

Exhibit 300 (BY2008)

PART ONE	
OVERVIEW	
1. Date of Submission:	2007-02-05
2. Agency:	009
3. Bureau:	38
4. Investment Name:	CMS Interoperability & Standardization - Provider ID (NPPES)
5. UPI:	009-38-01-09-01-1110-00
6. What kind of investment will this be in FY2008?	
Mixed Life Cycle	
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 National Plan and Provider Enumeration System (NPPES) is the system that enumerates health plans and providers in compliance with the requirements of HIPAA. HIPAA requires the Secretary of Health and Human Services to adopt a national standard identifier for all health plans and providers for use in the health care system. This scope extends to all health plans and providers not just Medicare and Medicaid. NPPES processes applications from health care providers for National Provider Identifiers (NPIs). NPIs are identification numbers that health care providers are required by regulation to obtain and use to identify themselves in electronic health transactions, such as electronic claims and eligibility inquiries. NPIs do not change and do not expire. The NPPES captures, by application, identifying information about health care providers. It processes each application to ensure the uniqueness of the health care provider, and then assigns the health care provider its NPI. The NPPES establishes a record for every health care provider it enumerates. The NPPES also processes updates and changes to the data in an enumerated health care provider's record upon receipt of the update/change from the health care provider. The NPPES may deactivate and reactivate a health care provider's NPI upon request by the health care provider to do so. The NPPES also makes available, upon approved requests, information about each enumerated health care provider, including the NPI. The NPPES has many benefits. It will significantly reduce the incidence of plan and provider misidentification. It will help CMS to differentiate between fraudulent providers and those who make honest billing mistakes. It will allow for easy access to obtain NPIs and NPLAN Ids. Finally, it will support defining, developing, implementing, and maintaining uniform data standards for the exchange of health care information in our programs, as well as across the nation's health care system. This system went into production during FY 2006 with no planned enhancements. This investment will be in the evaluate phase during FY 2007 & 2008.</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	
If yes, select the initiatives that apply:	

Expanded E-Government

13.a. Briefly describe how this asset directly supports the identified initiative(s)?

NPPES supports Expanding E-Government by implementing a web-based application process for obtaining a National Provider Identifier (NPI). This initiative improves both systems and technology information management for federal, state, and local governments, and contractors alike. By using E-Gov strategies, this initiative will provide a more efficient business process for CMS, yet aid to maintain data integrity, in an overall cost effective manner.

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

no

14.a. If yes, does this investment address a weakness found during the PART review?

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

19.a. If yes, does this investment address a FFMA compliance area?

no

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

Hardware	0
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Software	100
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Services	0
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Other	0
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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?

yes

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

Name

Maribel Franey

Phone Number

410-786-0757

Title

Director, Privacy Compliance

Email

Maribel.Franey@cms.hhs.gov

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	12.659	0.000	0.000	0.000
Maintenance Budgetary Resources	0.000	9.091	3.134	4.030
Government FTE Cost	0.500	0.500	0.575	0.575
# of FTEs	1	1	1	1

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	2005	Foster excellence in the design and administration of CMS programs.	System delivered on time per Final Rule	0	100%	100%
2	2006	Achieve excellence in management practices.	Percent that system is available during core EST core business hours	0	95%	TBD
3	2006	Achieve excellence in management practices.	Percent of web cases requiring manual intervention	0	20%	TBD

4	2006	Achieve excellence in management practices.	Availability of electronic interchange to handle batch electronic applications	0	100%	TBD
5	2007	Achieve excellence in management practices.	Percent that system is available during core EST core business hours	95%	95%	TBD
6	2007	Achieve excellence in management practices.	Percent of web cases requiring manual intervention	20%	20%	TBD
7	2007	Achieve excellence in management practices.	Availability of electronic interchange to handle batch electronic applications	100%	100%	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 existing health care providers receiving an NPI	0	100%	
2	2006	Technology	Availability	Percentage of system availability	95%	98%	TBD
3	2006	Customer Results	Response Time	Number of days to process a clean web application	7	5	TBD
4	2006	Processes and Activities	Errors	Percent of web cases that require manual intervention	20%	15%	TBD
5	2007	Mission and Business Results	Health Care Administration	Percentage of existing health care providers receiving an NPI	100%	100%	TBD
6	2007	Technology	Availability	Percentage of system availability	98%	98%	TBD
7	2007	Customer Results	Response Time	Number of days to process a clean web application	5	5	TBD
8	2007	Processes and Activities	Errors	Percent of web cases that require manual intervention	15%	15%	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	NPPES provides Workload Reports for the Enumerator Contractor.	Reporting	Standardized / Canned			No Reuse	1
2	Data Exchange	NPPES provides an Electronic File Interchange (EFI)	Data Management	Data Exchange			No Reuse	10
3	NEW	NPPES houses all data for all health plans, professional associations and other groups who are required to obtain a National Provider Identifier.	Data Management	NEW			No Reuse	89

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	Access Channels	Web Browser	MS Internet Explorer 5.0 or later, Netscape Navigator 4.6 or later
2	NEW	Service Access and Delivery	Access Channels	Collaboration / Communications	SMTP Gateway, LDAP
3	NEW	Service Access and Delivery	Delivery Channels	Internet	IBM HTTP Server 5.1
4	NEW	Service Access and Delivery	Delivery Channels	Extranet	IBM HTTP Server 5.1
5	NEW	Service Access and Delivery	Service Requirements	Hosting	Hosted internal at the CMS datacenter
6	NEW	Service Access and Delivery	Service Transport	Supporting Network Services	SMTP Gateway
7	NEW	Service Platform and Infrastructure	Support Platforms	Platform Independent	Java 2 Platform Enterprise Edition (J2EE)
8	NEW	Service Platform and Infrastructure	Delivery Servers	Web Servers	IBM (Apache) HTTP Servers
9	NEW	Service Platform and Infrastructure	Delivery Servers	Application Servers	IBM WebSphere Application Server 5.1
10	NEW	Service Platform and Infrastructure	Software Engineering	Integrated Development Environment	Web Sphere Studio
11	NEW	Service Platform and Infrastructure	Database / Storage	Database	Sun Oracle 9i
12	NEW	Service Platform and Infrastructure	Hardware / Infrastructure	Network Devices / Standards	Firewall, Nokia IPI Z60, Cisco PIX 535
13	NEW	Component Framework	Security	Supporting Security Services	TBD
14	NEW	Component Framework	Presentation / Interface	Dynamic Server-Side Display	Java Server Pages
15	NEW	Component Framework	Business Logic	Platform Independent	Enterprise Java Beans
16	NEW	Component Framework	Data Interchange	Data Exchange	SOAP
17	NEW	Component Framework	Data Management	Database Connectivity	Java Database Connectivity (JDBC), Oracle Pure/Thin JDBC Drivers
18	Standardized / Canned	Component Framework	Data Management	Reporting and Analysis	TBD
19	NEW	Service Interface and Integration	Integration	Middleware	Message Oriented Middleware (MOM): IBM WebSphere MQ, and MOM MS Message Queue (MSMQ)
20	Data Exchange	Service Interface and Integration	Interoperability	Data Format / Classification	Direct:Connect

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

no
5.a. If yes, please describe.
Not Applicable.
6. Does this investment provide the public with access to a government automated information system?
no
6.a.1. If yes, provide the specific product name(s) and version number(s) of the required software and the date when the public will be able to access this investment by any software (i.e. to ensure equitable and timely access of government information and services).
Not Applicable.
PART TWO
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?
2006-05-17
1.b. Has the Risk Management Plan been significantly changed since last year's submission to OMB?
no
3. Briefly describe how investment risks are reflected in the life cycle cost estimate and investment schedule: (O&M investments do NOT need to answer.)
Costs are adjusted to account for inflation.
COST & SCHEDULE
Does the earned value management system meet the criteria in ANSI/EIA Standard 748?
yes
2.a. What is the Planned Value (PV)?
12.659
2.b. What is the Earned Value (EV)?
12.659
2.c. What is the actual cost of work performed (AC)?
12.659
What costs are included in the reported Cost/Schedule Performance information?
Contractor Only
2.e. As of date:
2006-12-10
3. What is the calculated Schedule Performance Index (SPI= EV/PV)?
1
4. What is the schedule variance (SV = EV-PV)?
0.000
5. What is the calculated Cost Performance Index (CPI = EV/AC)?
1
6. What is the cost variance (CV = EV-AC)?
0.000

<i>7. Is the CV or SV greater than 10%?</i>
no
<i>7.b. If yes, explain the variance.</i>
There are no cost or schedule variances equal to or greater than negative 10%.
<i>7.c. If yes, what corrective actions are being taken?</i>
Investment is proceeding within acceptable variances and therefore no corrective actions are warranted
<i>7.d. What is most current Estimate at Completion?</i>
12.659
<i>8. Have any significant changes been made to the baseline during the past fiscal year?</i>
no