Exhibit 300 (BY2008)

PART ONE	
OVERVIEW	
1. Date of Submission:	2007-02-05
2. Agency:	009
3. Bureau:	38
4. Investment Name:	CMS Plan Enrollment (HPMS)
5. UPI:	009-38-01-04-01-1075-00

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?
FY2007

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.
An existing system that supported the electronic communication between the former Medicare+Choice plans and CMS, the Health Plan Management System (HPMS) has been modified and enhanced to meet the increase in capacity and functionality required to service the expanded number of interested organizations and required application, formulary, and bidding information. HPMS software modules collect data for and manage the following plan enrollment processes for the MA and Part D programs: application process, bid and benefit package submissions, formulary submissions, marketing material reviews, plan monitoring oversight and complaints tracking, plan contact information, survey data, plan operational data feeds for enrollment and payment, and beneficiary education data support for the Medicare & You handbook and the www.medicare.gov website. HPMS supports these processes for local/regional MA, PDP, employer-direct MA/PDP, PACE, cost, demo, and fallback plans. By serving as the central e-government system for managing the day-to-day operations of these programs, HPMS ensures that there is a single mechanism by which plans and CMS can communicate electronically in an easy and efficient manner. With limited staff resources, the use of HPMS is critical to CMS in managing the over 600 MA and PDP organizations operating today to ensure that they are fulfilling the significant number of statutory, regulatory, and administrative requirements of the MA and Part D programs. The efficiencies produced by HPMS are also vital in enabling CMS to review and approve the ever-increasing number of new organizations, which in turn leads to a greater and more diverse set of benefit package options available to Medicare beneficiaries. This investment makes significant contributions to an expanded e-government, the implementation of the Federal Enterprise Architecture, and CMS' IT modernization blueprint. It builds the basic computing infrastructure needed to support several CMS systems; supports common standards and practices; and integrates security and privacy protections throughout the lifecycle. Through this investment, CMS will focus on improving services to citizens and other CMS customers through the use of web-based communication and data transfer and various e-business technologies that depend on the Internet. This initiative will provide tools and capabilities to improve internal CMS operations and enable robust collaboration between CMS and its business partners.

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:

Competitive Sourcing

Expanded E-Government

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

E-Gov - HPMS provides a single point of access via the Internet for CMS information, services, and products. HPMS enables MA/Part D plans to submit application, formulary, bid, marketing, and oversight data via online web data entry pages and file uploads. State, local, and tribal governments will benefit from the ease with which the data warehousing environments permits access to and use of appropriate program data through the Internet.

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	7
Software	1
Services	92

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	5.802	0.000	0.000	0.000
Maintenance Budgetary Resources	0.220	8.407	6.850	3.162
Government FTE Cost	1.000	0.600	0.615	0.630
# of FTEs	3	2	2	2

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

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.

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	Percent of contracts processed in HPMS	93%	95%	97%
2	2006	Customer Results	Delivery Time	Percent of HPMS help desk inquiries completed within 24 hours	93%	95%	97%
3	2006	Processes and Activities	Efficiency	Percent of successful monthly data updates to the www.medicare.gov web tools as well as quarterly data updates to the Medicare & You handbook.	90%	95%	93%

4	2006	Technology	Availability	Percent of HPMS system availability during normal business hours, at a minimum from 6:00 a.m. EST to 10:00 p.m. EST.	93%	95%	98%
5	2007	Mission and Business Results	Health Care Administration	Percent of contracts processed in HPMS	95%	97%	TBD
6	2007	Customer Results	Response Time	Percent of HPMS help desk inquiries completed within 24 hours	95%	97%	TBD
7	2007	Processes and Activities	Efficiency	Percent of successful monthly data updates to the www.medicare.gov web tools as well as quarterly data updates to the Medicare & You handbook.	95%	97%	TBD
8	2007	Technology	Availability	Percent of HPMS system availability during normal business hours, at a minimum from 6:00 a.m. EST to 10:00 p.m. EST.	95%	97%	TBD
9	2007	Processes and Activities	Efficiency	Percent of unload processing for bids within the specified time period.	95%	97%	TBD
10	2007	Processes and Activities	Efficiency	Percent of complete unload processing of annual formulary submissions within 4 business days following due date.	95%	97%	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 MMA Title 1 and Title II Applications. 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	Data Warehouse	HPMS maintains a data warehouse in support of the Medicare Advantage Program and Part D Drug Benefit	Data Management	Data Warehouse			No Reuse	25
2	Contact and Profile Management	HPMS maintains contact and profile information for MA and PDP Medicare participants	Customer Relationship Management	Contact and Profile Management			No Reuse	50
3	Meta Data Management	HPMS manages the metadata in support of Medicare Advantage and Part D Drug Benefit information	Data Management	Meta Data Management			No Reuse	25

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	Data Warehouse	Service Access and Delivery	Access Channels	Collaboration / Communications	Nortel Alteon SSL VPN
2	Contact and Profile Management	Service Access and Delivery	Delivery Channels	Internet	Microsoft Internet Explorer
3	Data Warehouse	Service Platform and Infrastructure	Delivery Servers	Web Servers	Microsoft Windows 2000
4	Data Warehouse	Service Platform and Infrastructure	Database / Storage	Database	Oracle
5	Data Warehouse	Component Framework	Data Interchange	Data Exchange	Data Direct ODBC

6	Contact and Profile Management	Service Access and Delivery	Access Channels	Collaboration / Communications	Nortel Alteon SSL VPN
7	Data Warehouse	Service Access and Delivery	Delivery Channels	Internet	Microsoft Internet Explorer
8	Contact and Profile Management	Service Platform and Infrastructure	Delivery Servers	Web Servers	Microsoft Windows 2000
9	Contact and Profile Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle
10	Contact and Profile Management	Component Framework	Data Interchange	Data Exchange	Data Direct ODBC
11	Meta Data Management	Service Platform and Infrastructure	Database / Storage	Database	Oracle
12	Meta Data Management	Component Framework	Data Interchange	Data Exchange	Data Direct ODBC

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?

2005-03-31

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.

2006-12-01

What were the results of your operational analysis?

The system is meeting its performance objectives and the needs of stakeholders are being met. The investment is continually analyzed to ensure continuous service as the provisions of MMA are implemented.