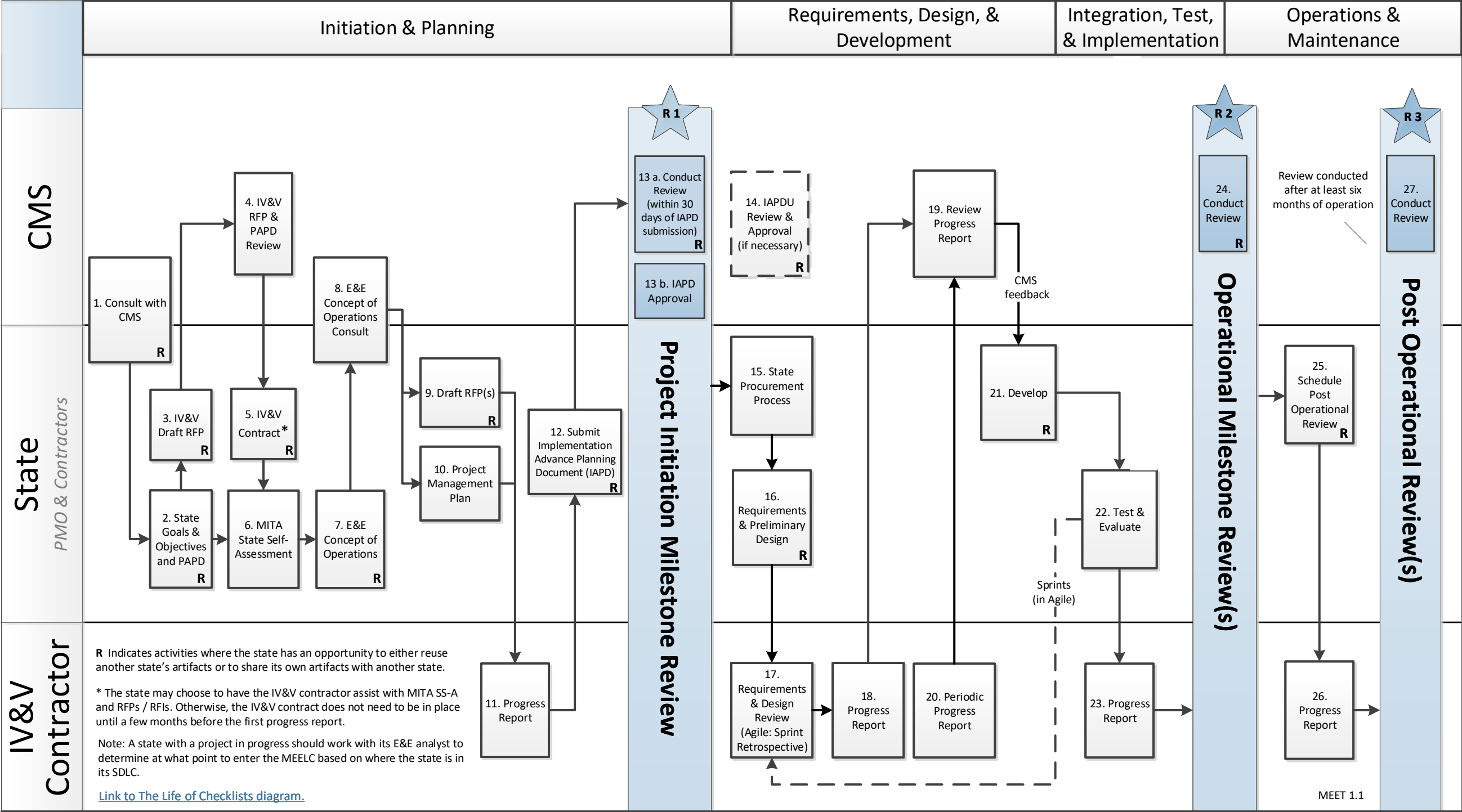


Medicaid Eligibility and Enrollment Life Cycle (MEELC)





1. Consult with CMS

[Back to Life Cycle](#)

Description

The initial consult between the state and CMS includes

- Opportunity for CMS to understand the state's approach
- Opportunities for state to ask questions about the Medicaid Eligibility and Enrollment Life Cycle (MEELC)
- Opportunity for state and CMS to decide on high-level roadmap for MEELC, including frequency of E&E IV&V Progress Reports
- Documenting decisions in a Project Partnership Understanding (PPU) document

Activities State Is Expected to Perform

- Notify CMS of intent to update E&E system
- Schedule a consult with CMS
- Meet with CMS to discuss general approach
- Determine the frequency of E&E IV&V Progress Reports (quarterly minimum frequency, including progress reports prepared for milestone reviews)
- Document decisions made with CMS in the PPU document
- Discuss re-use opportunities with CMS

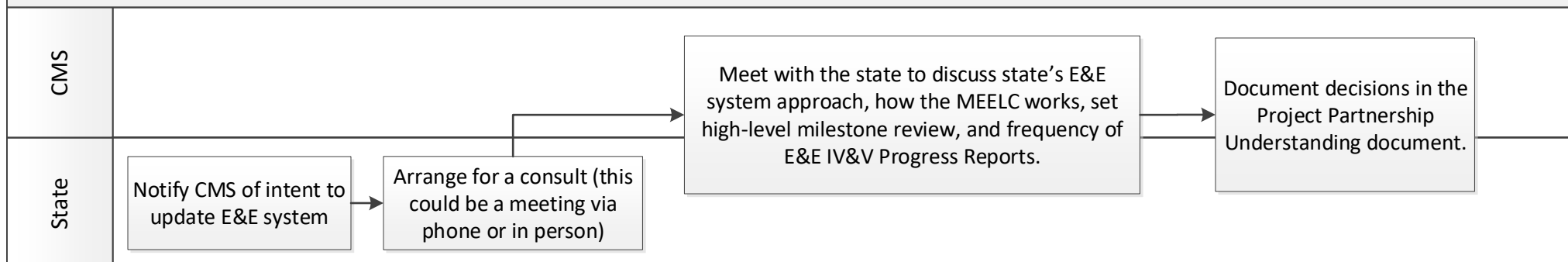
Artifacts State Must Produce

Project Partnership Understanding document

Who Is Involved

- State
- CMS

Workflow





2. State Goals and Objectives & PAPD

[Back to Life Cycle](#)

Description

The state considers its vision of the future and its mission and objectives, and sets goals and objectives for the new or updated E&E system.

The state prepares a Planning Advanced Planning Document (PAPD) if it chooses to do so. The PAPD is not required of states.

Activities State Is Expected to Perform

- Document the state goals and objectives
- Prepare the PAPD, if the state chooses to do so
- Submit PAPD to CMS

Artifacts State Produces

Goals and objectives

Who Is Involved

State

Workflow

State

Document state goals and objectives

Prepare PAPD, if state chooses to do so. (State will submit to CMS with the draft IV&V RFP.)



3. IV&V Draft Request for Proposal

[Back to Life Cycle](#)

Description

The state drafts a request for proposal (RFP) for an independent verification and validation (IV&V) contractor, or drafts a modification to an existing contract. CMS expects the state to include certain standard language in the RFP to ensure that the contractor:

- Is truly independent from the state agency managing the E&E project
- Does not also perform software testing
- Is tasked to do technical design reviews (including security, performance management, claims editing, and others)
- Is tasked to perform project management reviews
- Reports findings in the form of progress reports (including drafts) to CMS and to the state simultaneously

Activities State Is Expected to Perform

- Download a copy of the standard IV&V language (see MEET appendices)
- Draft IV&V RFP, being sure to incorporate the required standard IV&V RFP language
- Send the draft IV&V RFP to CMS for approval

Artifacts State Must Produce

Draft IV&V RFP

Who Is Involved

State

Workflow

State

Download a copy of the standard IV&V language

Draft the RFP (or contract modification), being sure to include the standard language

Send the draft IV&V RFP (or contract modification) to CMS



4. IV&V RFP and PAPD Review

[Back to Life Cycle](#)

Description

CMS reviews the draft IV&V RFP (or contract modification) to ensure that the contractor will:

- Perform technical design reviews (including but not limited to security, performance management, and claims editing)
- Perform project management reviews
- Submit E&E progress reports (including drafts) to CMS and to the state simultaneously

If the state has submitted a PAPD, CMS reviews the PAPD and renders a decision to approve or disapprove the funding request.

Who Is Involved

CMS

Activities CMS Is Expected to Perform

- Read the entire draft IV&V RFP (or contract modification)
- Check to see if the standard IV&V RFP language has been included
- Check the frequency of progress reports stipulated in the IV&V RFP draft. Is it frequent enough to satisfy CMS, yet not so frequent as to add undue expense and burden on the state?
- Return comments about the draft RFP (or contract modification) to the state
- Review the PAPD, if one was submitted
- Approve or disapprove the PAPD. Notify the state, including comments if the PAPD was disapproved

Artifacts CMS Must Produce

- Approval or disapproval of the draft IV&V RFP (or contract modification) and, if the draft is disapproved, explanatory comments
- If PAPD was submitted, notice to the state that the PAPD has been approved or disapproved, and if the PAPD is disapproved, explanatory comments

Workflow

CMS

Read the entire draft IV&V RFP (or contract modification) and verify that the standard IV&V RFP language is included

Return comments about the draft RFP (or contract modification) to the state

Review the PAPD (if one was submitted)

Approve or disapprove the PAPD; notify the state, including comments if the PAPD was disapproved



5. IV&V Contract

[Back to Life Cycle](#)

Description

The state enters into a contractual agreement with the IV&V contractor. The same CMS-supplied language used for the RFP must be included in the contract.

The state may choose to have the IV&V contractor assist with MITA SSA and RFPs/RFIs. Otherwise, the IV&V contract does not need to be in place until a few months before the first E&E IV&V Progress Report.

Any changes to the IV&V contract that alter the scope of the contract will need to be reviewed and approved by CMS.

Activities State Is Expected to Perform

- Activities consistent with the state's own procurement processes
- Send contract to CMS for approval

Artifacts State Must Produce

Signed contract with IV&V contractor

Who Is Involved

State

Workflow

State

State follows its own procurement process



Sends contract to CMS for approval



6. MITA State Self-Assessment

[Back to Life Cycle](#)

Description

The state uses the MITA State Self-Assessment (SS-A) to document its current MITA maturity level, a future maturity, and a course of action for achieving the future maturity.

The MITA SS-A will be attached to the Implementation Advanced Planning Document (IAPD) and reviewed during the Project Initiation Milestone Review.

The state may choose to have its IV&V contractor perform the self-assessment.

Activities State Is Expected to Perform

- The state is encouraged (though not required) to refer to examples from other states
- Document state's MITA current and future maturity level in four areas: business architecture, information architecture, technical architecture, and the Standards and Conditions for Medicaid IT
- Create technical and data strategies
- Document transition plan for moving from current maturity level to future maturity level
- CMS encourages states to use the eSS-A for submitting the SS-A scorecards to CMS (see MEET appendices for template)

Artifacts State Must Produce

- Completed MITA State Self-Assessment, including current and target maturity levels for the Standards and Conditions for Medicaid IT and business, information, and technical architectures
- MITA Transition Plan
- MITA Technical Strategy
- MITA Data Strategy

Who Is Involved

State

Workflow

State

Consider reuse examples from other states

Conduct business architecture SS-A

Conduct information architecture SS-A

Conduct technical architecture SS-A

Conduct Standards & Conditions SS-A

Create technical and data strategies

Create MITA roadmap



7. E&E Concept of Operations

[Back to Life Cycle](#)

Description

The state produces an E&E Concept of Operations (ConOps) that describes the technical solutions the state has selected and how those will fit with external state and federal IT systems. The ConOps should explain how the state intends to apply the conditions of reuse and modularity.

An E&E ConOps template is available in the toolkit appendices.

Activities State Is Expected to Perform

- The state is encouraged (though not required) to use examples from other states
- Review the critical success factors and checklist criteria
- Refer to the MITA technical and information strategies and roadmap
- Write an E&E Concept of Operations (see MEET appendices for template)

Artifacts State Must Produce

E&E Concept of Operations

Who Is Involved

State

Workflow

State

Consider reuse examples from other states

Refer to MEET checklist criteria

Refer to MITA technical and information strategies and roadmap

Create ConOps to document E&E operational concept



8. E&E Concept of Operations Consult

[Back to Life Cycle](#)

Description

The CMS and the state discuss the state's E&E Concept of Operations.

The consult serves two purposes:

- Gives CMS an opportunity to understand the operating concept that will be contained in the forthcoming IAPD.
- Gives the state an opportunity to hear early feedback from CMS about the adequacy of the high-level concept design.

Activities CMS and State Are Expected to Perform

- State: Send copies of the documents to CMS
- State: Schedule a consult with CMS
- CMS: Review the documents in detail
- Both: Meet to discuss the E&E Concept of Operations draft document
- Both: Determine if the revisions are necessary
- State: Make any necessary revisions to the documents

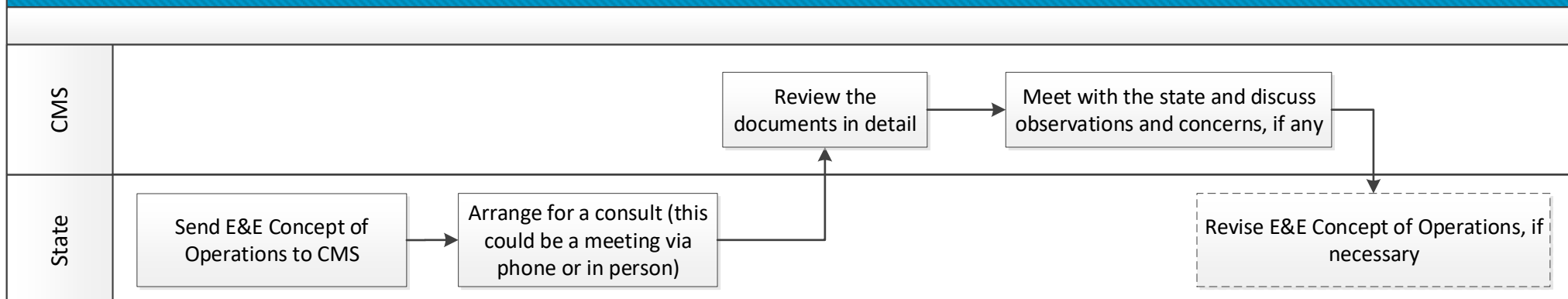
Artifacts State Must Produce

- Revised E&E Concept of Operations, if necessary

Who Is Involved

- CMS
- State

Workflow





9. Draft Request for Proposal

[Back to Life Cycle](#)

Description

The state refers to E&E checklists, critical success factors, and the E&E Concept of Operations documents when preparing a request for proposal (RFP).

If the state is planning to release the system on a staggered schedule, only the RFPs for the first release need to be ready for the Project Initiation Milestone Review. The other RFP drafts can be reviewed by CMS at a later time.

Who Is Involved

State

Activities State Is Expected to Perform

- Draft RFP(s), taking into consideration the E&E checklists criteria
- Include the E&E checklists
- Review and use information from state's E&E Concept of Operations
- Reuse clauses from similar documents, including interoperability plans and performance clauses
- Send to CMS

Artifacts State Must Produce

Draft RFP with the following, provided they are enforceable according to state law:

- Defined goals and objectives
- To-be environment requirements (business, architecture, data), including reuse, interoperability, and modularity requirements
- Conditions tying compensation to meeting or exceeding defined goals (e.g., service level agreements)
- Reservation of right for state to approve and/or remove subcontractors
- Requirement that contractors cooperate with other contractors (including IV&V contractor) and not impede progress on project as a whole
- Requirements found within the checklists

Workflow

State

Review checklists

Review state E&E ConOps and state MITA ConOps

Document in RFP any reuse, release plans, and interoperability plans

Include performance clauses (e.g., SLAs)

Send to CMS



10. Project Management Plan

[Back to Life Cycle](#)

Description

The state identifies the following:

- Project management plan, including budget
- System Development Life Cycle (SDLC)
- Project schedule
- Risk register and risk management plan

The state should also ensure that all documents for the upcoming Project Initiation Milestone Review (e.g., the system security plan and privacy impact analysis) are completed. (Refer to toolkit appendices for a list of artifacts for the first milestone review.)

Who Is Involved

State PMO

Activities State Is Expected to Perform

- The state is encouraged (though not required) to use examples from the other states
- Write project management plan, SDLC, schedule, and risk register
- Ensure that all necessary artifacts are ready for the Project Initiation Milestone Review

Artifacts State Must Produce

- Project management plan
- Budget
- Risk register (waterfall)/exception plan (agile)
- Schedule (waterfall)/milestones and burn-down charts (agile)
- SDLC
- System Security Plan (SSP)
- Privacy impact analysis (PIA)

Workflow

State

Consider reuse examples from other states

Write project management plan, SDLC, schedule, and risk register

Fill out checklists and ensure that all artifacts (including security plan, Privacy Impact Assessment, etc.) are ready for first milestone review



11., 18., 20., 23., 26. Progress Report

[Back to Life Cycle](#)

Description

Before each milestone review, and periodically throughout the E&E project, the IV&V contractor assesses the state's progress and creates an E&E IV&V Progress Report.

For reports immediately preceding a milestone review, the state completes the state sections of the checklists and stores them and the supporting evidence in its own repository. Then the IV&V contractor completes the reviewer sections of the checklists, and completes the IV&V and Programmatic tabs of the E&E IV&V Progress Report Template. The IV&V contractor then submits the reports and checklists simultaneously to the state, to the E&E analyst and to the CMS email address (MES@cms.hhs.gov). For reports not immediately preceding milestone review, the IV&V contractor simply completes the progress report and sends to the state, the analyst, and CMS email address.

The state should save the IV&V-completed checklists in its repository as a new version of the checklists. (The checklists should continue to be updated as new versions with subsequent milestone reviews.)

Activities IV&V Contractor Is Expected to Perform

- Fill out reviewer portion of checklists that the state has filled out (for reports immediately preceding a milestone review)
- Complete IV&V and Programmatic tabs of the progress report template
- Attach completed checklists (only for reports prepared for a milestone review)
- Submit the progress report simultaneously to the state, to E&E analyst and to the CMS email address (MES@cms.hhs.gov), being sure to include "E&E" in the subject line
- If the contractor and state have identified particularly good examples of final versions of evidence / documents, the state should consider sharing them with other states

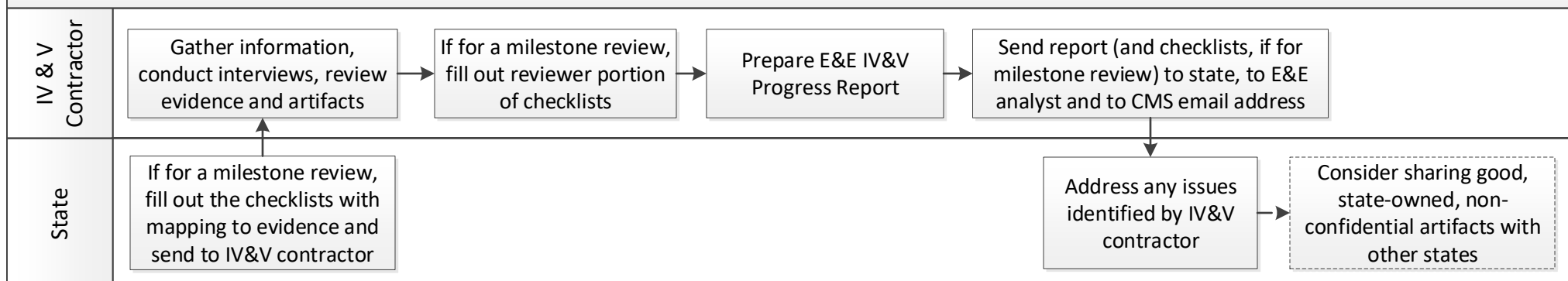
Artifacts IV&V Contractor Must Produce

E&E IV&V Progress Report

Who Is Involved

- State
- IV&V Contractor

Workflow





12. Submit Implementation Advance Planning Document

[Back to Life Cycle](#)

Description

An Implementation Advance Planning Document (IAPD) is a plan that the state uses to request federal financial participation (FFP) for the costs of developing and implementing an E&E system.

In this step, the state prepares an IAPD and sends it to the CMS to start the IAPD approval process. The state is encouraged to reuse material from artifacts produced in previous steps.

The Project Initiation Milestone Review will be conducted within 30 days of IAPD submission.

Who Is Involved

State

Activities State Is Expected to Perform

- Draft IAPD, drawing from the documents previously written (Project Management Plan, E&E ConOps, and others)
- Include state's MITA self-assessment and security plan as attachments
- Send IAPD to the CMS to start the IAPD approval process

Artifacts State Must Produce

IAPD, which includes:

- Statement of need and objectives
- Requirements
- Alternatives analysis
- Project management plan
- Proposed project budget and cost distribution
- Statement of security/interface and disaster recovery requirements
- Assurances
- Compliance with the Standards and Conditions for Medicaid IT

Workflow

State

Draft IAPD, drawing from previously written documents

Attach the SS-A to the IAPD

Send IAPD to CMS



13 a. Project Initiation Milestone Review

[Back to Life Cycle](#)

Description

This review ensures that the state has documented goals and objectives, a solid MITA self-assessment and roadmap, a technical Concept of Operations, and project management in place. CMS evaluates the state’s business case, Project Management Plan, and RFPs. CMS may choose to send test cases or scenarios to the state to be included as part of the milestone review. The outcome of the review informs the CMS decision regarding release of FFP funds to the state for design and development of its E&E system. This review is a virtual review, with site visit only if CMS deems it necessary.

Activities State Is Expected to Perform

- Ensure IV&V contractor has submitted E&E Progress Report and all relevant IV&V checklists
- Make evidence available to CMS

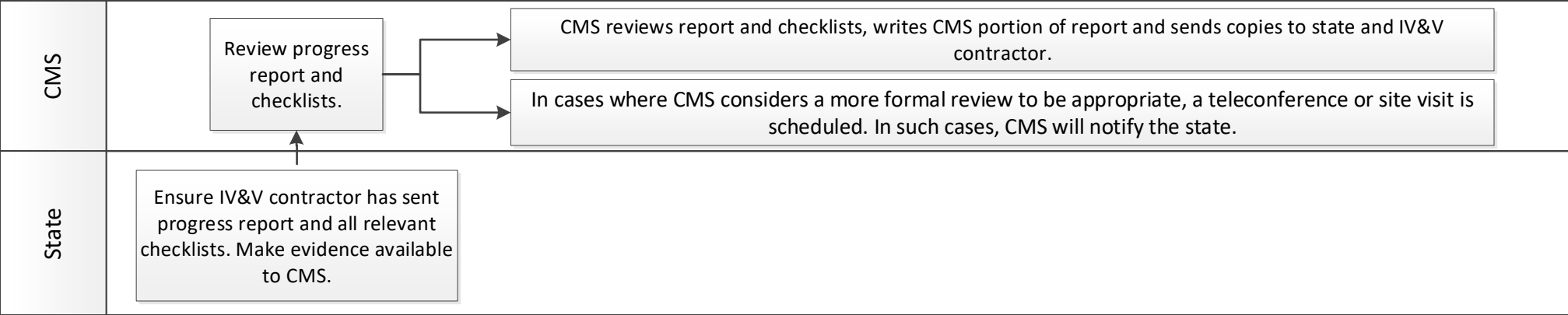
Artifacts That Will Be Reviewed

- State goals and objectives
- Draft RFP(s)
- MITA Technical Management Strategy
- MITA Data Management Strategy
- E&E Concept of Operations
- MITA self-assessment/MITA roadmap
- System Security Plan
- Privacy Impact Analysis
- Project Management Plan
- Schedule (or milestones and burn-down charts)
- Risk management plan and risk register

Who Is Involved

- State
- CMS

Workflow





13 b. IAPD Approval

Description

The state and CMS follow the existing APD process. This IAPD approval activity is shown in the MEELC only to indicate where the MEELC and the APD processes overlap. (A detailed description of the APD process is outside the scope of the MEET.)

Although the milestone review meetings may take only a few days, the milestone review is not considered officially closed until the IAPD has been approved. That may occur some time after the milestone review meetings.

Activities CMS & State Are Expected to Perform

- Follow the established APD process

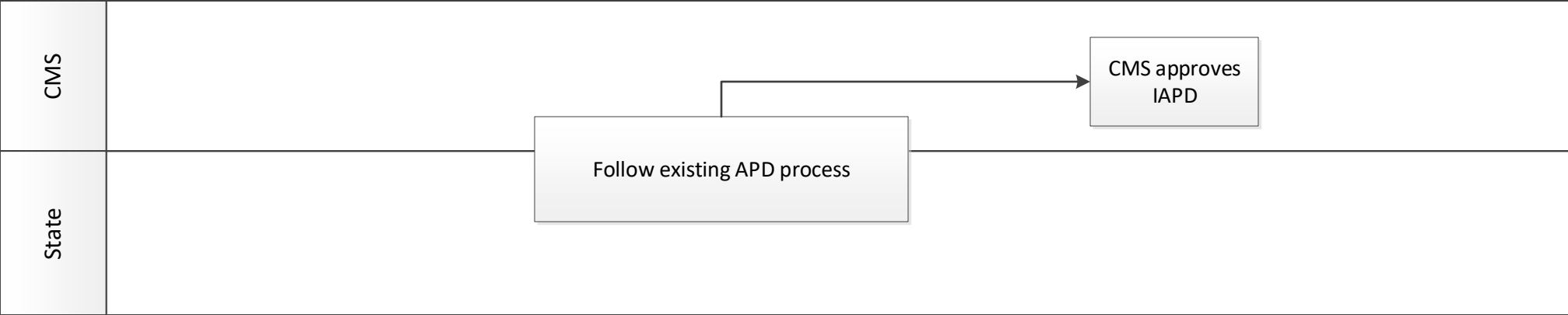
Artifacts That Will Be Reviewed

- IAPD
- Appendices to the IAPD, such as the system security plan and the MITA self-assessment

Who Is Involved

- State
- CMS

Workflow





14. IAPDU Review and Approval

[Back to Life Cycle](#)

Description

If, over the course of a long project, the state needs to update the IAPD, CMS reviews the updated document in order to determine whether to approve the revision. Another Project Initiation Milestone Review is not necessary. (See APD guidance for thresholds that trigger an update to an APD and for detailed explanation of the APD process.)

This activity also applies to annual review of an IAPD that has already been approved.

Activities CMS Is Expected to Perform

- Follow existing APD process to review the Implementation Advanced Planning Document Update (IAPDU)
- Determine whether to approve it
- Notify the state of the decision; if CMS disapproved the document, mention what needs to be corrected
- Re-review IAPDU and, if state has addressed CMS concerns, approve it

Artifacts State Must Produce

IAPDU

Who Is Involved

CMS

Workflow

CMS

Review state's updated
IAPDU

Approve / disapprove



15. State Procurement Process

[Back to Life Cycle](#)

Description

The state enters into contractual agreement(s) with contractors to develop, test, integrate, and otherwise update or transform the state's E&E system. CMS reviews the contract.

The contract must be approved by CMS.

Activities State Is Expected to Perform

- Follow the state's procurement processes
- Send contract to CMS for approval

Artifacts State Must Produce

Signed contract with E&E contractor(s)

Who Is Involved

State

Workflow

State

State follows its own procurement process



Send to CMS for approval



16. Requirements and Preliminary Design

[Back to Life Cycle](#)

Description

The state documents system requirements, system design, and a plan for testing the requirements. Requirements and design may be refined over the course of the development effort.

In an agile implementation, these requirements may take the form of a backlog of user stories. Certain design documents are necessary even if the state is using an agile method (for example, interface design and database design).

Any future changes to requirements and design would be evaluated against the baselines created in this step.

Activities State Is Expected to Perform

- Review requirements contained within the checklists
- Refer to state’s technical and data strategies, and roadmap to elicit requirements and ensure that requirements integrate with MITA plans
- Document system requirements, design, and test plans

Artifacts State Must Produce

- System Design Document/backlog of user stories (or, if the state is purchasing a COTS system, an interface design document)
- Information System Security Assessment
- Test Plan
- Interface Control Document
- Database Design
- Data Conversion/Management Plan
- Implementation Plan
- Contingency/Disaster Recovery Plan
- Data use/Exchange Interconnection Security Agreements

Who Is Involved

State

Workflow

State

Review checklist criteria

Refer to MITA strategies and self-assessment

Document requirements, designs, and how requirements will be tested



17. Requirements and Design Review

[Back to Life Cycle](#)

Description

The IV&V contractor reviews requirements and designs as part of the state’s system development life cycle (SDLC).

If it is using a waterfall approach, the state may only have one requirements and design review with its IV&V contractor. If using an agile methodology, the state may choose to have one review or conclude each epic or a set number of sprints with a review of the refined requirements and/or designs.

Who Is Involved

- IV&V contractor
- State

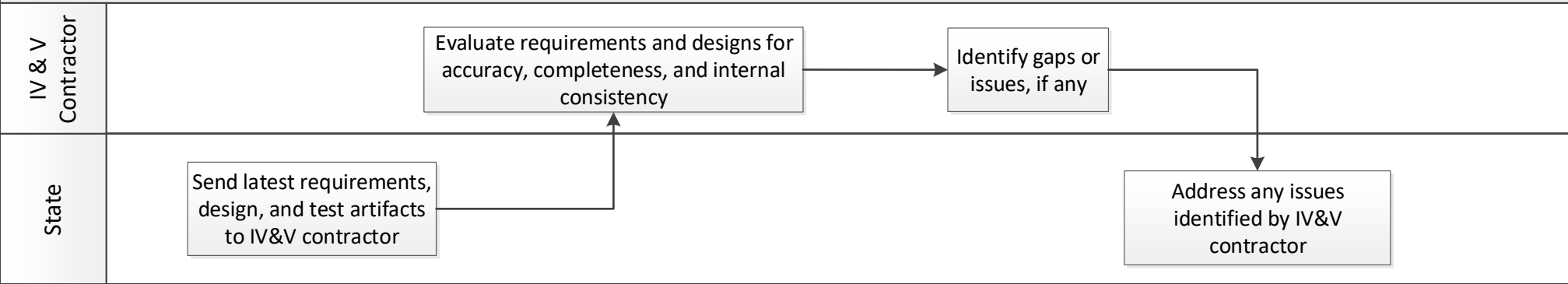
Activities IV&V Contractor Is Expected to Perform

- Review requirements and designs
- Evaluate state’s requirements, design, and test plans for completeness, accuracy, and internal consistency
- Identify gaps and issues, if any, for state to address

Artifacts IV&V Contractor Must Review

- System Design Document or, if the state is purchasing a COTS system, an interface design document
- System Security Plan
- Information System Security Assessment
- Test Plan
- Interface Control Document
- Database Design
- Data Conversion/Data Management Plan
- Implementation Plan
- Contingency/Recovery Plan
- Data Use/Exchange Interconnection Security Agreement

Workflow





19. Review Progress Report

[Back to Life Cycle](#)

Description

The E&E IV&V Progress Report has three sections—an IV&V tab, a Programmatic tab, and tab for CMS response and comments.

In this activity, the CMS reviews the IV&V contractor sections of the report and responds with questions to the state, if necessary. CMS enters comments and concerns, if any, into the CMS portion of the E&E IV&V Progress Report.

The frequency of these reports is set by the schedule in the IV&V contract with the state, with CMS requiring at least a quarterly report. Quarterly reports can be used in preparation for a milestone review.

Activities CMS Is Expected to Perform

- Read the E&E IV&V Progress Report in detail
- Talk to the state or IV&V contractor about questions or concerns
- Document comments and concerns (if any) in the CMS portion of the E&E IV&V Progress Report and send a copy to the IV&V contractor and to the state

Artifacts CMS May Produce

CMS comments in the CMS portion of the E&E IV&V Progress Report

Who Is Involved

CMS

Workflow

CMS

Review the E&E IV&V Progress Report in detail

Talk to the state or IV&V contractor about any issues / concerns

Document CMS comments/concerns in the CMS portion of the E&E IV&V Progress Report and send a copy to the state and to the IV&V contractor



21. Develop

[Back to Life Cycle](#)

Description

The state and its contractors develop/upgrade the state's E&E system according to their processes.

Activities State Is Expected to Perform

Develop / upgrade / integrate E&E functionality

Artifacts State Must Produce

E&E system working code

Who Is Involved

State

Workflow

State

State follows its development processes



22. Test and Evaluate

[Back to Life Cycle](#)

Description

The state and its contractors test and evaluate the functionality and performance of the E&E system. This includes tracing which requirements were tested and documenting test results.

For agile approaches, testing may take the form of user product validation. (This method may be used by waterfall approaches as well.)

Activities State Is Expected to Perform

- Test and evaluate E&E functionality; automated testing and continuous integration is encouraged
- Generate test reports/product validation reports showing how the system was tested against documented requirements/user stories

Artifacts State Must Produce

Test or product validation reports (with mapping to requirements)

Who Is Involved

State

Workflow

State

State tests and evaluates the E&E system using its testing processes

Documents test results or product acceptance against requirements / user stories



24. Operational Milestone Review(s)

[Back to Life Cycle](#)

Description

The purpose of this review is to evaluate the functionality and security of the E&E system being deployed. Reviews are scheduled by mutual agreement between the state and CMS. Additional Operational Milestone Reviews are conducted for future system releases as they are ready for deployment. CMS may choose to send test cases or scenarios to the state to be included as part of the milestone review. Before a review can occur, the IV&V contractor must have sent a progress report with completed checklists to the state, the CMS and the CMS email box (MES@cms.hhs.gov). The state should make artifacts and evidence for the milestone review available to CMS. CMS works with the state to determine if a formal review should be conducted via teleconference or a site visit.

Who Is Involved

- State
- CMS

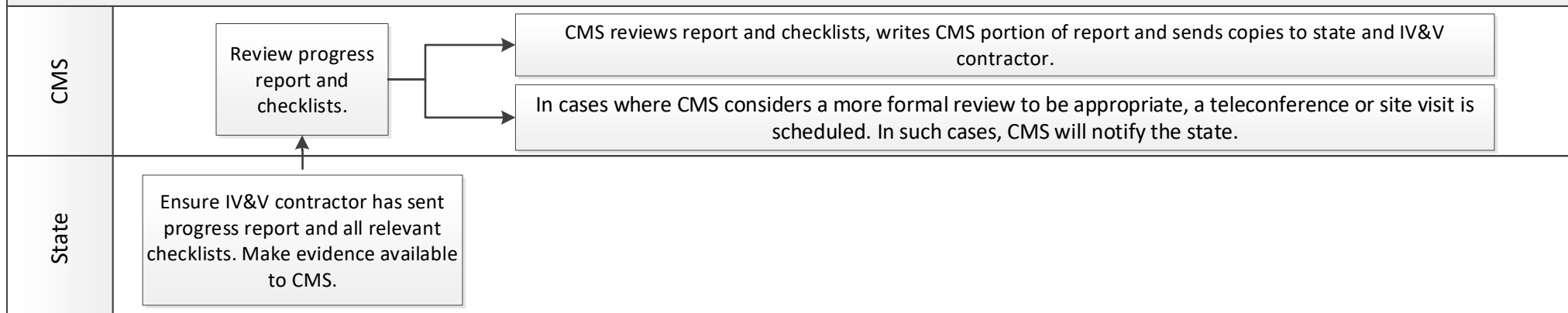
Artifacts That Will Be Reviewed

- Working system(s)
- System Security Plan and Privacy Impact Analysis
- Schedule (or Milestones and burn-down charts)
- Risk management plan and risk register
- Incident Management Plan
- Configuration Management Plan
- Information Security Risk Assessment
- Database Design
- Data Conversion/Management Plan
- Contingency/Recovery Plan
- Test plan/Test Reports/Validated Product Reports
- System Design Document
- System Requirement Document/backlog of user stories or use cases
- Product documentation
- HIPAA Statement

Activities State Is Expected to Perform

- Ensure IV&V contractor has submitted E&E IV&V Progress Report and all relevant checklists
- Make evidence available to CMS

Workflow





25. Schedule Post Operational Review

[Back to Life Cycle](#)

Description

The state requests from CMS a Post Operational review of the stable E&E system. The Post Operational milestone review cannot take place until

- The IV&V contractor has sent a progress report with completed checklists to the state, CMS and the CMS email address (MES@cms.hhs.gov), and
- The state has made all milestone review artifacts available to CMS. (See the Artifacts List).

Together CMS and the state will set dates for the Post Operational Review. It is typically held at least six months after go-live to enable the system to stabilize.

Artifacts State Must Produce

None

Who Is Involved

State

Activities State Is Expected to Perform

- Contact E&E analyst to schedule Post Operational Review
- Ensure that IV&V contractor has sent completed checklists and progress report to CMS, state and CMS mailbox
- Make evidence available to CMS

Workflow

State

Contact E&E analyst to request
Post Operational Review

Receive response
from CMS



27. Post Operational Review

[Back to Life Cycle](#)

Description

The purpose of this review is for CMS to evaluate the E&E system after it has been in operation for several months. CMS may choose to send test cases or scenarios to the state to be included as part of the milestone review. CMS decides on case-by-case basis whether to conduct the review virtually or on site.

Who Is Involved

- State
- CMS

Artifacts That Will Be Reviewed

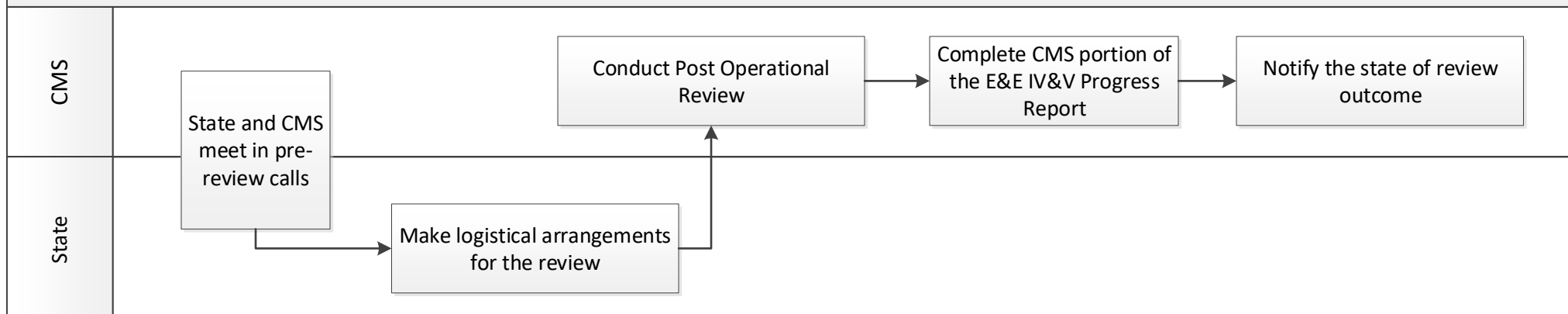
All documents covered in previous reviews may be reviewed in addition to:

- Working E&E system
- Samples from six months of operating data
- Substantive and representative set of all reports and information retrieval screens (electronic format preferred)
- A list of information retrieval functions and reports for each business area (including a list identifying distribution of the reports and who can access the information retrieval displays)

Activities State PMO Is Expected to Perform

- Plan logistics for review (granting CMS access to state checklists and evidence no later than two weeks before review, arranging rooms, etc.) and manage review schedule

Workflow



The Life of Checklists

[Back to Life Cycle](#)

