

CMS Issuer Technical Work Group



- *Housekeeping*
 - *Webinar Schedule*
 - *PY2020 All Issuer Testing*
 - *Enrollment Pre-Audit & Reconciliation*
- *ER&R*
- *Issuers and DE/EDE Partners: Security Discussion*
- *Q&A*

September 24, 2019

Sun	Mon	Tues	Wed	Thurs	Fri	Sat
01	02 Labor Day	03 CMS Issuer Technical Workgroup 3:00pm-4:30	04	05 Data Recon & Inbound 834/BAA Workgroup 12:30- 1:30pm	06	07
08	09	10 CMS Issuer Technical Workgroup 3:00pm-4:30	11	12 Data Recon & Inbound 834/BAA Workgroup 12:30- 1:30pm	13	14
15	16 CCIIO Enrollment Webinar(Policy Focus) 12:00pm-1:00pm	17 CMS Issuer Technical Workgroup 3:00pm-4:30	18	19 Data Recon & Inbound 834/BAA Workgroup 12:30-1:30pm	20	21
22	23	24 CMS Issuer Technical Workgroup 3:00pm-4:30	25	26 Data Recon & Inbound 834/BAA Workgroup 12:30-1:30pm	27	28
29	30 CCIIO Enrollment Webinar(Policy Focus) 12:00pm-1:00pm	October 1 CMS Issuer Technical Workgroup 3:00pm-4:30	02	03 Data Recon & Inbound 834/BAA Workgroup 12:30-1:30pm	04	05

Requesting Updates to the CMS Issuer Distribution List

The CMS Issuer Communications Distribution List sends e-mail messages pertaining to :

- ✓ Alerts on Deliveries for Enrollment Pre-Audit files; Enrollment Reconciliation Files; Open Enrollment Activities; IC834 Activities (Specifically processing schedules, delays in processing or reporting), and other alerts.
- ✓ Daily IMP1A status

The CMS Issuer Communications Distribution List sends e-mail alerts:

- ✓ Daily between 10:30 and 11:00 AM EST.

To add yourself to the distribution list:

- ❖ Send an e-mail to CMS_Issuer_Communications@cms.hhs.gov with the subject line:
"Add POC to Distribution List"

To remove yourself from the distribution list:

- ❖ Send an e-mail to CMS_Issuer_Communications@cms.hhs.gov with the subject line:
"Remove POC from Distribution List"

To add multiple contacts to the distribution list:

- ❖ Send an e-mail to CMS_Issuer_Communications@cms.hhs.gov with the subject line:
"Add POC to Distribution List"
- ❖ Include the email addresses of all desired contacts to be added in the body of your message

To remove multiple contacts from the distribution list:

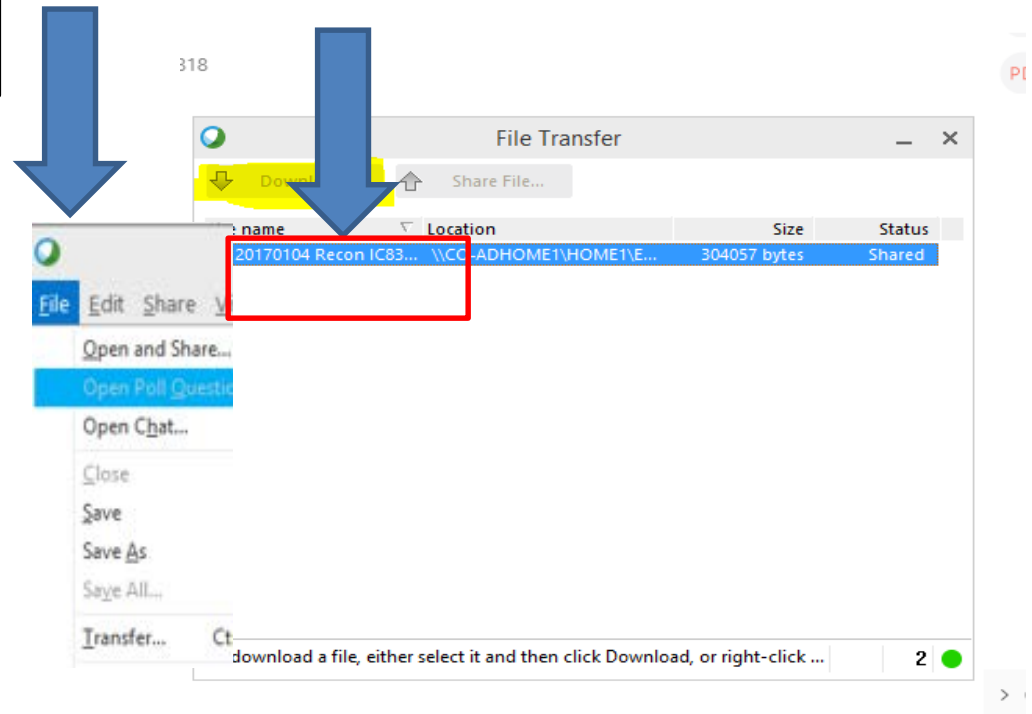
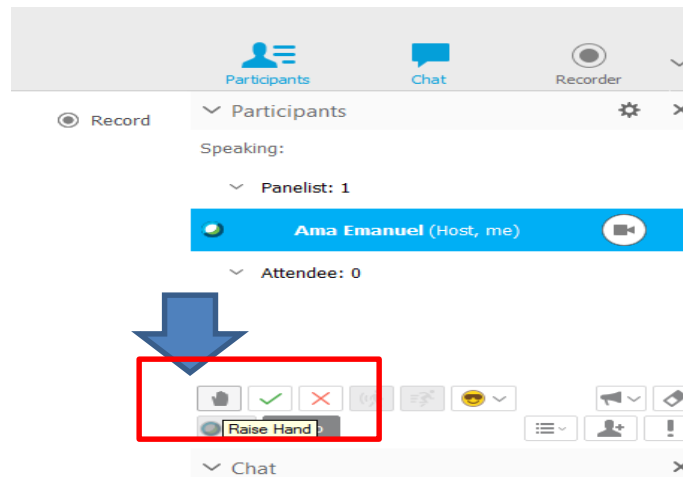
- ❖ Send an e-mail to CMS_Issuer_Communications@cms.hhs.gov with the subject line:
"Remove POC to Distribution List"
- ❖ Include the email addresses of all desired contacts to be removed in the body of your message

***PLEASE NOTE:** Any email addresses included in the body of your distribution requests may be subject to the action requested. Please ensure you omit any superfluous addresses not intended for receipt of your requested action (i.e. IT support distributions, alternate personal email, etc.)

Asking a Question/downloading the Meeting pdf slides in the Web-Ex Platform

To ask a question, please select the raised hand icon at the start of Q&A session. It is the icon at the bottom of the participant list. Please deselect by clicking on the hand again. This would apply whether you no longer have a verbal question or once our question is answered.

To download the pdf version of today's deck, open the "File Transfer" box on your screen. If not, please select "File, then "Transfer" and "Download" (as captured below.) The "Download" button will be grey.



Access to CMSzONE & the Private Issuer Community

User Access Quick Guide

A copy of the comprehensive User Access Quick Guide is posted on zONE @:

<https://zone.cms.gov/document/zone-access-troubleshooting> (pre-log in required to access zONE links)

Three audiences:

1. **New Users** (new to zONE & EIDM)
2. **Existing EIDM Users** (new user to zONE)
3. **Existing zONE Users** (unable to log-in since the EIDM transition)

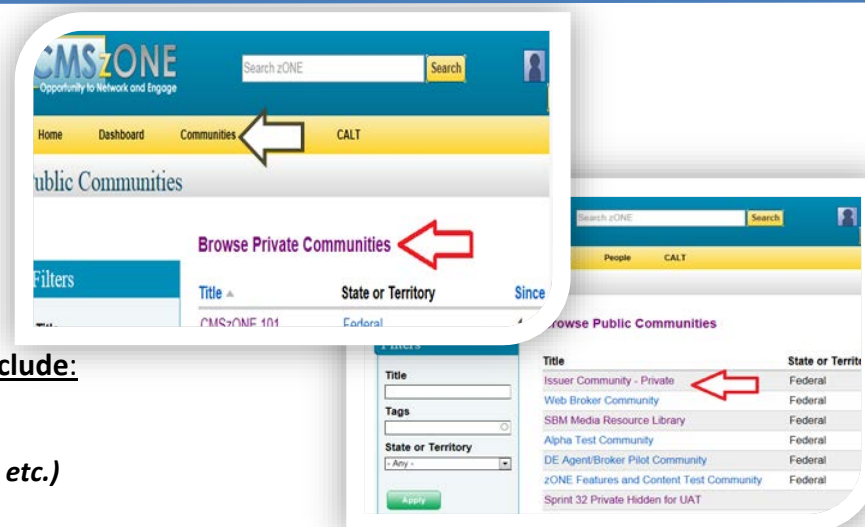
EIDM Registration Process: (Pre-requisite to CMSzONE Access)

1. Register for access at EIDM Enterprise Portal Here: <https://portal.cms.gov/>
2. Log in with your EIDM credentials and click on “Request Access Now”
3. Click on “Request New Access” and choose CMSzONE

CMSzONE Private Issuer Community

Access: (After being granted EIDM access)

1. Log into zONE; click on the **Communities** tab
2. Click **Browse Private Communities**
3. Click **Issuer Community – Private**
4. Click **Join Community**
5. Provide explanation of why you need access to this community; **Include:**
 - name and contact information
 - issuer POC contacts
 - specific work for issuer (i.e. fill out QHP templates, processing 834's, etc.)



Troubleshooting access to CMSzONE

REGISTRATION, PASSWORD RESETS, & FORGOTTEN PASSWORDS

- **New Users:** Registration & community approval are typically completed in 1-3 business days, if not sooner.

If you are unable to access zONE, and/or the issuer community after 3 business days you may email a follow up request to the helpdesk & the issuer communications team (addresses below) for an update. Please include any provided ticket numbers & applicable context for reference.

- **Existing zONE Users :** Password resets are also typically completed in 1-3 business days, if not sooner.

If your request is not completed after 3 business days, you may email a follow up request to the helpdesk & the issuer communications team (addresses below) for an update. Please include any provided ticket numbers & applicable context for reference.

ALL OTHER CMSzONE ACCESS ISSUES

Prerequisite Details

- Capture screenshots of any errors received so our teams can troubleshoot

☐ PC = Ctrl + PrtScn to capture, Ctrl + V to paste / Mac = Command+Shift+4 to capture & send to a desktop file

Email

- Provide screenshots and applicable prerequisite information above, in an email body, as follows:

- ❖ With the subject line: **“zONE Access Issues”**
- ❖ To: CMS_FEPS@cms.hhs.gov
- ❖ Cc: or Bcc: CMS_Issuer_Communications@cms.hhs.gov

Reminder: Supported Browser Versions

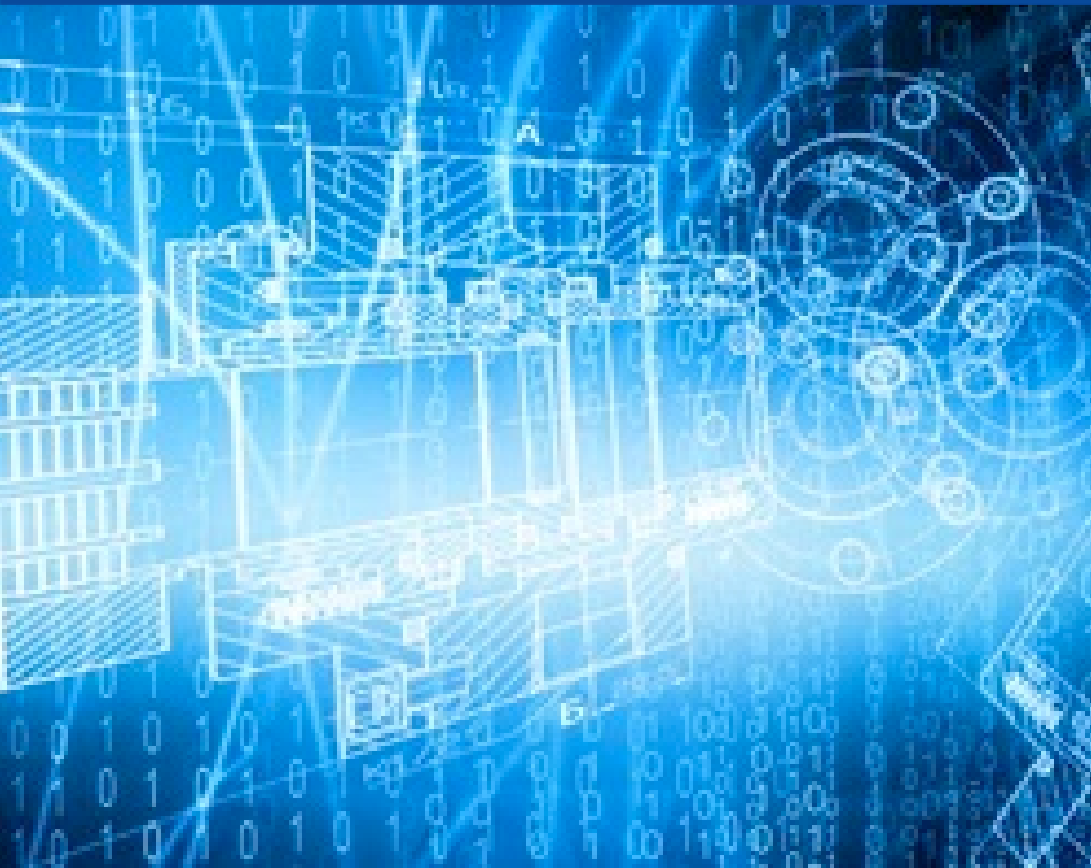
- ✓ Internet Explorer Version 9.0
- ✓ Internet Explore Version 10.0
- ✓ Google Chrome
- ✓ Safari

Follow-Up

- If the issue is not resolved within 3 business days, you may email a follow up request:

- ❖ With the subject line: **“zONE Access Issues : 3+day follow up”**
- ❖ To: CMS_FEPS@cms.hhs.gov & CMS_Issuer_Communications@cms.hhs.gov
- ❖ Include (where possible) explanation message, screenshots, ticket #(s) received, and number of days outstanding

PY2020 All Issuer Testing



*External Engagement
Team*

September 24, 2019

PY2020 Testing Links

- PY2020 All Issuer Testing is set to begin **Tuesday, October 1, 2019** and will be conducted in the UAT0 test environment
- In order to receive the new UAT0 links, each individual that would like to test will need to electronically sign the [PY2020 Confidentiality Agreement](#) via Google Docs
 - CMS considers it a **violation** of your Confidentiality Agreement to forward/provide the links to UAT0 to any other individual, including those within your organization
 - If you cannot access the electronic Confidentiality Agreement, please email IssuerAssistanceTesting@bah.com
- On the morning of testing, each individual who has electronically signed a Confidentiality Agreement will receive the new links to UAT0 from IssuerAssistanceTesting@bah.com
 - you must use your organization email and not a personal email account such as Gmail
 - Individuals who use a personal email will not receive the links to UAT0
- You will not receive an email with the new links to UAT0 prior to 10/1
- Links to UAT0 will be sent on a daily basis to individuals who sign the Confidentiality Agreement after 10/1 no later than 10 AM ET

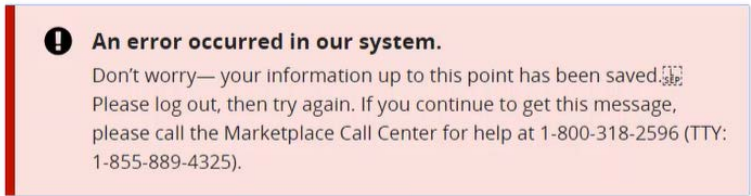
Testing Reminders

- CMS sends 834 files at 4:30 AM ET, 10:30 AM ET, 4:30 PM ET, and 10:30 PM ET
 - Testers should take time to confirm when their organizations internally aggregate 834 files
 - For example, one organization may compile 834 files once a day, others may aggregate continuously throughout the day
 - Understanding your process will help eliminate confusion regarding potential missing 834s
- You will be able to continue using existing applications that already exist in UAT0 as long as they were created after the AWS Cloud Migration
- Please ensure that testers are aware of how to correctly use RIDP/Account Creation data and Test Data
- Internally confirm when QHP templates and EDI registration forms were submitted to CMS
- Additional testing details will be provided on the next ITWG
- Questions should be sent to IssuerAssistanceTesting@bah.com and copy CMS_FEPS@cms.hhs.gov to ensure you receive a formal CMS Ticket

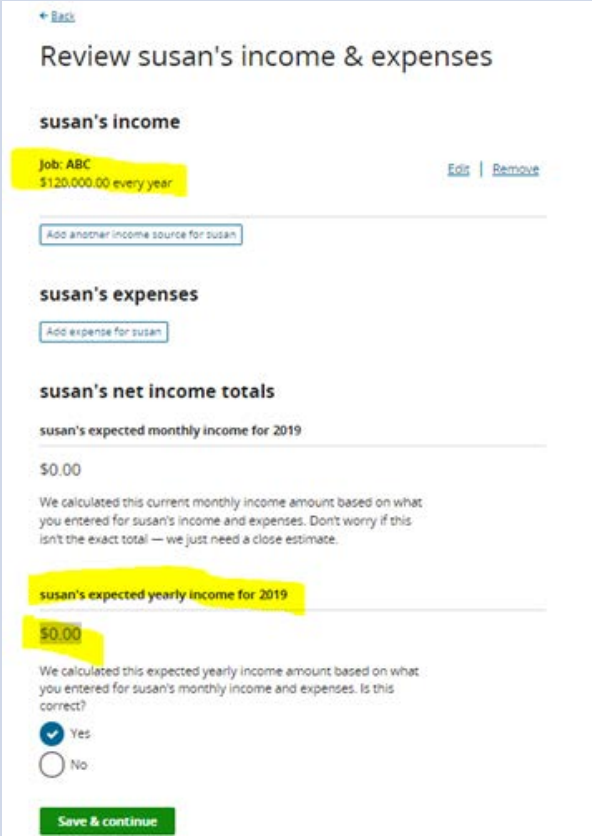
Key Takeaways

- UAT0 will reflect plan data submitted to CMS as of **9/18**
- Most of the application flow is now App 3.0
- RIDP/Account Creation
 - Reminder, **never** use SSN during RIDP, always leave it blank
 - RIDP test data has never changed
- Test Data
 - Test data from previous testing years can still be used
 - Testing in App 3.0 does **not** require an SSN
 - Updated test data guide will be posted later today and will be found on CMS Issuer Community landing page under “All Issuer Testing Materials” which will guide testers on how to select test data to use
 - CMS requires that testers use CMS test data, as we cannot guarantee the results of testing when testers use their own test data
- **Never use real information to test, such as your own information**

App 3.0/Plan Compare/Window Shopping Known Issues

Issue	Description	Workaround
Full time student flow is run upon CIC even If the parent lives in the application state	Seeing the below two questions, which are not expected when the applicant parent and child lives in same state of application. -Does [Applicant] have a parent or guardian living in [State of Application]? -Does Applicant go to School in [Application State]?	Answer additional questions per your test scenario
Red box error displayed when a coverage through one of the employers on the Job based coverage section is removed on CiC	Red box error is displayed on submission when a coverage through one of the employers on the Job based coverage section is removed on CiC.  ← Back Sign & submit I'm signing this application under penalty of perjury, which means I've provided true answers to all of the questions to the best of my knowledge. I know I may be subject to penalties under federal law if I intentionally provide false information. ☒ I agree to this statement.	None

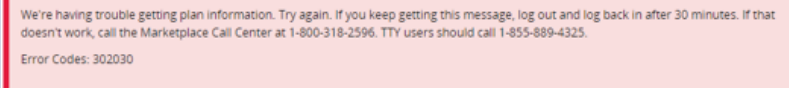
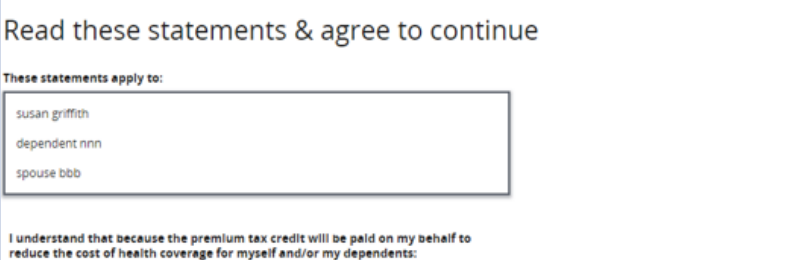
App 3.0/Plan Compare/Window Shopping Known Issues

Issue	Description	Workaround
In CIC: Expected yearly Income displays \$0 "This field is required" for primary applicant on Income page	Income: Issue: Expected yearly income for 2019 displays \$0- This field is required after applicant entered \$120k job income 	None

App 3.0/Plan Compare/Window Shopping Known Issues

Issue	Description	Workaround
Fix landing page layout/background image in IE11	The landing page does not look correct on IE 11. The layout is incorrect (goes across the entire screen, continue button is not next to ZIP code input) and the background image is not loading properly.	N/A; use a different browser (i.e. Chrome) for a cleaner landing page
User is sent back to enter ZIP code when time out modal appears	When a user navigates to the "Tell us about You" page and the "Are you still there?" time out modal appears, once they click "Continue" and enter their information (age + sex) they are taken back to the landing page and are asked to enter their zip code again. The expected behavior is that a user's zip code information would have been saved and they are taken to the next page.	This only seems to happen if the "Tell us about You" page is empty. If a user started to fill out these fields and then the "Are you still there?" time out modal appears, clicking "Continue" does not take the user back to the first screen.
Confusing error message in tribal income when negative rental income is entered	When there is negative rental or royalty income and if user enters positive tribal income, the error code is confusing even and cannot move to next screen without checking 'None of this income is tribal income'	None
Able to create two 2019 applications for same state	Able to create two 2019 applications for same state (should not be able to)	Do not attempt to create two applications for the same year in the same state in a single consumer account

App 3.0/Plan Compare/Window Shopping Known Issues

Issue	Description	Workaround
Date in the statement of Job-based coverage screen not correct	In job-based health coverage screen, there is a date in the statement as 'starting 1/1/2019, which is not correct, since this is 2019 app and is out of OE.	N/A. Note that although UAT0 will be configured to OE for All-Issuer testing, this issue may still be present for 2019 SEP apps.
Plan Results - filter facets disappear on refresh	On plan results page, select a metal filter (ex. "Silver"). Apply filters. Refresh the page. Open filters. Only checked metal filters appear.	None
Getting error 302030 in Read these statements & agree to continue page	Getting error 302030 in Read these statements & agree to continue page for the tested scenario. In Read these statements & agree to continue page seeing red box error with error code 302030.  	None; cause and scope under investigation

App 3.0/Plan Compare/Window Shopping Known Issues

Issue	Description	Workaround
Getting incorrect eligibility result in EDN	Getting incorrect eligibility result in EDN. -Your yearly household income (\$0.00) is too high for advance payments of the premium tax credit. Generally, households whose income for the year is between 100% and 400% of the federal poverty level for their family size may be eligible.	N/A; cause and scope under investigation
Discrepancy in APTC amount on Eligibility page and Plan compare	Discrepancy in APTC amount on Eligibility page and Plan compare (in some scenarios)	None
Window Shopping: 'View steps' is not displayed in every screen/No way to go back to to-do list after dental plan is selected	'View steps' should be displayed in every screen. This is not the case in grouping page, plan result page, dental page, document upload page, agree and confirm page, and plan confirmation page.	Be aware that during window shopping, you cannot navigate back to the to-do list from some screens.

Submitting a Testing Ticket

How to submit a testing ticket

- Email CMS_FEPS@cms.hhs.gov
- Use the specific subject line **“UAT0 All Issuer Testing: _____”**
 - Insert one of the functional areas, below, to illustrate where you found the issue
 - Missing 834
 - Incorrect 834
 - Account Creation/RIDP issue
 - DE: Agent/Broker Flow
 - DE: Consumer Flow
 - Environment Issue
 - Plan Compare Issue
 - Policy Question
 - Scenario Question
 - Request for Test Data

Please include the following information

- The correct, specific subject line as described above (typical example: “UAT0 OE PY2020 Testing: Missing 834”)
- Your contact information (e-mail and phone number)
- Name of organization, State, and 5-character HIOS ID (choose one if you cover multiple HIOS ID’s)
- The 9-character Application ID -write this down before completing the application
- 14-character QHP ID and Zip Code
- What browser (and version, if possible) you were using (e.g., Chrome, Firefox, Internet Explorer, etc.)
- The URL that you were using when you experienced the issue
- The Application ID for the application
- The test data that you were using, whether or not APTC was used, and other household information
- Any other control numbers as applicable
- Precise steps you took that resulted in the error or issue
- Do not include any PII and please insert in the body of the e-mail in bold: **“THIS IS TEST DATA”**
- Direct Enrollment issues: Please include the request/response XMLs for troubleshooting (Fetch Eligibility Request/Response & Submit Enrollment Request/Response)

Testing 101 Session

- The External Engagement Team will host two “Testing 101 Session” for testers who would like a refresher on testing, or new testers who would like a walk through of testing
- Session details include:
 - RIDP/Account Creation, App 3.0 question flow, Test data, 834’s
- Session details:
 - Date: Wednesday, October 2, 2019
 - Time: 1:00 PM – 2:00 PM EST
 - Dial In: 1-(877) 885-1087, Conference Code: 307 946 5525
 - Link for:
<https://bahmeetings.webex.com/webappng/sites/bahmeetings/meeting/info/139482161694688800?MTID=mc4f8d4c904a3c5d18d5e94108d7ed46d>

Housekeeping: Enrollment Pre-Audit & Reconciliation

Enrollment Pre-Audit & Reconciliation

September 24, 2019

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.

Issuer Enrollment Ops Training for 2020

- CMS has begun its series of training sessions targeted at Issuers new to the Marketplace for Plan Year 2020, any new Issuer personnel working with enrollment data, and any Issuer personnel interested in a refresher on the fundamentals of aligning enrollment data with the FFM
- The series kicked off last Wednesday, September 18th at Noon EDT and will continue each Wednesday for ***four*** more weeks
- Tomorrow's session (Wednesday, September 25th) will cover:
 - IC834 201: Submitting IC834s
 - Recon 101: Pre-Audit and Recon Fundamentals
- Registration is not required for this series; the following URL and dial-in information can be used to access the training sessions:
 - Webinar URL: <https://letsmeet.webex.com/letsmeet/k2/j.php?MTID=tac50c1449d39116a7e9145a8445c412d>
 - Password: PREOE
 - Dial-In Information: 855-829-8848, Conference Code: 738-173-865
- Tentative schedule for future Enrollment Ops Training sessions:
 - Week 3 (October 2nd): IC834 301, Recon 201/301
 - Week 4 (October 9th): Disputes 101
 - Week 5 (October 16th): UIR 101, EAPS 101

Housekeeping: Pre-Audit & Reconciliation

- **Prior Plan Years (2014-2018)**
 - The next set of 1095-A Consumer-Initiated Dispute Update (1095Ax) Files are scheduled for distribution to Issuers on Wednesday, October 2nd
- **Plan Year 2016**
 - Next month's 2016 FFM extract will be taken on Tuesday, October 15th at 6PM EDT
 - Comprehensive Enrollment Pre-Audit (AUD16) Files based upon that extract are scheduled for distribution to Issuers on Monday, October 21st
 - The RCNI16 submission deadline for the final scheduled 2016 off-cycle run is Wednesday, October 30th at 3PM EDT

Housekeeping: Pre-Audit & Reconciliation

- **Plan Year 2017**

- Next month's 2017 FFM extract will be taken on Tuesday, October 15th at 6PM EDT
- Incremental Pre-Audit (ISIPA7) Files based upon that extract are scheduled for distribution to Issuers on Friday, October 18th

- **Plan Year 2018**

- Next month's 2018 FFM extract will be taken on Tuesday, October 15th at 6PM EDT
- Incremental Pre-Audit (ISIPA8) Files based upon that extract are scheduled for delivery to Issuers on Thursday, October 17th

Housekeeping: Pre-Audit & Reconciliation

- **Plan Year 2019**

- The RCNI9 submission deadline for September's Run 10 was last Thursday, July 19th at 3PM EDT
 - RCNO9 Files are being distributed to Issuers this afternoon, Tuesday, September 24th
 - **Please note:** Run 10 is the **FINAL** reconciliation cycle prior to Batch Auto-Renewal for PY2020
- Next month's 2019 FFM extract will be taken on Tuesday, October 15th at 6PM EDT
- Comprehensive Enrollment Pre-Audit (AUD9) Files based upon that extract are scheduled for distribution to Issuers on Thursday, October 17th
- The RCNI9 submission deadline for October's Run 11 is Thursday, October 24th at 3PM EDT

ER&R

✓ *Topics*

- AM Approval for 2016 Disputes
- BAR First Round Deadline

✓ *Q&A*

September 24, 2019

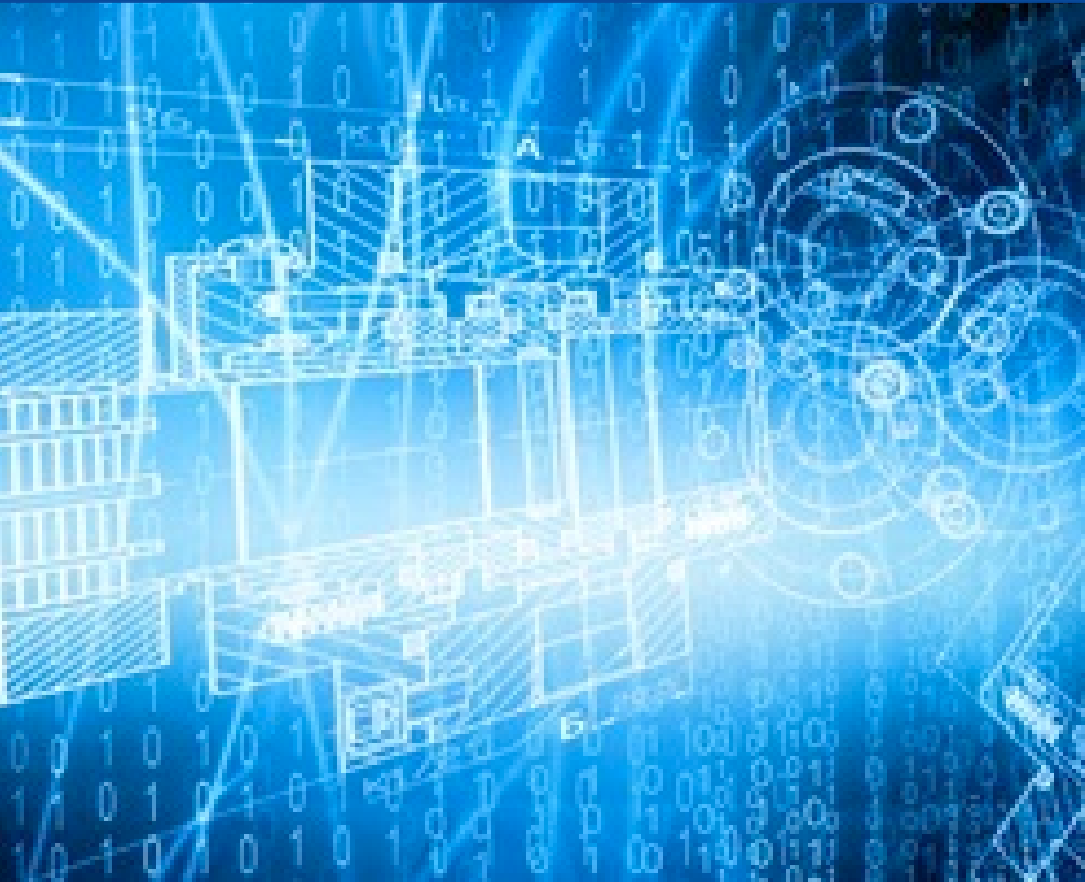
AM Approval for 2016 Disputes

- Following the 2016 off-cycle RCNO run, issuers may now submit 2016 disputes without AM approval until 3:00 PM ET on October 31st.
 - ER&R extended the deadline for submitting 2016 disputes without AM approval from the previous date of September 30th.
 - For corrections to be included in the October off-cycle run, issuers need to submit disputes on or before September 23rd.
- ER&R will require AM approval for 2016 disputes submitted after 3:00 PM ET on October 31st if the dispute does not include a supporting HICS case.
NOTE: AM approval is never required for disputes that include a supporting HICS case.

BAR First Round Deadline

- The initial round of Batch Auto-Reenrollment (BAR) is approaching.
- UIEs will not BAR due to lack of an FFM record. Issuers should encourage these consumers to enroll during Open Enrollment.
- The deadline to submit Enrollment Disputes for the changes to be present in the first BAR run was September 23rd.
- Incorrect enrollment information during BAR may result in additional discrepancies for issuers to address in 2020.
- Policies that are reinstated after BAR is complete will not be reenrolled, and the consumer will need to complete an enrollment for 2020 coverage.

Issuers and DE/EDE Partners: Security Discussion



Wednesday, September 24, 2019

Agenda

- EDE ISA Appendix B Data Sharing and Connection Form - Completion Guide
- Information Security and Privacy Continuous Monitoring (ISCM) Strategy Guide and Submission Requirements

Appendix B – Overview

- **What:** Appendix B is a description of the **data connections, functionality, and systems** between a primary EDE Entity and its upstream EDE Entities.
 - Primary entities must describe the information transmitted between primary and upstream entities (e.g., personally identifiable information [PII] data elements, enrollment information, eligibility information, 834s, etc.) and the privacy and security protections applied to such data (e.g. Memorandum of Understanding [MOU], Business Agreement, etc.)
- **Who:** Primary EDE Entities must complete this form
- **Action:** Entities will need to complete **all** sections of the form
- **When:** This form must be completed annually and **when onboarding a new upstream EDE Entity**

Primary entities should consolidate and include all their upstream entities regardless of entity type (e.g. Web-broker, Issuer).

Appendix B –

B.1 Upstream EDE Entities Overview

Table 7. Upstream EDE Entity Overview

Upstream EDE Entity	Entity Type	Partner ID(s)

- **Upstream EDE Entity:** Document all known or expected upstream EDE Entities and/or system name (if applicable)
- **Entity Type:** Provide the upstream EDE Entity type (e.g., issuer or web-broker)
- **Partner ID(s):** Provide the Partner ID(s) for the upstream EDE Entity

Appendix B –

B.2 Data Connections

Table 8: Interconnections and Data Exchange Between EDE Environment Provider and Upstream Entities

ID	Primary EDE Entity Organization Name/System Name	Upstream EDE Entity Organization Name/System Name	Connection Type	Information Being Transmitted	Data Sharing Agreement in Place	Data Direction	Comments
1							

- **ID:** Unique identifier for the row item to track items between Table 8 and Table 9, as applicable
- **Primary EDE Entity:** Organization Name/System Name
- **Upstream EDE Entity:** Document all known or expected upstream entities and/or system name (if applicable)
- **Connection Type:** IPsec VPN, SSL, Secure File Transfer, API, etc.
- **Information Being Transmitted:** Include:
 - Personally identifiable information (PII) data elements, enrollment information, eligibility information, 834s, etc.
- **Data Sharing Agreement in Place:** Briefly describe terms of the Agreement, parties to the agreement, data covered, and protection requirements for the data
 - Identify the types of agreements, e.g., the Memorandum of Understanding (MOU), Business Associate Agreement (BAA), Master Service Agreement (MSA), or Data Use Agreement (DUA).
 - Document the safeguard protection provision(s) within the agreement.
- **Data Direction:** Incoming, outgoing, or both
- **Comments:** Any additional comments to describe the data connection

Appendix B –

B.3 Additional Functionality or Systems (1:2)

Table 9: Additional Functionality or Systems

ID	Primary EDE Entity Organization Name / System Name	Upstream EDE Entity Organization Name / System Name	Additional Functionality	Comments
1				

- **ID:** Unique identifier for the row item to track items between Table 8 and Table 9, as applicable.
- **Primary EDE Entity:** Organization Name/System Name
- **Upstream Entity:** Document all known or expected upstream entities and/or system name (if applicable)
- **Additional Functionality/Systems:** For each applicable arrangement, indicate whether the primary EDE Entity's environment integrates with any functionality or systems owned, controlled, managed, or accessed by the upstream EDE Entity that exists outside of the boundaries of the audited, primary EDE Entity's EDE environment. For any such functionality or system, indicate the data transferred between the external environment and the EDE environment (e.g., data regarding data matching issues, special enrollment period verification issues, and enrollment status).
- **Comments:** Any additional comments to describe the data connection.

Appendix B –

B.3 Additional Functionality or Systems (2:2)

- CMS provides several, non-exhaustive examples of potential additional functionality or systems:
 - **Example Scenario 1:** An upstream EDE Entity collects initial data from a consumer on its system for the purposes of completing an eligibility application or to display health insurance options or QHPs (e.g., plan selection), and then may redirect the consumer and/or their data to the primary EDE Entity for completing the eligibility application or enrollment experience.
 - **Example Scenario 2:** An upstream EDE Entity provides a plan selection and enrollment process separate from the primary EDE Entity's EDE environment.
 - **Example Scenario 3:** An upstream entity provides the agent/broker identity proofing implementation on its own system. Agents and brokers then use the primary EDE Entity's EDE environment to assist consumers.
 - **Example Scenario 4:** An upstream entity retrieves, stores, transfers, or manages consumer data obtained or collected through the primary EDE Entity's EDE environment on the upstream entity's own system (e.g., data stored in a customer relationship management software).

Appendix B –

B.4 Data Flow/Topological Diagram

- **Description:** The EDE Entity must describe the flow of data in and out of the Primary EDE Environment and Additional Systems/Functionality system boundaries.
 - Describe the safeguard measures implemented and encryption methods used at all entry and exit points in the data flow.
- **Diagram:** The EDE Entity must include a data flow/topological diagram which represents the data flow in and out of the Primary EDE Environment and Additional Systems/Functionality system boundaries.
 - Ensure that all firewalls, IDS/IPS, ports, and protocols are represented in all network segments of the diagram.
 - If necessary, include multiple data flow/topological diagrams.

Appendix B – Submission

- This form must be completed annually and **when onboarding a new upstream EDE Entity**
- The primary EDE Entity must complete Appendix B and return it via the Secure Portal to CMS
- Please contact DE Support (directenrollment@cms.hhs.gov) with any questions

Information Security and Privacy Continuous Monitoring (ISCM) - Overview

- The ISCM Strategy is for **approved** EDE Entities.
 - This includes all primary EDE Entities and any upstream EDE Entities that submitted a supplemental privacy and security audit to document the compliance of any additional systems or functionality.
- The ISCM Strategy Guide provides the minimum reporting requirements to CMS in order to maintain ongoing CMS Request-To-Connect (RTC) authorization and approval including the completion of an annual assessment of security and privacy core controls.
- Once a prospective EDE Entity receives CMS RTC approval and authorization, approved EDE Entities must adhere to the continuous monitoring reporting requirements in the ISCM Strategy Guide which includes the completion of an annual assessment of security and privacy core controls described in the ISCM Strategy Guide.
- **Prospective EDE Entities** should be implementing an internal information security and privacy continuous monitoring program as part of comprehensive cybersecurity best practices.

Reporting and Submission Requirements

- **Quarterly – Plan of Action and Milestones (POA&M) submissions by the last business day of:**

- March
- June
- September
- December

Note: Unless there are outstanding weaknesses for which CMS would require monthly submissions until all major significant or major findings are resolved.

- **Annual (by the last business day of September):**

- Annual Security and Privacy Assessment Report (SAR) of the CMS defined subset of security and privacy core controls
- Annual Penetration test results during reauthorization
- Annual System Security and Privacy Plan (SSP) updates
- Most recent three (3) months of the vulnerability scans
- POA&M updates

ISCM – Internal EDE Activities

- In addition to the CMS reporting requirements, the approved EDE Entity must maintain the following internal activities:
 - **Monthly:**
 - POA&M updates
 - Vulnerability scans
 - **Quarterly:**
 - Continuous monitoring reports should follow the reporting requirements identified in EDE SSP CA-7 Continuous Monitoring control
 - **Annual:**
 - Annual System Security and Privacy Plan (SSP) updates

Refer to the ISCM Strategy Guide Table 2, for a comprehensive list of internal EDE Entity activities. An “X” in the “NEE-Authored Deliverable” column indicates an internal EDE Entity activity.

Scope of the Annual Assessment

- The approved EDE Entity is required to have an Auditor perform an annual assessment of a subset of the overall security and privacy controls implemented on the approved EDE environment documented in the ISCM Strategy Guide Table 3.
- The CMS ISSO may select **additional** controls for testing to assess the security and privacy risk posture based on evolving threats, demonstrated weaknesses, and any potential changes to the approved EDE environment.
- The CMS ISSO has the option to **vary** the total number of controls tested that is commensurate with the level of risk.

Vulnerability Scans

- The EDE Entity is expected to conduct monthly vulnerability scans for their IT system(s).
- The EDE Entity must submit the last three (3) months of vulnerability scans to CMS for review.
- All findings from vulnerability scans are expected to be consolidated in the monthly POA&M.
- Like findings can be consolidated.

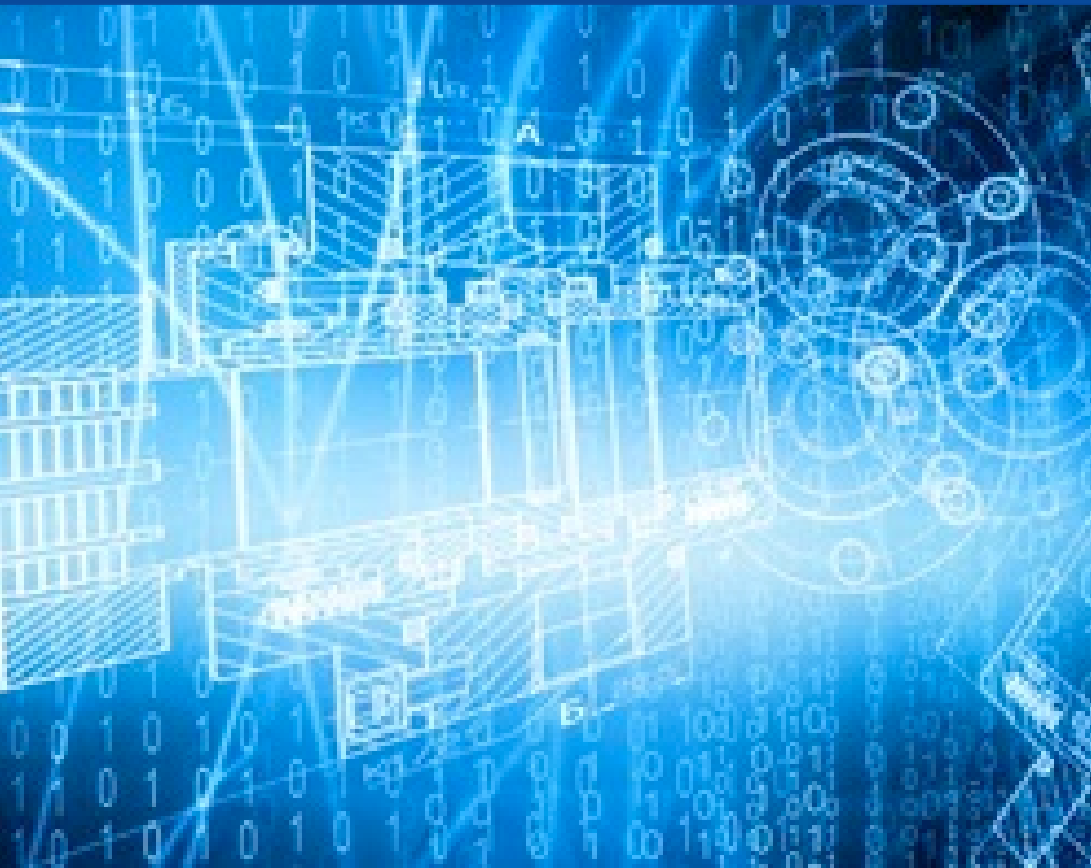
POA&M updates

- Ensure all open findings from the SAR have been incorporated into the POA&M
- Explain if and how findings from the SAR were consolidated on the POA&M; include SAR reference numbers if applicable
- Reference weakness source in detail to include type of audit/assessment and applicable date range
- Provide a comprehensive description of weakness finding to include location/server/etc., if applicable
- Ensure Scheduled Completion Dates, Milestones with dates, and appropriate risk levels are included
- Monthly reviews and updates are **REQUIRED** until all the findings are resolved based on the findings from security controls assessments, security impact analyses, and continuous monitoring activities described in the EDE SSP controls CA-5 and CA-7. DE Entities can schedule their own time for monthly submissions of the POA&M, but must submit an update monthly.

Q&A



CMS Issuer Technical Workgroup Call Appendix



To view the full Appendix, please visit CMSzONE at the following url:

https://zone.cms.gov/system/files/documents/issuer_technical_slides_appendix_a_2018_3_20_v1.pdf

Updating Contact Information for the Marketplace

September 10, 2019

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.

New Series for the CMS Issuer Technical Workgroup Call (Series III)

The Tuesday Issuer Technical Workgroup started a new series on today Tuesday, August 6, 2019 at 3:00 PM EST.-

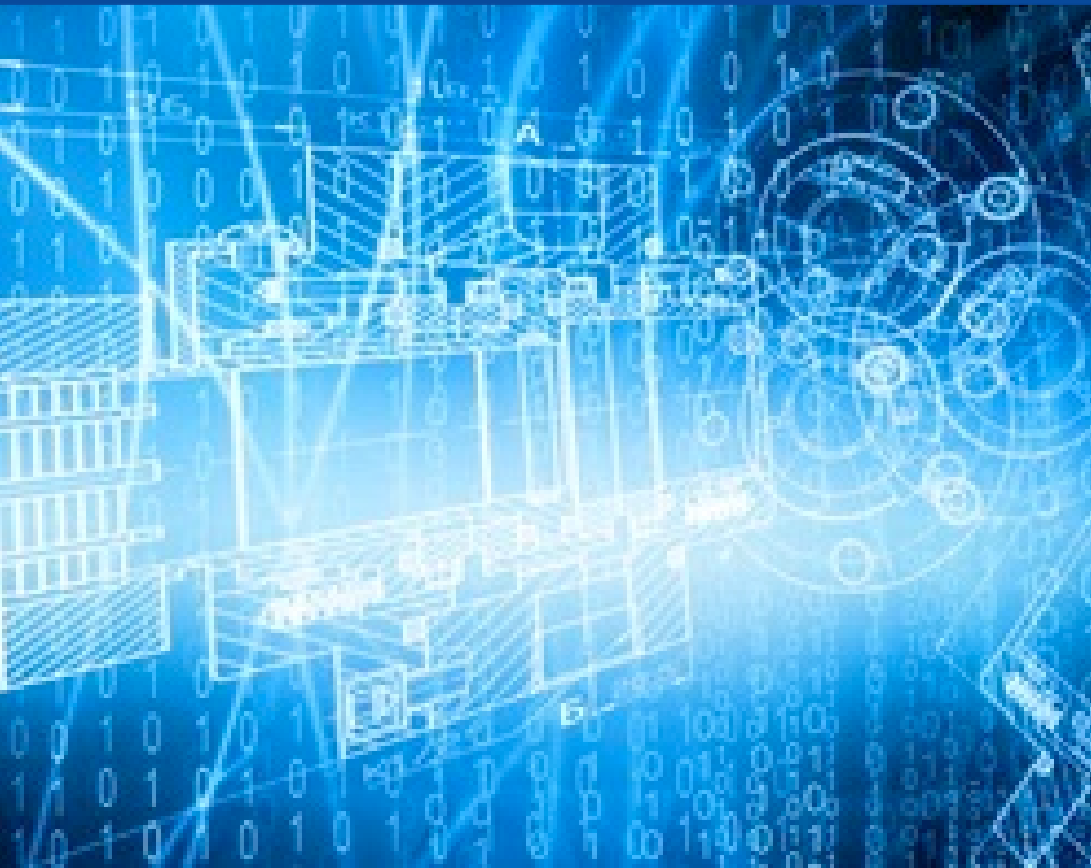
If you have not already; please register here <https://meetings-cms.webex.com/meetings-cms/k2/j.php?MTID=t1ee33e596961101e4a00ce2fdd928fce> one time for the entire Tuesday Issuer Technical Workgroup Call Series III (through February 26, 2020).

Once the host approves your registration, you will receive a confirmation email with instructions for joining the session.

- Please continue to use the Thursday Recon-IC834 Workgroup call registration that they have stored and receive e-mail updates from messenger@webex.com. For reference registration information is below:

Note: CMS will continue to keep call participants informed of any further changes of the Cisco Web-EX platform.

Updating Contact Information for Marketplace Issuers

- 
- **New Series for the CMS Issuer Technical Workgroup Calls**
 - **Requesting Updates to the CMS Issuer Distribution List**
 - **Issuer Notifications: Updating IC834 Contacts**
 - **2018 Prep: Updated Recon Technical Contacts Needed**
 - **2018 Prep: Updated ER&R Contacts Needed**

September 10, 2019

Issuer Notifications: Updating IC834 Contacts

Inbound834 (IC834) Contacts

- Issuer Organization and Clearinghouse members may be contacted through Inbound834@bah.com with notifications for high volume failure, low success rates, and summary reports based on weekly Inbound 834 submissions
- CMS encourages Issuers to identify key technical POCs to receive both outreach communications and performance reports so any errors received for failed transactions can be corrected and resubmitted for application in the Marketplace
- To update the contact list for your HIOS IDs (add or remove members), please follow one of the two options listed below:
 - Create and send an updated EDI onboarding form or;
 - Send an e-mail to Inbound834@bah.com with the new contact addresses

2019 Prep: Updated Recon Technical Contacts Needed

Enrollment Data Reconciliation Technical Contacts

- Reconciliation Technical Contacts for your organization will be contacted by CMS resources in regard to any technical issues identified in Issuer-submitted Inbound Reconciliation (RCNI) Files
- Please designate a primary and secondary contact or group e-mail address to ensure any issues can be addressed in a timely fashion
- To submit the Enrollment Data Reconciliation Technical Contacts to CMS:
 - Send an e-mail to the Help Desk (cms_feps@cms.hhs.gov) with the subject line “RECONCILIATION – TECHNICAL CONTACTS”
 - Please include the name, e-mail address, and business telephone number for each contact provided

2019 Prep: Updated ER&R Contacts Needed

Enrollment Resolution & Reconciliation (ER&R) Contacts

- Cognosante, the Marketplace Enrollment Resolution & Reconciliation (ER&R) contractor, will be responsible for conducting analysis to resolve discrepancies between data provided by Issuers and FFM data
- As direct contact with the Issuers may often prove to be the most reliable method of resolving issues, CMS is requesting that each Issuer provide a primary and secondary contact with whom the ER&R contractor can have direct communications
- If there are distinct contacts for different lines of business within the Issuer organization, please clearly identify which contacts are appropriate for each HIOS ID and/or QHP ID
- The requested contacts are to be individuals able to assist in resolving conflicts with member information; **these individuals are more likely to be business end-users rather than EDI or IT representatives**
- To submit the Enrollment Resolution & Reconciliation Contacts to CMS:
 - Send an e-mail to the Help Desk (cms_feps@cms.hhs.gov) with the subject line "RECONCILIATION – ERR CONTACTS"
 - Please include the name, e-mail address, and business telephone number for each contact provided

Register for QHP Certification Updates

CMS sends updates and information during the certification period in several ways:

REGTAP

- Register for the [REGTAP portal](#) to get CMS technical assistance related to Marketplace and Stabilization programs that are not a part of the Marketplace Plan Management Group (MPMG). Registered users can access the library training resources, webinars, and the inquiry tracking and management system.
- Registered REGTAP users who are affiliated with an issuer organization and elect to receive notifications will automatically be subscribed to *Issuer Insights*, a bi-weekly e-newsletter that highlights upcoming deadlines, new trainings and webinars, and updates on guidance.

Application Notices

- CMS will send information about your specific application and needed corrections directly to each issuer during the QHP certification period.

HIOS Blasts

- To get QHP Application and certification announcement blasts from HIOS, make sure your contact information in HIOS is current and accurate.

Source - <https://www.qhpcertification.cms.gov/s/Register%20for%20Updates>

Plan Management QHP Certification Updates

Contact Information in HIOS

Add New Contacts

- In order for a contact to receive these notices, they must be assigned to the role of QHPValidator, QHPAttester, or QHPSubmitter in HIOS. For instructions on adding these roles, see section 5 of the Plan Management QHP Modules HIOS Quick Reference Guide.

Remove Contacts

- To remove contacts from the distribution list or from your organization, contact the Marketplace Service Desk (MSD) Help Desk at CMS_FEPS@cms.hhs.gov and use the language specified below.
 - Remove contacts from notice distribution list: Use the subject line “HIOS User Roles” and the following language: “Please remove contact: [Full Name], [Email Address], from the roles of QHPValidator, QHPAttester, and QHPSubmitter for issuer ID [XXXXX].”
 - Remove contacts from issuer organization: Use the following language: “Please remove contact: [Full Name], [Email Address], from all HIOS user roles associated with issuer ID [XXXXX].”

For a list of QHP Application Notices sent during QHP Certification:

<https://www.qhpcertification.cms.gov/s/QHP%20Application%20Notices>

HIOS Quick Reference Guide:

<https://www.cms.gov/CCIIO/Resources/Forms-Reports-and-Other-Resources/Downloads/HIOS-PF-QuickGuideProd-000100.pdf>

Source - <https://www.qhpcertification.cms.gov/s/Register%20for%20Updates>

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.