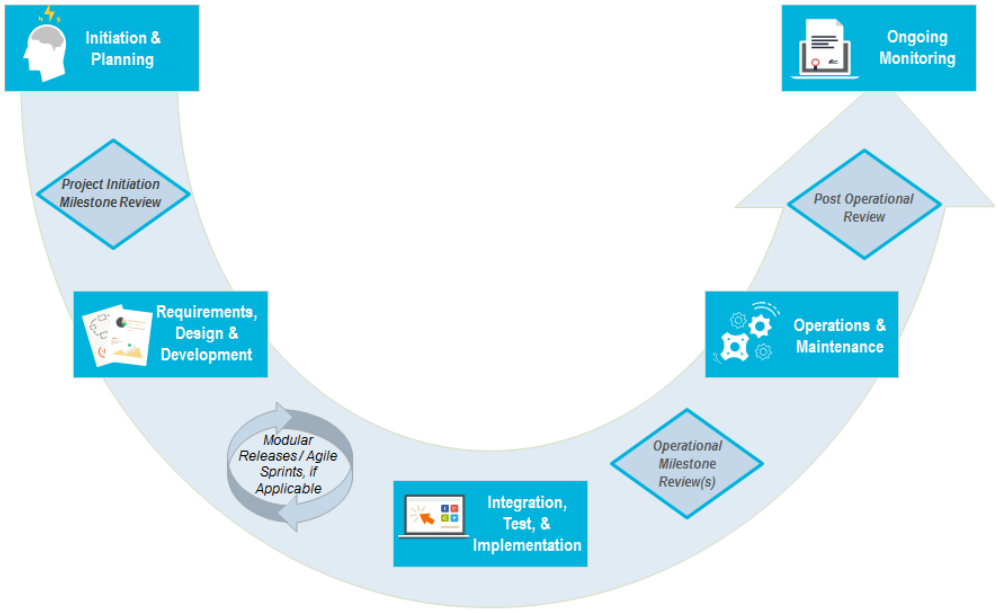
MEDICAID ELIGIBILITY & ENROLLMENT TOOLKIT

Artifacts List

August 2018



Issued by

Division of State Systems
Data and Systems Group
Center for Medicaid and CHIP Services
Centers for Medicare & Medicaid Services

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Category	Document/ Artifact	Minimum Content and Notes	R1 Project Initiation Milestone Review(s)	R2 Operational Milestone Review(s)	R3 Post Operational Review(s)
Project Management	State Goals & Objectives	• State goals and objectives	√		
MITA	MITA Technical Management Strategy*	• Document technical needs for sharing of State Medicaid Agency (SMA) services and information. See MITA, Part 3.	√ Due at R1 if using waterfall SDLC		√ Not due until R3 if using agile SDLC
MITA	MITA Data Management Strategy*	• Document technical needs for sharing of SMA services and information. See MITA, Part 2.	√ Due at R1 if using waterfall SDLC		√ Not due until R3 if using agile SDLC
MITA	MITA State Self-Assessment (SS-A)* & MITA Roadmap*	• As-is state • To-be state • Long-term milestones specified in quarters	√		√
Technical/ SDLC	Concept of Operations	• A narrative description of each identified component, including basic functions and the business area supported • A statement of security/interface and disaster recovery requirements	√		√
Financial	Implementation Advanced Planning Document*	• Requirements analysis • Feasibility study • Alternatives analysis, including use of service-oriented architecture and transfer of an existing system or an explanation of why such a transfer is not feasible • Cost allocation plan/methodology • Proposed budget • MITA SS-A, as an attachment • Customized checklists, if applicable	√		√

Category	Document/ Artifact	Minimum Content and Notes	R1 Project Initiation Milestone Review(s)	R2 Operational Milestone Review(s)	R3 Post Operational Review(s)
Security/ Privacy	State Security Policies/Security Plan*	• Strategies and state policies for handling privacy, security, and HIPPA compliance. These are overarching policies that the state should have in place even before the project begins.	√	√	√
Security/ Privacy	Privacy Impact Analysis*	• Use of personally identifiable information (PII) or personal health information (PHI) and a description of the types of data that will be collected • Sources of PII/PHI, populations, and transfer and disclosure mechanisms • Legal environment (legal authorities and state privacy laws) • Details about the entities with which the collected information will be shared • Privacy and security standards for its business partners and other third parties and the agreements that bind these entities • Incident handling procedures • Privacy and/or security awareness programs and materials for its workforce	√	√	√
Technical/ SDLC	New Medicare Card Program's (NMCP) State Readiness Report	• Latest copy of the NMCP State Readiness Report	√	√	√

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Procurement	Draft RFP	• Defined goals and objectives • To-be environment requirements (business, architecture, data), including reuse, interoperability, and modularity requirements • Requirements found within the checklists The following are highly recommended, if they are legally enforceable per state law: • 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 • Performance clauses	√		
Project Management	Project Management Plan	• Modularity plans • Reuse plans • Procurements plans • Plans to ensure quality • Plan for managing communications and stakeholders • System development life cycle (SDLC)	√	√	
Project Management	Schedule/ Milestones & Burn-down Charts	• High-level planning schedule (specified in quarters or months, depending on project length—no specific dates necessary until detailed system requirements are defined)—waterfall or agile	√	√	
Project Management	Risk Register/ Exception Plan	• In agile, risks may be captured in an Exception Plan • List of project risks and mitigation plans for each	√	√	

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Technical/ SDLC	Test Plan	For waterfall and agile: • Testing strategy (unit testing, functional testing, regression testing, integration testing, user acceptance testing, performance testing, manual and automated and/or scripted testing, disaster recovery and end-to-end integration testing of COTS products, if any) • Bi-directional traceability to requirements and design • Plans for preparing the test/staging environment • Test cases are added as design progresses Testing should be as automated and self-documenting as possible (e.g., continuous unit testing)		√	
Technical/ SDLC	Working module(s)	• Demonstrations of working software		√	√
Technical/ SDLC	Incident Management Plan	• What constitutes an incident, incident classifications, severity levels, and target times for resolution • Processes for reporting, logging, managing, and tracking incidents to resolution and closure • Process for communicating with affected stakeholders • Identification of an incident manager		√	√
Technical/ SDLC	Change Management Plan	• Identification of a change control board along with primary and backup members assigned • Categorization of change types (e.g., standard, emergency, etc.) • Processes for requesting, tracking, and performing impact analyses for each change request • Processes for deciding whether to approve changes and for verifying that changes were made correctly		√	√

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Technical/ SDLC	Database Design	• A record layout of each data store with data element definitions • An automatically generated record, if possible		√	√
Technical/ SDLC	Data Conversion/ Management Plan	• Elaboration of material in the MITA Data Management Strategy		√	√
Technical/ SDLC	Business Continuity/ Contingency/ Recovery Plan*	• Backup site/failover plan • Testing schedule • Business continuity plans (can be a separate document)		√	√
Technical/ SDLC	Test Reports/ Validated Product Reports	• Acceptance testing report for each user story/use case		√	√
Technical/ SDLC	System Design Document (SDD)	A SDD is not necessary for COTS products, but an interface design document (including APIs) is needed. The document should include: • A list of all local and off-site facilities • A network schematic showing all network components and technical security controls • Interface control documents • A description of each component, including basic functions and the business areas supported • Enterprise system diagrams, including all components, identifying all logic flow, data flow, systems functions, and their associated data storage • A bi-directional traceability to requirements and test plan		√	√

Category	Document/ Artifact	Minimum Content and Notes	R1 Project Initiation Milestone Review(s)	R2 Operational Milestone Review(s)	R3 Post Operational Review(s)
Technical/ SDLC	System Requirement Document/ Backlog of User Stories or Use Cases	Requirements/user stories and/or use cases for functional and non-functional requirements: • Business • Data • Capacity/performance • Security/privacy/HIPAA compliance • Usability • Maintainability • Interface • 508 compliance • Disaster recovery • Traceability to test plans or test cases		√	√
Technical/ SDLC	Product Documentation	• Operations manuals • Training materials • User guides • List of all system codes and explanations		√	√
Technical/ SDLC	Roll Out Plan	• Plan for rolling out the new or updated system to the users		√	
Security/ Privacy	HIPAA Statement*	• A statement that the system meets HIPAA requirements for transactions and code sets, privacy and security. This statement is in addition to the completion of all the HIPAA-related checklist criteria.		√	√

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Final Evidence	Production Screenshots, Reports, and Data	These represent types of checklist criteria evidence for R3. • A sample of production data and screenshots • A 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 that identifies the distribution of the reports and who can access the information retrieval displays) • The samples from six months of operating data			√

* Many of the artifacts in this list are information requirements derived from numerous regulatory and sub-regulatory sources including, but not limited to:

- Standards and Conditions for Medicaid IT (42 CFR 433.112), as expanded in Enhanced Funding Requirements: Seven Conditions and Standards (Medicaid IT Supplement, MITS-11-01-v1.0, April 2011) and State Medicaid Directors Letter #16-009 - Mechanized Claims Processing and Information Retrieval Systems – APD Requirements
- Minimum Acceptable Risk Standards for Exchanges (MARS-E), Version 2.0, which applies to exchanges or marketplaces, whether federal or state, state Medicaid agencies, Children's Health Insurance Program (CHIP) agencies, or state agencies administering the Basic Health Program
- State Medicaid Manual
  - Part 11 – Medicaid Management Information Systems
  - Part 15 – Medicaid Eligibility Determination and Information Retrieval System
- Medicaid Information Technology Architecture (MITA)