

**Exhibit 300 (BY2008)**

<b>PART ONE</b>	
<b>OVERVIEW</b>	
<b>1. Date of Submission:</b>	2007-02-05
<b>2. Agency:</b>	009
<b>3. Bureau:</b>	38
<b>4. Investment Name:</b>	CMS Data Management Operations - Claims (Formerly Data Management Operations)
<b>5. UPI:</b>	009-38-01-04-01-1160-00
<b>6. What kind of investment will this be in FY2008?</b>	
Operations and Maintenance	
<b>7. What was the first budget year this investment was submitted to OMB?</b>	
FY2007	
<b>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.</b>	
<p>The investment includes: major data repositories for Medicare claims and enrollment; establishing standards and monitoring the major data repositories plus any subsidiary databases built from these repositories; the access path to the repositories; the privacy &amp; security protection for the data; &amp; research support functions. Specifically, this investment is comprised of the following components: 1. The National Claims History (NCH) database is an historical, tape-based system comprised of Medicare claims data from 1991 through the present. It houses approximately 1.1 billion claims per year. The National Medicare Utilization Database (NMUD) is a relational database built in DB2 that houses the NCH claims from 1997 through the present. Claims transactions are processed by the Medicare contractors, edited in the Common Working File system, and loaded from the Common Working File to the NCH on a monthly basis. Agency users account for 83 percent of all users, while external users represent the other 17 percent. All users must obtain permission from the privacy staff to access the data. 2. The data administration (DA) and database administration (DBA) functions support both the major repositories and some 400 CMS databases that are derived from these data. Data administration policies govern the format of the data. DBA policies govern the database structures built to house the data. These functions assure that CMS data is managed to meet agency standards. Additionally, these functions support the development and maintenance of the 400+ CMS databases. 3. The Data Extract System (DESY) is the primary access tool for the NCH/NMUD and MSIS databases and various files derived from these data bases, as well as enrollment data files. DESY is an auditable, web-based tool. It is linked to the privacy authorization system and the privacy accountability tracking system, which authorizes user access levels and monitors releases of data to external users. All users are required to enter into Data Use Agreements that are negotiated with the CMS privacy staff and which control their access to the data. During calendar year 2005, DESY processed over 70 billion records for approximately 300 users.</p>	
<b>9. Did the Agency's Executive/Investment Committee approve this request?</b>	
yes	
<b>9.a. If "yes," what was the date of this approval?</b>	
2006-06-23	
<b>10. Did the Project Manager review this Exhibit?</b>	
yes	
<b>12. Has the agency developed and/or promoted cost effective, energy-efficient and environmentally sustainable techniques or practices for this project.</b>	
yes	
<b>12.a. Will this investment include electronic assets (including computers)?</b>	
no	
<b>12.b. Is this investment for new construction or major retrofit of a Federal building or facility? (answer applicable to non-IT assets only)</b>	
no	
<b>13. Does this investment support one of the PMA initiatives?</b>	
yes	
If yes, select the initiatives that apply:	

Expanded E-Government

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

The Data Management Operations - Claims investment directly supports the expanded e-government PMA initiative by its creation of requisite data structures that are critically necessary to the functioning of e-gov.

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 FFMIA compliance area?

no

19.a.1. If yes, which compliance area:

Not Applicable

19.b. If yes, please identify the system name(s) and system acronym(s) as reported in the most recent financial systems inventory update required by Circular A11 section 52.

Not Applicable.

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

<b>Hardware</b>	0
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<b>Software</b>	0
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<b>Services</b>	100
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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?

n/a

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
<b>Planning Budgetary Resources</b>	0.000	0.000	0.000	0.000
<b>Acquisition Budgetary Resources</b>	0.000	0.000	0.000	0.000
<b>Maintenance Budgetary Resources</b>	10.216	17.128	19.958	10.934
<b>Government FTE Cost</b>	0.400	0.410	0.425	0.450
<b># of FTEs</b>	2	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

2.a. If "yes," how many and in what year?

Not Applicable.

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

Not Applicable.

## 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	Protect and improve beneficiary health and satisfaction	Number of months NCH/Medicare Utilization data released to disease management contractors within 15	7	10	TBD

			days after the end of the month			
2	2006	Foster excellence in the design and administration of CMS's programs	Percent of Medicare Utilization data updated monthly in DESY	100%	100%	TBD
3	2007	Protect and improve beneficiary health and satisfaction	Number of months NCH/Medicare Utilization data released to disease management contractors within 15 days after the end of the month	10	11	TBD
4	2007	Foster excellence in the design and administration of CMS's programs	Percent of Medicare Utilization data updated monthly in DESY	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](http://www.egov.gov).

Table 2

	Fiscal Year	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Planned Improvement to the Baseline	Actual Results
1	2006	Technology	External Data Sharing	Number of months NCH/Medicare Utilization data released to disease management contractors within 15 days after the end of the month	7	10	TBD
2	2006	Processes and Activities	Productivity	Percent of Medicare Utilization data updated monthly in DESY	100%	100%	TBD
3	2006	Customer Results	Delivery Time	Percent DESY extracts process utilizing new data source	60%	80%	TBD
4	2006	Mission and Business Results	Information Management	Percent increase in DBA monitoring at CMS contractor sites	400 Database Monitored	50%	TBD
5	2007	Technology	External Data Sharing	Number of months NCH/Medicare Utilization data released to disease management contractors within 15 days after the end of the month	10	11	TBD
6	2007	Processes and Activities	Productivity	Percent of Medicare Utilization data updated monthly in	100%	100%	TBD

				DESY			
7	2007	Customer Results	Delivery Time	Percent DESY extracts process utilizing new data source	80%	90%	TBD
8	2007	Mission and Business Results	Information Management	Percent increase in DBA monitoring at CMS contractor sites	50%	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 Data Management: Ongoing Operations. In order to provide HHS more detail and insight into our investments, last year's major initiative was split out into a separate investment.

2.b. If no, please explain why?

Not Applicable.

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 Classification	Provide integrated data access for CMS operational and historical data	Data Management	Data Classification			No Reuse	0
2	Data Cleansing	Provide integrated data access for CMS operational and	Data Management	Data Cleansing			No Reuse	0

		historical data						
3	Data Exchange	Provide exchange of data among CMS operational and historical data	Data Management	Data Exchange			No Reuse	19
4	Data Recovery	Support data integrity and incident recovery for CMS core databases	Data Management	Data Recovery			No Reuse	0
5	Data Warehouse	Support data integrity and incident recovery for CMS core databases	Data Management	Data Warehouse			No Reuse	0
6	Extraction and Transformation	Provide input of operational data into CMS core databases	Data Management	Extraction and Transformation			No Reuse	17
7	Meta Data Management	Provide integrated data access for CMS operational and historical data	Data Management	Meta Data Management			No Reuse	0
8	Ad Hoc	Allow users to select data from multiple CMS databases	Reporting	Ad Hoc			No Reuse	2
9	Standardized / Canned	Allow users to select data from multiple CMS databases	Reporting	Standardized / Canned			No Reuse	0
10	Access Control	Provide integrated data access for CMS operational and historical data	Security Management	Access Control			No Reuse	0
11	Audit Trail Capture and Analysis	Provide integrated data access for CMS operational and historical data	Security Management	Audit Trail Capture and Analysis			No Reuse	0
12	Identification and Authentication	Provide integrated data access for CMS operational and historical data	Security Management	Identification and Authentication			No Reuse	0
13	System Resource Monitoring	Provide integrated data access for CMS operational and historical data	Systems Management	System Resource Monitoring			No Reuse	0

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	Component Framework	Business Logic	Platform Dependent	Mainframe and Mid Tier
2	Data Exchange	Component Framework	Business Logic	Platform Independent	Mainframe and Mid Tier
3	Data Exchange	Component Framework	Data Interchange	Data Exchange	Email, Web Browser
4	Extraction and Transformation	Component Framework	Data Management	Database Connectivity	DB2
5	Standardized / Canned	Component Framework	Data Management	Reporting and Analysis	Cobol, DB2
6	Ad Hoc	Service Access and Delivery	Delivery Channels	Intranet	Extranet
7	Audit Trail Capture and Analysis	Service Access and Delivery	Service Requirements	Hosting	TSO
8	Meta Data Management	Service Interface and Integration	Interoperability	Data Format / Classification	Platinum
9	Data Warehouse	Service Platform and Infrastructure	Database / Storage	Database	SQL Server, Oracle
10	Data Recovery	Service Platform and Infrastructure	Database / Storage	Storage	DASD, DB2
11	Data Cleansing	Service Platform and Infrastructure	Software Engineering	Modeling	Erwin
12	NEW	Service Platform and Infrastructure	Software Engineering	Software Configuration Management	Doors
13	Data Recovery	Service Platform and Infrastructure	Software Engineering	Test Management	Load Runner
14	System Resource Monitoring	Service Access and Delivery	Access Channels	Web Browser	Internet Explorer
15	Access Control	Component Framework	Security	Supporting Security Services	RACF

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 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?*

2002-01-01

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

no

*1.c. If yes, describe any significant changes:*

Not Applicable.

*2.b. If no, what is the strategy for managing the risks?*

Not Applicable.

#### 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?*

The operational analysis was complete to validate that the project's principal goals were done in a timely manner and within budget.

*1.c. If no, please explain why it was not conducted and if there are any plans to conduct operational analysis in the future.*

Not Applicable.