

Technical Guidance for Conditionally Approved Vendors of Plan Year 2021 Federally-facilitated Marketplace Agent and Broker Training

February 10, 2020

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1.0 INTRODUCTION

The Centers for Medicare & Medicaid Services (CMS) developed this document, titled “Technical Guidance for Conditionally Approved Vendors of Plan Year 2021 Federally-facilitated Marketplace (Marketplace) Agent and Broker Training” (hereafter “Technical Guidance”), to provide direction on the information technology (IT) and system requirements to which each vendor is required to adhere prior to allowing users to access its learning management system (LMS). This document includes detailed information on the technical requirements for accessing vendor training through the CMS Enterprise Portal, enrolling in and completing agent and broker training on the vendor’s website, directing learners back to the Marketplace Learning Management System (MLMS) to complete the CMS registration process, and testing the end-to-end IT functionality of the vendor’s system. Vendors are encouraged to review this document in detail and may send questions about this guidance to the Center for Consumer Information and Insurance Oversight (CCIIO) Vendor Training Mailbox (AgentBrokerVendor@cms.hhs.gov).

2.0 TECHNICAL PROCESS OVERVIEW

Each vendor is expected to complete and successfully test the integration of cross-system services between the vendor’s training system, the MLMS, and the CMS Enterprise Identity Management system (EIDM) before it is officially approved to offer Marketplace¹ training for agents and brokers.

- EIDM allows users to apply for, obtain approval of, and receive a single user ID for accessing multiple CMS applications. Through EIDM’s CMS Enterprise Portal, agents and brokers can create accounts, conduct identity proofing, access training, and complete registration with CMS.
- The MLMS is the platform that CMS uses to host Marketplace training for agents and brokers and house training registration data.

All agents and brokers completing vendor training must begin the process by logging into the CMS Enterprise Portal, which is hosted by EIDM. From the CMS Enterprise Portal, agents and brokers can choose to complete training through the MLMS or through a CMS-approved vendor. If an agent or broker selects a vendor to complete Marketplace training from the Training Options Page, the agent or broker will be securely redirected to the vendor’s LMS via Security Assertion Markup Language (SAML) to facilitate single sign-on (SSO) functionality. The SAML includes an EIDM-generated globally unique identifier (GUID). This system-generated, alphanumeric identifier cannot be modified and is not known or accessible to the user. Its sole purpose is to allow the vendor to identify learners returning to its LMS.

After an agent or broker completes training, the vendor must transmit training completion data to the MLMS via both an Extensible Markup Language (XML) Gateway Web Service call and Electronic File Transfer (EFT).

¹ When used in this document, the term “Health Insurance Marketplace®” or “Marketplace” refers to Federally-facilitated Marketplaces (FFMs), including FFMs where states perform plan management functions, as well as State-based Marketplaces on the Federal Platform (SBM-FPs). “Health Insurance Marketplace” is a registered trademark of the U.S. Department of Health & Human Services.

- The Web Service call must create a Simple Object Access Protocol (SOAP) message that feeds into the MLMS via the XML Gateway. This is the primary method for transmitting training completion data to CMS and should occur immediately upon completion of an agent or broker training curriculum.
- Vendors must also submit training completion data via EFT. This process occurs in parallel to the XML Gateway Web Service call and should be transmitted to CMS on an hourly basis. The MLMS will consume EFT data through the EFT server (CMS will provide appropriate login credentials and an Internet Protocol (IP) address).
- For both the XML Gateway Web Service call and EFT, training completion data must include a vendor identifier, curriculum identifier, plan year, language identifier, and GUID.

When an agent or broker has completed training and the requisite data has been transmitted to CMS, the agent or broker is then redirected to the CMS Enterprise Portal to complete the registration process on the MLMS. Vendors must be able to track successful and unsuccessful transmissions through both the EFT and XML Gateway Web Service call.

Exhibit 1 and 2 outline the technical process flow for completing training and registration. The exhibits also indicate which steps require an IT build on the part of the vendor. Additional detail is provided in the subsequent sections of this document: “Section 3.0: Completion Training with a CMS-Approved Vendor” and “Section 4.0: Completing Registration on the MLMS.”

Exhibit 1: Technical Process Flow – Completing Training with a CMS-Approved Vendor

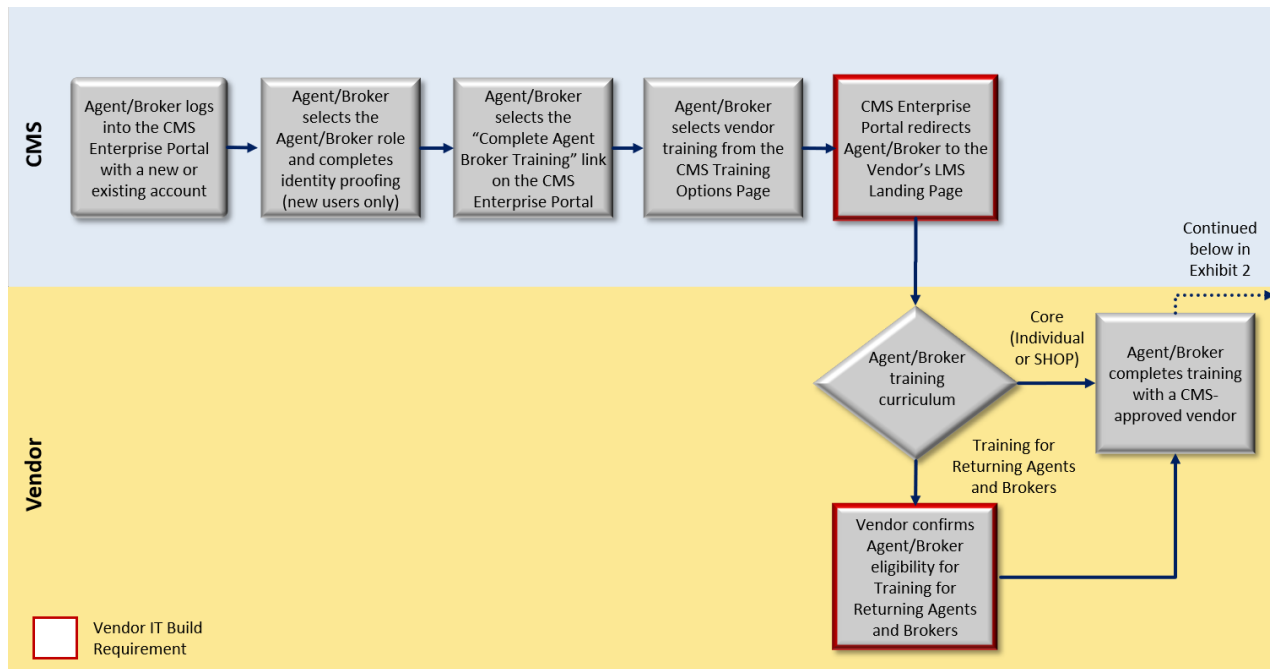
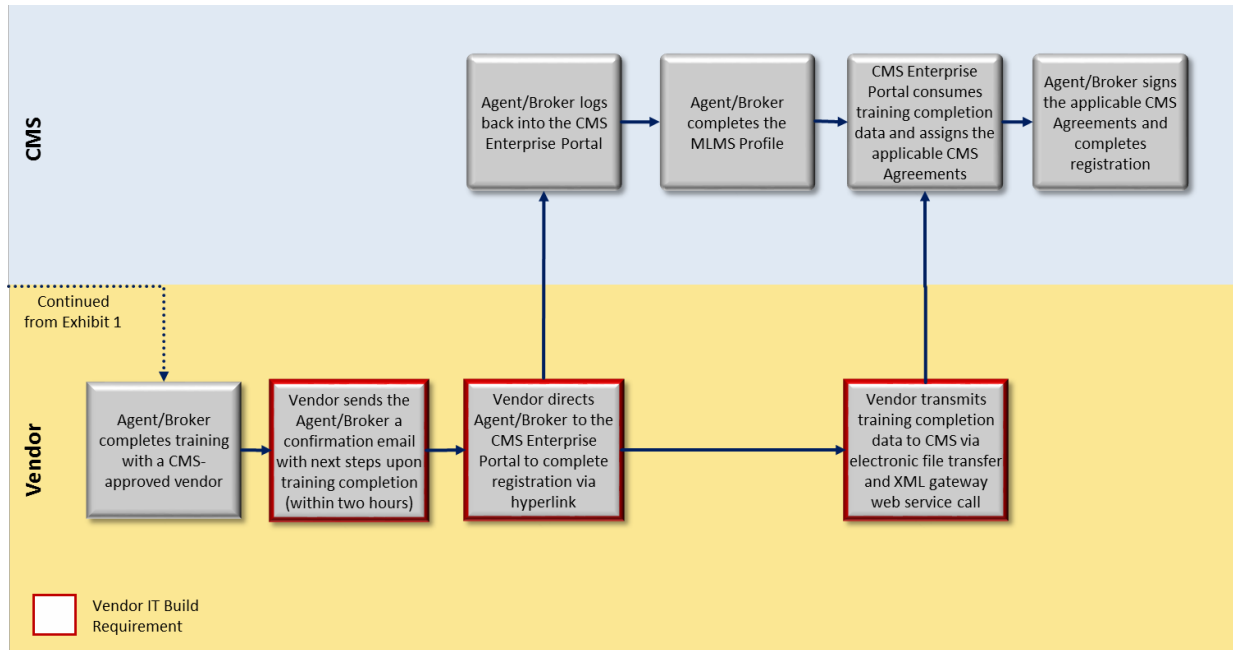


Exhibit 2: Technical Process Flow – Completing Registration on the MLMS



3.0 COMPLETING TRAINING WITH A CMS-APPROVED VENDOR

All agents and brokers completing Marketplace training and registration for plan year 2021 must begin the process by logging into the CMS Enterprise Portal using a new or existing account. Agents and brokers will select the Agent/Broker role and complete identity proofing with EIDM via the CMS Enterprise Portal. They will then be directed to the CMS Agent/Broker Registration Status page (hereafter “Status Page” – see Exhibit 3) within the CMS Enterprise Portal.

Exhibit 3: Screenshot of Agent/Broker Status Page

My Access
[Request New System Access](#)
[View and Manage My Access](#)
[Annual Certification](#)

Agent Broker Registration Status
Plan Year 2020
Please click the link below next to items marked 'INCOMPLETE' to register as an agent/broker for the 2020 plan year. If you have completed steps 1 and 2 below, Registration Complete should display at the bottom of the page. If your status is not accurate, please log out and log back in later. During busy periods, it may take 30 minutes or longer to finalize registration.

FFM - Agents and Brokers Role	Status
1. Complete Identity Proofing	Complete
2. Complete Agent Broker Training:	Incomplete
- Individual Market - SHOP	
3. Print Certificate(s)	Accessible after completing steps 1 & 2.

The Status Page, which is hosted by EIDM, will display a “Complete Agent Broker Training” link. Selecting this link will direct the user to the Marketplace Training Options Page (see Exhibit 4) that will allow learners to select either MLMS or vendor training.

Exhibit 4: Screenshot of Training Options Page

My Access
[Request New System Access](#)
[View and Manage My Access](#)
[Annual Certification](#)

Plan Year 2020 Agent/Broker Training Options
Agents and brokers have new options to complete Individual Marketplace and/or SHOP Marketplace training for the 2020 plan year. These include third-party vendors. Third-party vendor training may be approved for continuing education units (CEUs). Select “Learn More” next to each vendor’s listing to obtain information about pricing and CEUs. Please contact the vendor for more information, or if you are having difficulty accessing the vendor’s site.
CMS continues to offer training at no charge through its Marketplace Learning Management System (MLMS), but no CEUs are available through the MLMS.

- America’s Health Insurance Plans - Marketplace Learning Management System (CMS)	Learn More Access Training	Return to Training MLMSHelpDesk@cms.hhs.gov	800-984-8919
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[Return to Agent Broker Registration Status Page](#)

For each vendor, the Training Options Page will include:

- A “Learn More” link to the vendor’s Training Information Page (described in detail in Section 3.1);
- An “Access Training” link to the vendor’s LMS landing page for Marketplace training (described in detail in Section 3.2); and
- Contact information for each vendor’s Help Desk.

3.1 Requirements for the Marketplace Training Information Page

The vendor must create, host, and maintain a Marketplace Training Information Page that enables agents and brokers to make informed choices about the Marketplace training option they wish to utilize. The content displayed on the Training Information Page is subject to approval by CMS, but must at a minimum:

- Be accessible from the Training Options Page.
- Not include links to other websites.¹
- Direct the agent or broker to return to the Training Options Page to select a Marketplace training option.²
- Include pricing information for each of the vendor’s Marketplace training curricula (i.e., the Core Curriculum [Individual Marketplace, and Small Business Health Options Program (SHOP)], and Training for Returning Agents and Brokers).
- Include the states in which the vendor’s Marketplace training has been approved for CEUs and the number of credits associated with each Marketplace training curriculum (training must be approved for CEUs in at least five states where a Federally-facilitated Marketplace or State-based Marketplace on the Federal Platform is operating per 45 CFR 155.222(b)(2)).

The Information Page itself may be updated as frequently as the vendor wishes, but the URL for the Information Page must remain static, because no changes to the Status Page are anticipated.

3.2 Requirements for the Vendor’s LMS Landing Page for Marketplace Training

To ensure agents and brokers understand the Marketplace training and registration process, the user experience for learners completing Marketplace training on a vendor’s LMS must adhere to the guidelines outlined below.

- The landing page must allow for the creation of account credentials with the vendor, or utilization of existing account credentials, to facilitate payment, collect learner information, and enable the learner to return to the vendor’s LMS to complete training. After the creation or utilization of account credentials for those purposes, the learner must be presented with the selected Marketplace training curriculum.

¹ If the information to be included (i.e., about pricing and continuing education units [CEUs]) on the Information Page is already hosted on two different pages, the vendor may include links to those pages on the Information Page, subject to CMS approval.

² If the Information Page conforms to these requirements, the learner will have no option but to return to the Training Options Page (i.e., the Information Page should be a dead-end). However, to communicate to learners who may be confused about how to proceed, the Information Page should instruct learners to return to the Training Options Page (i.e., the page from which the learner accessed the Information Page).

- The vendor's landing page must provide a link and instructions to redirect the learner back to the Status Page within the CMS Enterprise Portal.³
- The landing page must display a CMS-approved disclaimer indicating the vendor's LMS is not operated by CMS.⁴
- Access to the Marketplace training on the vendor's LMS should only be available through the CMS Enterprise Portal via the Training Options Page. Vendors should not make the landing page accessible directly to learners.
- The vendor's landing page may facilitate the collection of information necessary to obtain payment for Marketplace training and establish the learner as a unique user on the vendor's LMS.
- The purchase of non-Marketplace training from the vendor on the landing page is permissible, but the completion of non-Marketplace training must occur during a separate session.⁵
- Non-Marketplace training that may be paid for on the landing page must be clearly labeled to indicate that it is not part of Marketplace training.

All LMS functionality, other than that described in this Technical Guidance, must be disabled or hidden to ensure learners redirected from CMS to complete Marketplace training are clearly presented with the Marketplace training they were seeking to complete.⁶ If the vendor's Marketplace training is not accessible to learners,⁷ but its LMS is operational, the vendor must provide notification of that fact to an agent or broker seeking to complete Marketplace training before collecting payment for such training. The vendor may provide information on the landing page about when its Marketplace training will become available, if it has that information.

3.3 Redirecting Agents and Brokers to the Vendor's LMS via SAML 2.0

Agents and brokers who select a vendor to complete Marketplace training must be securely redirected from the Training Options Page via a SAML 2.0 redirect to a landing page on the vendor's LMS. The SAML 2.0 redirect will include an EIDM GUID and data elements that identify the learner as an agent or broker seeking to complete Marketplace training.⁸ The only way users can access the landing page is through the CMS Enterprise Portal and this secure redirect will facilitate SSO functionality. In order to implement SAML, vendors must acquire a

³ The Portal homepage URL can be used for this purpose: <https://portal.cms.gov/>.

⁴ This disclaimer need not appear on the initial page the learner lands on after the redirect from the Portal, but must be displayed prior to the beginning of the vendor's training.

⁵ Vendors may package Marketplace training with other training options if they wish. To do so, vendors may require payment for all packaged training at the point that payment for Marketplace training is required. However, to ensure efficient completion of the Marketplace registration process, the vendor must require the non-Marketplace training be completed during a separate session in which the agent/broker logs into the vendor's LMS directly (i.e., not through the Portal).

⁶ CMS does not wish to constrain the vendor in terms of technical solutions that meet the specified requirements. In other words, there may be several ways the vendor could comply with the requirements stated in this subsection.

⁷ The reason Marketplace training is not accessible to learners may be as the result of scheduled maintenance, a partial system failure, or some other reason. The purpose of this requirement is to ensure learners who wish to complete training immediately do not provide payment and then discover training is not immediately available.

⁸ EIDM has a training access role for agents and brokers that will serve this purpose.

Private Key Infrastructure (PKI) Certificate⁹ from CMS to secure all inbound and outbound communications. The PKI certificate must then be provided to the MLMS in order to generate a public certificate needed to continue web service integration. Additional technical specifications related to the SAML SSO, including the Interface Control Documents (ICDs), will be provided to the vendor during scheduled coordination meetings with CMS staff and contractors.

3.4 Validating an Agent's or Broker's Eligibility to Complete Training for Returning Agents and Brokers

For plan year 2021, vendors are required to offer Training for Returning Agents and Brokers, aimed at those who successfully completed Individual Marketplace training for plan year 2020.¹⁰

Vendors must develop business logic to ensure only eligible agents and brokers are able to complete Training for Returning Agents and Brokers (previously referred to as Refresher Training). To do so, the vendor must be able to gather an agent or broker's National Producer Number (NPN) in his or her account profile information and cross-reference that NPN against the Registration Completion List, which is publicly available at https://data.healthcare.gov/ffm_ab_registration_lists. If the agent's or broker's NPN is found on the Registration Completion List for Plan Year 2020, that user has completed all Marketplace registration requirements for plan year 2020 and is eligible to participate in Training for Returning Agents and Brokers for plan year 2021.¹¹

If an agent or broker is eligible for Training for Returning Agents and Brokers, that user must also be presented with the option to complete the Core Curriculum, regardless of any potential auto-enroll functionality.

3.5 Access to and Notification of Marketplace Vendor Training Status

Agents and brokers who start, but do not finish, Marketplace training on the vendor's LMS must have continuous access to the Marketplace training by logging into the vendor's LMS through the CMS Enterprise Portal in the same manner they originally accessed the vendor's Marketplace training. Access to the incomplete Marketplace training from the vendor's landing page must be as efficient as possible (i.e., requiring the fewest user actions or clicks possible).¹² Ideally, the landing page itself should display the Marketplace training status and enable the learner to resume the incomplete training without navigating to another page.

⁹ PKI certificates are typically updated annually depending on the certificate's expiration date. Vendors should track the expiration of their certificates and provide an updated version to CMS no less than two weeks prior to the expiration date.

¹⁰ Agents and brokers who completed Individual Marketplace training for plan year 2020 are eligible to participate in Training for Returning Agents and Brokers for plan year 2021.

¹¹ SHOP is not part of the Training for Returning Agents and Brokers curriculum. Agents and brokers interested in SHOP are required to sign the SHOP Privacy and Security Agreement in the MLMS to become certified. Taking the SHOP training is optional.

¹² The vendor shall not require the learner to repeat steps already completed (e.g., being asked to provide information the learner previously elected not to provide). However, the vendor may prompt the user to verify information the learner has previously provided to ensure it is current and accurate (e.g., email address), as well as provide notice of updates to its terms and conditions for the use of collected information.

The vendor shall provide periodic email notifications to learners who have paid for and/or started Marketplace training, but not completed it.

- At least one email notification shall be sent within 48 hours to a learner who has paid for, but not started Marketplace training.
- At least one email notification must be sent within 48 hours after a learner has started, but not finished Marketplace training.

The email notifications must include instructions, or easy access to instructions,¹³ that describe how the learner may access the vendor's LMS to complete Marketplace training. Vendors may send additional email communications to these learners as needed.

Upon the user's completion of Marketplace training, the vendor's system must display a notification with instructions on how to complete Marketplace registration on the MLMS.

4.0 COMPLETING REGISTRATION ON THE MLMS

Agents and brokers who utilize a vendor to satisfy the Marketplace training requirement must complete an MLMS profile and execute the applicable CMS Agreements on the MLMS to complete Marketplace registration. To facilitate this process, vendors must take the following actions once a learner successfully completes vendor training:

- Transmit training completion data to CMS;
- Redirect the learner to the MLMS to complete registration via a hyperlink on the vendor's training completion page; and
- Provide the learner with a training confirmation email, complete with detailed instructions and hyperlinks to complete registration.

4.1 Transmitting Training Completion Data to CMS

Upon a learner's completion of an agent or broker training curriculum, the vendor must transmit that learner's training completion data to the MLMS via 1) an XML Gateway Web Service call and 2) EFT. These data transmission methods are conducted in parallel to ensure that CMS receives all information from the vendors. The *AB_VENDOR_Completion_EFT_ICD.docx* will include general interface requirements such as record transfer specifications, and will describe inputs and outputs required from the system.

4.1.1 Transmitting Data via an XML Gateway Web Service Call

The XML Gateway Web Service call is the primary method used to transmit training completion data to CMS. The CMS CCIIO Point of Contact (POC) will provide the Web Service end point. Vendors must acquire and provide CMS with a PKI certificate and metadata file. Based on troubleshooting efforts conducted for plan year 2017, CMS recommends that vendors acquire

¹³ For example, via a link to instructions on the vendor's website.

this certificate from Symantec to ensure that the CMS infrastructure can properly authenticate the certificate.¹⁴

The Web Service call must create a SOAP message that is sent via Transport Layer Socket (TLS) to the XML Gateway, which then feeds into the MLMS. Training completion data must include a vendor identifier, curriculum identifier, plan year, language identifier, and GUID. For illustrative purposes, CMS has provided a sample training completion code below, where “V” is the vendor identifier, “I” indicates that the user completed Individual Marketplace Training, “18” represents the plan year, “E” indicates that the training was completed in English, and “Z715810BBXSDM8032W8S9DKEID091425” is the GUID generated by EIDM.

Example: VI18EZ715810BBXSDM8032W8S9DKEID091425

4.1.2 Transmitting Data via EFT

Vendors must implement an EFT process in parallel with the Web Service call. Vendors must submit EFT data to CMS on an hourly basis. Data must be transmitted as an XML file containing the requisite training completion data. This will include the EIDM GUID, vendor identifier, curriculum identifier(s) (i.e., Individual Marketplace and/or SHOP), completion date(s), language(s), and plan year. The EFT must be sent hourly during the next scheduled EFT after the curricula have been completed. The MLMS will consume the training completion files transmitted through the EFT server (see Appendix B: EFT Process Flow Diagram for Vendor Training). CMS will provide vendors with the required EFT server log-in credentials and IP address to complete the EFT process.

4.2 Redirecting Agents and Brokers to the MLMS to Complete Marketplace Registration

After completing vendor training and transmitting training completion data to CMS, an agent or broker must be redirected to the MLMS via a hyperlink (<https://portal.cms.gov/wps/myportal/cmsportal/mlms/training>) on the vendor’s training completion page. The MLMS will direct the agent or broker to the Status Page to ensure the completion of Marketplace registration. The vendor must consider alternate options to mitigate pop-up blockers to increase the success of agents or brokers completing registration. Sample language for the vendor’s training completion page is provided in Appendix C.

In addition, the vendor must send agents and brokers a formal email notification after they have completed a Marketplace training curriculum on the vendor’s LMS. This notification should provide instructions on how to complete the Marketplace registration process, which includes completing profile information and executing the applicable Agreement(s) on the MLMS. The instructions must include the MLMS URL (<https://portal.cms.gov/wps/myportal/cmsportal/mlms/training>) to enable learners to log directly

¹⁴ Certificates purchased from GoDaddy for plan year 2017 required extensive troubleshooting from both the vendors and CMS, resulting in delays to the implementation schedule. Vendors who purchased a GoDaddy certificate had to add a signing chain to the signed certificate for authentication to successfully occur.

into the MLMS. The content of this email is subject to CMS review and approval. Sample language is provided in Appendix D for reference.

The email notification should be sent after the Web Service call that includes the learner's training completion data. All curriculum completion email notifications must be sent no later than 24 hours after initiating the Web Service request that includes the curriculum completion data.

The status check initiated when an agent or broker lands on the Status Page will not verify the completion of training requirements until the learner has returned to the MLMS to complete the registration process. If training, execution of Agreement(s), identity proofing, and MLMS profile completion requirements are all satisfied, EIDM will provision the "FFM Agent/Broker" role to the learner and indicate that plan year 2021 registration is complete on the Status Page. The MLMS system architecture diagram has been included for reference purposes (see Appendix A: MLMS System Architecture Diagram for Vendor Training).

5.0 TESTING

To participate in the vendor training program, all vendors must successfully implement the technical infrastructure and processes described in Sections 3.0 and 4.0. To ensure proper functionality, all vendors must participate in extensive IT testing of their systems. CMS will distribute thorough test documentation that outlines the end-to-end testing process, to include a test plan, uses cases, and Functional Testing Checklist.

5.1 System Integration Testing

CMS requires that vendors independently complete system integration testing to ensure that their systems are integrated with EIDM and the MLMS. Vendors must successfully complete system integration testing before CMS will approve moving to User Acceptance Testing (UAT). CMS will provide each vendor with unique test accounts in the CMS Enterprise Portal (IMPL environment) using dummy data along with system integration test documentation to complete testing. Vendors must execute the Functional Testing Checklist and use cases assigned in the formal test plan and provide CMS with daily status updates on progress as requested in the test plan.

Vendors must complete end-to-end system integration testing and submit documentation of their findings to CMS for validation prior to UAT. Failure to do so will result in testing delays and could delay the vendor's final approval to launch Marketplace training for agents and brokers.

5.2 UAT

During UAT, CMS conducts exhaustive testing to confirm the functionality of CMS' and vendors' systems. Vendors must successfully meet each requirement in the Functional Testing Checklist and the use cases defined by CMS to complete UAT and receive final approval from CMS to proceed to the production environment. Prior to UAT, vendors must provide payment bypass information to CCHIO to prevent delays. CMS will schedule a WebEx meeting with each

vendor to conduct UAT in a shared working session to confirm access to the vendor's training landing page from the CMS Enterprise Portal, execute the Functional Testing Checklist, test the use cases for each specific vendor assigned in the formal test plan, and troubleshoot issues in real time as they arise.

5.3 Build Verification Testing (Smoke Testing)

CMS conducts high-level, non-exhaustive testing to verify that critical functions are active after deployment to the production environment. This build verification testing, or smoke testing, is done during the go-dark period for the MLMS, which occurs approximately 2 weeks prior to go-live. After the MLMS has gone dark, each vendor should notify learners that training is not currently active and they should not attempt to enroll until the specified go-live date.¹⁵ CMS will conduct a soft launch in Production several days before the training is publicly available to agents and brokers. Vendors must coordinate with CMS to ensure their end-to-end training and registration processes are functioning in Production prior to the soft launch date.

These high-level tests include, but are not limited to, the following primary vendor use cases:

- Completing all available curricula per vendor (e.g., Individual Marketplace, SHOP, Training for Returning Agents and Brokers)
- Verifying that training completion data is received by the MLMS via Web Service and EFT

CMS will conduct smoke testing to identify any functionality or readiness issues that vendors will need to fix after CMS confirms that vendors have met the entrance criteria for smoke testing. A vendor's failure to resolve issues identified during smoke testing by the specified deadline may delay the vendor's final approval and go-live.

6.0 NOTICE, CONSENT, AND USE OF COLLECTED INFORMATION

The vendor must provide easy access¹⁶ to its terms and conditions¹⁷ for the use of any information it collects. The vendor shall also require learners to actively consent to its terms and conditions for the use of collected information prior to the collection of such information.¹⁸ If the vendor collects information about the learner through means other than the entry of that information by the learner (e.g., via tracking cookies), that collection must be described in the terms and conditions referenced in this subsection. This informed consent requirement is described in detail in the Agent/Broker Vendor Agreement.¹⁹

¹⁵ For plan year 2019, the vendor's production site was not shutdown during go-dark, allowing users to access the site. Vendors must ensure that their production site is down during go-dark to prevent users from accessing the site.

¹⁶ "Easy access" could include a link to the vendor's terms and conditions for the use of collected information directly adjacent to a required action that the learner must complete prior to providing the information and accessing the vendor's FFM training.

¹⁷ References to "terms and conditions" include privacy notice statements.

¹⁸ For example, a check box adjacent to a consent statement that includes a link to the vendor's terms and conditions may have to be checked prior to proceeding.

¹⁹ Vendors should reference the plan year 2020 agreement until the plan year 2021 agreement is finalized and distributed.

If the vendor collects information for the purpose of contacting the learner to market its other services or products, and/or to share that information with third parties, the vendor must provide a separate notice or notices prior to the collection of the contact information. The vendor must allow the learner to easily opt-out of such marketing communications by taking an action at the same time and place the notice is provided.²⁰ The opt-out message shall clearly indicate that if the learner enrolls in the vendor's Marketplace training, the learner may not opt-out of notices and contacts from the vendor that relate specifically to the vendor's Marketplace training. This separate authorization requirement is described in detail in the Agent/Broker Vendor Agreement.

7.0 VENDOR ADMINISTRATOR CAPABILITIES ON THE MLMS

To facilitate self-service and help vendors troubleshoot issues reported by individual agents and brokers, CMS provides vendors with read-only Vendor Administrator access to the training completion data housed on the MLMS.

To access this data, the vendor must create a CMS Portal account, request access to the MLMS, and send a request to the "MLMS Admin POC" to be granted the "Vendor Admin" access role. See Appendix E: Quick Reference Guide to Requesting the Vendor Administrator Role for more detailed information on this process.

Vendor Administrators will be able to view training completion data that has been loaded into the MLMS database and run reports to ensure that their users' data is being properly consumed and recorded. This search functionality will include the following data points:

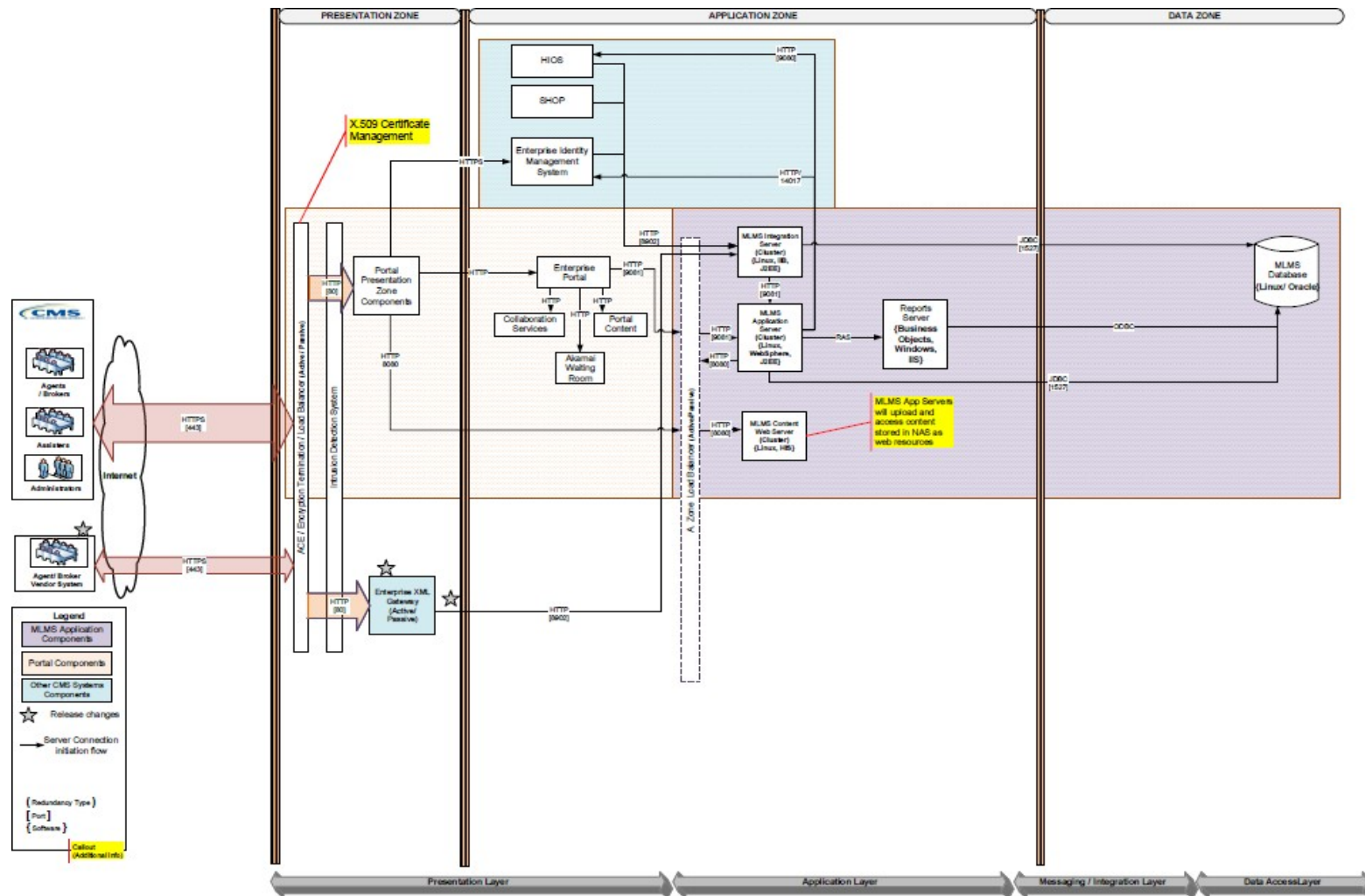
- First name
- Last name
- GUID
- Codes
- Curriculum Name
- Curriculum Status
- Curriculum Acquired on Date

For more detailed information on how to run Vendor Administrator reports, see Appendix F: Quick Reference Guide to Running Vendor Administrator Reports.

²⁰ For example, a statement describing the intended use (e.g., marketing or sharing with third-parties) of contact information could be displayed beside a check box allowing the learner to opt-out of having his or her information used for the purpose the vendor describes.

APPENDIX A: MLMS SYSTEM ARCHITECTURE DIAGRAM FOR VENDOR TRAINING

Exhibit 5: MLMS System Architecture Diagram for Vendor Training

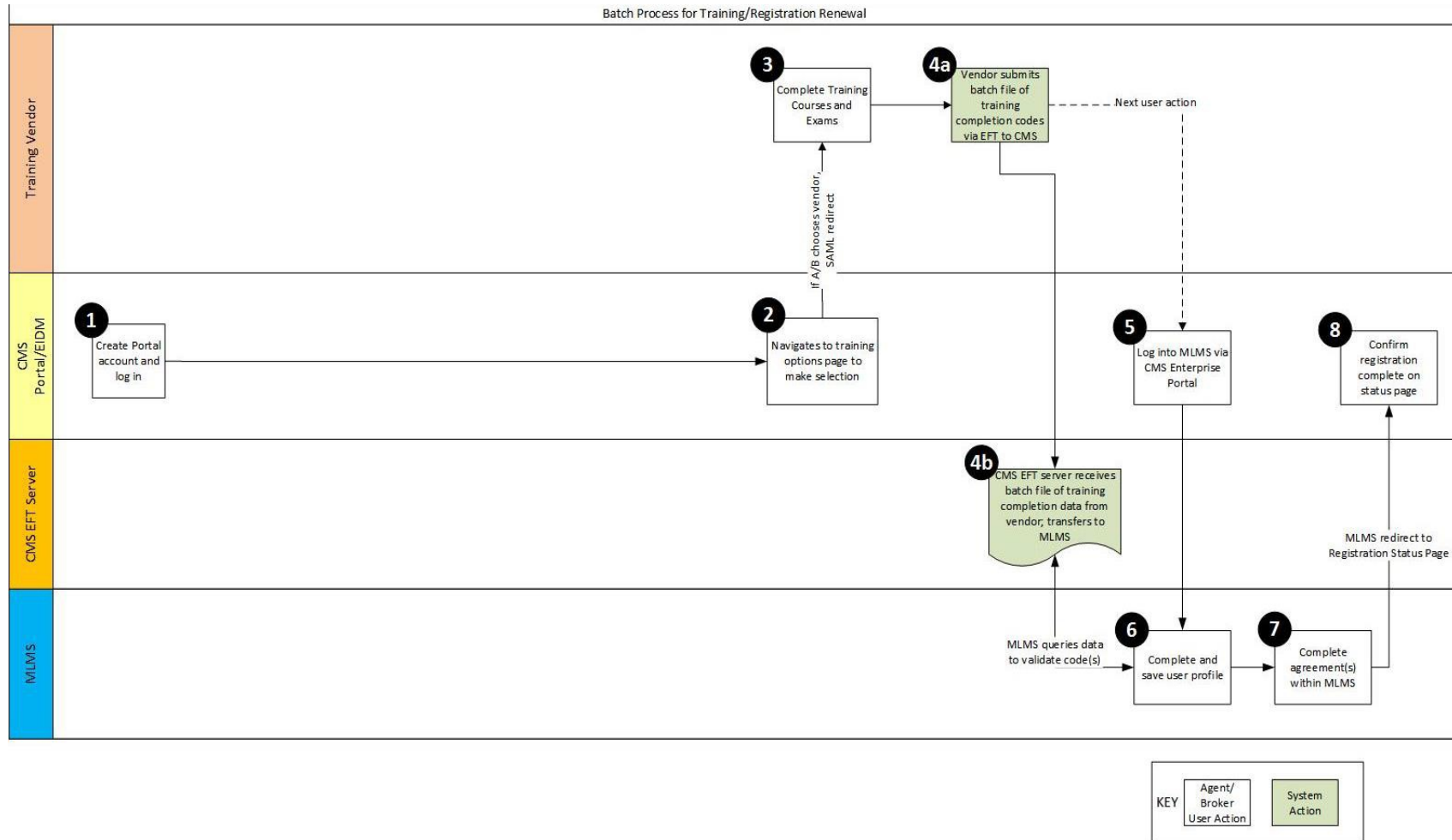


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APPENDIX B: EFT PROCESS FLOW DIAGRAM FOR VENDOR TRAINING

Exhibit 6: EFT Process Flow Diagram for Vendor Training



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NOTES

1. The learner will utilize the CMS Enterprise Portal account that he or she created when registration was previously completed and then log in.
2. The learner will navigate from the Status Page to the Training Options Page. If an approved vendor is selected, the learner will be securely redirected via SAML, and a system-generated unique identifier will be passed in the SAML (e.g., the learner does not need to enter credentials on the vendor site).
3. The learner will land on the vendor site selected. After receiving notice and providing consent related to the collection of information, the learner will provide any required information and pay the applicable fee (if any). Then the learner will complete the vendor's Marketplace training/exams.
4. The vendor will transmit a batch file to the EFT server every hour to include the training completion data for all Marketplace curricula completed since the prior batch file was sent. The EFT server will pass the training completion data batch files to the MLMS.
5. The learner will log into the MLMS to complete the registration process.
6. The learner will complete and save profile information, and then land on the MLMS agent/broker landing page.
7. The learner will execute the appropriate Agreement(s) and automatically be redirected to the Status Page. The MLMS database will match the profile and Agreement execution to the learner's training completion(s) by comparing the training completion data with the list of valid training completion codes retrieved from the EFT server.
8. The learner will land on the Status Page that will update via a Web Service call to the MLMS to confirm completion of training. The EIDM/Portal Status Page will refresh and display that registration is complete.

APPENDIX C: SAMPLE LANGUAGE FOR THE VENDOR TRAINING COMPLETION PAGE:

Congratulations on completing [Vendor's] Marketplace Training for the [Name of Curriculum] Marketplace. Your results have been shared with the Centers for Medicare & Medicaid Services (CMS), but **additional action is required**.

To complete the Marketplace training and registration process, you must return to the CMS Enterprise Portal: <https://portal.cms.gov/wps/myportal/cmsportal/mlms/training> to complete your agent/broker profile and execute the applicable Marketplace Agreement(s) on the Marketplace Learning Management System.

If you have any questions concerning [Vendor's] Marketplace Training, please contact us at [Vendor Support E-Mail Address]. For assistance regarding Agent and Broker Marketplace Registration, please contact the Agent/Broker Email Help Desk via email at FFMProducer-Assister@cms.hhs.gov.

APPENDIX D: SAMPLE AGENT AND BROKER TRAINING VENDOR COMPLETION EMAIL

Congratulations on your recent completion of [Vendor's] Marketplace Agent and Broker Training for plan year 2021!

Additional action is required to complete the Marketplace training and registration process with the Centers for Medicare & Medicaid Services (CMS):

1. Return to the CMS Enterprise Portal via the following link:
<https://portal.cms.gov/wps/myportal/cmsportal/mlms/training>
2. Complete/update your agent/broker profile on the MLMS
3. Read and accept the applicable Marketplace Agreement(s) on the MLMS
4. Confirm completion of all registration steps on the “Agent/Broker Registration Status” page on the CMS Enterprise Portal

If you have any questions concerning [Vendor's] Marketplace Training, please contact us at [Vendor Support E-Mail Address].

For any assistance regarding Agent and Broker Marketplace Registration, please visit CMS' Resources for Agents and Brokers webpage (<http://go.cms.gov/CCIIOAB>) or contact the Agent/Broker Email Help Desk at FFMProducer-Assister@cms.hhs.gov.

APPENDIX E: QUICK REFERENCE GUIDE TO REQUESTING THE VENDOR ADMINISTRATOR ROLE

This document provides instructions for Vendor Administrators who will access the Marketplace Learning Management System (MLMS) to request the Vendor Administrator role.

Step One – Create a Centers for Medicare & Medicaid Services (CMS) Enterprise Portal Account and Request Access to the MLMS

Important: If you already have a CMS Enterprise Portal account, but have forgotten your user name or password, please use the “Forgot User ID?” and/or “Forgot Password?” links shown below in Figure 1.

- Log on to the CMS Enterprise Portal at <https://portal.cms.gov>.
 - Create a CMS Enterprise Portal Account by selecting the “New User Registration” link (Figure 1).
 - In the “Choose your application” dropdown, select MLMS: Marketplace Learning Management System. Complete the agreement checkbox and select “Next.”
 - Follow the instructions provided by the system to complete registration and create new user ID and password.
 - After receiving an email confirming your account, log into the CMS Enterprise Portal.
 - Select “Request/Add Apps.”
 - Request the Vendor Administrator role by logging in and selecting the “Request Access Now” button.
 - Check the “Request Admin Role” box at the top of the screen.
 - Click the “Request Access” button on the MLMS tile to request access.
 - Request the “MLMS Admin” role from the drop-down menu.
 - In the “Notes to the Approver” field, enter a message to the approver indicating that you require Vendor Admin access and include the name of your organization and any other pertinent details (Figure 2).
 - Click the “Submit” button.

Figure 1: CMS Enterprise Portal Access and Request Access Steps

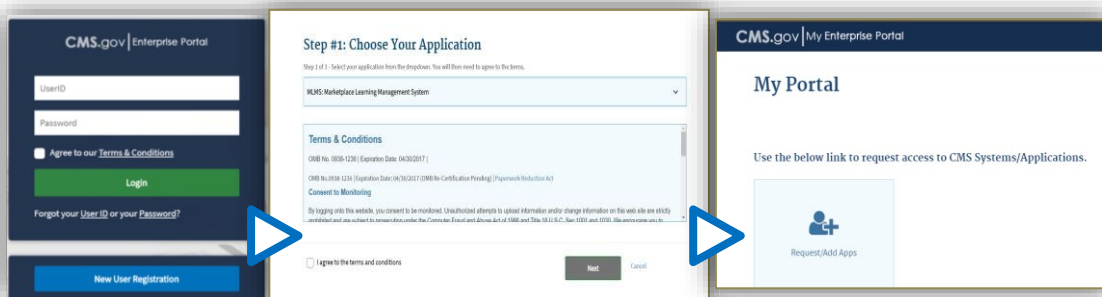


Figure 2: CMS Enterprise Portal Role Request Steps

Request Access Form:

Select a System and then a role to request access.

Depending on your Level of Assurance (LOA) and the role that you request access to, to satisfy system security requirements you may need to complete [Identity Verification](#), establish credentials for [Multi-Factor Authentication \(MFA\)](#), or change your password the next time you login to the system. This may require you to provide additional information as part of the role request process. If applicable, please note that your request cannot be fulfilled until Identity Verification is complete and Multi-Factor Authentication (MFA) is established.

* System Description:

* Role: Please select a role

Notes to the Approver:

My Access Page:

Pending Requests

Below is the summary of your pending requests

Systems	Role Requested	Request Status	Request ID	Date Requested	Cancel Request
MLMS	MLMS ADMIN	Pending	200505	7/14/2016	Cancel

Step Two – Complete Identity Proofing

Note: If you have completed identity proofing in previous years, you do not need to perform this step.

- Identity proofing involves completing any required profile information fields and then responding to a series of questions that are based on information pulled by the Experian authentication system. All of these questions must be answered correctly to complete the step and gain access to the CMS Enterprise Portal and the MLMS.

Step Three – Setup Multi-factor Authentication (MFA)

- MFA is an approach to security authentication that requires the user to provide more than one form of a credential in order to prove identity. CMS policy specifies that all users who request access to a CMS Application that has a level of assurance (LOA) 3 security rating must be identity proofed to the corresponding LOA 3 standards. This includes the requirement that users be authenticated using MFA.
- Once identity proofing is completed, the system will present the user with the option to register one or more MFA device(s) to add to the identity-proofed account (Figure 3). Available MFA devices to register are the following:
 - Phone/Tablet/Personal Computer/Laptop
 - Text Message Short Message Service (SMS)
 - Interactive Voice Response (IVR)
 - E-mail

Figure 3: CMS Enterprise Portal Select MFA Device Type

Register Your Phone, Computer, or E-mail

Adding a Security Code to your login also known as Multi-Factor Authentication (MFA) can make your login more secure by providing an additional layer of security to your user name and password.

You can associate the Security Code to your profile by registering your phone, computer or E-mail. Select the links below to find out more options.

- > Phone/Tablet/PC/Laptop
- > Text Message Short Message Service (SMS)
- > Interactive Voice Response (IVR)
- > E-mail

Please note that you are only allowed two attempts to register your MFA device. If you are unable to register your device within two attempts, you will be locked out and have to wait 15 minutes before you can try again.

Select the MFA Device Type that you want to use to login to secure applications from the dropdown menu below.

MFA Device Type:

Step Four – Confirm Access

- The system sends an automated message to the MLMS Business Owner to process your access request, which is then passed along to the System Administrators. You will be copied on all correspondence and notified when your access has been granted.
- Once the request has been submitted in the CMS Enterprise Portal, send a separate email to the CMS Agent Broker Vendor mailbox (AgentBrokerVendor@cms.hhs.gov) notifying CMS Subject Matter Experts that you have submitted a Vendor Admin request. In the body of the email, include the email address and Request ID for the individuals requesting the Vendor Admin role.

APPENDIX F: QUICK REFERENCE GUIDE TO RUNNING VENDOR ADMINISTRATOR REPORTS

This document provides instructions for Vendor Administrators who will access the Marketplace Learning Management System (MLMS) to check the records of agents and brokers who completed Marketplace agent and broker training with a Centers for Medicare & Medicaid Services (CMS) approved vendor.

Step One – Navigate to the MLMS Landing Page

Upon receipt of a confirmation email that the account has been established, the new Vendor Administrator can log into the CMS Enterprise Portal and access the MLMS.

- Log in to your CMS Enterprise Portal Account at <https://portal.cms.gov> and open the menu by clicking “My Apps” (Figure 4).

Figure 4: Vendor Landing Page

The screenshot shows the CMS.gov My Enterprise Portal. The 'My Apps' menu is highlighted in red. The page displays the 'MLMS' section with a 'Training' dropdown. Below the dropdown, there is a table showing the completion status of various training modules.

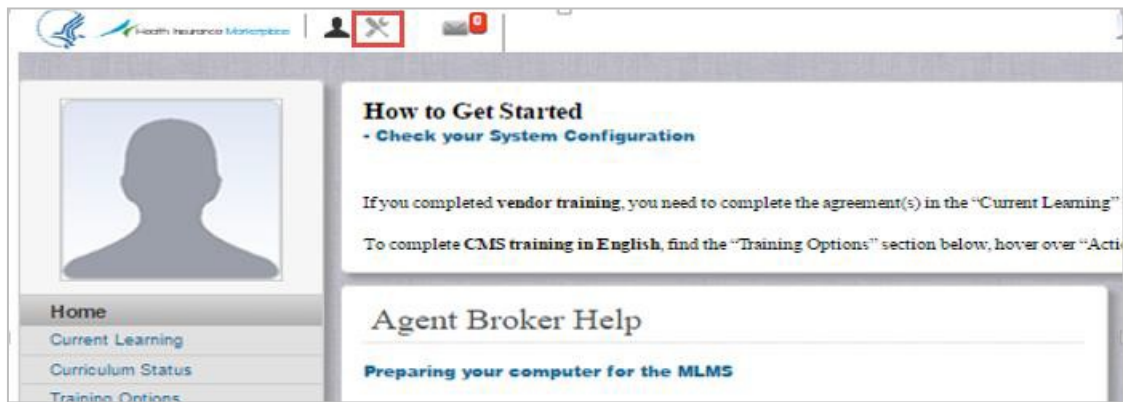
FFM - Agents and Brokers Role	Status
1. Complete Identity Proofing	Complete
2. Complete Agent Broker Training:	Complete
• Individual Market	Complete
• SHOP	Complete
3. Print Certificate(s)	

Registration Complete

You have successfully completed the registration process and have been granted the FFM Agent/Broker role. You may access training and print your certificate at any time by clicking the links below.

- Click on “Training” in the dropdown under “MLMS.”
- Scroll to the bottom of the MLMS user profile page and click the “Next” button.
- Click the “Tools” icon at the top of the training summary page (Figure 5).

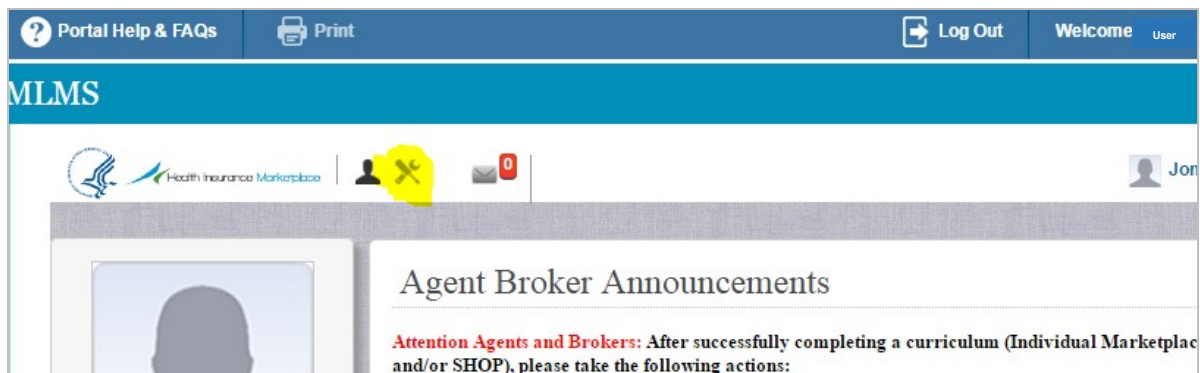
Figure 5: Training Summary Page



Step Two – Navigate to the Vendor Administration Report

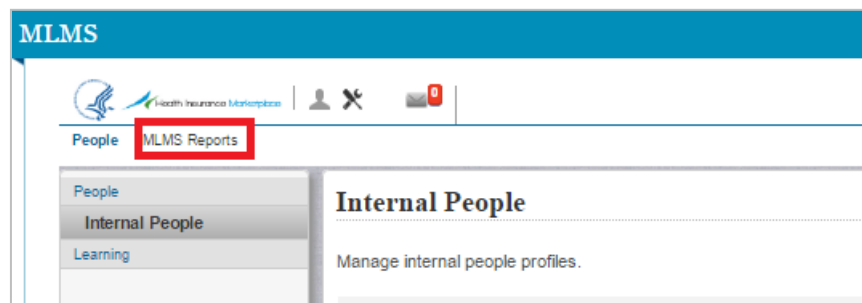
- Once on the MLMS Landing Page, click on the “Tools” icon (Figure 6).

Figure 6: Vendor Training Home Page



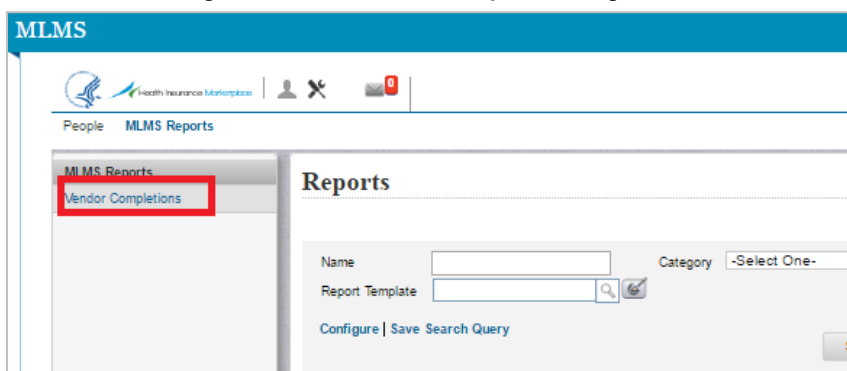
- Select the “MLMS Reports” link (Figure 7).

Figure 7: Link to MLMS Reports



- Select the “Vendor Completions” link on the left-hand menu (Figure 8).

Figure 8: Link to Vendor Completions Page



Step Three – Search for Records

The Vendor Administrator will be redirected to the search tool with the default settings reflecting his or her organization and the standard 50 results per page.

On the Vendor Completions page, the vendor has the ability to search for agent/broker training completions by global unique identifier (GUID) and registration date range (Figure 9).

Figure 9: Sample Image of Curriculum Completions per Vendor

Vendor Completions

Please use the following search criteria to retrieve completions:

Vendor*: AHIP
 GUID:
 Page Size: 50

After Registration Date:
 Before Registration Date:

1 2 Next

First Name	Last Name	GUID	Curriculum Code	Curriculum Name	Curriculum Status	Acquired on Date
AB	Test	3461DE0DB9623FC0E050190A2AC45F6F	S	Shop Marketplace Vendor 2017	In Progress	
AB	Tester	3461DCAAF70132EE050190A2BC46989	I	Individual Marketplace Vendor Curriculum	Acquired	27-06-2016
AB	Tester	3461DDF4D0E79ADDE050190A2AC45F03	S	Shop Marketplace Vendor 2017	Acquired	24-06-2016
AB	Tester	3461DE0DB9613FC0E050190A2AC45F6F	J	Individual Marketplace Vendor Refresher	In Progress	

The default column results display is shown in Figure 9. This spreadsheet can be exported and saved for further manipulation. The Vendor Administrator has the ability to modify the display (e.g., remove and re-order columns).

Note:

Below is a description of the different Curriculum Statuses that may be displayed in the Vendor Report:

- A blank Curriculum Status along with a populated GUID means that the MLMS has received the training completion record from the vendor. The agent or broker must log back into the MLMS to receive credit for the vendor training and sign the CMS Agreement(s) to complete registration.
- A Curriculum Status with “In Progress” means that the MLMS has received the training completion record from the vendor and the agent or broker has logged back into the MLMS and received credit for the vendor training. The agent or broker must sign the CMS Agreement(s) to complete registration.
- A Curriculum Status with “Acquired” means that the agent or broker has successfully completed registration with CMS. No further action is required.