

Exhibit 300 (BY2008)

PART ONE	
OVERVIEW	
1. Date of Submission:	2007-02-05
2. Agency:	009
3. Bureau:	38
4. Investment Name:	CMS Interoperabilty & Standardization - Provider Enrollment (PECOS)
5. UPI:	009-38-01-09-01-1115-00
6. What kind of investment will this be in FY2008?	
Operations and Maintenance	
7. What was the first budget year this investment was submitted to OMB?	
FY2001 or earlier	
8. Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap.	
<p>The Provider Enrollment, Chain, and Ownership System (PECOS) is a national repository of all Medicare provider and supplier enrollment data. PECOS retains all information furnished by providers and suppliers via the CMS 855, Medicare Provider/Supplier Enrollment Application also referred to as the CMS 855A, CMS 855B, CMS 855I, CMS855R, and CMS 855S. PECOS maintains all the relationships (associations and disassociations) a provider/supplier has with entities (organizations or individuals), identified on their enrollment application. PECOS also provides the ability to uniquely identify chains, keep a historical profile of each chain, and track the association and disassociation of Medicare providers to chains. This investment has been reviewed and approved by the Information Technology Review Board. PECOS features include: * collecting Part B enrollment data and sending enrollment information to the Part B Medicare Fee for Service claims system, MCS * collecting PART A enrollment data * feeding provider data to the Part A Medicare Fee for Service claims system, FISS. offering providers and suppliers the ability to enroll in the Medicare program via the Internet. * providing an online enrollment capability, along with the ability to update existing records and check the status of electronically submitted applications with the PECOS Web Internet application. * allowing the DMEPOS Medicare enrollment contractor the ability to enroll suppliers of Durable Medical Equipment, Prosthetics, Orthotics, and Suppliers into PECOS, and feed the enrollment data to the four regional DMERCs for claims payment.</p>	
9. Did the Agency's Executive/Investment Committee approve this request?	
yes	
9.a. If "yes," what was the date of this approval?	
2006-06-23	
10. Did the Project Manager review this Exhibit?	
yes	
12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project.	
no	
12.a. Will this investment include electronic assets (including computers)?	
yes	
12.b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)	
no	
13. Does this investment support one of the PMA initiatives?	
yes	
<i>If yes, select the initiatives that apply:</i>	
Expanded E-Government	
Financial Performance	
13.a. Briefly describe how this asset directly supports the identified initiative(s)?	

PECOS supports financial performance by reducing CMS' financial burden on third party administrators in receiving/keying paper-based provider enrollment forms, responding to customer inquiries and manual support for revalidation efforts. PECOS supports expanded E-Gov by improving provider/suppliers' participation and customer service. The use of the web enables CMS to simplify the business processes involved in enrolling providers and unifies information flows.

14. Does this investment support a program assessed using OMB's Program Assessment Rating Tool (PART)?

no

15. Is this investment for information technology (See section 53 for definition)?

yes

16. What is the level of the IT Project (per CIO Council's PM Guidance)?

Level 3

17. What project management qualifications does the Project Manager have? (per CIO Council's PM Guidance)

(1) Project manager has been validated as qualified for this investment

18. Is this investment identified as high risk on the Q4 - FY 2006 agency high risk report (per OMB's high risk memo)?

no

19. Is this a financial management system?

no

20. What is the percentage breakout for the total FY2008 funding request for the following? (This should total 100%)

Hardware	0
Software	98
Services	1

21. If this project produces information dissemination products for the public, are these products published to the Internet in conformance with OMB Memorandum 05-04 and included in your agency inventory, schedules and priorities?

no

22. Contact information of individual responsible for privacy related questions.

Name

Maribel Franey

Phone Number

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Title

Director, Privacy Compliance

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23. Are the records produced by this investment appropriately scheduled with the National Archives and Records Administration's approval?

yes

SUMMARY OF SPEND

1. Provide the total estimated life-cycle cost for this investment by completing the following table. All amounts represent budget authority in millions, and are rounded to three decimal places. Federal personnel costs should be included only in the row designated Government FTE Cost, and should be excluded from the amounts shown for Planning, Full Acquisition, and Operation/Maintenance. The total estimated annual cost of the investment is the sum of costs for Planning, Full Acquisition, and Operation/Maintenance. For Federal buildings and facilities, life-cycle costs should include long term energy, environmental, decommissioning, and/or restoration costs. The costs associated with the entire life-cycle of the investment should be included in this report.

All amounts represent Budget Authority

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 & Earlier	PY	CY	BY

	-2005	2006	2007	2008
Planning Budgetary Resources	0.000	0.000	0.000	0.000
Acquisition Budgetary Resources	6.950	0.000	0.000	0.000
Maintenance Budgetary Resources	12.190	5.018	6.800	8.080
Government FTE Cost	1.200	0.800	0.850	0.925
# of FTEs	3	3	3	3

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

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

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

no

3. If the summary of spending has changed from the FY2007 President's budget request, briefly explain those changes.

N/A

PERFORMANCE

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

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

Table 1

	Fiscal Year	Strategic Goal(s) Supported	Performance Measure	Actual/baseline (from Previous Year)	Planned Performance Metric (Target)	Performance Metric Results (Actual)
1	2006	Improve the Quality of Healthcare Services.	Percentage of Part A & B providers/suppliers entered into PECOS	30%	35%	TBD
2	2006	Achieve excellence in management practices.	Percentage of Part B provider/supplier initial enrollment applications processed outside the 60 day window	10%	15%	TBD
3	2007	Improve the Quality of Healthcare Services.	Percentage of Part A & B providers/suppliers entered into PECOS	35%	40%	TBD
4	2007	Achieve excellence in management practices.	Percentage of Part B provider/supplier initial enrollment applications processed outside the 60 day window	15%	10%	TBD

All new IT investments initiated for FY 2005 and beyond must use Table 2 and are required to use the FEA Performance Reference Model

(PRM). Please use Table 2 and the PRM to identify the performance information pertaining to this major IT investment. Map all Measurement Indicators to the corresponding "Measurement Area" and "Measurement Grouping" identified in the PRM. There should be at least one Measurement Indicator for at least four different Measurement Areas (for each fiscal year). The PRM is available at www.egov.gov.

Table 2

	Fiscal Year	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
1	2006	Mission and Business Results	Health Care Administration	Percentage of Part A & B providers/suppliers entered into PECOS	30%	35%	TBD
2	2006	Technology	Availability	Percentage of system availability	90%	95%	TBD
3	2006	Customer Results	Response Time	Reduce the number of Part B provider/supplier initial enrollment applications processed outside the 60 day window	15%	10%	TBD
4	2006	Processes and Activities	Timeliness	Number of Part A enrollments not entered according to CMS manual	15%	10%	TBD
5	2007	Mission and Business Results	Health Care Administration	Percentage of Part A & B providers/suppliers entered into PECOS	35%	40%	TBD
6	2007	Technology	Availability	Percentage of system availability	95%	95%	TBD
7	2007	Customer Results	Response Time	Percentage of Part B provider/supplier initial enrollment applications processed outside the 60 day window	10%	10%	TBD
8	2007	Processes and Activities	Timeliness	Number of Part A enrollments not entered according to CMS manual	10%	10%	TBD

EA

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

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

yes

1.a. If no, please explain why?

Not applicable

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

yes

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

CMS Health Insurance Portability and Accountability Act (HIPAA). In order to provide HHS more detail and insight into our

investments, last year's major initiative was split out into a separate investment.

3. Identify the service components funded by this major IT investment (e.g., knowledge management, content management, customer relationship management, etc.). Provide this information in the format of the following table. For detailed guidance regarding components, please refer to <http://www.whitehouse.gov/omb/egov/>.

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

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

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

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

	Agency Component Name	Agency Component Description	Service Type	Component	Reused Component Name	Reused UPI	Internal or External Reuse?	Funding %
1	Standard Reports	PECOS provides Medicare Contractor Workload Reports	Reporting	Standardized / Canned			No Reuse	1
2	Data Exchange	PECOS provides provider enrollment data to CMS Claims Payment Systems	Data Management	Data Exchange			No Reuse	1
3	NEW	PECOS houses all Medicare Provider Enrollment data	Data Management	NEW			No Reuse	98

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

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

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

	SRM Component	Service Area	Service Category	Service Standard	Service Specification (i.e., vendor and product name)
1	NEW	Service Access and Delivery	Delivery Channels	Internet	IBM HTTP Server 5.1
2	NEW	Service Access and Delivery	Delivery Channels	Extranet	IBM HTTP Server 5.1
3	NEW	Service Platform and Infrastructure	Support Platforms	Platform Dependent	Windows 2000
4	NEW	Service Platform and Infrastructure	Delivery Servers	Application Servers	Windows 2000/Visual Studio/VB
5	NEW	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	Visual Studio/Visual Basic

6	NEW	Service Platform and Infrastructure	Database / Storage	Database	DB2 version 8
7	NEW	Service Platform and Infrastructure	Hardware / Infrastructure	Servers / Computers	Citrix MetaFrame Servers(presentation layer)
8	NEW	Component Framework	Business Logic	Platform Dependent	Visual Studio/Visual Basic
9	Data Exchange	Component Framework	Data Interchange	Data Exchange	Connect Direct
10	NEW	Component Framework	Data Management	Database Connectivity	DB2 Connect
11	Standardized / Canned	Component Framework	Data Management	Reporting and Analysis	Chrystal Report
12	NEW	Service Interface and Integration	Integration	Middleware	Sybase and DB2 Connect

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

no

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

no

PART THREE

RISK

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

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

1. Does the investment have a Risk Management Plan?

yes

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

2006-05-01

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

no

COST & SCHEDULE

1. Was operational analysis conducted?

yes

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

2006-12-10

What were the results of your operational analysis?

Based on the operational analysis, the project is within the 10 percent cost and schedule variance. We are on target to meet the milestones per the approved baseline. The system is being implemented to meet the CMS' requirements and needs.