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3	1	ConOps	Conceptual functions and stakeholder interactions. The high-level concepts covered in the ConOps are: Scope Definition Current System, Goals Objectives and Rationale for new or significantly modified system Scenarios Analysis Proposed System Analysis of Proposed System	Required	Satisfactory	<ul style="list-style-type: none"> High-level Exchange vision illustrated in the Architecture Review, Project Baseline Review (AR/PBR) (Slides 6-15) and PBR presentations (Slide 3-15); Update needed 	Yes	
4	1.1	Architectural Diagrams (Supplement to ConOps)	Framework to identify the conceptual integration of the underlying business functionality, data, and infrastructure of the intended solution	Required	Satisfactory	<ul style="list-style-type: none"> CALT documents include an overview of presentation, business, data access, and data tiers; a broad diagram of how MN Health Information Exchange (HIX) IT system will interact with State and Federal hubs; high-level business concept in AR/PBR presentation; however, updates are needed 	Yes	
5	1.2	Business Process Models (Supplement to ConOps)	Pictorial representation of Exchange business processes and information flows, including sequence of events. This item is deemed as Recommended instead of Core as CMS will be sharing completed BPM with States to jump start the BPM process.	Required	Satisfactory	<ul style="list-style-type: none"> Used end to end modules Update throughout life cycle 	Yes	
6	1.3	Technical Architecture Diagrams (Supplement to ConOps)	Description of network, data storage, security, middleware, and server architecture	Required	Satisfactory	<ul style="list-style-type: none"> CALT documents provide an overview of presentation, business, data access, and data tiers, and a broad diagram of how the MN HIX IT system will interact with State and Federal hubs; however, updates are needed 	Yes	
7	2	Project Management Plan	Overall plan for project execution, monitoring, and control. A high-level approach overview of the following topics are contained in the PMP: Assumptions/Constraints/Risks Project Scope (covered in project charter) Overall Project Management Approach Communication Management Risk Management Configuration Management Change Management Development Approach (covered in solution planning doc) Quality Management Independent Verification and Management Requirements Management Record Management Security Training Plan	Required	Satisfactory	<ul style="list-style-type: none"> Architecture review presentation includes project management schedule (slides 40-46); the project baseline review presentation includes illustration of project performance schedule (slides 16-17); and the baseline PMP was provided, version 1.0 (private folder); however updates are needed. 	Yes	11/16/2012

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8	2.1	Acquisition Strategy (Supplement to PMP)	Plan for resource acquisition and associated task orders	Required	Satisfactory	<ul style="list-style-type: none"> Full/outstanding contract/acquisition plans are needed Update with IV&V procurement and as needed 	Yes	
9	2.2	Project Schedule (Supplement to PMP)	Project plan or schedule with activities and timeline associated with standing up the solution set	Required	Satisfactory	<ul style="list-style-type: none"> Continue to review and update 	Yes	11/16/2012
10	2.3	Risk Management Plan- including Risk Mitigation Strategy (Supplement to PMP)	Identification and potential mitigation of any uncertain events that may impact project objectives	Required	Partial	<ul style="list-style-type: none"> Table of risk assessment illustrated in Minnesota AR/PBR presentation (slides 63-64), but will need to be updated.High level Update. Included National Institute of Standards and Technology (NIST) Risk Assessment Guide for reference only (CALT ID: doc7718) 		11/16/2012
11	2.4	Risk Register	Identification and potential mitigation of any uncertain events / risks that may impact project objectives	Required	Satisfactory	<ul style="list-style-type: none"> Minnesota provided a risk dashboard that summarizes the risks evaluated. Risk areas were identified in the State's presentation and documentation is available in CALT private folder. 	Yes	11/16/2012
12	2.5	Communications Plan (Supplement to PMP)	The methods and activities needed to ensure timely and appropriate collection, generation, dissemination, storage, and ultimate disposition of project information among the project team and stakeholders.	As Needed to Supplement the PMP	Satisfactory	<ul style="list-style-type: none"> Communication management plan provides an overview of Exchange stakeholders, Exchange leadership team functions, and associated names of current leadership (slide 55 of doc2902 and doc7904); it also includes a draft communications matrix; however, an update is needed. Update needed to describe how project communications will be managed including how changes will be managed. Include any risks associated with the management of project communications and proposed mitigation strategies. 	Yes	11/16/2012
13	2.5.1	Communication Matrix	Defines the details of the prescribed communication items for the project that will be utilized during the life of the project or provide a reference to where this information resides.	Required	Satisfactory	<ul style="list-style-type: none"> Baseline version of the communication plan contains the communication matrix. Names of key stakeholders need to be completed. 		11/16/2012
14	2.6	Quality Management Plan and IV&V Reporting (Supplement to PMP)	Necessary information required to effectively manage quality during the life cycle of the project including independent verification and validation reporting.	As Needed to Supplement the PMP	Missing	<ul style="list-style-type: none"> Brief description provided in baseline PMP; further detail in needed 		2/15/2013
15	2.7	Change Management Plan (Supplement to PMP)	Defines the approach, administrative procedures, roles and responsibilities for submitting, evaluating, coordinating, approving or disapproving business and technical changes to baseline items.	As Needed to Supplement the PMP	Partial	<ul style="list-style-type: none"> Change management was addressed in the AR/PBR presentation, PBR presentation (slide 41), and draft baseline PMP V1.0 (Private folder); however, this section is very brief and will need to be outlined in greater detail 		12/31/2012
16	2.8	Configuration Management Plan (Supplement to PMP)	Establishes the technical and administrative direction and surveillance for the management of configuration items (i.e., software, hardware, and documentation) associated with the project that are to be placed under configuration control.	As Needed to Supplement the PMP	Satisfactory	<ul style="list-style-type: none"> Update as system matures 	Yes	Monthly Update

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17	2.9	Staff Management Plan (Supplement to PMP)	The processes and procedures used to staff the project.	As Needed to Supplement the PMP	Partial	•Staff estimates provided. □ Need staff management plan to include project overview, assumptions, constraints, risk, method, tool, staff organization, roles, responsibilities, staff orientation, training needs,		12/31/2012
18	2.10	Financial Management Plan (Supplement to PMP)	Document the financial measurement baseline for the project and define how it will be tracked, define reporting for the financial health of the project, and the invoicing requirements and timelines for the project.	As Needed to Supplement the PMP	Satisfactory	Update is needed to include changes	Yes	Monthly Update
19	2.11	Financial Status Report (Supplement to PMP)	Report to depict investment consumption on a periodically.	Required	Satisfactory	None	No	
20	2.12	Performance Measurement Plan (Supplement to PMP)	Identify and prioritize the performance measurement goals and objectives and standards for project processes (e.g., product functionality, regulatory compliance, project deliverables, project management performance, documentation, testing, etc.), and describe how they will be satisfied.	As Needed to Supplement the PMP	Partial	• Updated performance management plan needed	Yes	12/31/2012
21	2.13	Performance Measures (Supplement to PMP)	Key performance indicators of significant accomplishments or events	Required	Partial	• Performance measures are briefly described in Minnesota AR/PBR presentation (slides 59–60); •update needed	No	12/31/2012
22	2.14	Training Plan (Supplement to PMP)	Description of training effort to use and support the system, including initial and subsequent remedial training for business users and system support personnel	As Needed to Supplement the PMP	Missing	•Provide training plan		7/22/2013
23	2.15	Release Plan (Supplement to PMP)	Descriptions of the system functionality that will be developed and implemented in each release, and the rationale for each release	Required	Missing	•Provide alternatives analysis	Yes	1/15/2013
24	3	Alternatives Analysis	Potential alternatives for project solution design and implementation, and associated conditions when an alternative may be more viable	Required	Missing	• Provide alternatives analysis	Yes	1/15/2013
25	4	Cost Allocation Plan / Methodology	Plan to allocate system costs appropriately between Exchanges, Medicaid, CHIP, and other programs.	Required	Partial	• High-level	Yes	12/31/2012
26	5	MITA State Self Assessment / MITA Roadmap	Self assessment against MITA framework. Conducted at AR and 12 months after MITA 3.0 is released.	Required (Medicaid only)	Missing	• Need to provide MITA State self-assessment/MITA Roadmap		12/31/2012
27	6	Privacy Impact Assessment	Determines if Personally Identifiable Information (PII) is contained within a system, what kind of PII, what is done with that information, and how that information is protected	Required	Missing	• Need to provide privacy impact assessment		7/22/2013
28	7	Business Requirements	Initial, traceable requirements for business and technical functionality to be delivered upon project completion	Required	Partial	•Minnesota has provided high-level business requirements and process flows; Some deep process flows may be IP for vendors •Update required.	Yes	7/22/2013

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29	7.1	Use Cases	A use case is a description of steps or actions between a user or "actor" and a software system which leads the user towards something useful. Can either complement or be derived in place of User Stories.	Recommended Industry Best Practice	Partial	•Only use cases for advance payments of the premium tax credit (APTC), cost-sharing reductions, and enrollment are submitted; however, other IT use cases are needed. •Update needed to understand how these cases will be addressed.	Yes	7/22/2013
30	7.2	User Stories	A user story is one or more sentences in the everyday or business language of the end user that captures what the user wants to achieve and are written by or for the customers of a software project. Can either complement or be derived in place of Use Cases.	Recommended Industry Best Practice	Missing	•Need to provide user stories		7/22/2013
31	8	Business Rules	Business rules in human and machine readable format	Required	Missing	•Request an update on when the business rules will be developed	Yes	7/22/2013
32	9	System Security Plan	The plan describes security controls within the system that will protect the confidentiality, integrity, and availability (CIA) of the system and its information	Required	Missing	•Not provided; only referenced in system requirements and development planning		2/15/2013
33	10	Information Security Risk Assessment	Identification of risks and possible mitigation associated with information security components and supporting infrastructure	Required	Missing	•A general approach was referenced in requirements and development planning document, and Minnesota submitted the Security Lifecycle Management guide from MN DHS Office of Information Security as a reference document; •request an update on when this will be completed		2/15/2013
34	11	Test Plan	Plan for testing activities, periods, test cases, mapping requirements to the specific tests, tracking and resolving issues, verification methods, test data needs, and version control	Required	Partial	•IV&V RFP drafted; test plan not yet available		2/15/2013
35	12	System Design Document	Transformation of the requirements, user-oriented functional design, and data design into more technical specifications from which the system will be built	Required	Missing	•Need to provide systems design document		2/1/2013
36	13	Interface Control Document(s)	Description of the inputs and outputs of a single system/services, the interface between two systems/services, or the interface protocol between physical components	Required	Missing	•Request an update as to when this will be completed		2/1/2013
37	14	Database Design Document	System context and the basic database design approach, including dependencies and interfaces with other databases and/or systems	Required	Partial	•Provide updated database design document		2/1/2013
38	14.1	Logical Data Model (Supplement to Database Design Document)	Definition of common understanding of business data elements and inter-relations to form the basis for physical database design	Recommended Industry Best Practice	Missing	•Provide logical data model		2/1/2013
39	14.2	Physical Data Model (Supplement to Database Design Document)	Database entities/tables/views, attributes/columns/fields, and relationship between entities influenced by database performance, indexing, storage, and denormalization	Recommended Industry Best Practice	Missing	•Provide physical data model		2/1/2013
40	15	Data Management Plan	Strategy for managing data during and after project execution. Identifies data archiving/data retention plans	Required	Missing	•Provide data management plan		2/1/2013

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41	16	Data Conversion Plan	Strategy, preparation, and specifications for converting data for system deployment to production and for use during execution	Recommended Industry Best Practice	Missing	•Provide data conversion plan		3/29/2013
42	17	Implementation Plan	Descriptions and procedures of how the Exchange solution will be installed, deployed, and transitioned into an operational system	Required	Missing	•Provide implementation plan		1/15/2013
43	18	Contingency / Recovery Plan	Includes management policies and procedures to maintain or restore business and technical operations in the event of emergency, system failure, or disaster	Required	Missing	•Discussed during the Design Review May 23-24, 2012; updated requested	Yes	8/30/2013
44	19	Manuals and Training Materials	Includes Training Materials, User manuals and O&M Manuals	Required	Missing	• No evidence of training materials, user manuals, or O&M manuals		8/16/2013
45	19.1	User Manuals (Supplement to Manuals and Training Materials)	Explanation of how to use the established product from a business function perspective	Required	Missing	• No evidence of training materials, user manuals, or O&M manuals		8/16/2013
46	19.2	O&M Manual (Supplement to Manuals and Training Materials)	Description of the business product operating in the production environment, and information necessary to effectively handle routine production processing, ongoing maintenance, performance monitoring, and identification of problems, issues, and/or change requirements	Required	Missing	• No evidence of training materials, user manuals, or O&M manuals		7/22/2013
47	19.3	Training Materials (Supplement to Manuals and Training Materials)	Documentation associated with the deployment and use of the Business Product, including instructor and student guides, audio-visual aids, and computer-based or other media	Recommended Industry Best Practice	Missing	• No evidence of training materials, user manuals, or O&M manuals		7/22/2013
48	20	Data Use/ Data Exchange/ Interconnection Security Agreements	Agreements between parties for the use of personal identifiable data, and to ensure secure data exchange Please note that this is a set of documents, not one all encompassing document.	Required	Missing	• Provide any data use, data exchange, interconnection security agreements		7/22/2013
49	21	Test Reports	Test results obtained at the conclusion of test activities, including test performance and outcomes. Includes defect reports and system security test results	Required				9/6/2013
50	22	Automated Code Review Results	Report with results from development code reviews that inspect for software security vulnerabilities	Recommended Industry Best Practice				9/6/2013
51	23	Service Level Agreements (SLAs) / Memorandum of Understandings (MOUs)	SLAs and MOU agreements between parties who use or support the Exchange solution. Please note that this is a set of documents, not one all encompassing document.	Required	Partial	• Aerite risk assessment contract agreement. • IT service level agreement templates are available per CALT ID docs 7700-7715 • Request submission/upload of existing SLAs/MOUs as available to CALT		7/22/2013
52	24	Plan of Action and Milestones (POA&M)	Required of federally owned systems. The POA&M includes specific action steps for mitigating Exchange system security weaknesses identified by a security assessment	Required				8/30/2013

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53	25	Authority to Operate (ATO)	A system obtains its ATO by virtue of performing System Certification and System Accreditation. System Certification is the comprehensive evaluation of the management, operational, and technical security controls implemented for an information system to ensure compliance with information security requirements	Required				8/30/2013
54	26	System of Record Notice	A System of Record is a group of any records under the control of a federal agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual. The federal government is required to inform the public of any collection of information about its citizens from which data are retrieved by a unique identifier	Recommended Industry Best Practice	Missing	• Provide SORN		7/22/2013
55	27	Annual Operational Readiness Report	Results from monitoring the performance of the system/application during normal operations against original user requirements and any newly implemented requirements or changes	Required				8/30/2013
56	28	ACA Internal Revenue Service and Safeguard Procedures Report (SPR) documentation		Required	Missing	Outlined initial tasks for reporting to IRS.		8/30/2013
57	29	ACA System Security Plan		Required	N/A	N/A		8/30/2013
58								