e.g., improve efficiency by 60 percent, increase citizen participation by 300 percent a year to achieve an overall citizen participation rate of 75 percent by FY 2xxx, etc.). The goals must be clearly measurable investment outcomes, and if applicable, investment outputs. They do not include the completion date of the module, milestones, or investment, or general goals, such as, significant, better, improved that do not have a quantitative or qualitative measure.

Agencies must use Table 1 below for reporting performance goals and measures for all non-IT investments and for existing IT investments that were initiated prior to FY 2005. The table can be extended to include measures for years beyond FY 2006.

Table 1

	Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
1	2005	Beneficiary Health & Satisfaction	Ability of MAS to support timely adjudication of Part D standard reconsideration appeals	None	100% within 7 calendar days	100% within 7 calendar days
2	2005	Beneficiary Health & Satisfaction	Ability of MAS to support timely adjudication of Part D expedited reconsideration appeals	None	100% within 72 hours	100% within 72 hours
3	2005	Beneficiary Health & Satisfaction	Ability of MAS to support timely adjudication of standard FFS appeals	None	100% within 60 calendar days	100% within 60 calendar days
4	2006	Beneficiary Health & Satisfaction	Ability of MAS to support timely adjudication of expedited FFS appeals	None	100% within 72 hours	100% within 72 hours
5	2006	Beneficiary Health & Satisfaction	Ability of MAS to support timely adjudication of Part C pre-service appeals	None	95% within 30 calendar days	95% within 30 calendar days
6	2006	Beneficiary Health & Satisfaction	Ability of MAS to support timely adjudication of Part C	None	95% within 60 calendar days	95% within 60 calendar days

			payment appeals			
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All new IT investments initiated for FY 2005 and beyond must use Table 2 and are required to use the FEA Performance Reference Model (PRM). Please use Table 2 and the PRM to identify the performance information pertaining to this major IT investment. Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for at least four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov.

Table 2

	Fiscal Year	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
1	2006	Mission and Business Results	Health Care Administration	Percent of FFS, Medicare Advantage, and Part D appeal types included in system	50%	100%	100%
2	2006	Mission and Business Results	Health Care Administration	Percent of end user locations performing electronic document imaging	20%	60%	20%
3	2006	Customer Results	Response Time	Percent of Part D standard reconsideration appeals adjudicated within 7 calendar days	100%	100%	
4	2006	Customer Results	Response Time	Percent of Part D standard expedited appeals adjudicated within 72 hours	100%	100%	
5	2006	Customer Results	Response Time	Percent of standard FFS appeals adjudicated within 60 calendar days	100%	100%	
6	2006	Customer Results	Response Time	Percent of FFS expedited appeals adjudicated within 72 hours	100%	100%	
7	2006	Customer Results	Response Time	Percent of Part C pre-service appeals adjudicated within 30 calendar days	95%	95%	
8	2006	Customer Results	Response Time	Percent of Part C payment appeals adjudicated within 60 calendar days	95%	95%	
9	2006	Processes and Activities	Security	Number of high risk security findings	2	0	0
10	2006	Technology	Availability	Percentage of system availability for end users	99%	97.3%	96%
11	2007	Mission and Business Results	Health Care Administration	Percent of FFS, Medicare Advantage, and Part D appeal types included in	100%	100%	

				system			
12	2007	Mission and Business Results	Health Care Administration	Percent of end user locations performing electronic document imaging	20%	60%	
13	2007	Customer Results	Response Time	Percent of Part D standard reconsideration appeals adjudicated within 7 calendar days	100%	100%	
14	2007	Customer Results	Response Time	Percent of Part D standard expedited appeals adjudicated within 72 hours	100%	100%	
15	2007	Customer Results	Response Time	Percent of standard FFS appeals adjudicated within 60 calendar days	100%	100%	
16	2007	Customer Results	Response Time	Percent of FFS expedited appeals adjudicated within 72 hours	100%	100%	
17	2007	Customer Results	Response Time	Percent of Part C pre-service appeals adjudicated within 30 calendar days	95%	95%	
18	2007	Customer Results	Response Time	Percent of Part C payment appeals adjudicated within 60 calendar days	95%	95%	
19	2007	Processes and Activities	Security	Number of high risk security findings	0	0	
20	2007	Technology	Availability	Percentage of system availability for end users	96%	97.3%	

EA

In order to successfully address this area of the business case and capital asset plan you must ensure the investment is included in the agency's EA and Capital Planning and Investment Control (CPIC) process, and is mapped to and supports the FEA. You must also ensure the business case demonstrates the relationship between the investment and the business, performance, data, services, application, and technology layers of the agency's EA.

1. Is this investment included in your agency's target enterprise architecture?

yes

1.a. If no, please explain why?

Not Applicable.

2. Is this investment included in the agency's EA Transition Strategy?

yes

2.a. If yes, provide the investment name as identified in the Transition Strategy provided in the agency's most recent annual EA Assessment.

CMS Medicare Appeals System (MAS)

2.b. If no, please explain why?

Not Applicable.

3. Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer

relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to <http://www.whitehouse.gov/omb/egov/>.

Component: Use existing SRM Components or identify as NEW. A NEW component is one not already identified as a service component in the FEA SRM.

Reused Name and UPI: A reused component is one being funded by another investment, but being used by this investment. Rather than answer yes or no, identify the reused service component funded by the other investment and identify the other investment using the Unique Project Identifier (UPI) code from the OMB Ex 300 or Ex 53 submission.

Internal or External Reuse?: Internal reuse is within an agency. For example, one agency within a department is reusing a service component provided by another agency within the same department. External reuse is one agency within a department reusing a service component provided by another agency in another department. A good example of this is an E-Gov initiative service being reused by multiple organizations across the federal government.

Funding Percentage: Please provide the percentage of the BY requested funding amount used for each service component listed in the table. If external, provide the funding level transferred to another agency to pay for the service.

	Agency Component Name	Agency Component Description	Service Type	Component	Reused Component Name	Reused UPI	Internal or External Reuse?	Funding %
1	Appeals Case Management	Allows users to track and manage appeals cases.	Tracking and Workflow	Case Management	Case Management	009-38-02-00-01-1150-00	Internal	11
2	MAS Activities and Workflow	Allows the users to track the business process associated with an appeals case	Tracking and Workflow	Process Tracking	Process Tracking	009-38-02-00-01-1150-00	Internal	11
3	MAS Correspondence Generation	Allows users to generate outbound correspondence for a case (e.g., decision letters)	Routing and Scheduling	Outbound Correspondence Management	Outbound Correspondence Management	009-38-02-00-01-1150-00	Internal	11
4	MAS Standardized Reporting	Allows analysis of performance and trends in appeals processing via pre-built, standardized reports.	Reporting	Standardized / Canned	Standardized / Canned	009-38-02-00-01-1150-00	Internal	8
5	MAS Ad-Hoc Reporting	Allows analysis of performance and trends in appeals processing via ad-hoc reports that end users create	Reporting	Ad Hoc	Ad Hoc	009-38-02-00-01-1150-00	Internal	8
6	MAS Multidimensional Cubes	Allows analysis of performance and trends in appeals processing via multidimensional information made available to end users	Reporting	OLAP	OLAP	009-38-02-00-01-1150-00	Internal	8

7	Electronic Document Imaging	Allows users to convert inbound paper case files into an electronic image	Document Management	Document Imaging and OCR	Document Imaging and OCR	009-38-01-09-01-1120-00	Internal	6
8	Electronic Document Imaging	Allows users to associate document images with appeal records in the system.	Document Management	Document Referencing	Document Referencing	009-38-01-09-01-1120-00	Internal	6
9	System Interfaces	Interfaces with other CMS systems. The inbound interfaces (HPMS and MBD) provide the health plan contract data and beneficiary data required by users. The outbound interface (to 1-800-MEDICARE) provides customer service agents with appeals data for beneficiary inquiries.	Data Management	Data Exchange	Data Exchange	009-38-02-00-01-1150-00	Internal	3
10	MAS Data Warehouse	Provides the data warehouse to support standardized and ad-hoc reporting	Data Management	Data Warehouse	Data Warehouse	009-38-02-00-01-1150-00	Internal	5
11	MAS Data Mart	Provides the dimensional data that supports OLAP analysis	Data Management	Data Mart	Data Mart	009-38-02-00-01-1150-00	Internal	5
12	Extraction and Transformation	Extracts information from the OLTP database and places it into the data warehouse	Data Management	Extraction and Transformation	Extraction and Transformation	009-38-02-00-01-1150-00	Internal	3
13	MAS configuration and development	COTS configuration required for MAS	Development and Integration	Software Development	Software Development		No Reuse	3
14	Integration	Access to data from external systems	Development and Integration	Data Integration	Data Integration	009-38-02-00-01-1150-00	Internal	3
15	Software Development	Various tools to support the	Development and	Instrumentation and Testing	Instrumentation and Testing		No Reuse	3

	Management	development and testing process	Integration					
16	MAS Identification and Authentication	Services designed to prevent unauthorized users from accessing MAS	Security Management	Identification and Authentication	Identification and Authentication	009-38-02-00-01-1150-00	Internal	1
17	MAS Role Based Security	Services designed to validate a user's ability to perform certain functions in MAS	Security Management	Access Control	Access Control		No Reuse	1
18	Encryption	SSL encryption services	Security Management	Cryptography	Cryptography	009-38-02-00-01-1150-00	Internal	1

4. To demonstrate how this major IT investment aligns with the FEA Technical Reference Model (TRM), please list the Service Areas, Categories, Standards, and Service Specifications supporting this IT investment.

FEA SRM Component: Service Components identified in the previous question should be entered in this column. Please enter multiple rows for FEA SRM Components supported by multiple TRM Service Specifications.

Service Specification: In the Service Specification field, Agencies should provide information on the specified technical standard or vendor product mapped to the FEA TRM Service Standard, including model or version numbers, as appropriate.

	SRM Component	Service Area	Service Category	Service Standard	Service Specification (i.e., vendor and product name)
1	Case Management	Component Framework	Business Logic	Platform Dependent	Siebel e-Healthcare (Application Object Manager)
2	Process Tracking	Component Framework	Business Logic	Platform Dependent	Siebel (Workflow Manager)
3	Outbound Correspondence Management	Component Framework	Business Logic	Platform Dependent	Siebel (Document Manager)
4	Standardized / Canned	Component Framework	Data Management	Reporting and Analysis	Cognos ReportNet, OLAP
5	Ad Hoc	Component Framework	Data Management	Reporting and Analysis	Cognos (Series 7)
6	OLAP	Component Framework	Data Management	Reporting and Analysis	Cognos Cubes (OLAP)
7	Document Imaging and OCR	Component Framework	Business Logic	Platform Dependent	Kofax Ascent Capture
8	Document Referencing	Service Platform and Infrastructure	Support Platforms	Platform Dependent	IBM Content Manager
9	Data Exchange	Component Framework	Data Interchange	Data Exchange	IBM Websphere Business Integrator for Medicare Beneficiary Database; Batch text files for Next Generation Desktop and Health Plan Management System
10	Data Warehouse	Service Platform	Database /	Database	Oracle 10g RDBMS

		and Infrastructure	Storage		
11	Data Mart	Service Platform and Infrastructure	Database / Storage	Database	Oracle 10g RDBMS
12	Extraction and Transformation	Service Interface and Integration	Interoperability	Data Transformation	Informatica PowerCenter
13	Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Microsoft Visual SourceSafe, MKS
14	Software Development	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	WebSphere Studio, Siebel Development Tools, Cognos Development Tools
15	Instrumentation and Testing	Service Platform and Infrastructure	Software Engineering	Test Management	Mercury Test Director, Load Runner
16	Identification and Authentication	Component Framework	Security	Supporting Security Services	Lightweight Directory Access Protocol
17	Access Control	Component Framework	Security	Supporting Security Services	Lightweight Directory Access Protocol and Siebel
18	Case Management	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Java Server Pages (JSP), Microsoft ActiveX
19	Case Management	Component Framework	Presentation / Interface	Static Display	HTML
20	Cryptography	Component Framework	Security	Certificates / Digital Signatures	Secure Sockets Layer (SSL)
21	Case Management	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer
22	Case Management	Service Access and Delivery	Delivery Channels	Extranet	Via Medicare Data Center Network (MDCN)
23	Case Management	Service Access and Delivery	Delivery Channels	Intranet	Via internal CMS network
24	Case Management	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Windows 2000
25	Case Management	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Sun Solaris 9

5. Will the application leverage existing components and/or applications across the Government (i.e., FirstGov, Pay.Gov, etc)?

no

5.a. If yes, please describe.

Not Applicable.

6. Does this investment provide the public with access to a government automated information system?

no

6.a.1. If yes, provide the specific product name(s) and version number(s) of the required software and the date when the public will be able to access this investment by any software (i.e. to ensure equitable and timely access of government information and services).

Not Applicable.

PART THREE

RISK

You should perform a risk assessment during the early planning and initial concept phase of the investment's life-cycle, develop a risk-adjusted life-cycle cost estimate and a plan to eliminate, mitigate or manage risk, and be actively managing risk throughout the investment's life-cycle.

Answer the following questions to describe how you are managing investment risks.

1. Does the investment have a Risk Management Plan?

yes

1.a. If yes, what is the date of the plan?

2005-05-09

1.b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?

no

COST & SCHEDULE

1. Was operational analysis conducted?

yes

1.a. If yes, provide the date the analysis was completed.

2006-12-10

What were the results of your operational analysis?

The maintenance contractor submits weekly status reports and monthly EVM reports. Each of these reports provides an opportunity for the project team to analyze contractor performance on cost and schedule. Additionally, the team meets with the business owners twice per month. These meetings allow the business owners to provide feedback on the system performance and whether or not MAS is helping them fulfill their appeals processing capability. These reviews have indicated that contractor performance is acceptable and that MAS is succeeding in helping users execute the appeals process. In addition, this project is being monitored bi-weekly by executive management.