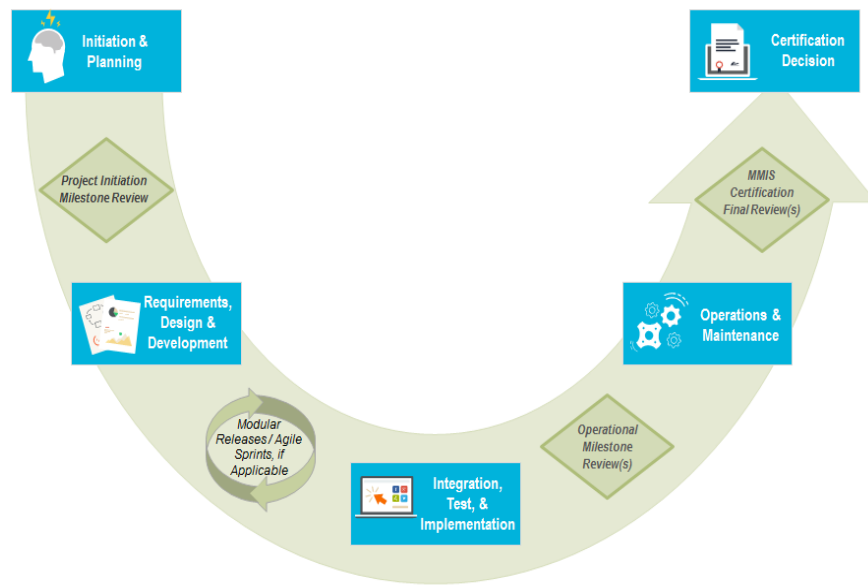


# MEDICAID ENTERPRISE CERTIFICATION TOOLKIT

## Required Artifacts List

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Issued by

Division of State Systems  
Data and Systems Group  
Center for Medicaid and CHIP Services  
Centers for Medicare & Medicaid Services



Category	Document/ Artifact	Minimum Required Content and Notes	R1 Project Initiation Milestone Review(s)	R2 Operational Milestone Review(s)	R3 MMIS Certification Final Review(s)
Project Management	State Goals & Objectives	<ul style="list-style-type: none"> <li>State goals and objectives</li> </ul>	√		
MITA	MITA Concept of Operations	<ul style="list-style-type: none"> <li>Medicaid enterprise scope</li> <li>As-is operations (business, architecture, data)</li> <li>Drivers and enablers for transformation</li> <li>Environment (business, architecture, data)</li> <li>Operational scenarios</li> <li>Impacts on stakeholders</li> <li>Summary of improvements</li> <li>Conditions of modularity and reuse and how to meet</li> </ul>	√		√
MITA	MITA Technical Management Strategy	<ul style="list-style-type: none"> <li>Document technical needs for sharing of State Medicaid Agency (SMA) services and information. See MITA, Part 3.</li> </ul>	√ Due at R1 if using waterfall SDLC		√ Not due until R3 if using agile SDLC
MITA	MITA Data Management Strategy	<ul style="list-style-type: none"> <li>Document technical needs for sharing of SMA services and information. See MITA, Part 2.</li> </ul>	√ Due at R1 if using waterfall SDLC		√ Not due until R3 if using agile SDLC
MITA	MITA State Self-Assessment (SS-A) & MITA Roadmap	<ul style="list-style-type: none"> <li>As-is state</li> <li>To-be state</li> <li>Long-term milestones specified in quarters</li> </ul>	√		√
Technical/ SDLC	MMIS Concept of Operations	<ul style="list-style-type: none"> <li>A narrative description of each identified MMIS component, including basic functions and the business area supported</li> <li>A statement of security/interface and disaster recovery requirements</li> </ul>	√		√

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Financial	Implementation Advanced Planning Document	<ul style="list-style-type: none"> <li>Requirements analysis</li> <li>Feasibility study</li> <li>Alternatives analysis, including use of service-oriented architecture and transfer of an existing system or an explanation of why such a transfer is not feasible</li> <li>Cost allocation plan/methodology</li> <li>Proposed budget</li> <li>MITA SS-A, as an attachment</li> <li>Customized Medicaid Enterprise Certification checklists, if applicable</li> </ul>	√		√
Security/ Privacy	State Security Policies/Security Plan	<ul style="list-style-type: none"> <li>Strategies and state policies for handling privacy, security, and HIPPA compliance. These are overarching policies that the state should have in place even before the MMIS project begins.</li> </ul>	√	√	√
Security/ Privacy	Privacy Impact Analysis	<ul style="list-style-type: none"> <li>Use of personally identifiable information (PII) or personal health information (PHI) and a description of the types of data that will be collected</li> <li>Sources of PII/PHI, populations, and transfer and disclosure mechanisms</li> <li>Legal environment (legal authorities and state privacy laws)</li> <li>Details about the entities with which the collected information will be shared</li> <li>Privacy and security standards for its business partners and other third parties and the agreements that bind these entities</li> <li>Incident handling procedures</li> <li>Privacy and/or security awareness programs and materials for its workforce</li> </ul>	√	√	√

Category	Document/ Artifact	Minimum Required Content and Notes	R1 Project Initiation Milestone Review(s)	R2 Operational Milestone Review(s)	R3 MMIS Certification Final Review(s)
Technical/ SDLC	New Medicare Card Program's (NMCP) State Medicaid Agency Readiness Report	<ul style="list-style-type: none"> <li>Latest copy of the NMCP State Readiness Report</li> </ul>	√	√	√
Procurement	Draft RFP	<ul style="list-style-type: none"> <li>Defined goals and objectives</li> <li>To-be environment requirements (business, architecture, data), including reuse, interoperability, and modularity requirements</li> <li>Requirements found within the Medicaid Enterprise Certification checklists</li> </ul> <p>The following are highly recommended, if they are legally enforceable per state law:</p> <ul style="list-style-type: none"> <li>Conditions tying compensation to meeting or exceeding defined goals (e.g., service level agreements)</li> <li>Reservation of right for state to approve and/or remove subcontractors</li> <li>Requirement that contractors cooperate with other contractors (including IV&amp;V contractor) and not impede progress on project as a whole</li> <li>Performance clauses</li> </ul>	√		
Project Management	Project Management Plan	<ul style="list-style-type: none"> <li>Modularity plans</li> <li>Reuse plans</li> <li>Procurements plans</li> <li>Plans to ensure quality</li> <li>Plan for managing communications and stakeholders</li> <li>System development life cycle (SDLC)</li> </ul>	√	√	

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Project Management	Schedule/ Milestones & Burn-down Charts	<ul style="list-style-type: none"> <li>High-level planning schedule (specified in quarters or months, depending on project length—no specific dates necessary until detailed system requirements are defined)—waterfall or agile</li> </ul>	√	√	
Project Management	Risk Register/ Exception Plan	<ul style="list-style-type: none"> <li>In agile, risks may be captured in an Exception Plan</li> <li>List of project risks and mitigation plans for each</li> </ul>	√	√	
Technical/ SDLC	Test Plan	<p>For waterfall and agile:</p> <ul style="list-style-type: none"> <li>Testing strategy (unit testing, functional testing, regression testing, integration testing, user acceptance testing, performance testing, manual and automated and/or scripted testing, disaster recovery and end-to-end integration testing of COTS products, if any)</li> <li>Bi-directional traceability to requirements and design</li> <li>Plans for preparing the test/staging environment</li> <li>Test cases are added as design progresses</li> </ul> <p>Testing should be as automated and self-documenting as possible (e.g., continuous unit testing)</p>		√	
Technical/ SDLC	Working MMIS module(s)	<ul style="list-style-type: none"> <li>Demonstrations of working software</li> </ul>		√	√
Technical/ SDLC	Incident Management Plan	<ul style="list-style-type: none"> <li>What constitutes an incident, incident classifications, severity levels, and target times for resolution</li> <li>Processes for reporting, logging, managing, and tracking incidents to resolution and closure</li> <li>Process for communicating with affected stakeholders</li> <li>Identification of an incident manager</li> </ul>		√	√

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Technical/ SDLC	Change Management Plan	<ul style="list-style-type: none"> <li>• Identification of a change control board along with primary and backup members assigned</li> <li>• Categorization of change types (e.g., standard, emergency, etc.)</li> <li>• Processes for requesting, tracking, and performing impact analyses for each change request</li> <li>• Processes for deciding whether to approve changes and for verifying that changes were made correctly</li> </ul>		√	√
Technical/ SDLC	Database Design	<ul style="list-style-type: none"> <li>• A record layout of each data store with data element definitions</li> <li>• Samples of logical data model, corresponding physical model data structures with data dictionary excerpts for each structure</li> </ul>		√	√
Technical/ SDLC	Data Conversion/ Management Plan	<ul style="list-style-type: none"> <li>• Elaboration of material in the MITA Data Management Strategy</li> </ul>		√	√
Technical/ SDLC	Business Continuity/ Contingency/ Recovery Plans	<ul style="list-style-type: none"> <li>• Backup site/failover plan</li> <li>• Testing schedule</li> <li>• Business continuity plans (can be a separate document)</li> </ul>		√	√
Technical/ SDLC	Test Reports/ Validated Product Reports	<ul style="list-style-type: none"> <li>• Acceptance testing report for each user story/use case</li> </ul>		√	√

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Technical/ SDLC	System Design Document (SDD)	<p>A SDD is not necessary for COTS products, but an interface design document (including APIs) is required. The document should include:</p> <ul style="list-style-type: none"> <li>• A list of all local and off-site facilities</li> <li>• A network schematic showing all network components and technical security controls</li> <li>• Interface control documents</li> <li>• A description of each component, including basic functions and the business areas supported</li> <li>• Enterprise system diagrams, including all components, identifying all logic flow, data flow, systems functions, and their associated data storage</li> <li>• A bi-directional traceability to requirements and test plan</li> </ul>		√	√
Technical/ SDLC	System Requirement Document/ Backlog of User Stories or Use Cases	<p>Requirements/user stories and/or use cases for functional and non-functional requirements:</p> <ul style="list-style-type: none"> <li>• Business</li> <li>• Data</li> <li>• Capacity/performance</li> <li>• Security/privacy/HIPAA compliance</li> <li>• Usability</li> <li>• Maintainability</li> <li>• Interface</li> <li>• 508 compliance</li> <li>• Disaster recovery</li> <li>• Traceability to test plans or test cases</li> </ul>		√	√
Technical/ SDLC	Product Documentation	<ul style="list-style-type: none"> <li>• Operations manuals</li> <li>• Training materials</li> <li>• User guides</li> <li>• List of all error codes and explanations by MMIS component</li> </ul>		√	√

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Technical/ SDLC	Roll Out Plan	<ul style="list-style-type: none"> <li>Plan for rolling out the new or updated module/system to the users</li> </ul>		√	
Security/ Privacy	HIPAA Statement	<ul style="list-style-type: none"> <li>A statement that the system meets HIPAA requirements for transactions and code sets, privacy and security, and when required, National Provider Identifier. This statement is in addition to the completion of all the HIPAA-related checklist criteria.</li> </ul>		√	√



Category	Document/ Artifact	Minimum Required Content and Notes	R1 Project Initiation Milestone Review(s)	R2 Operational Milestone Review(s)	R3 MMIS Certification Final Review(s)
Financial	Official Certification Request Letter	<ul style="list-style-type: none"> <li>• The date the system became fully operational</li> <li>• A copy of the state's letter to the MMIS contractor or state development team accepting the system/modules(s)</li> <li>• A copy of the official acceptance letter from the state to the MMIS contractor or state development team</li> <li>• A proposed timeframe for the review</li> <li>• A declaration that the state's MMIS meets all the requirements of law and regulation: <ul style="list-style-type: none"> <li>○ Meets the requirements of 42 CFR 433.117 for all periods for which the 75-percent FFP is being claimed</li> <li>○ Issues Explanation of Benefits (EOBs) on a regular basis for all periods for which 75-percent FFP is being claimed, in accordance with the provisions of Section 10 of P.L. 95142, which amends section 1903(a)(3) of the Social Security Act</li> <li>○ Is ready for CMS certification, based on the state's evaluation using the checklists in the Toolkit</li> <li>○ Adjudicates claims and information required for payment of services in accordance with all provisions of 42 CFR 447 and the approved state Medicaid plan</li> <li>○ Generates up-to-date and accurate Transformed Medicaid Statistical Information System (T-MSIS) data</li> <li>○ Routinely generates backups containing up-to-date and accurate T-MSIS data</li> <li>○ Exercises appropriate privacy and security controls over the system in accordance with 45 CFR Part 164, P.L. 104-191, HIPAA of 1996, and 1902(a)(7) of the Social Security Act as further interpreted in regulations at 42 CFR 431.300 to 307</li> </ul> </li> </ul>			√

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Certification Final Evidence	Production Screenshots, Reports, and Data	<p>These represent types of checklist criteria evidence for R3.</p> <ul style="list-style-type: none"> <li>• Sample of production data and screenshots</li> <li>• A substantive and representative set of all reports and information retrieval screens (electronic format preferred)</li> <li>• A list of information retrieval functions and reports for each business area (including a list that identifies the distribution of the reports and who can access the information retrieval displays)</li> <li>• The evidence that T-MSIS data requirements have been met for timeliness and data quality</li> <li>• The samples from six months of operating data</li> </ul>			√