



Centers for Medicare & Medicaid Services

The Project Process Agreement Lesson 1: Introduction

Version 1.0

May 16, 2013

Course Advisory

This course contains audio.

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Slide Content

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Navigation Buttons

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Slide 1: The Project Process Agreement, Lesson 1: Introduction



Slide Content

- Identity Mark of the Centers for Medicare & Medicaid Services
- Office of Information Services, Enterprise Architecture & Strategy Group, Division of IT Governance

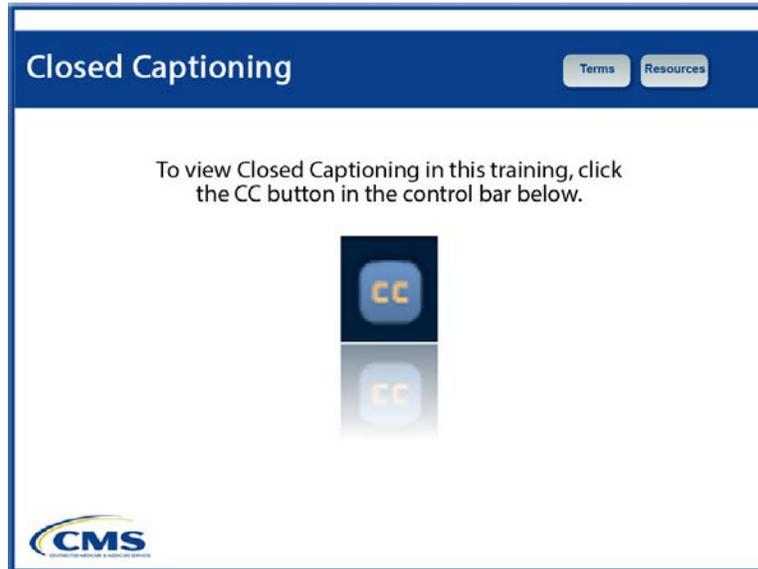
Navigation Buttons

- The **Help** button is located in the upper right of the title bar.

Slide Voiceover Notes

- Welcome to the Project Process Agreement on-line training course, Lesson 1 of 7.
- It is expected that you have taken the Expedited Life Cycle (XLC) Basic Training course before proceeding with this lesson, which should take approximately 20 minutes.
- Click the **Help** button for instructions on navigating through this course.

Slide 2: Closed Captioning



Slide Content

- To view Closed Captioning in this training, click the **CC** button in the control bar below.

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- To view Closed Captioning in this training, click the **CC** button in the control bar below.
- In addition, by selecting the **Resources** button, you will be provided with a list of related websites and other reference materials that will help you gain a better understanding of the XLC.
- The **Terms** button provides definitions of words and acronyms that may be unfamiliar to you.

Slide 3: Lesson Overview

Lesson Overview Terms Resources

Topics:

- ➔ The eXpedited Life Cycle (XLC) and the Project Process Agreement (PPA)
- ➔ Overview of the Project Process Agreement and its major components
- ➔ Benefits of the Project Process Agreement

Objectives:

- ➔ Describe the PPA and its five (5) components: project complexity determination, artifacts, reviews, tests and signature page.

Key Items:

- ➔ The XLC allows project tailoring based on project complexity and the PPA documents this project tailoring.
- ➔ The PPA documents the project complexity, reviews, artifacts, tests, and key stakeholder agreement for a project.

XLC Detailed Description Document:
 Section 1.1: High Level Process Overview
 Section 1.2: eXpedited Life Cycle (XLC) Model
 Section 3: XLC Risk Considerations

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Slide Content

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Key Items:

- The XLC allows project tailoring based on project complexity and the PPA documents this project tailoring.
- The PPA documents the project complexity, reviews, artifacts, tests, and key stakeholder agreement for a project.
- XLC Detailed Description Document: To view Closed Captioning in this training, click the **CC** button in the control bar below.

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

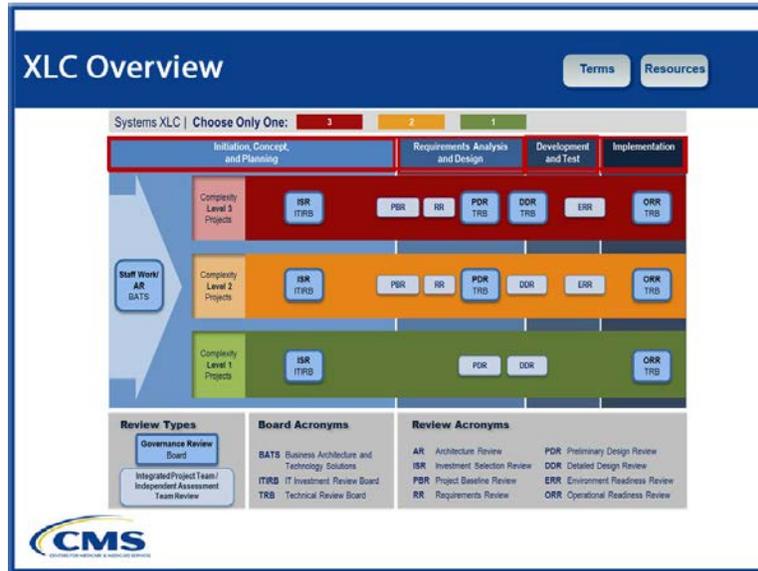
Graphical Reference (upper right corner)

- XLC Detailed Description Document:
 - Section 1.1 High Level Process Overview
 - Section 1.2 eXpedited Life Cycle (XLC) Model
 - Section 3: XLC Risk Considerations

Slide Voiceover Notes

- This lesson provides a review of XLC topics presented in the XLC Basic Training Class and an introduction to the Project Process Agreement. The topics we will review include the:
 1. eXpedited Life Cycle (or XLC) and the Project Process Agreement (or PPA)
 2. Overview of the Project Process Agreement and its major components, and
 3. Benefits of the Project Process Agreement
- At the end of this lesson, you will be able to describe the PPA and the five (5) components:
 1. Project Complexity Determination,
 2. Artifacts,
 3. Reviews,
 4. Tests, and
 5. Signature page.
- The two key points we will be making are:
 1. The XLC allows project tailoring based on project complexity and the PPA documents this project tailoring. And
 2. The PPA documents the project complexity, reviews, artifacts, tests and key stakeholder agreement for a project. If you would like more information you can refer to the Detailed Description Document sections: 1.1 High level Process Overview, 1.2 eXpedited Life Cycle (XLC) Model, and XLC Risk Considerations.

Slide 4: XLC Overview



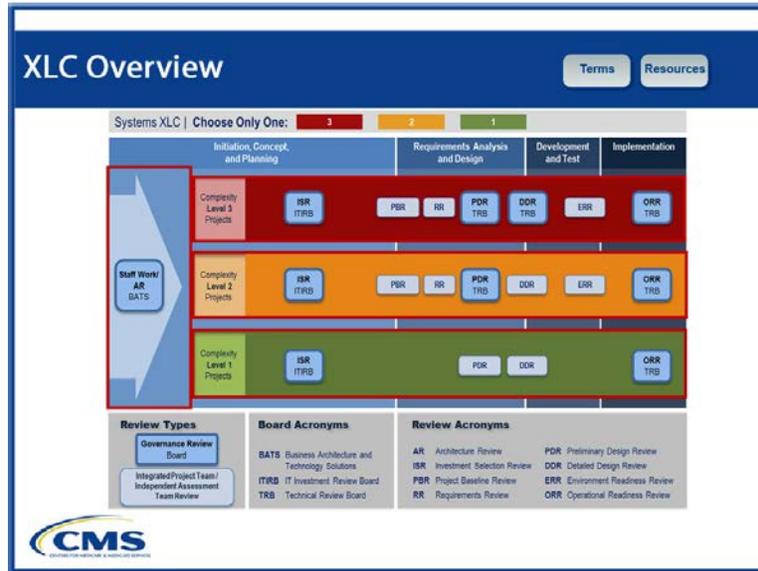
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Slide Voiceover Notes

- The XLC streamlines project oversight and execution. Each project is tailored to be executed with the appropriate level of governance associated with the complexity of the project.
- Tailoring promotes agility, effective review of projects, and appropriate oversight earlier in the process.
- The four (4) stages of a development project are: Initiation, Concept, and Planning; Requirements Analysis and Design; Development and Test; and Implementation.
- Note that the XLC includes a fifth stage for Operations & Maintenance, and Disposition that is not shown on this diagram. The diagram on this slide focuses on the system development perspective.

Slide 5: XLC Overview



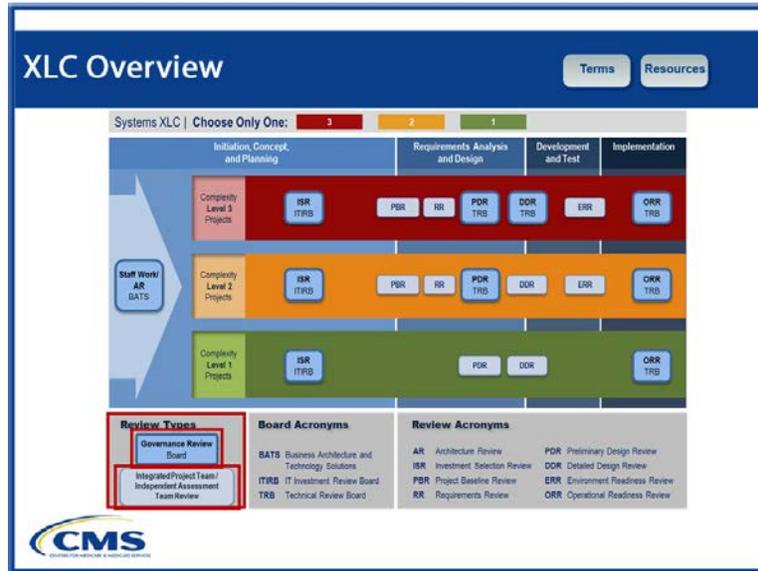
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Slide Voiceover Notes

- Tailoring the XLC to your project identifies the reviews, tests, and artifacts required for your project.
- Tailoring begins with the evaluation of the project risks and the assignment of the Project Complexity Level during the Staff Work prior to the Architecture Review.
- The criteria for determining a project's complexity will be covered a little later in this lesson.
- The XLC specifies three project complexity levels, each shown in a colored "swim lane" in the diagram: Complexity Level 1, shown on the bottom in green, for low-complexity projects; Complexity Level 2, shown in the middle in orange, for more complex projects; and Complexity Level 3, shown on the top in red, for the most complex projects. Each swim lane shows the pre-tailored, minimum set of reviews.

Slide 6: XLC Overview



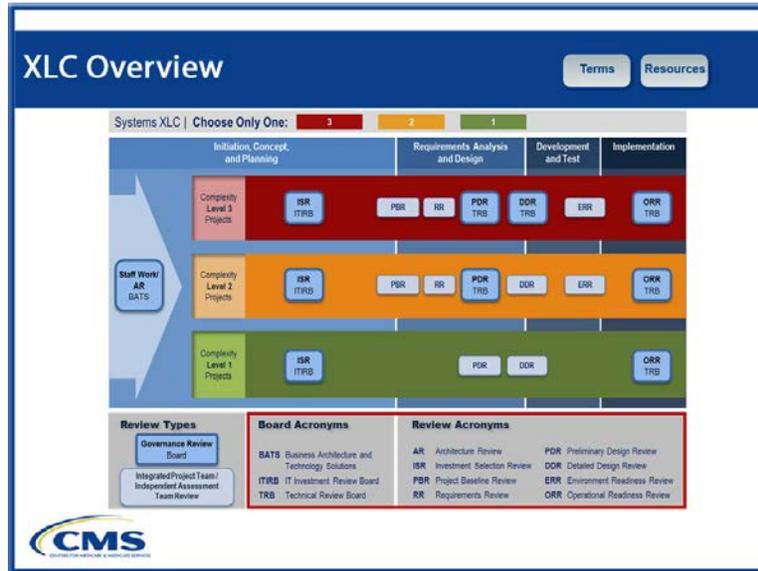
Navigation Buttons

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Slide Voiceover Notes

- Two (2) types of reviews are conducted during a project:
 - **Governance Board Reviews:** These reviews (shown as darker blue boxes with dark blue borders) are scheduled with the appropriate CMS Office of Information Services (OIS) governance body(s) [i.e., Business Architecture and Technology Solutions (BATS) Board, IT Investment Review Board (ITIRB), Technical Review Board (TRB)] and conducted with all relevant stakeholders. The XLC includes three to five governance reviews depending on the project complexity.
 - **Delegated Reviews:** Unlike the earlier Investment Life Cycle (ILC) framework, these reviews (shown as lighter blue boxes with thin blue borders) may be delegated to and conducted by the Integrated Project Team or an Independent Audit Team.
- These reviews are schedule internally to the project team without the need to schedule a meeting with a governance board. Depending on the project complexity level, two to four delegated reviews are conducted.

Slide 7: XLC Overview



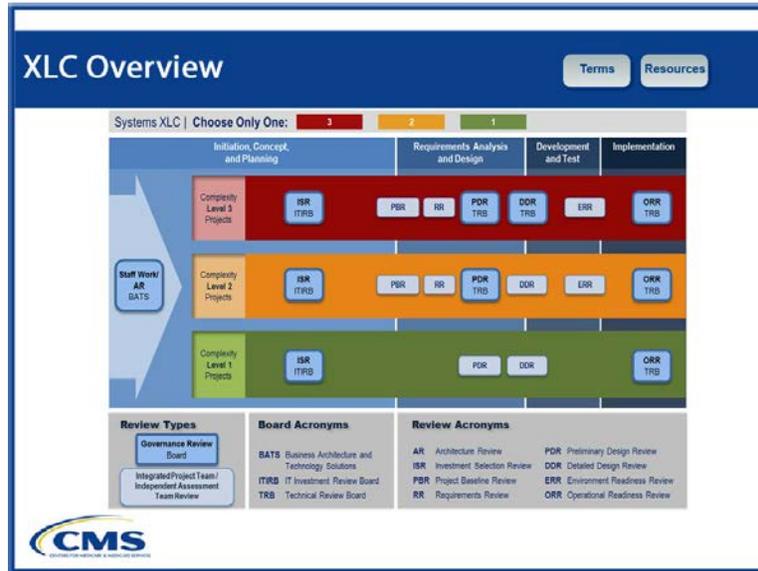
Navigation Buttons

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Slide Voiceover Notes

- The legend lists acronyms for the boards and the reviews shown in the chart.

Slide 8: XLC Overview



Navigation Buttons

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Slide Voiceover Notes

- Let's examine an example of a Level 2 project. A Complexity Level 2 project includes four (4) governance reviews: the Architecture Review, conducted by the Business Architecture and Technology Solutions (BATS) Board, Investment Selection Review conducted by the IT Investment Review Board (ITIRB), Preliminary Design Review conducted by the Technical Review Board (TRB), and the Operations Readiness Review (ORR) conducted by the TRB.

Complexity Level 2 projects also include four (4) delegated reviews:

1. Project Baseline Review (PBR),
2. Requirements Review (RR),
3. Detailed Design Review (DDR), and
4. Environment Readiness Reviews (ERR).

Determining the project complexity level begins the tailoring process and defines the required reviews for your project.

- The next task is determining the appropriate set of artifacts and tests.

Slide 9: Project Complexity Level

Project Complexity Level Terms Resources

⇒ Six (6) characteristics are combined using a business rule to determine a project's overall complexity level.

1. Shared Services Implications
2. Program / Business Process Profiles
3. Privacy Implications
4. Security Implications
5. Data Complexity
6. Interface Complexity

⇒ Each characteristic is assigned a complexity level based on rating guidance.



Slide Content

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 5. Data Complexity
 6. Interface Complexity
- Each characteristic is assigned a complexity level based on rating guidance.

Navigation Buttons

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Slide Voiceover Notes

- The Business Owner evaluates the project complexity level based on six (6) characteristics: (1) Shared Services Implications, (2) Program and Business Process Profiles, (3) Privacy Implications, (4) Security Implications, (5) Data Complexity, and (6) Interfaces Complexity.
- The Business Owner determines the complexity level of each characteristic based on guidance provided in the Project Process Agreement (PPA).
- A business rule in the PPA evaluates the characteristic complexity levels to determine the project complexity level.

Slide 10: Project Process Agreement



Project Process Agreement Terms Resources

- ✓ Designed to be tailored
- ✓ A “contract” documenting:
 - Complexity Level
 - Artifacts
 - Reviews
 - Tests
- ✓ Signatures of Approval
 - Project Manager(s)
 - CMS IT Governance
 - CMS Executive Sponsor
- ✓ Microsoft Excel based tool at <http://go.cms.gov/cms-xlc>

CMS

Image: iStockphoto.com

Slide Content

- Designed to be tailored
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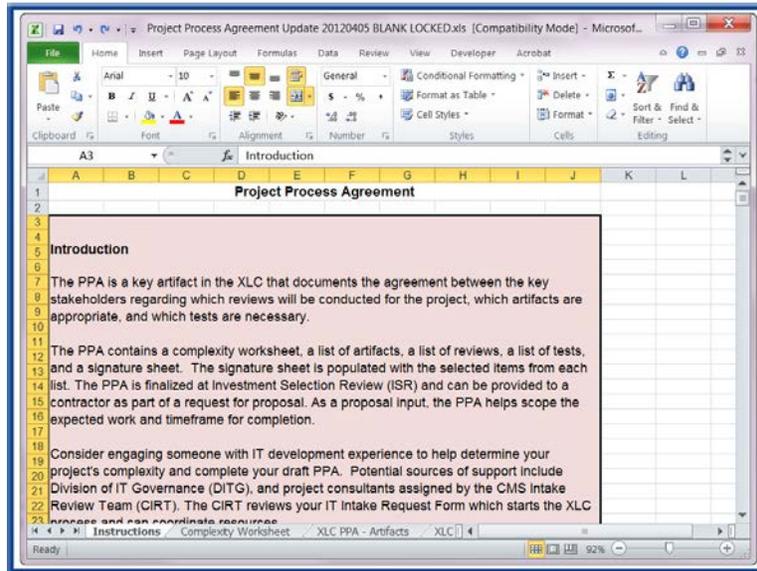
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Slide Voiceover Notes

- Project tailoring is a key feature of the XLC. Not all artifacts, reviews, and tests are mandatory for every project. The XLC is designed to be tailored with project tailoring documented in the Project Process Agreement (PPA).
- Tailoring allows you to customize, combine, delegate, or waive elements in the XLC framework such as reviews, artifacts, and tests.

- Just like a suit is tailored to a specific person, the XLC is tailored to a specific project using the Project Process Agreement.
- The PPA is a written agreement between the key stakeholders that establishes a common understanding of the project complexity level, which reviews will be conducted, which artifacts are appropriate, and which tests are necessary.
- The PPA documents what is required to complete a systems or software development project at CMS. The Project Process Agreement is completed during the Concept Phase prior to the Investment Selection Review (ISR).
- The PPA becomes a project roadmap and is the team's guide for what is expected to complete delivery. It documents all the required artifacts, reviews, and tests, and can be provided to a contractor as part of a Request for Proposal (or RFP).
- The Project Process Agreement is an Excel-based tool that can be downloaded from the XLC Website at <http://go.cms.gov/cms-xlc>
- When it comes to the XLC, one size DOES NOT fit all projects.
- The legend in the XLC Overview diagram lists the acronyms for the Boards and the Reviews shown.

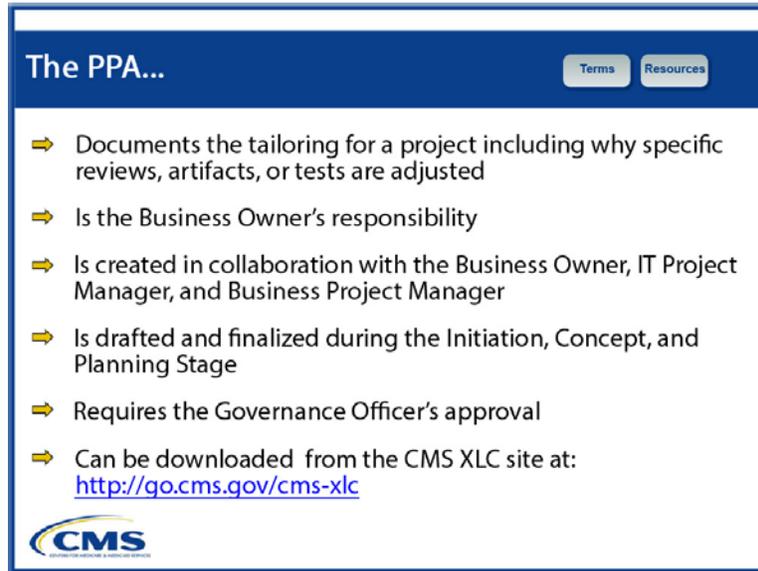
Slide 11: Screenshot of PPA Excel Workbook



Slide Voiceover Notes

- As shown on the screen, the PPA is a Microsoft Excel workbook with six linked worksheets or tabs that appear at the bottom of the workbook screen: the first tab is Instructions; the second, Complexity Worksheet; The third, Artifacts; the fourth, Stage Gate Reviews; the fifth, Testing Functions; and, finally, the sixth, Signatures.

Slide 12: The PPA ...



The PPA...

Terms Resources

- ➔ Documents the tailoring for a project including why specific reviews, artifacts, or tests are adjusted
- ➔ Is the Business Owner's responsibility
- ➔ Is created in collaboration with the Business Owner, IT Project Manager, and Business Project Manager
- ➔ Is drafted and finalized during the Initiation, Concept, and Planning Stage
- ➔ Requires the Governance Officer's approval
- ➔ Can be downloaded from the CMS XLC site at: <http://go.cms.gov/cms-xlc>



Slide Content

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Navigation Buttons

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Slide Voiceover Notes

- The PPA documents the specific reviews, artifacts, or tests for a project and records justifications for tailoring choices.
- While the Business Owner is responsible for creating the PPA, he/she works in collaboration with the IT Project Manager and the Business Project Manager.
- The Signatures' Worksheet documents the agreement among the IT Project Manager, Business Project Manager, CMS IT Governance, and Business Owner (listed as the CMS Executive Sponsor) regarding the tailoring for a particular project.
- You can download it on the CMS XLC site at: <http://go.cms.gov/CMS-XLC>

Slide 13: PPA through IT Project's Life Cycle

PPA through IT Project's Life Cycle [Terms](#) [Resources](#)

- ✓ Use the PPA as a roadmap for your project:
 - What is the next review?
 - What artifacts do I need to prepare for the next review?
 - What tests do I need to perform?
- ✓ Re-baseline the PPA during your project, if required
- ✓ The PPA supports developing the project schedule and contractor statement of work.





Slide Content

- Use the PPA as a roadmap for your project:
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 - What artifacts do I need to prepare for the next review?
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- Re-baseline the PPA during your project, if required
- The PPA supports developing the project schedule and contractor statement of work.

Navigation Buttons

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Slide Voiceover Notes

- The PPA becomes a roadmap for the project. The project team can use the PPA to determine the (1) Next review in a project, (2) Artifacts that need to be prepared for that review, and (3) Testing that needs to be conducted.
- The PPA is a baselined document. If the project undergoes significant changes in scope, the PPA may need to be reevaluated and potentially updated.
- If changes to the PPA are required, the Business Owner, Project Managers, and CMS IT Governance must approve it.

Slide 14: Lesson 1 Summary

Lesson 1 Summary Terms Resources

Topics:

- ➔ The eXpedited Life Cycle (XLC) and the Project Process Agreement (PPA)
- ➔ Overview of the Project Process Agreement and its major components
- ➔ Benefits of the Project Process Agreement

Objectives:

- ➔ Describe the PPA and its five (5) components: project complexity determination, artifacts, reviews, tests and signature page.

Key Items:

- ➔ The XLC allows project tailoring based on project complexity and the PPA documents this project tailoring.
- ➔ The PPA documents the project complexity, reviews, artifacts, tests, and key stakeholder agreement for a project.



Slide Content

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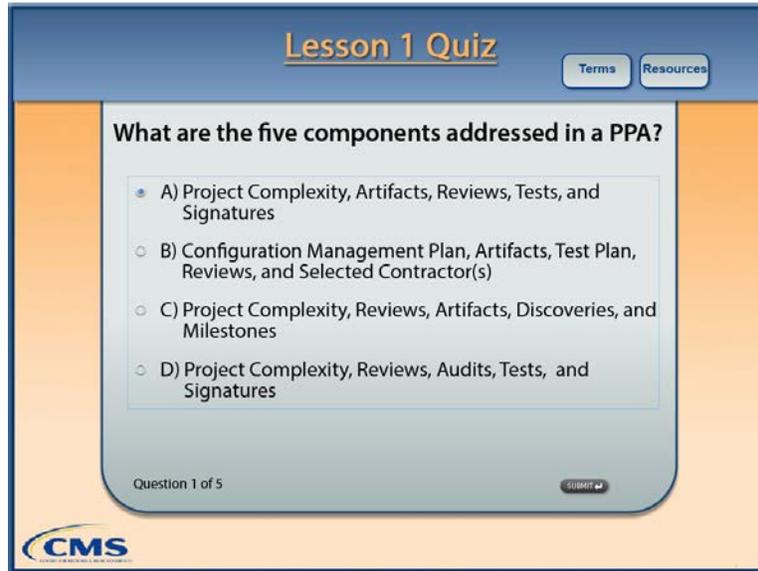
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Slide Voiceover Notes

- So let's summarize what we have just reviewed in Lesson 1, Introduction to the PPA. In this lesson, we covered the following points:
 1. The XLC and the PPA,

2. Overview of the Project Process Agreement and its major components, and
 3. Benefits of the Project Process Agreement.
- You should now be able to: describe the PPA and its five (5) components: project complexity determination, artifacts, reviews, tests, and signature page.
 - The key points in Lesson 1 are:
 - The XLC allows for project tailoring based on project complexity and the PPA documents the tailoring agreed to by the parties involved.
 - The PPA documents the project complexity, reviews, artifacts, tests, and key stakeholder agreement for a project. Now that you have a good understanding of the need for the PPA, let's check your understanding of this material with a few questions. You must take the review quiz to move on to the next lesson.

Slide 15: Lesson 1 Quiz (Question 1 of 5)



Slide Content

What are the five components addressed in a PPA?

- A) Project Complexity, Artifacts, Reviews, Tests, and Signatures
- B) Configuration Management Plan, Artifacts, Test Plan, Reviews, and Selected Contractor(s)
- C) Project Complexity, Reviews, Audits, Tests, and Signatures
- D) Project Complexity, Reviews, Artifacts, Discoveries, and Milestones

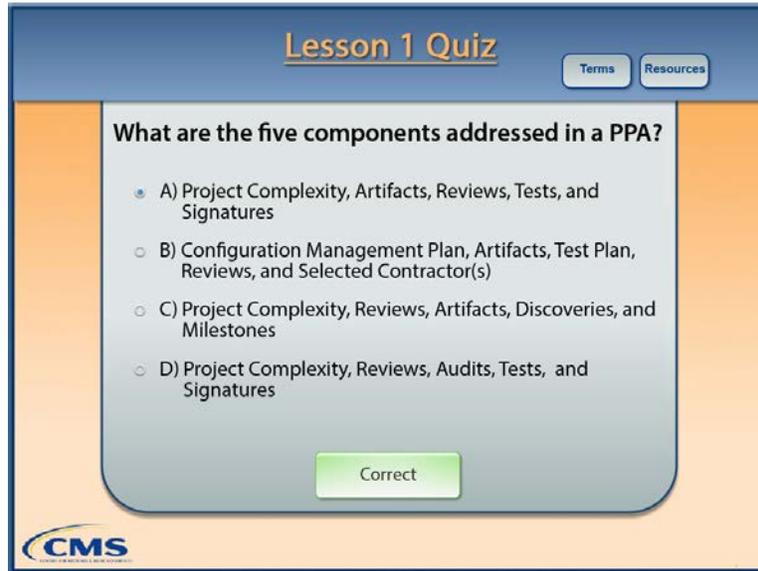
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- The **Submit** button is located in the lower right corner of the screen.

Slide Voiceover Notes

- Question 1 of 5: What are the five components addressed in a PPA?

Slide 16: Correct Answer to Question 1



Slide Content

What are the five components addressed in a PPA?

- A) Project Complexity, Artifacts, Reviews, Tests, and Signatures
 - B) Configuration Management Plan, Artifacts, Test Plan, Reviews, and Selected Contractor(s)
 - C) Project Complexity, Reviews, Audits, Tests, and Signatures
 - D) Project Complexity, Reviews, Artifacts, Discoveries, and Milestones
- Answer: (A) Correct

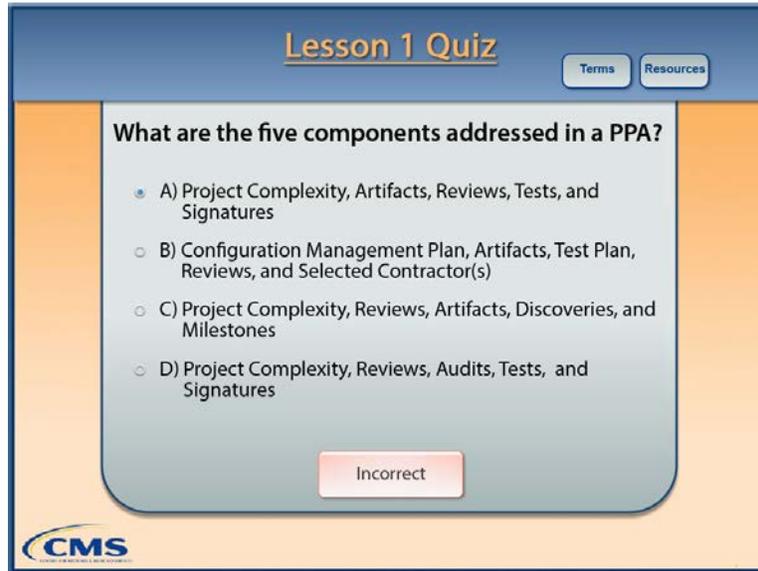
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Slide Voiceover Notes

- That is correct. The five components addressed in a PPA are: Project Complexity, Artifacts, Reviews, Tests, and Signatures.

Slide 17: Incorrect Answer to Question 1



Slide Content

What are the five components addressed in a PPA?

- A) Project Complexity, Artifacts, Reviews, Tests, and Signatures
 - B) Configuration Management Plan, Artifacts, Test Plan, Reviews, and Selected Contractor(s)
 - C) Project Complexity, Reviews, Audits, Tests, and Signatures
 - D) Project Complexity, Reviews, Artifacts, Discoveries, and Milestones
- Answer: Incorrect

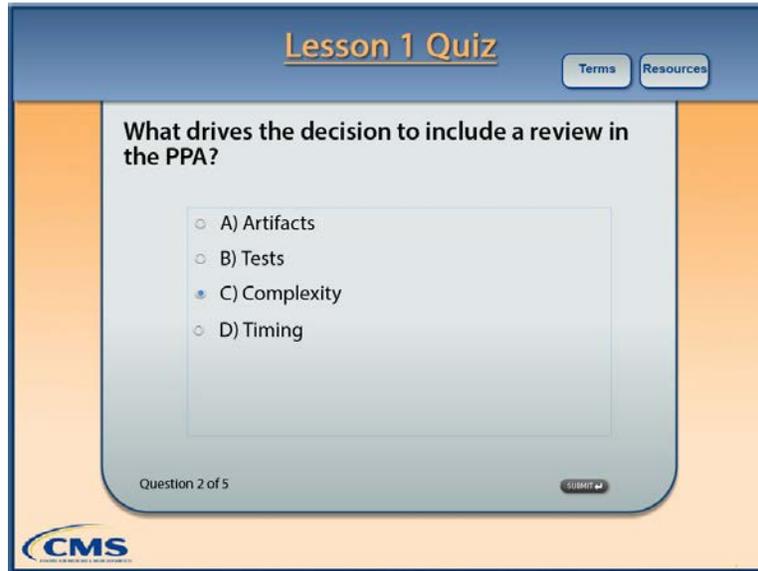
Navigation Buttons

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Slide Voiceover Notes

- Answers B, C, and D are not correct. The correct answer is A, Project Complexity, Artifacts, Reviews, Tests and Signatures are addressed in a PPA. Answer B is partially correct: the Artifacts and Reviews are addressed in the PPA, but the Configuration Management Plan, Test Plan, and Selected Contractors are not.
- Answer C is partially correct: Reviews and Artifacts are addressed in the PPA, but Project Complexity, Discoveries, and Milestones are not.
- Answer C is partially correct: Reviews and Artifacts are addressed in the PPA, but Project Complexity, Discoveries, and Milestones are not.
- Answer D is partially correct: Project Complexity, Reviews, Test, and Signatures are addressed in the PPA, but Audits are not.

Slide 18: Lesson 1 Quiz (Question 2 of 5)



Slide Content

What drives the decision to include a review in the PPA?

- A) Artifacts
- B) Tests
- C) Complexity
- D) Timing

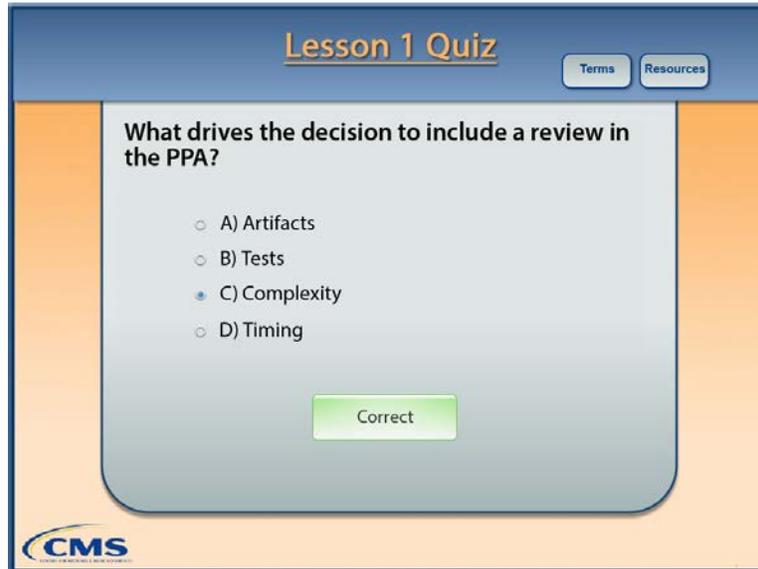
Navigation Buttons

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- The **Submit** button is located in the lower right corner of the screen.

Slide Voiceover Notes

- Question 2 of 5: What drives the decision to include a review in the PPA?

Slide 19: Correct Answer to Question 2



Slide Content

What drives the decision to include a review in the PPA?

- A) Artifacts
- B) Tests
- C) Complexity
- D) Timing
- Answer: (C) Correct

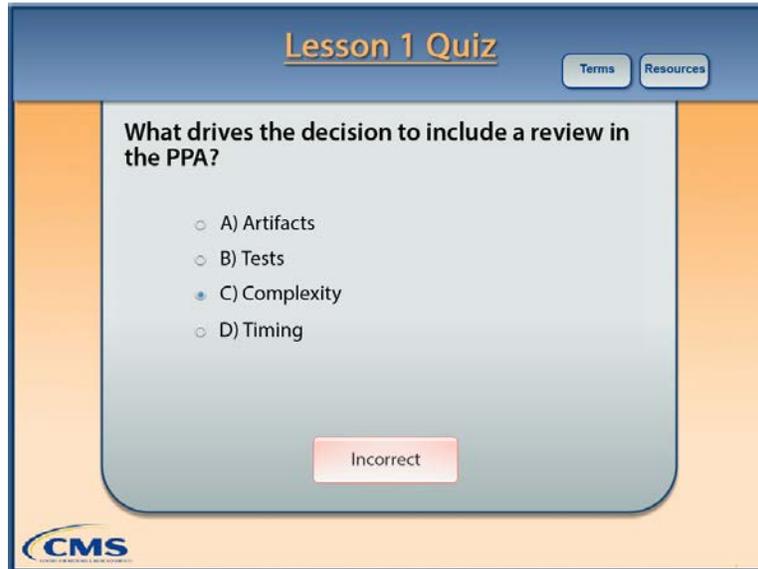
Navigation Buttons

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Slide Voiceover Notes

- That is correct. Complexity drives the decision to include a review in the PPA.

Slide 20: Incorrect Answer to Question 2



Slide Content

What drives the decision to include a review in the PPA?

- A) Artifacts
- B) Tests
- C) Complexity
- D) Timing
- Answer: Incorrect

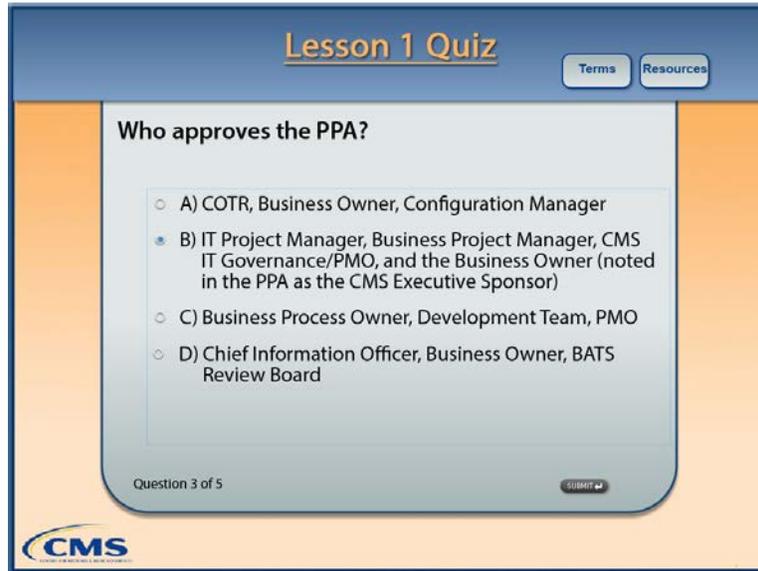
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Slide Voiceover Notes

- Incorrect. Answers A, B, and D are not correct. The correct answer is C: Complexity drives the decision to include a review in the PPA is the best answer.

Slide 21: Lesson 1 Quiz (Question 3 of 5)



Slide Content

Who approves the PPA?

- A) COTR, Business Owner, Configuration Manager
- B) IT Project Manager, Business Project Manager, CMS IT Governance/PMO, and the Business Owner (noted in the PPA as the CMS Executive Sponsor)
- C) Business Process Owner, Development Team, PMO
- D) Chief Information Officer, Business Owner, BATS Review Board

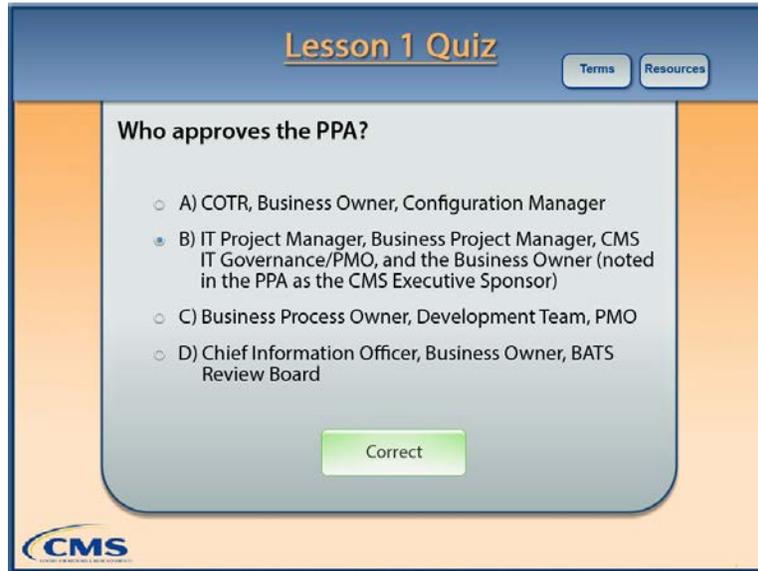
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- The **Submit** button is located in the lower right corner of the screen.

Slide Voiceover Notes

- Question 3 of 5: Who approves the PPA?

Slide 22: Correct Answer to Question 3



Slide Content

Who approves the PPA?

- A) COTR, Business Owner, Configuration Manager
 - B) IT Project Manager, Business Project Manager, CMS IT Governance/PMO, and the Business Owner (noted in the PPA as the CMS Executive Sponsor)
 - C) Business Process Owner, Development Team, PMO
 - D) Chief Information Officer, Business Owner, BATS Review Board
- Answer: (B) Correct

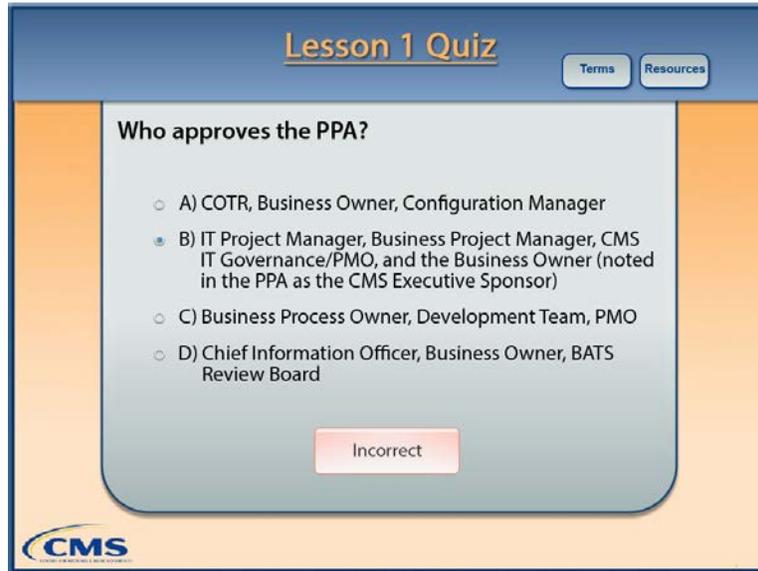
Navigation Buttons

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Slide Voiceover Notes

- Answer B is correct. The IT Project Manager, Business Project Manager, CMS IT Governance/PMO, and the Business Owner (noted in the PPA as the CMS Executive Sponsor) approve the PPA.

Slide 23: Incorrect Answer to Question 3



Slide Content

Who approves the PPA?

- A) COTR, Business Owner, Configuration Manager
 - B) IT Project Manager, Business Project Manager, CMS IT Governance/PMO, and the Business Owner (noted in the PPA as the CMS Executive Sponsor)
 - C) Business Process Owner, Development Team, PMO
 - D) Chief Information Officer, Business Owner, BATS Review Board
- Answer: Incorrect

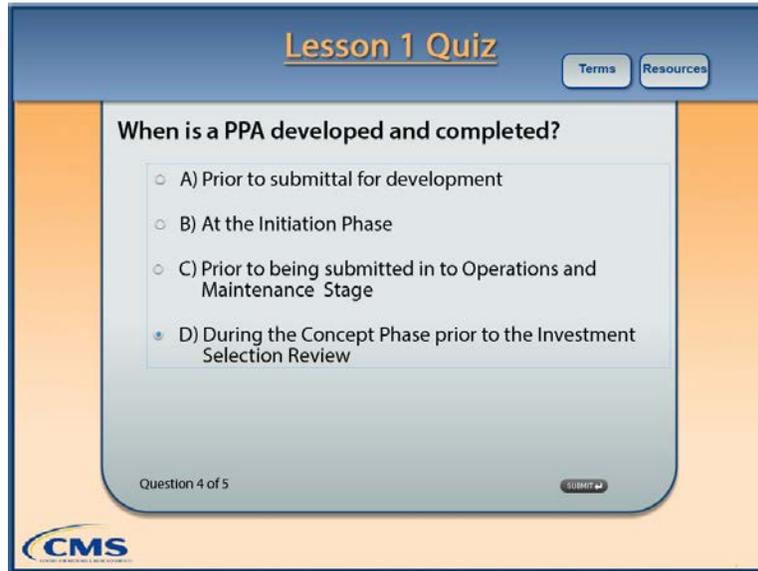
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Slide Voiceover Notes

- Answers A, C, and D are not correct. The correct answer is B, the IT Project Manager, Business Project Manager, CMS IT Governance/PMO, and the Business Owner (noted in the PPA as the CMS Executive Sponsor) approve the PPA.
- Answer A is partially correct: the Business Owner approves the PPA, but the COTR and the Configuration Manager do not.
- Answer C is incorrect; neither the Business Process Owner, Development Team, nor the PMO approve the PPA.
- Answer D is partially correct; the Business Owner approves the PPA, but the Chief Information Officer and the BATS Review Board do not.

Slide 24: Lesson 1 Quiz (Question 4 of 5)



Slide Content

When is a PPA developed and completed?

- A) Prior to submittal for development
- B) At the Initiation Phase
- C) Prior to being submitted in to Operations and Maintenance Stage
- D) During the Concept Phase prior to the Investment Selection Review

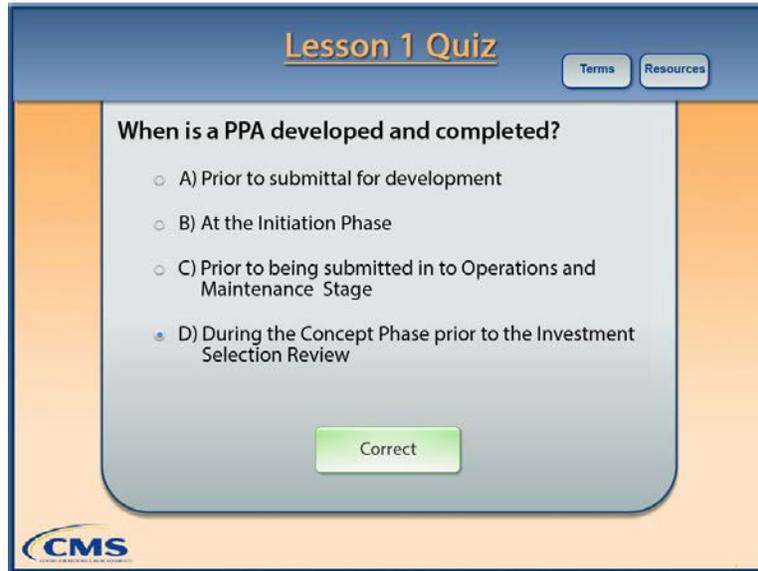
Navigation Buttons

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Slide Voiceover Notes

- Question 4 of 5: When is the PPA developed and completed?

Slide 25: Correct Answer to Question 4



Slide Content

When is a PPA developed and completed?

- A) Prior to submittal for development
- B) At the Initiation Phase
- C) Prior to being submitted in to Operations and Maintenance Stage
- D) During the Concept Phase prior to the Investment Selection Review
- Answer: (D) Correct

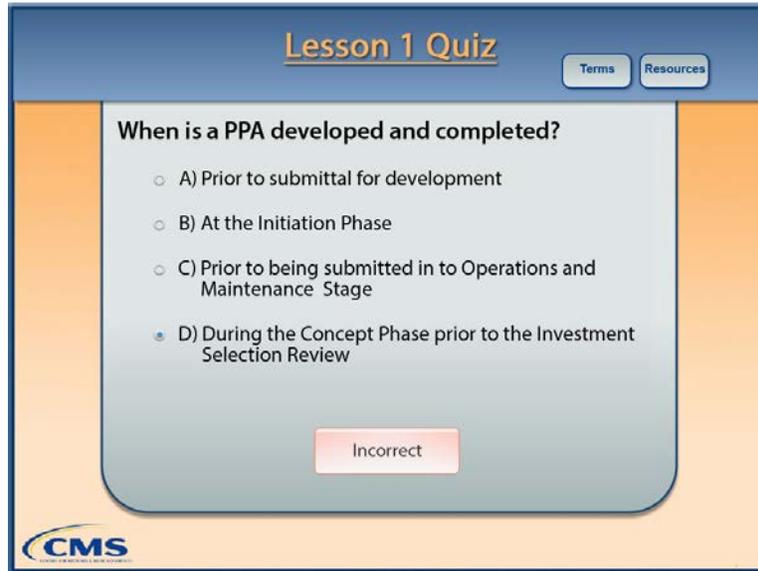
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Answer D is correct; the PPA is developed and completed during the Concept Phase prior to the Investment Selection Review (ISR).

Slide 26: Incorrect Answer to Question 4



Slide Content

When is a PPA developed and completed?

- A) Prior to submittal for development
- B) At the Initiation Phase
- C) Prior to being submitted in to Operations and Maintenance Stage
- D) During the Concept Phase prior to the Investment Selection Review
- Answer: Incorrect

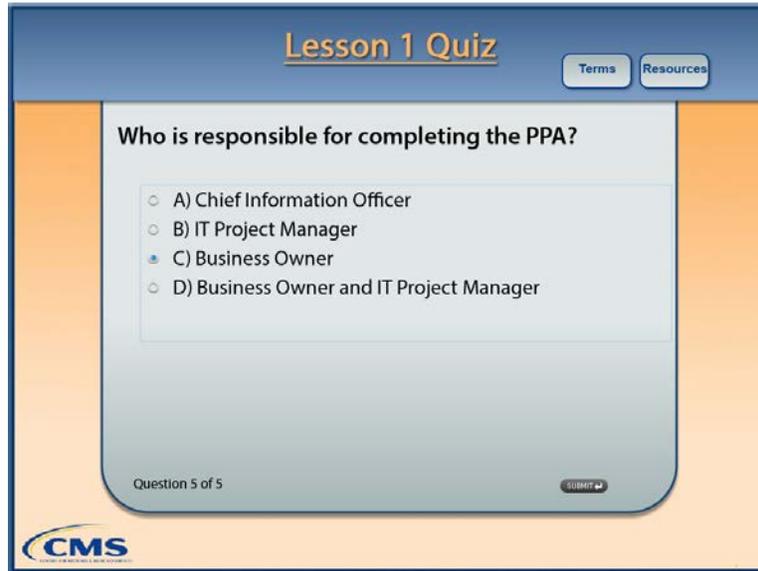
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Answers A, B, and C are not correct. The correct answer is D: the PPA is developed and completed during the Concept Phase prior to the Investment Selection Review (ISR).

Slide 27: Lesson 1 Quiz (Question 5 of 5)



Slide Content

Who is responsible for completing the PPA?

- A) Chief Information Officer
- B) IT Project Manager
- C) Business Owner
- D) Business Owner and IT Project Manager

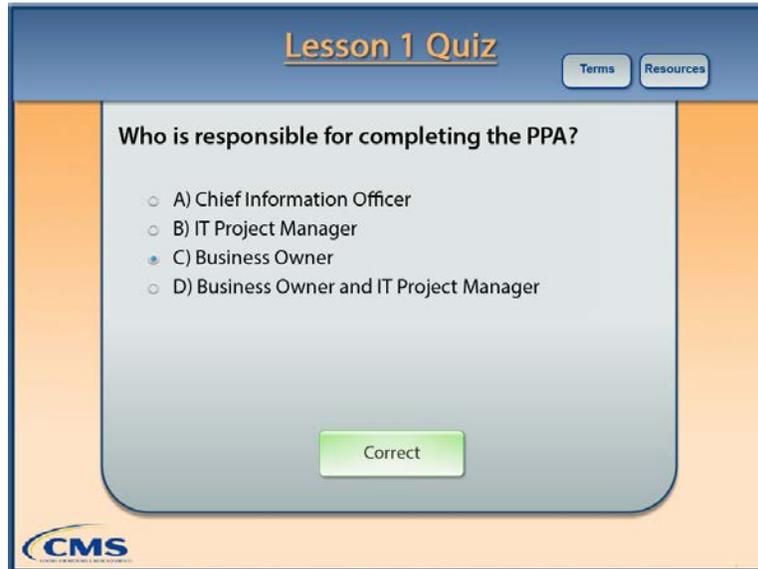
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Submit** button is located in the lower right corner of the screen.

Slide Voiceover Notes

- Question 5 of 5: Who is responsible for completing the PPA?

Slide 28: Correct Answer to Question 5



Slide Content

Who is responsible for completing the PPA?

- A) Chief Information Officer
 - B) IT Project Manager
 - C) Business Owner
 - D) Business Owner and IT Project Manager
- Answer: (C) Correct

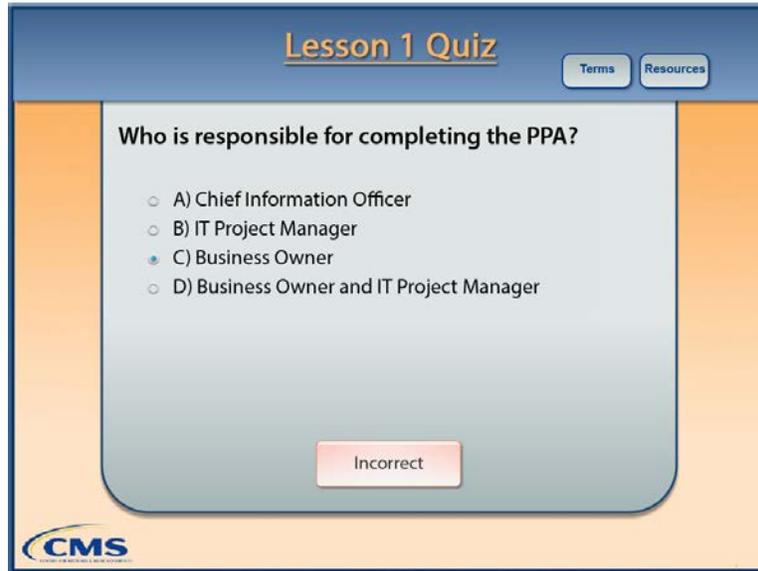
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Answer C is correct. The Business Owner is responsible for completing the PPA.

Slide 29: Incorrect Answer to Question 5



Slide Content

Who is responsible for completing the PPA?

- A) Chief Information Officer
 - B) IT Project Manager
 - C) Business Owner
 - D) Business Owner and IT Project Manager
- Answer: Incorrect

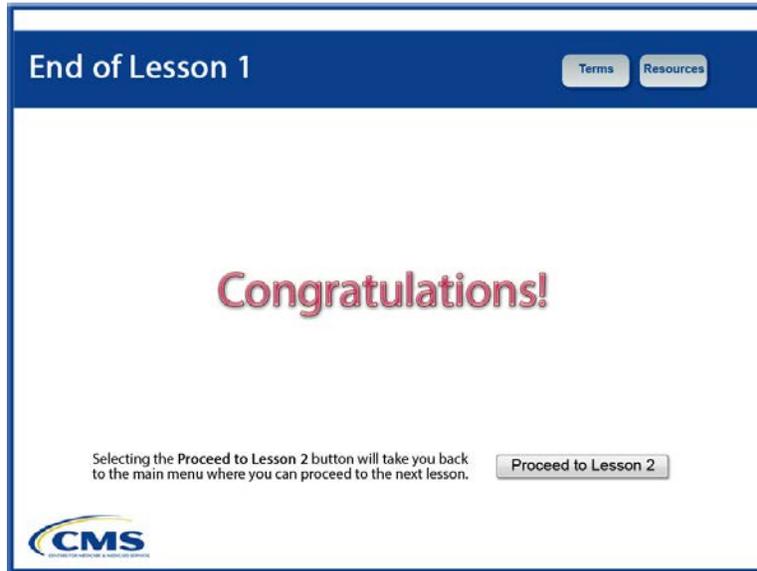
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Answers A, B, and D are not correct. The correct answer is C: The Business Owner is responsible for completing the PPA. A is not correct; the Chief Information Officer does not complete the PPA.
- B is not correct; the IT Project Manager may support completing the PPA, but he/she is not responsible.
- D is partially correct; the Business Owner is responsible for completing the PPA, but the IT Project Manager is not.

Slide 30: End of Lesson 1



Slide Content

Congratulations!

- Selecting the **Proceed to Lesson 2** button will take you back to the main menu where you can proceed to the next lesson.

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Proceed to Lesson 2** button is at the lower right corner of the screen.

Slide Voiceover Notes

- Congratulations! You now have a general understanding of the Project Process Agreement. Let's move on to Lesson 2—Project Complexity Determination.
- Selecting the **Proceed to Lesson 2** button will take you back to the main menu where you can proceed to the next lesson.



Centers for Medicare & Medicaid Services

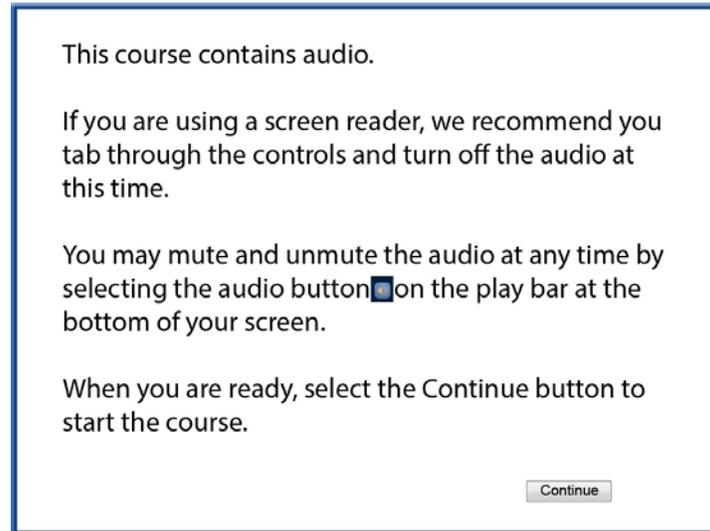
The Project Process Agreement

Lesson 2: Project Complexity Determination

Version 1.0

May 16, 2013

Course Advisory



Slide Content

- This course contains audio.
- If you are using a screen reader, we recommend you tab through the controls and turn off the audio at this time.
- You may mute and unmute the audio at any time by selecting the audio button on the play bar at the bottom of your screen.
- When you are ready, select the **Continue** button (at the bottom right of the screen) to start the course.

Navigation Buttons

- The **Continue** button is located at the bottom right of the screen.

Slide 1: The Project Process Agreement, Lesson 2: Project Complexity Determination



Slide Content

- Identity Mark of the Centers for Medicare & Medicaid Services
- Office of Information Services, Enterprise Architecture & Strategy Group, Division of IT Governance

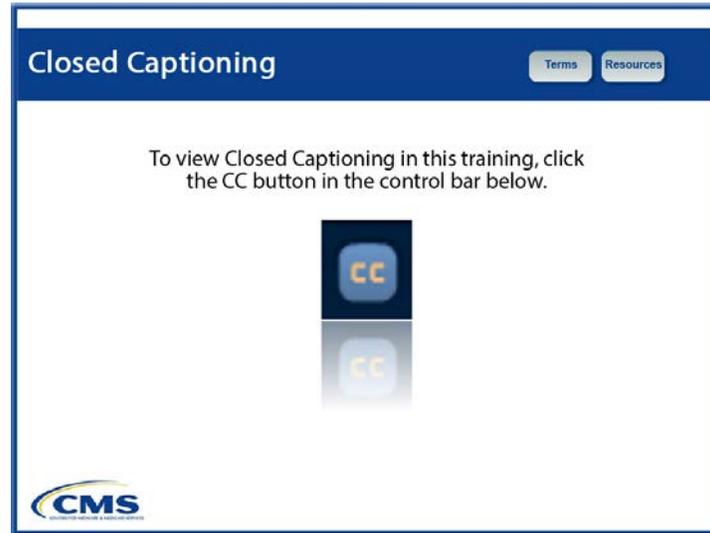
Navigation Buttons

- The **Help** button is located in the upper right of the title bar.

Slide Voiceover Notes

- Welcome to the Lesson 2: Project Complexity Determination.
- It is expected that you have completed the Expedited Life Cycle (XLC) Basic Training and PPA Course Lesson 1 before proceeding with this lesson, which should take approximately 20 minutes.
- Click the **Help** button for instructions on navigating through this course.

Slide 2: Closed Captioning



Slide Content

- To view Closed Captioning in this training, click the **CC** button in the control bar below.

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- To view Closed Captioning in this training, click the **CC** button in the control bar below.
- In addition, by selecting the **Resources** button, you will be provided with a list of related websites and other reference materials that will help you gain a better understanding of the XLC.
- The **Terms** button provides definitions of words and acronyms that may be unfamiliar to you.

Slide 3: Lesson Overview

Lesson Overview Terms Resources

Topics:

- ⇒ Project complexity levels
- ⇒ Project characteristics and their complexity
- ⇒ Evaluating project complexity
- ⇒ Determining project complexity

Objectives:

- ⇒ Employ the PPA to evaluate the complexity level of project characteristics and to perform a project complexity determination

Key Items:

- ⇒ Complexity drives the amount of work and oversight level to be accomplished
- ⇒ An Excel tool, with linked worksheets, is provided to help develop the PPA
- ⇒ Project Complexity Level is calculated using a Business Rule, built into the PPA tool Excel spreadsheet

XLC Detailed Description Document:
Section 1.3: Project Process Agreement (PPA)
Section 2.0: Software Development XLC Options.

Slide Content

Topics:

- Project complexity levels
- Project characteristics and their complexity
- Evaluating project complexity
- Determining project complexity

Objectives:

- Employ the PPA to evaluate the complexity level of project characteristics and to perform a project complexity determination

Key Items:

- Complexity drives the amount of work and oversight level to be accomplished
- An Excel tool, with linked worksheets, is provided to help develop the PPA
- Project Complexity Level is calculated using a Business Rule, built into the PPA tool Excel spreadsheet

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

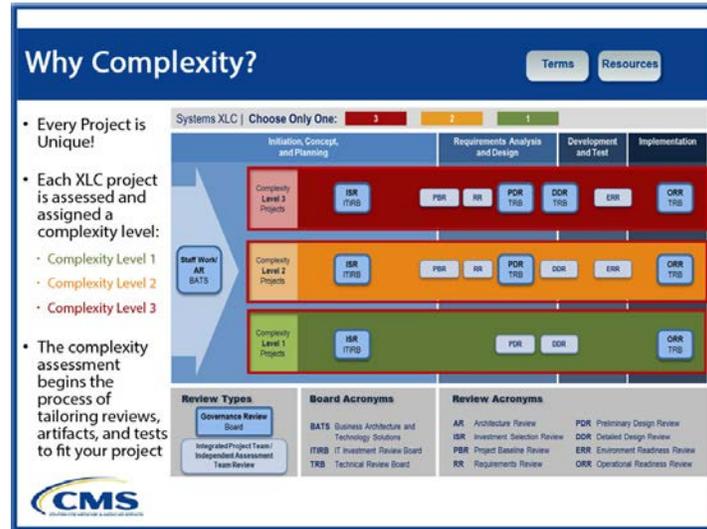
Graphical Reference (upper right corner)

- XLC Detailed Description Document:
 - Section 1.3 Project Process Agreement (PPA)
 - Section 2.0 Software Development XLC Options.

Slide Voiceover Notes

- Welcome to Lesson 2: Project Complexity Determination. In this lesson we will:
 1. Present characteristics and examples of complexity levels,
 2. Discuss the impact of complexity levels on reviews,
 3. Evaluate the complexity of the Prototype Registration System, and
 4. Determine a project complexity level.
- At the end of this lesson, you will be able to perform a project complexity determination using the Project Process Agreement.
- The key items we will cover are:
 - Complexity drives the amount of work and oversight level to be accomplished,
 - An Excel tool, in the form of linked worksheets, is provided to help develop the PPA, and
 - Project Complexity Level is calculated using a Business Rule, built into the PPA tool Excel spreadsheet.
- If you would like more information, you can refer to the Detailed Description Document sections 1.3, Project Process Agreement (PPA), and 2.0, Software Development XLC Options.

Slide 4: Why Complexity?



Slide Content

- Every project is unique!
- Each XLC project is assessed and assigned a complexity level:
 - Complexity Level 1
 - Complexity Level 2
 - Complexity Level 3
- The complexity assessment begins the process of tailoring reviews, artifacts, and tests to fit your project

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- A project's Complexity Level represents the risks associated with a project. Each project's risk is assessed and one of three swim lanes is assigned:
- XLC specifies three project complexity levels, each shown in a colored "swim lane" in the diagram: Complexity Level 1, shown on the bottom in green, for low-complexity projects; Complexity Level 2, shown in the middle in orange, for more complex projects; and Complexity Level 3, shown on the top in red, for the most complex projects. Each swim lane shows the pre-tailored, minimum set of reviews.
- This Complexity Level assignment begins the process of tailoring the reviews, artifacts, and tests required for a project. Determining complexity level requires some insight into the system development process.

- If the CMS Intake Review Team determines a project needs guidance, it assigns a Project Consultant. The Project Consultant has experience with system development, works closely with the Business Owner to jointly assess a project's complexity, and assists the Business Owner in the successful navigation of the XLC.

Slide 5: XLC Complexity Definitions (Complexity Level 1)

XLC Complexity Definitions Terms Resources

Complexity Level 1

- Minor changes to *existing* services, systems, and / or environments and that **do not affect** the state of any *security controls or requirements*.

Complexity Level 2

- An *isolated change* with **minimal impact** to existing systems, services, environments, and / or interfaces and that **does not significantly affect** the state of any *security controls or requirements*.
- or-
- Minor changes to one or more systems, services, environments, and / or interfaces that are **incremental** to the initial build with **limited impact** and that **do not significantly affect** the state of any *security controls or requirements*.

Complexity Level 3

- A **new, one-of-a-kind design and development effort** to support enterprise, center or department-specific IT solution
- or-
- A **project** for a *system* that has, or will have, **significant security and risk implications**.



Slide Content

Complexity Level 1

- Minor changes to *existing* services, systems, and/or environments and that **do not affect** the state of any *security controls or requirements*.

Complexity Level 2

An isolated change with minimal impact to existing systems, services, environments, and/or interfaces and that **does not significantly affect** the state of any *security controls or requirements*. –or–

- Minor changes** to one or more systems, services, environments, and/or interfaces that are **incremental** to the initial build with **limited impact** and **do not significantly affect** the state of any *security controls or requirements*.

Complexity Level 3

A new, one-of-a-kind design and development effort to support enterprise, center or department-specific IT solution. –or–

- A **project** for a *system* that has, or will have, **significant security and risk implications**.

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Complexity Level 1 is for minor changes to existing services, systems, and / or environments that do not change security controls or requirements.
- Complexity Level 1 represents reuse and repurposing of existing proven capabilities to provide a new capability/feature/function.

Slide 6: XLC Complexity Definitions (Complexity Level 2)

XLC Complexity Definitions

Terms Resources

Complexity Level 1

- Minor changes to *existing* services, systems, and / or environments and that *do not affect* the state of any *security controls or requirements*.

Complexity Level 2

- An *isolated change* with *minimal impact* to existing systems, services, environments, and / or interfaces and that *does not significantly affect* the state of any *security controls or requirements*.
- or-
- Minor changes to one or more systems, services, environments, and / or interfaces that are *incremental* to the initial build with *limited impact* and that *do not significantly affect* the state of any *security controls or requirements*.

Complexity Level 3

- A *new, one-of-a-kind design and development effort* to support enterprise, center or department-specific IT solution
- or-
- A *project* for a *system* that has, or will have, *significant security and risk implications*.

CMS

Slide Content

Complexity Level 1

- Minor changes to *existing* services, systems, and/or environments and that *do not affect* the state of any *security controls or requirements*.

Complexity Level 2

An isolated change with minimal impact to existing systems, services, environments, and/or interfaces and that *does not significantly affect* the state of any *security controls or requirements*. –or–

- Minor changes* to one or more systems, services, environments, and/or interfaces that are *incremental* to the initial build with *limited impact* and *do not significantly affect* the state of any *security controls or requirements*.

Complexity Level 3

A new, one-of-a-kind design and development effort to support enterprise, center or department-specific IT solution. –or–

- A *project* for a *system* that has, or will have, *significant security and risk implications*.

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Complexity Level 2 represents incremental changes to existing systems, services, environments, and/or interfaces but with a small number of challenges to be managed.
- Complexity Level 2 typically involves isolated or minor incremental changes to systems that do not significantly affect security controls or requirements.

Slide 7: XLC Complexity Definitions (Complexity Level 3)

XLC Complexity Definitions

Terms Resources

Complexity Level 1

- Minor changes to *existing* services, systems, and / or environments and that *do not affect* the state of any *security controls or requirements*.

Complexity Level 2

- An *isolated change* with *minimal impact* to existing systems, services, environments, and / or interfaces and that *does not significantly affect* the state of any *security controls or requirements*.
- or-
- Minor changes to one or more systems, services, environments, and / or interfaces that are *incremental* to the initial build with *limited impact* and that *do not significantly affect* the state of any *security controls or requirements*.

Complexity Level 3

- A *new, one-of-a-kind design and development effort* to support enterprise, center or department-specific IT solution
- or-
- A *project* for a *system* that has, or will have, *significant security and risk implications*.

CMS

Slide Content

Complexity Level 1

- Minor changes to *existing* services, systems, and/or environments and that *do not affect* the state of any *security controls or requirements*.

Complexity Level 2

An isolated change with minimal impact to existing systems, services, environments, and/or interfaces and that *does not significantly affect* the state of any *security controls or requirements*. –or–

- Minor changes* to one or more systems, services, environments, and/or interfaces that are *incremental* to the initial build with *limited impact* and *do not significantly affect* the state of any *security controls or requirements*.

Complexity Level 3

A new, one-of-a-kind design and development effort to support enterprise, center or department-specific IT solution. –or–

- A *project* for a *system* that has, or will have, *significant security and risk implications*.

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Complexity Level 3 is the most complex type of work we do: software development, significant integration, new interfaces, or extensive interfaces in terms of number or complexity— going where no one has gone before.

- Complexity Level 3 projects are initial, major development, modernization, or enhancement efforts and require project teams to document detailed requirements, design, and technical solution specifications.
- Complexity Level 3 involves a new, one-of-a-kind design and development effort to support an enterprise, center, or department-specific IT solution.
- Or, Complexity Level 3 introduces significant risk, security implications or new defects. Once we know the complexity of a project we can tailor the life cycle for it: for example, what artifacts, what stage gate reviews, and what tests need to be done.

Slide 8: Project Complexity Determined by Evaluating 6 Project Characteristics

Project Complexity Determined by Evaluating 6 Project Characteristics [Terms](#) [Resources](#)

- ⇒ Six (6) Project Complexity Characteristics are evaluated:
 1. Shared Services Implications
 2. Program / Business Process Profile
 3. Privacy Implications
 4. Security Implications
 5. Data Complexity
 6. Interface Complexity
- ⇒ Each characteristic is assigned a complexity level based on rating guidance.
- ⇒ The scores for the six (6) Characteristics are combined using a business rule to determine project complexity level.



Slide Content

- Six (6) Project Complexity Characteristics are evaluated:
 1. Shared Services Implications
 2. Program / Business Process Profile
 3. Privacy Implications
 4. Security Implications
 5. Data Complexity
 6. Interface Complexity
- Each characteristic is assigned a complexity level based on rating guidance.
- The scores for the six (6) Characteristics are combined using a business rule to determine project complexity level.

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- To determine a project's complexity level, six project characteristics are evaluated using the rating guidance in the PPA Excel tool:
 1. Shared Services Implications,
 2. Program / Business Process Profile,
 3. Privacy Implications,
 4. Security Implications,

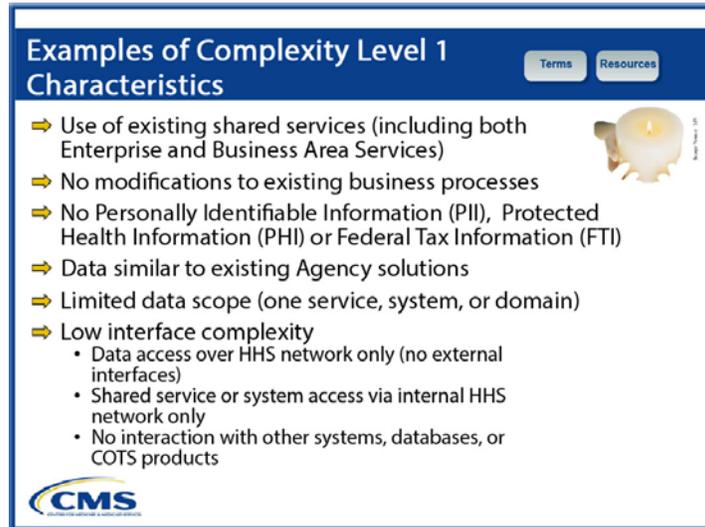
5. Data Complexity, and

6. Interface Complexity.

Each project characteristic is evaluated and rated based on guidance provided in the tool.

- The six project characteristics are combined using a business rule to determine project complexity level. Let's examine examples of project characteristics ...

Slide 9: Examples of Complexity Level 1 Characteristics



Examples of Complexity Level 1 Characteristics

Terms Resources

- ⇒ Use of existing shared services (including both Enterprise and Business Area Services)
- ⇒ No modifications to existing business processes
- ⇒ No Personally Identifiable Information (PII), Protected Health Information (PHI) or Federal Tax Information (FTI)
- ⇒ Data similar to existing Agency solutions
- ⇒ Limited data scope (one service, system, or domain)
- ⇒ Low interface complexity
 - Data access over HHS network only (no external interfaces)
 - Shared service or system access via internal HHS network only
 - No interaction with other systems, databases, or COTS products





Slide Content

- Use of existing shared services (including both Enterprise and Business Area Services)
- No modifications to existing business processes
- No Personally Identifiable Information (PII), Protected Health Information (PHI) or Federal Tax Information (FTI)
- Data similar to existing Agency solutions
- Limited data scope (one service, system, or domain)
- Low interface complexity
 - Data access over HHS network only (no external interfaces)
 - Shared service or system access via internal HHS network only
 - No interaction with other systems, databases, or COTS products

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Complexity Level 1 project characteristics represent minor changes to existing services and systems that don't affect security requirements or controls.
- Examples of level 1 project characteristics include Use of existing shared services; this includes both Enterprise and Business Area Services.
- No modifications to existing business processes
- No Personally Identifiable Information (PII), Protected Health Information (PHI), or Federal Tax Information (FTI)

- Data similar to existing Agency solutions
- Limited data scope (one service, system, or domain)
- Low interface complexity:
 - Data access over HHS network only (that is: no interfaces outside of the HHS network);
 - Shared service or system access via internal HHS network only; and
 - No interaction with other systems, databases, or COTS products.

Slide 10: Examples of Complexity Level 2 Characteristics

Examples of Complexity Level 2 Characteristics

Terms Resources

- ⇒ Modification of existing shared service
 - This includes both Enterprise and Business Area Services
- ⇒ Modifications to existing business process
- ⇒ Some new data elements
- ⇒ New standalone COTS implementation with no integration
- ⇒ Incremental system changes
- ⇒ Increasing system hardware capacity
- ⇒ Moderate interface complexity
 - Data, service, or system access over extranet
 - Interfaces to Federal agencies
 - Moderate interactions with other systems, databases, or COTS products

CMS

Slide Content

- Modification of existing shared service
- This includes both Enterprise and Business Area Services
- Modifications to existing business process
- Some new data elements
- New standalone COTS implementation with no integration
- Incremental system changes
- Increasing system hardware capacity
- Moderate interface complexity
 - Data, service, or system access over extranet
 - Interfaces to Federal agencies
 - Moderate interactions with other systems, databases, or COTS products

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Complexity Level 2 project characteristics represent isolated, or incremental changes with minimal impact to existing services or systems and no significant affect to security requirements or controls.
- Examples of level 2 project characteristics include modification of existing shared service; this includes both Enterprise and Business Services.
- Modifications to existing business process

- Some new data elements
- New standalone COTS implementation with no integration
- Incremental system changes
- Increasing system hardware capacity
- Moderate interface complexity
 - Data, service, or system access over extranet
 - Interfaces to Federal agencies; and
 - Moderate interactions with other systems, databases, or COTS products.
- **Note:** No privacy implications for PII, PHI, and FTI are listed at Level 2. For purposes of complexity determination, privacy implications are evaluated as either Complexity Level 1 or Complexity Level 3.

Slide 11: Examples of Complexity Level 3 Characteristics

Examples of Complexity Level 3 Characteristics

Terms Resources

- ⇒ New shared service
 - This includes both Enterprise and Business Area Services
- ⇒ New business process
- ⇒ New data
- ⇒ PII or PHI with major system design implications
- ⇒ Major enhancement of existing system
- ⇒ New COTS implementation integrated into environment
- ⇒ High interface complexity
 - Data, service, or system access over internet
 - Interfaces to non-Federal agencies
 - Extensive interactions with other systems, databases, or COTS products

CMS

Slide Content

- New shared service
 - This includes both Enterprise and Business Area Services
- New business process
- New data
- PII or PHI with major system design implications
- Major enhancement of existing system
- New COTS implementation integrated into environment
- High interface complexity
 - Data, service, or system access over internet
 - Interfaces to non-Federal agencies
 - Extensive interactions with other systems, databases, or COTS products

Navigation Buttons

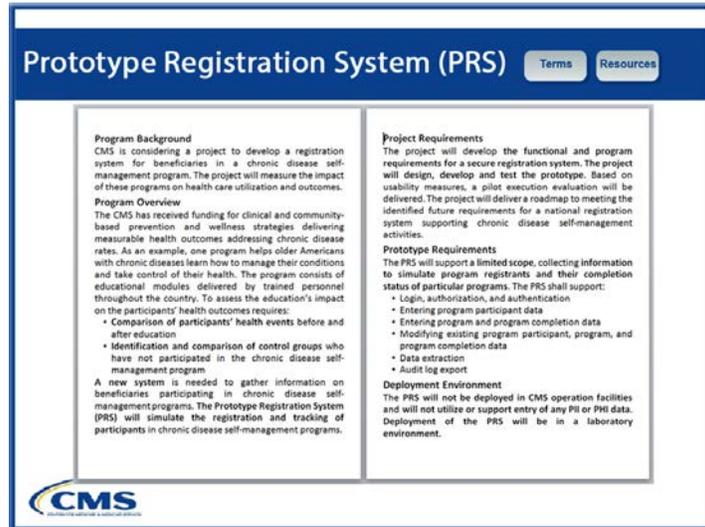
- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Complexity Level 3 project characteristics typically represent a new development effort with significant security and risk implications. Examples of level 3 project characteristics include:
 - New shared service, this includes both Enterprise and Business Area Services,
 - New business process,
 - New data, PII, or PHI with major system design implications,

- Major enhancement of the existing system,
- New COTS implementation integrated into environment, and
- High interface complexity, which includes:
 - ◆ Data, service, or system access over internet,
 - ◆ Interfaces to non-Federal agencies, and
 - ◆ Extensive interactions with other systems, databases, or COTS products.

Slide 12: Prototype Registration System (PRS)



Slide Content

- Snapshot of a case study for a prototype registration system with headings for Program Background, Program Overview, Project Requirements, Prototype Requirements, and Deployment Environment (and accompanying text).

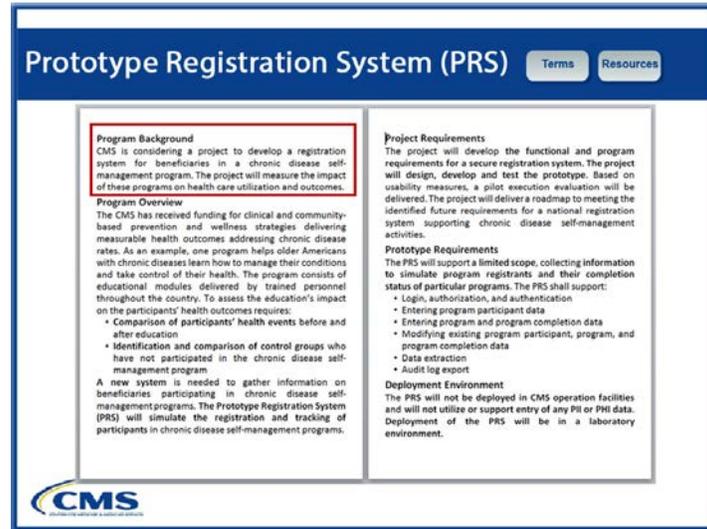
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- This is a Case Study for a Prototype Registration System (PRS). We will use the Prototype Registration System as an example as we complete the Project Process Agreement.
- Reminder: you can turn the audio on or off at any time. It might be useful to read this case study at your own pace.

Slide 13: Prototype Registration System (PRS), Program Background



Slide Content

- Snapshot of a case study for a prototype registration system with headings for Program Background, Program Overview, Project Requirements, Prototype Requirements, and Deployment Environment (and accompanying text). The heading and paragraph for Program Background is highlighted in red.

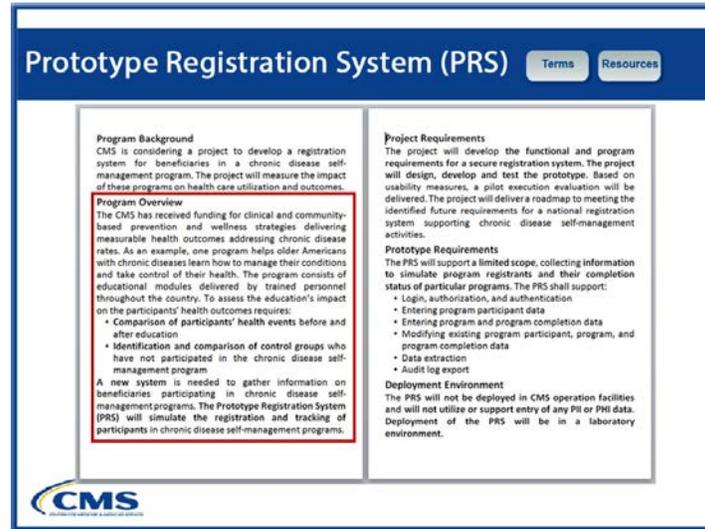
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- In this example, CMS is considering a project to develop a registration system for beneficiaries in a chronic disease self-management program.
- The project will measure the impact of these programs on health care utilization and outcomes.
- This PRS is a throw away system, or a true prototype with no real data.

Slide 14: Prototype Registration System (PRS), Program Overview



Slide Content

- Snapshot of a case study for a prototype registration system with headings for Program Background, Program Overview, Project Requirements, Prototype Requirements, and Deployment Environment (and accompanying text). The heading and paragraph for Program Overview is highlighted in red.

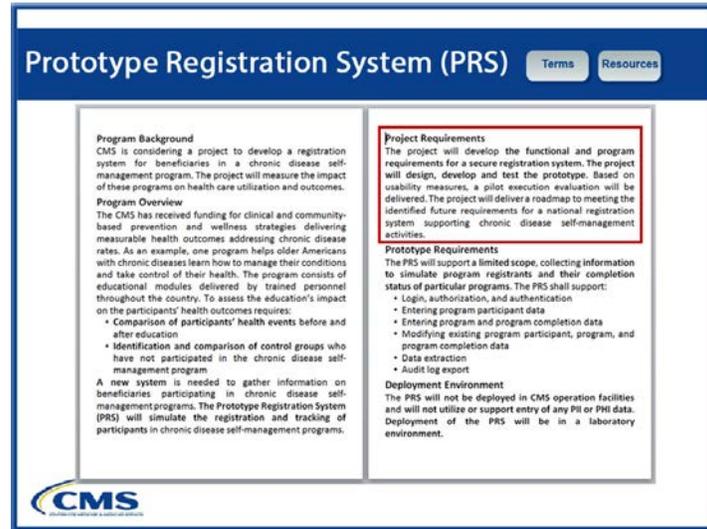
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- CMS has received funding for clinical and community-based prevention and wellness strategies delivering measurable health outcomes addressing chronic disease rates.
- As an example, one program helps older Americans with chronic diseases learn how to manage their conditions and take control of their health. The program consists of educational modules delivered by trained personnel throughout the country. To assess the education's impact on the participants' health outcomes requires:
 1. Comparison of participants' health events before and after education, and
 2. Identification and comparison of control groups who have not participated in the chronic disease self-management program.
- A new system is needed to gather information on beneficiaries participating in chronic disease self-management programs.
- The Prototype Registration System (PRS) will simulate the registration and tracking of participants in chronic disease self-management programs.

Slide 15: Prototype Registration System (PRS), Project Requirements



Slide Content

- Snapshot of a case study for a prototype registration system with headings for Program Background, Program Overview, Project Requirements, Prototype Requirements, and Deployment Environment (and accompanying text). The heading and paragraph for Project Requirements is highlighted in red.

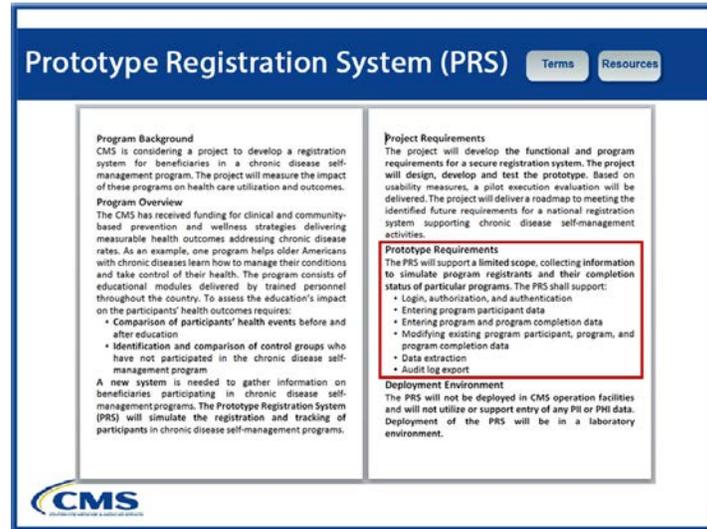
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- The project will develop the functional and program requirements for a secure registration system for both the current prototype and for future national expansion. The project will design, develop, and test the prototype.
- Based on usability measures, a pilot execution evaluation will be delivered.
- The project will deliver a roadmap to meet the identified future requirements for a national registration system supporting chronic disease self-management activities.

Slide 16: Prototype Registration System (PRS), Prototype Requirements



Slide Content

- Snapshot of a case study for a prototype registration system with headings for Program Background, Program Overview, Project Requirements, Prototype Requirements, and Deployment Environment (and accompanying text). The heading and paragraph for Prototype Requirements is highlighted in red.

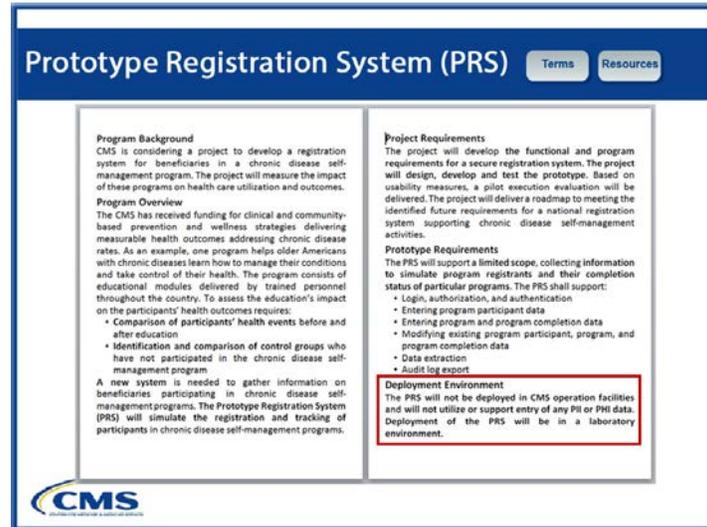
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- The PRS will support a limited scope, collecting information to simulate program registrants and their completion status of particular programs.
- The PRS shall support:
 1. Login, authorization, and authentication
 2. Entering program participant data
 3. Entering program and program completion data
 4. Modifying existing program participant, program, and program completion data
 5. Data extraction
 6. Audit log export

Slide 17: Prototype Registration System (PRS), Deployment Environment



Slide Content

- Snapshot of a case study for a prototype registration system with headings for Program Background, Program Overview, Project Requirements, Prototype Requirements, and Deployment Environment (and accompanying text). The heading and paragraph for Deployment Environment is highlighted in red.

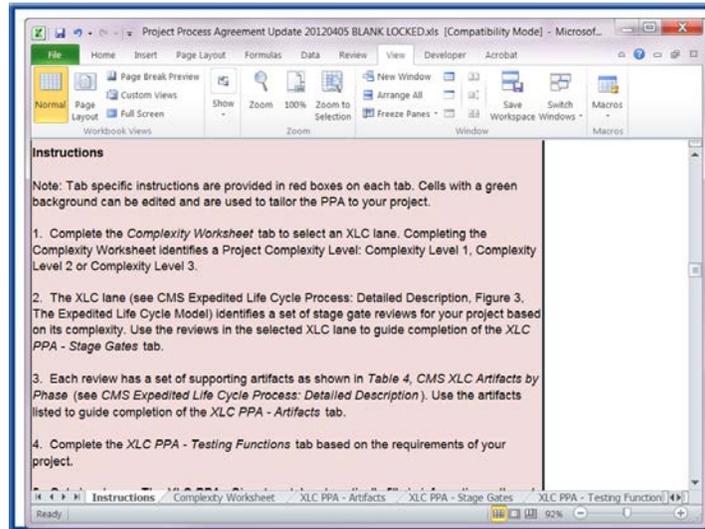
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- The PRS will not be deployed in CMS operation facilities and will not utilize or support entry of any PII or PHI data. Deployment of the PRS will be in a laboratory environment.

Slide 18: Screenshot of Instruction Tab on PPA Excel Worksheet (PRS)



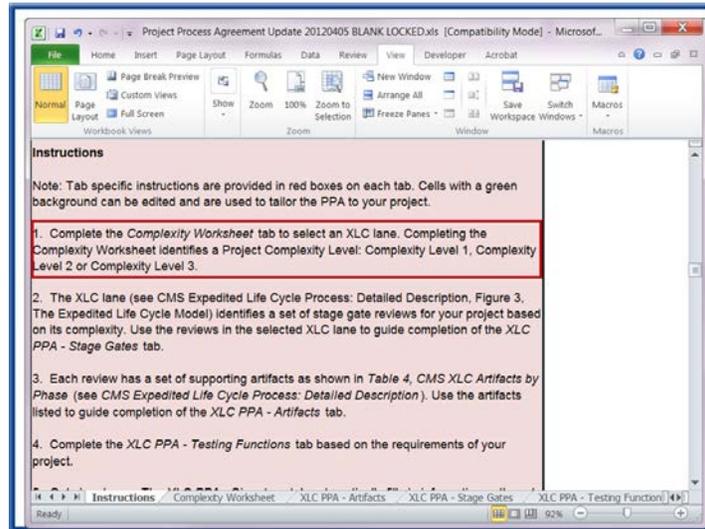
Slide Content

- Screenshot of the Instruction Tab on the PPA Excel worksheet for the Prototype Registration System (PRS)

Slide Voiceover Notes

- Using the Prototype Registration System as an example, we're going to determine the complexity level for the Prototype Registration System.
- This is the first of 6 tabs in the PPA Excel worksheet, the Instruction Tab. The Instructions tab is exactly what it sounds like—it provides directions for filling out all of the other tabs.

Slide 19: Screenshot 2 of Instruction Tab on PPA Excel Worksheet (PRS)



Slide Content

- Second screenshot of the Instruction Tab on the PPA Excel worksheet for the Prototype Registration System (PRS). The instruction for “1. Complete the *Complexity Worksheet* tab” is highlighted in red.

Slide Voiceover Notes

- The first step in completing the PPA is determining the overall complexity level of the project.

Slide 20: Screenshot of Complexity Tab on PPA Excel Worksheet (PRS)

Project Name: Enter Project Name		Project Description: Enter Project Description		Release: Enter Release #		Directions: Enter information into green cells 1. Enter Project Name, Description, and Release to the 2. Review project characteristics, rating guidance and complexity level (1, 2 or 3) for each characteristic.	
Project Characteristics	Complexity Level	Rating Guidance	Your Project's Level? (1, 2, or 3)				
Shared Services Implications	3	Creating new shared service(s)					
	2	Modifying existing shared service(s)					
	1	Using existing shared service(s) as is					
Program & Business Process Profile (only Design/Development/Implementation)	3	New business process model or process that may lead to significant cross program coordination and/or significant coordination with external business partners and/or developing new code on a new or existing system					
	2	Some new requirements and information flows, minor changes to code in an existing system					
	1	Requirements and information flows are similar to current programs, no new code					
Privacy Implications	3	Any Personally Identifiable Information (PII), Federal Health Information (FHI), or Federal Taxpayer Information (FTI) data identified that is used, accessed, stored, or transmitted by the system					
	2	Min. Privacy is either Complexity Level 1 or 3					
	1	No PII, FHI, or FTI data					
Security Implications (based on information type - If processed, accessed, stored or transmitted)	3	Investigation, intelligence-related, and security information					
	2	Financial, budgetary, commercial, proprietary or trade secret information					
	1	Internal administration					
	1	Other Federal agency information					
	1	Non-technology or controlled scientific information					
	1	Operational information					
	1	Other sensitive information					
	1	Public information					
Data Complexity (for transfer implications)	3	Completely new data for the agency					
	2	Data is similar to a corporate asset					
	1	Some new data is introduced					
	1	Data is similar to existing Agency systems					
	1	Data is not focused on one non-subsidiary domain					
	1	Interaction with non-Federal agencies in business rules					
	1	Data access via internet					
	1	Extensive interaction with other systems, especially external organizations and agencies					
	1	Shared service or system access via internet					
	1	Extensive interactions with other systems, databases, or next updated COTS products					
Interface Complexity	3	Interaction with other Federal agencies in business rules					
	2	Data access via internet					
	2	Moderate interaction with other systems, especially external organizations and agencies					
	2	Shared service or system access via internet					
	2	Moderate interaction with other systems, especially external organizations and agencies					
	1	No interaction of external organization in business rules					
	1	Data access via internal IPSEC network access only					
	1	No interaction with other systems, especially external organizations and agencies					
	1	Shared service or system access via internal IPSEC network access only					
	1	No interaction with other systems, databases, or next updated COTS products					
Project Complexity							

PII Information Type definitions are from CHS System Security and Authentication Assurance Levels by Information Type

Slide Content

- Screenshot of the Complexity Tab on the PPA Excel worksheet for the Prototype Registration System (PRS). The instruction for “1. Three areas of the worksheet are highlighted in red: “Project Name, Project Description, and Release”; “Directions”; and “Your Project’s Level? 1, 2, or 3”.

Slide Voiceover Notes

- The second tab in the PPA is the Complexity Tab. To complete this worksheet, follow these simple guidelines.
- The two different green areas used in this graphic (one area at the top of the form labeled “Project Name”, “Project Description”, and “Release”; and the other area on the fourth column on the right of the form labeled “Your Project’s Level? 1, 2, or 3”) indicate that input is required or suggested to be entered in these fields.
- The pink area at the top of the form on the right (labeled “Directions”) indicates tab-specific instructions on how to complete this form.
- By completing the worksheet, you will have identified the project’s overall Complexity Level: Complexity Level 1, Complexity Level 2, or Complexity Level 3.

Slide 21: Screenshot of Project Characteristics on Complexity Tab on PPA Excel Worksheet (PRS)

Project Name: <u>Enter Project Name</u>		Directions: Enter information into green cells	
Project Description: <u>Enter Project Description</u>		1. Enter Project Name, Description, and Release to the	
Release: <u>Enter Release #</u>		2. Review project characteristics, rating guidance and complexity levels (1, 2 or 3) for each characteristic.	
Project Characteristics	Complexity Level	Rating Guidance	Your Project Level (1, 2, or 3)
Shared Services Implications	3	Creating new shared service(s)	
	2	Modifying existing shared service(s)	
Program/Business Process Profile (with Design/Development/Implications)	3	Using existing shared service(s) as is	
	2	New business process model or process that may lead to significant cross program coordination and/or significant coordination with external business partners and/or developing new code on a new or existing system	
Privacy Implications	3	Some new requirements and information flows, minor changes to code in an existing system	
	2	Requirements and information flows are similar to current programs, no new code	
Security Implications (Classified Information Type, if processed, accessed, stored or transmitted)	3	Any Personally Identifiable Information (PII), Personal Health Information (PHI), or Federal Acquisition Information (FAI) data identified that is used, accessed, stored, or transmitted to the system	
	2	PII, Privacy or other Complexity Level for 3	
Data Complexity (New or other functions implemented)	3	Investigation, intelligence-related, and security information	
	2	Mission-critical information	
Interface Complexity	3	Financial, budgetary, commercial, proprietary or trade secret information	
	2	Internal administration	
Data Complexity (New or other functions implemented)	3	Other Federal agency information	
	2	New technology or controlled scientific information	
Data Complexity (New or other functions implemented)	3	Operational information	
	2	Other sensitive information	
Data Complexity (New or other functions implemented)	3	PII information	
	2	Complete new data to the agency	
Data Complexity (New or other functions implemented)	3	Data is serving as a corporate asset	
	2	Some new data is introduced	
Data Complexity (New or other functions implemented)	3	Data is similar to existing agency systems	
	2	Data scope focused on one service/function/program	
Data Complexity (New or other functions implemented)	3	Interaction with non-Federal agencies in business rules	
	2	Data access via extranet	
Data Complexity (New or other functions implemented)	3	Extensive interaction with other systems, especially external organizations and agencies	
	2	Shared service or system access via intranet	
Data Complexity (New or other functions implemented)	3	Extensive interactions with other systems, databases, or new/updated COTS products	
	2	Interaction with other Federal agencies in business rules	
Data Complexity (New or other functions implemented)	3	Data access via extranet	
	2	Moderate interaction with other systems, especially external organizations and agencies	
Data Complexity (New or other functions implemented)	3	Shared service or system access via intranet	
	2	No interaction with other systems, especially external organizations and agencies	
Data Complexity (New or other functions implemented)	3	No interaction of external organization in business rules	
	2	Data access via internal HHS network, access only	
Data Complexity (New or other functions implemented)	3	No interaction with other systems, especially external organizations and agencies	
	2	Shared service or system access via internal HHS network, access only	
Data Complexity (New or other functions implemented)	3	No interaction with other systems, databases, or new/updated COTS products	
	2	No interaction with other systems, databases, or new/updated COTS products	

Slide Content

- Screenshot of Project Characteristics on the Complexity Tab on the PPA Excel worksheet for the Prototype Registration System (PRS). The columns for Project Characteristics, Complexity Level, Rating Guidance, and Your Project Level are highlighted in red.

Slide Voiceover Notes

- The left-most column is titled Project Characteristics. Sections of worksheet are provided for the six project characteristics; Shared Services Implications, Program/Business Process Profile, Privacy Implications, Security Implications, Data Complexity, and Interface Complexity.
- The next column to the reader's right is titled Complexity Level, representing the complexity of a project characteristic for a project. Complexity Levels range from Complexity Level 1 for the least complex to Complexity Level 3 for the most complex.
- The next column to the right is titled Rating Guidance, which provides examples of project characteristics at specific complexity levels.
- The next column to the right is titled Your Project Level, which is set to 1, 2, or 3 based on the best fit of your project to the Rating Guidance for a project characteristic.
- At the bottom of the worksheet is a field labeled Project Complexity, which is automatically set to 1, 2, or 3 using a business rule to combine the six characteristics to determine project complexity.

Slide 22: Screenshot of Project Characteristic 1, Shared Services Implications, on Complexity Tab on PPA Excel Worksheet (PRS)

Project Name: Enter Project Name		Project Description: Enter Project Description		Release: Enter Release #		Directions: Enter information into green cells 1. Enter Project Name, Description, and Release to the 2. Review project characteristics, rating guidance and complexity level (1, 2 or 3) for each characteristic. Your Project's Level: 1, 2, or 3	
Project Characteristic	Complexity Level	Rating Guidance					
Shared Services Implications	3	Creating new shared services					
	2	Modifying existing shared services					
	1	Using existing shared services as is					1
Program & Business Process Profile (with Design/Development/Implications)	3	New business process model or process that may lead to significant cross program coordination and/or significant coordination with external business partners and/or (developing) new code on a new or existing system					
	2	Some new requirements and information flows, minor changes to code in an existing system					
	1	Requirements and information flows are similar to current programs, no new code					
Privacy Implications	3	Any Personally Identifiable Information (PII), Personal Health Information (PHI), or Federal Taxpayer Information (FTI) data identified that is used, accessed, stored, or transmitted to the system					
	2	PII - Privacy is other Complexity Level for 3					
	1	No PII or FTI data					
Security Implications (Classified Information Type: If processed, accessed, stored, or transmitted)	3	Investigation, intelligence-related, and security information					
	2	Mission-critical information					
	1	Financial, budgetary, commercial, proprietary, or trade secret information					
Data Complexity (for in-use/transfer implications)	3	Internal administration					
	2	Other Federal agency information					
	1	New technology or controlled scientific information					
Interface Complexity	3	Operational information					
	2	Other sensitive information					
	1	Public information					
Project Complexity							

Slide Content

- Screenshot of the Project Characteristic 1, Shared Services Implications, in the Project Characteristics column on the Complexity Tab on the PPA Excel worksheet for the Prototype Registration System (PRS). The three choices/levels of Shared Services are highlighted in red.

Slide Voiceover Notes

- First, let's look at the Shared Services Implications, which include both Enterprise and Business Area Services. There are three choices:
 - Creating new shared services, Level 3
 - Modifying existing shared services, Level 2, and
 - Using existing shared services as is, Level 1.
- Because the Prototype Registration System has no shared services, this characteristic is not applicable. So we choose the lowest level, Level 1.

Slide 23: Screenshot of Project Characteristic 2, Program/Business Process Profile, on Complexity Tab on PPA Excel Worksheet (PRS)

Project Name Enter Project Name		Project Description Enter Project Description		Release Enter Release #		Directions: Enter information into green cells 1. Enter Project Name, Description, and Release to the 2. Review project characteristics, rating guidance and complexity level (1, 2 or 3) for each characteristic. Your Project # Level 1, 2, or 3	
Project Characteristic	Complexity Level	Rating Guidance					
Shared Services	3	Creating new shared service(s)					
Implications	2	Modifying existing shared service(s)					1
Program & Business Process Profile	3	Using existing shared service(s) as is					
Implications	1	Use existing process model or process that may lead to significant cross program coordination and/or significant coordination with external business partners and/or developing new code on a new or existing system, Level 3					3
Implications	2	Some new requirements and information flows, minor changes to code in an existing system, Level 2, or					
Implications	1	Requirements and information flows are similar to current programs, no new code, or Level 1.					
Privacy	3	Any Personally Identifiable Information (PII), Personal Health Information (PHI), or Federal Taxpayer Information (FTI) data identified that is used, accessed, stored, or transmitted to the system					
Implications	2	PII - Privacy to other Complexity Level for 3					
Implications	1	No PII, PHI, or FTI data					
Security	3	Investigation, intelligence-related, and security information					
Implications	2	Financial, budgetary, commercial, proprietary, or trade secret information					
Implications	1	Internal administration					
Implications	2	Other Federal agency information					
Implications	1	New technology or controlled scientific information					
Implications	2	Operational information					
Implications	1	Other sensitive information					
Implications	2	PII/HR information					
Implications	3	Complete new data for the agency					
Implications	2	Data is serving as a corporate asset					
Implications	1	Some new data is introduced					
Implications	2	Data is similar to existing agency systems					
Implications	1	Data scope focused on one service/user/department					
Interface Complexity	3	Interaction with non-Federal agencies in business rules					
Implications	2	Data access via internet					
Implications	1	Alternative interaction with other systems, especially external organizations and agencies					
Implications	2	Shared service or system access via internet					
Implications	1	Extensive interactions with other systems, databases, or new/updated COTS products					
Implications	2	Interaction with other Federal agencies in business rules					
Implications	1	No interaction with external organizations in business rules					
Implications	2	Moderate interaction with other systems, especially external organizations and agencies					
Implications	1	Shared service or system access via intranet					
Implications	2	No interaction with other systems, especially external organizations and agencies					
Implications	1	Data access via internal IP-G network, access only					
Implications	2	No interaction with other systems, especially external organizations and agencies					
Implications	1	Shared service or system access via internal IP-G network, access only					
Implications	2	No interaction with other systems, databases, or new/updated COTS products					
Implications	1	No interaction with other systems, databases, or new/updated COTS products					

Slide Content

- Screenshot of the Program or Business Process Profile under Project Characteristics on the Complexity Tab on the PPA Excel worksheet for the Prototype Registration System (PRS). The three choices/levels of Program or Business Process Profile are highlighted in red.

Slide Voiceover Notes

- The second Project Characteristic is the Program or Business Process Profile. In this case, our choices are:
 - New business process model or process that may lead to significant cross program coordination and/or significant coordination with external business partners and/or developing new code on a new or existing system, Level 3
 - Some new requirements and information flows, minor changes to code in an existing system, Level 2, or
 - Requirements and information flows are similar to current programs, no new code, or Level 1.
- Because the Prototype Registration System will be a new system supporting a new business process, the Program/Business Process Profile is Level 3.

Slide 24: Screenshot of Project Characteristic 3, Privacy Implications, on Complexity Tab on PPA Excel Worksheet (PRS)

Project Name: Enter Project Name		Project Description: Enter Project Description		Release: Enter Release #		Directions: Enter information into green cells	
						1. Enter Project Name, Description, and Release to the Project Complexity Worksheet	
						2. Review project characteristics, rating guidance and complexity level (1, 2 or 3) for each characteristic.	
Project Characteristic	Complexity Level	Rating Guidance	Complexity Level	Rating Guidance	Complexity Level	Rating Guidance	Complexity Level
Shared Services Implications	3	Creating new shared service(s)	1	Using existing shared service(s) as is	2	Modifying existing shared service(s)	1
Program & Business Process Profile (with Design/Development/Implications)	3	New business process model or process that may lead to significant cross program coordination and/or significant coordination with external business partners and/or (development) new code on a new or existing system	2	Some new requirements and information flows, minor changes to code in an existing system	1	Requirements and information flows are similar to current programs, no new code	3
Privacy Implications	3	Any Personally Identifiable Information (PII), Federal Health Information (FHI), or Federal Taxpayer Information (FTI) data identified that is used, accessed, stored, or transmitted to or from:	2	PII, PHI, or other Complex Level 3	1	No PII, PHI, or FTI data	1
Security Implications (Classified Information Type: If processed, accessed, stored or transmitted)	3	Investigation, intelligence-related, and security information	2	Financial, budgetary, commercial, proprietary or trade secret information	1	Internal administration	
Data Complexity (How is data shared/implications)	3	Some new data is introduced	2	Complete new data to the agency	1	Data is serving as a corporate asset	
Interface Complexity	3	Interaction with non-Federal agencies in business rules	2	Interaction with other Federal agencies in business rules	1	Interaction with other Federal agencies in business rules	

Slide Content

- Screenshot of Project Characteristic 3, Privacy Implications, on the Complexity Tab on the PPA Excel worksheet for the Prototype Registration System (PRS). The choices/levels for Privacy Implications are highlighted in red.

Slide Voiceover Notes

- Now let's look at the Privacy Implications or PII. You'll see that the Privacy Implication category only has two choices:
 - Either no PII, PHI, or FTI, which is Complexity Level 1; or
 - Any PII, PHI, or FTI, which is Complexity Level 3.
- The Prototype Registration System has no PII or PHI, so the Privacy Implication is Level 1.

Slide 25: Screenshot of Project Characteristic 4, Security Implications, on Complexity Tab on PPA Excel Worksheet (PRS)

Project Name: Enter Project Name		Project Description: Enter Project Description		Release: Enter Release #	
Project Characteristic	Complexity Level	Rating Guidance	Directions: Enter information into green cells 1. Enter Project Name, Description, and Release to the right of Project # level. 2. Review project characteristics, rating guidance and complexity level (1, 2 or 3) for each characteristic.		
Shared Services Implications	3	Creating new shared service(s)	1		
	2	Modifying existing shared service(s)			
	1	Using existing shared service(s) as is			
Program & Business Process Profile	3	New business process model or process that may lead to significant cross program coordination and/or significant coordination with external business partners and/or (developing) new code in a new or existing system	3		
Development Implications	2	Some new requirements and information flows, minor changes to code in an existing system			
	1	Requirements and information flows are similar to current programs, no new code			
Privacy Implications	3	Any Personally Identifiable Information (PII), Personal Health Information (PHI), or Federal Taxpayer Information (FTI) data identified that is used, accessed, stored, or transmitted to the system	1		
	2	PII - Privacy to other Complexity Level for 3			
	1	No PII, PHI, or FTI data			
Security Implications	3	Investigation, intelligence-related, and security information Mission-critical information	1		
	2	Financial, budgetary, commercial, proprietary, or trade secret information Internal administration Other Federal agency information New technology or controlled scientific information Operational information			
	1	Other sensitive information Public information			
Data Complexity	3	Complete new data for the agency Data is serving as a corporate asset			
	2	Some new data is introduced			
	1	Data is similar to existing agency systems Data scope focused on one service/function/feature			
Interface Complexity	3	Interaction with non-Federal agencies in business rules Data access via internet Extensive interaction with other systems, especially external organizations and agencies Shared service or system access via internet Extensive interactions with other systems, databases, or new/updated COTS products			
	2	Interaction with other Federal agencies in business rules Moderate interaction with other systems, especially external organizations and agencies Shared service or system access via internet No interaction with other systems, especially external organizations and agencies			
	1	No interaction with other systems, especially external organizations and agencies Data access via internal IP-G network access only No interaction with other systems, especially external organizations and agencies Shared service or system access via internal IP-G network access only No interaction with other systems, databases, or new/updated COTS products			

Slide Content

- Screenshot of Project Characteristic 4, Security Implications, on the Complexity Tab on the PPA Excel worksheet for the Prototype Registration System (PRS).

Slide Voiceover Notes

- Now let's look at the Security Implications:
 - Examples of Complexity Level 3 for Security Implications are: Investigation, intelligence-related, and security information, and Mission-critical information.
 - Examples of Complexity Level 2 for Security Implications are: Financial, budgetary, commercial, proprietary, or trade secret information; Internal administration, Other federal agency information; New technology or controlled scientific information, and Operational information.
 - Examples of Complexity Level 1 for Security Implications are: Other sensitive information and Public information.
- Because the Prototype Registration System is a prototype that will not be deployed in CMS operational facilities, the Security Implications for the project are Level 1.

Slide 26: Screenshot of Project Characteristic 5, Data Complexity, on Complexity Tab on PPA Excel Worksheet (PRS)

Project Name: Enter Project Name Project Description: Enter Project Description Release: Enter Release #			Directions: Enter information into green cells 1. Enter Project Name, Description, and Release to the 2. Review project characteristics, rating guidance and complexity level (1, 2 or 3) for each characteristic. Your Project's Level: 1, 2, or 3
Project Characteristic	Complexity Level	Rating Guidance	
Shared Services Implications	3	Creating new shared service(s)	1
	2	Modifying existing shared service(s)	
Program & Business Process Profile (with Design/Development/Implementation)	3	New business process model or process that may lead to significant cross program coordination and/or significant coordination with external business partners and/or (developing) new code in a new or existing system	3
	2	Some new requirements and information flows, minor changes to code in an existing system	
Privacy Implications	3	Requirements and information flows are similar to current programs, no new code	1
	2	Any Personally Identifiable Information (PII), Personal Health Information (PHI), or Federal Taxpayer Information (FTI) data identified that is used, accessed, stored, or transmitted to the system	
Security Implications (Does it contain/produce/store/process/access/store/transmit?)	3	PII - Privacy is other Complexity Level for 3	1
	2	No PII, PHI, or FTI data	
Data Complexity (New or other/modified/implemented?)	3	Investigation, intelligence-related, and security information	1
	2	Financial, budgetary, commercial, proprietary or trade secret information	
Interface Complexity	3	Internal administration	1
	2	Other Federal agency information	
Data Complexity (New or other/modified/implemented?)	3	Operational information	1
	2	Other sensitive information	
Data Complexity (New or other/modified/implemented?)	3	Public information	1
	2	Complete new data for the agency	
Data Complexity (New or other/modified/implemented?)	3	Data is serving as a corporate asset	1
	2	Some new data is introduced	
Data Complexity (New or other/modified/implemented?)	2	Data is similar to existing agency systems	1
	1	Data scope focused on one service/business domain	
Data Complexity (New or other/modified/implemented?)	3	Interaction with non-Federal agencies in business rules	1
	2	Data access via intranet	
Data Complexity (New or other/modified/implemented?)	3	Extensive interaction with other systems, especially external organizations and agencies	1
	2	Shared service or system access via intranet	
Data Complexity (New or other/modified/implemented?)	3	Extensive interactions with other systems, databases, or new/updated COTS products	1
	2	Interaction with other Federal agencies in business rules	
Data Complexity (New or other/modified/implemented?)	3	Interaction with other systems, especially external organizations and agencies	1
	2	Shared service or system access via extranet	
Data Complexity (New or other/modified/implemented?)	3	No interaction with other systems, especially external organizations and agencies	1
	2	No interaction with other systems, especially external organizations and agencies	
Data Complexity (New or other/modified/implemented?)	3	Data access via internal IP-G network, access only	1
	2	No interaction with other systems, especially external organizations and agencies	
Data Complexity (New or other/modified/implemented?)	3	Shared service or system access via internal IP-G network, access only	1
	2	No interaction with other systems, databases, or new/updated COTS products	

Slide Content

- Screenshot of Project Characteristic 5, Data Complexity, on the Complexity Tab on the PPA Excel worksheet for the Prototype Registration System (PRS).

Slide Voiceover Notes

- The next Project Characteristic is Data Complexity. In this case, our choices are:
 - Completely New Data for the agency or data is serving as a corporate asset, for Level 3;
 - Some new data is introduced, for Level 2;
 - Data similar to existing agency systems or data scope is focused on one service, system, or domain, for Level 1.
- Because the data for Prototype Registration Systems is scoped for one domain, Data Complexity is rated Level 1.

Slide 27: Screenshot of Project Characteristic 6, Interface Complexity, on Complexity Tab on PPA Excel Worksheet (PRS)

Project Name: Enter Project Name Project Description: Enter Project Description Release: Enter Release #			Directions: Enter information into green cells 1. Enter Project Name, Description, and Release to the 2. Review project characteristics, rating guidance and complexity level (1, 2 or 3) for each characteristic. Your Project's Level: 1, 2, or 3
Project Characteristic	Complexity Level	Rating Guidance	Complexity Level
Shared Services Implications	3	Creating new shared service(s)	1
	2	Modifying existing shared service(s)	
Program & Business Process Profile (with Design/Development/Implementation)	3	New business process model or process that may lead to significant cross program coordination and/or significant coordination with external business partners and/or (developing) new code on a new or existing system	3
	2	Some new requirements and information flows, minor changes to code in an existing system	
Privacy Implications	3	Any Personally Identifiable Information (PII), Personal Health Information (PHI), or Federal Taxpayer Information (FTI) data identified that is used, accessed, stored, or transmitted to the system	1
	2	PII - Privacy is other Complexity Level for 3	
Security Implications (Classified Information Type: If processed, accessed, stored or transmitted)	3	Investigation, intelligence-related, and security information	1
	2	Financial, budgetary, commercial, proprietary or trade secret information	
Data Complexity (New or Modified Information)	3	Complete new data for the agency	1
	2	Data is similar to existing agency systems	
Interface Complexity	3	Interaction with non-Federal agencies in business rules	1
	2	Interaction with other Federal agencies in business rules	
Interface Complexity	1	No interaction with external organization in business rules	2
	2	Interaction with other federal agencies in business rules	

Slide Content

- Screenshot of Project Characteristic 6, Interface Complexity, on the Complexity Tab on the PPA Excel worksheet for the Prototype Registration System (PRS). The three choices/levels for Interface Complexity are highlighted in red.

Slide Voiceover Notes

- The next Project Characteristic is Interface Complexity.
- Examples of Complexity Level 3 for Interface Complexity:
 - Interaction with non-federal agencies in business rules,
 - Data access via the internet, Extensive interaction with other systems, especially external organizations and agencies,
 - Shared service or system access via the internet, and
 - Extensive interactions with other systems, databases, or new/updated COTS products.
- Examples of Complexity Level 2 for Interface Complexity are:
 - Interaction with other federal agencies in business rules,
 - Data access via the extranet, Moderate interaction with other systems, especially external organizations and agencies,
 - Shared service or system access via the extranet, and
 - Moderate interaction with other systems, especially external organizations and agencies.
- Examples of Complexity Level 1 for Interface Complexity are:
 - No interaction with external organization in business rules,

- Data access via the internal HHS network only,
- No interaction with other systems, especially external organizations and agencies,
- Shared service or system access via the internal HHS network only, and
- No interaction with other systems, databases, or new / updated COTS products.
- For the Prototype Registration System there are no interfaces, so Interface Complexity is set to the lowest level, Level 1. Given all six characteristics, an overall score is calculated for the Prototype Registration System as a Complexity Level 2 project.
- Let's examine the Business Rule, built into the PPA tool Excel spreadsheet to see how this was determined.

Slide 28: Screenshot of PRS Project Complexity on Complexity Tab on PPA Excel Worksheet (PRS)

The screenshot displays a table titled "Results from the Project Characteristic Complexity Rating Worksheet" with a "Project Complexity Level" column. The table is divided into three rows based on the number of Complexity Level 3 characteristics and the presence of Complexity Level 2 characteristics. The CMS logo is visible in the bottom left corner.

Results from the Project Characteristic Complexity Rating Worksheet		Project Complexity Level
If your project has...	More than one Complexity Level 3 project characteristic	3
	Only one Complexity Level 3 project characteristic -or- No Complexity Level 3 project characteristics and more than one Complexity Level 2 project characteristic	2
	No Complexity Level 3 project characteristics and only one Complexity Level 2 project characteristic -or- All Complexity Level 1 project characteristics	1

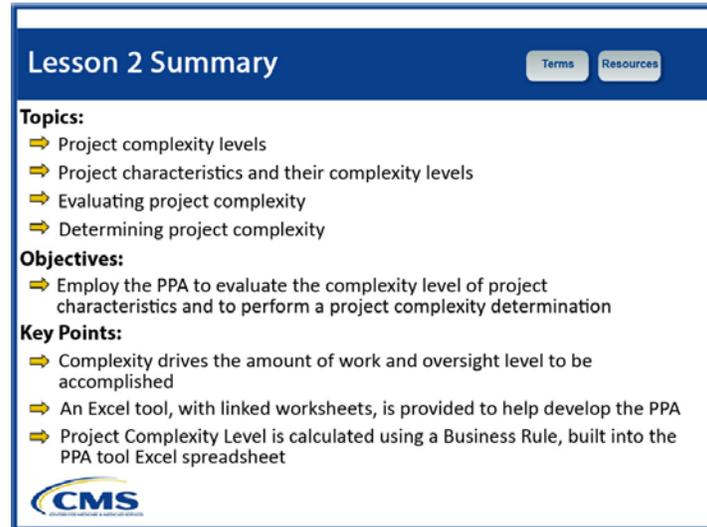
Slide Content

- Screenshot of ratings results from the Project Characteristic Complexity Rating Worksheet on the Complexity Tab of the PPA Excel worksheet (PRS).

Slide Voiceover Notes

- The project complexity level is evaluated based on a business rule:
 - If your project has more than one Complexity Level 3 characteristic, the project is Complexity Level 3.
 - If your project has only one Complexity Level 3 characteristic, or no Complexity Level 3 characteristics and more than one Complexity Level 2 project characteristic, the project is Complexity Level 2.
 - And if your project has No Complexity Level 3 project characteristics and only one Complexity Level 2 project characteristic, or all Complexity Level 1 project characteristics, the project is Complexity Level 1.
- The Prototype Registration System has one Complexity Level 3 project characteristic and five Complexity Level 1 characteristics. Based on the business rule with those criteria, the PRS is a Complexity Level 2 project.

Slide 29: Lesson 2 Summary



Lesson 2 Summary Terms Resources

Topics:

- ⇒ Project complexity levels
- ⇒ Project characteristics and their complexity levels
- ⇒ Evaluating project complexity
- ⇒ Determining project complexity

Objectives:

- ⇒ Employ the PPA to evaluate the complexity level of project characteristics and to perform a project complexity determination

Key Points:

- ⇒ Complexity drives the amount of work and oversight level to be accomplished
- ⇒ An Excel tool, with linked worksheets, is provided to help develop the PPA
- ⇒ Project Complexity Level is calculated using a Business Rule, built into the PPA tool Excel spreadsheet



Slide Content

Topics:

- Project complexity levels
- Project characteristics and their complexity levels
- Evaluating project complexity
- Determining project complexity

Objectives:

- Employ the PPA to evaluate the complexity level of project characteristics and to perform a project complexity determination

Key Points:

- Complexity drives the amount of work and oversight level to be accomplished
- An Excel tool, with linked worksheets, is provided to help develop the PPA
- Project Complexity level is calculated using a Business Rule, built into the PPA tool Excel spreadsheet

Navigation Buttons

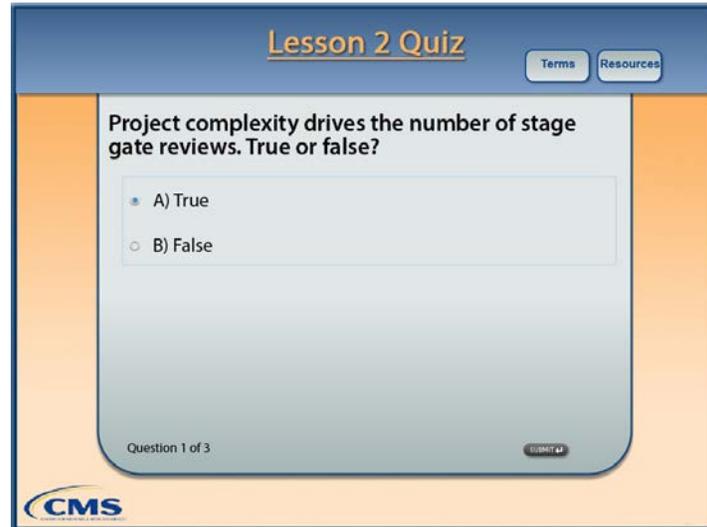
- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- So let's summarize what we have just reviewed in Lesson 2, Project Complexity Determination.
- In this lesson, we covered the following points:

1. The characteristics and examples of complexity levels,
 2. The impact of complexity levels on reviews,
 3. The complexity of the Prototype Registration System, and
 4. How to determine a project complexity level.
- You should now be able to describe and apply project complexity determination. The key points we covered were:
 - Complexity drives the amount of work and oversight level to be accomplished,
 - An Excel tool in the form of linked worksheets is designed to help with developing the PPA, and
 - Project Complexity Level is calculated using a Business Rule, built into the PPA tool Excel spreadsheet.
 - Now that you have a good understanding of how to determine a project complexity level, let's check your understanding of this material with a few questions.
 - You must take the review quiz to move on to the next lesson.

Slide 30: Lesson 2 Quiz (Question 1 of 3)



Slide Content

Project complexity drives the number of state gate reviews. True or false?

- A) True
- B) False

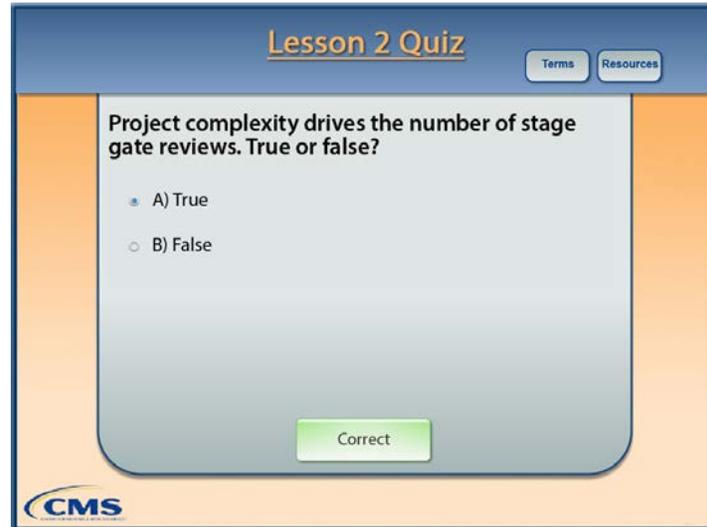
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Submit** button is located in the lower right corner of the slide.

Slide Voiceover Notes

- Question 1 of 3: Project complexity drives the number of stage gate reviews. True or false?

Slide 31: Correct Answer to Question 1



Slide Content

Project complexity drives the number of state gate reviews. True or false?

- A) True
- B) False
- Answer: Correct

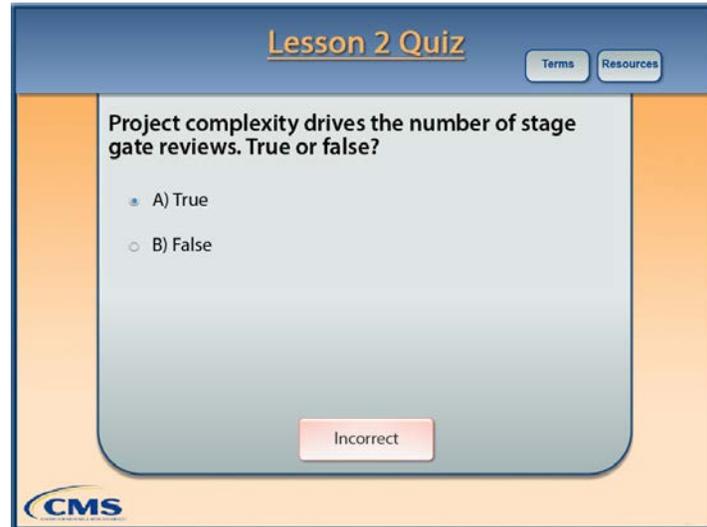
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- True is correct. Project complexity drives the number of reviews by specifying a swim lane with a minimum set of stage gate reviews.

Slide 32: Incorrect Answer to Question 1



Slide Content

Project complexity drives the number of state gate reviews. True or false?

- A) True
- B) False
- Answer: Incorrect

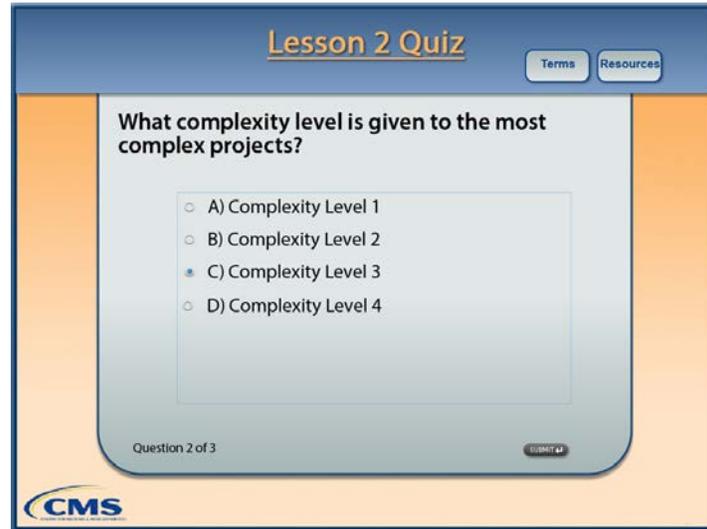
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- False is incorrect. Project complexity drives the number of reviews by specifying a swim lane with a minimum set of stage gate reviews.

Slide 33: Lesson 2 Quiz (Question 2 of 3)



Slide Content

What complexity level is given to the most complex projects?

- A) Complexity Level 1
- B) Complexity Level 2
- C) Complexity Level 3
- D) Complexity Level 4

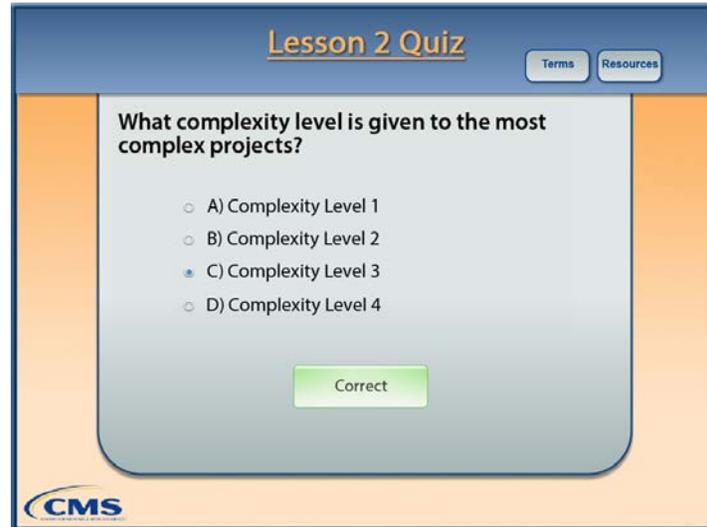
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Submit** button is located in the lower right corner of the slide.

Slide Voiceover Notes

- Question 2 of 3: What complexity level is given to the most complex projects?

Slide 34: Correct Answer to Question 2



Slide Content

What complexity level is given to the most complex projects?

- A) Complexity Level 1
- B) Complexity Level 2
- C) Complexity Level 3
- D) Complexity Level 4
- Answer: Correct

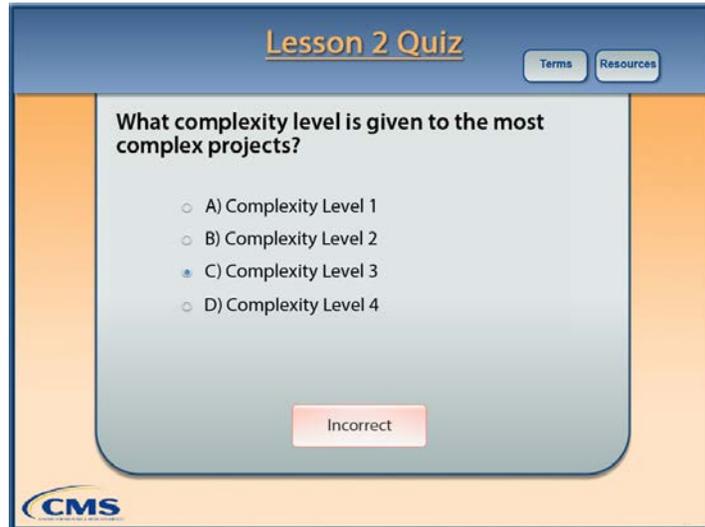
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- That is correct. Complexity Level 3 is used for the most complex projects.

Slide 35: Incorrect Answer to Question 2



Slide Content

What complexity level is given to the most complex projects?

- A) Complexity Level 1
- B) Complexity Level 2
- C) Complexity Level 3
- D) Complexity Level 4
- Answer: Incorrect

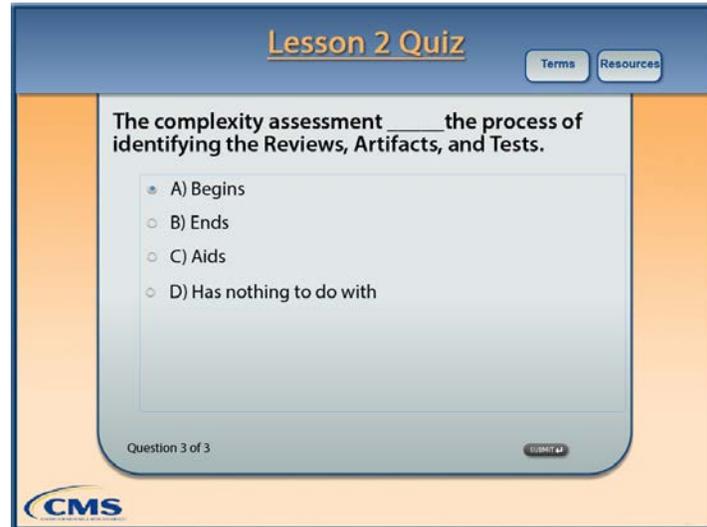
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Answers A, B, and D are not correct. The correct answer is C: Complexity Level 3 is used for the most complex projects.
- A and B are not correct: Complexity Level 1 and 2 are for less complex projects than Complexity Level 3. D is not correct: Complexity Level 4 is not a valid XLC complexity level.

Slide 36: Lesson 2 Quiz (Question 3 of 3)



Slide Content

The complexity assessment _____ the process of identifying the Reviews, Artifacts, and Tests.

- A) Begins
- B) Ends
- C) Aids
- D) Has nothing to do with

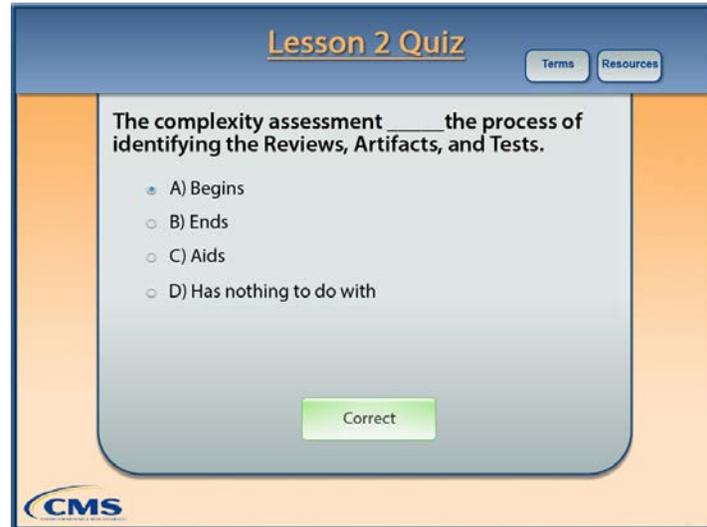
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Submit** button is located in the lower right corner of the slide.

Slide Voiceover Notes

- Question 3 of 3: Fill in the blank: The complexity assessment _____ the process of identifying the Reviews, Artifacts, and Tests.

Slide 37: Correct Answer to Question 3



Slide Content

The complexity assessment _____ the process of identifying the Reviews, Artifacts, and Tests.

- A) Begins
- B) Ends
- C) Aids
- D) Has nothing to do with
- Answer: Correct

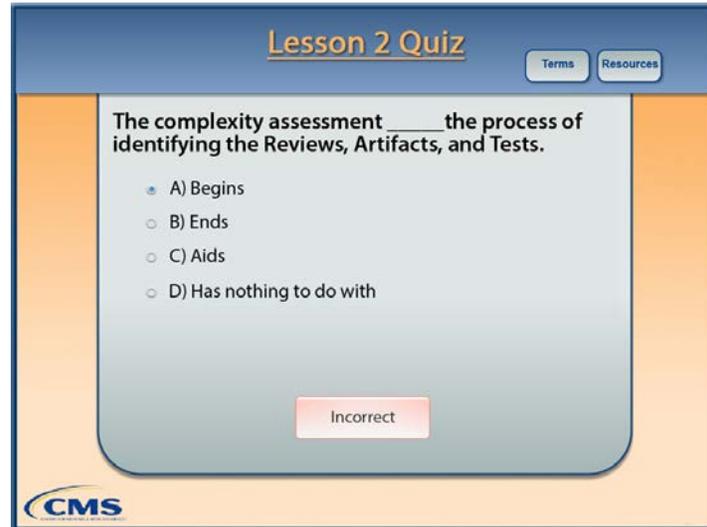
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- That is correct. The complexity assessment begins the process of identifying the Reviews, Artifacts, and Tests.

Slide 38: Incorrect Answer to Question 3



Slide Content

The complexity assessment _____ the process of identifying the Reviews, Artifacts, and Tests.

- A) Begins
- B) Ends
- C) Aids
- D) Has nothing to do with
- Answer: Incorrect

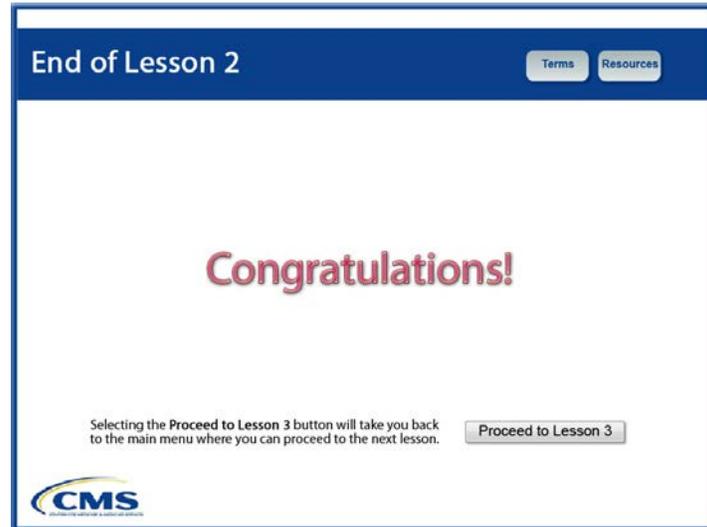
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Answers B, C, and D are not correct. The correct answer is A, Begins. The complexity assessment begins the process of identifying the Reviews, Artifacts, and Tests.

Slide 39: End of Lesson 2



Slide Content

Congratulations!

- Selecting the **Proceed to Lesson 3** button will take you back to the main menu where you can proceed to the next lesson.

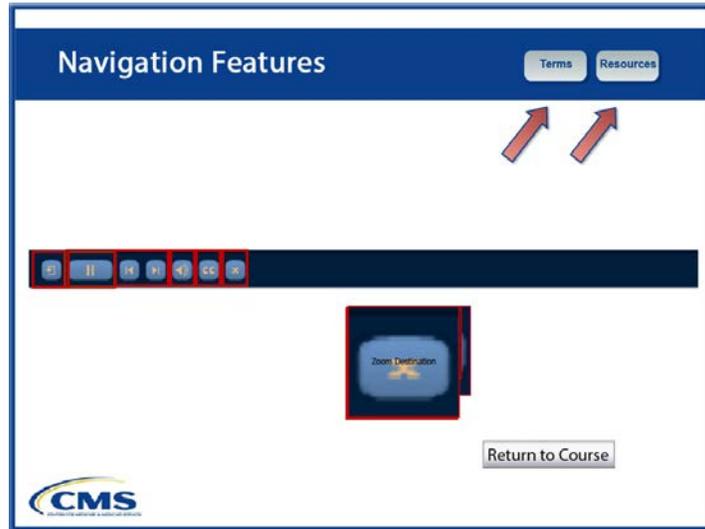
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Proceed to Lesson 3** button is at the lower right corner of the page.

Slide Voiceover Notes

- Congratulations! You now have a general understanding of Project Complexity Determination. Let's move on to Lesson 3—Reviews.
- Selecting the **Proceed to Lesson 3** button will take you back to the main menu where you can proceed to the next lesson.

Slide 40: Help Slide (Navigation Features)



Slide Content

Navigation Features

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Return to Course** button is at the lower right corner of the page.

Slide Voiceover Notes

- Let's examine the navigation features of this e-learning course so that you can understand how to navigate the material. The main navigation buttons for the course appear at the bottom of the window on the playback.
- The main navigation button is the **Play** button and is used to progress through the course. The **Pause** button can be used to halt the course; pressing it again will resume the course.
- The **Forward** and **Back** arrows are used to review and progress through the course material. The **Rewind** button takes you back to the beginning of the course.
- The **Audio** button toggles between turning the narration on or off. The **CC** button turns closed captioning on or off. The button with the **X** exits the course.
- In addition, by selecting the **Resources** button, you will be provided with a list of related websites and other reference materials that will help you gain a better understanding of the XLC.
- The **Terms** button provides definitions of words and acronyms that may be unfamiliar to you.
- You can also use the Tab key to tab to the various navigation controls on the play back bar. Press the space bar or the Enter key to make your selection.



Centers for Medicare & Medicaid Services

The Project Process Agreement Lesson 3: Reviews

Version 1.0

May 16, 2013

Course Advisory

This course contains audio.

If you are using a screen reader, we recommend you tab through the controls and turn off the audio at this time.

You may mute and unmute the audio at any time by selecting the audio button  on the play bar at the bottom of your screen.

When you are ready, select the Continue button to start the course.

[Continue](#)

Slide Content

- This course contains audio.
- If you are using a screen reader, we recommend you tab through the controls and turn off the audio at this time.
- You may mute and unmute the audio at any time by selecting the audio button on the play bar at the bottom of your screen.
- When you are ready, select the **Continue** button (at the bottom right of the screen) to start the course.

Slide 1: The Project Process Agreement, Lesson 3: Reviews



Slide Content

- Identity Mark of the Centers for Medicare & Medicaid Services
- Office of Information Services, Enterprise Architecture & Strategy Group, Division of IT Governance

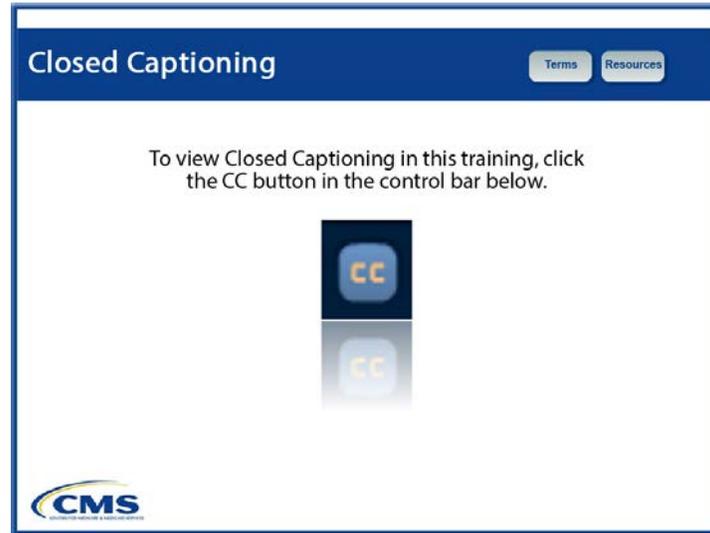
Navigation Buttons

- The **Help** button is located in the upper right of the title bar.

Slide Voiceover Notes

- Welcome to the Lesson 3: Reviews.
- It is expected that you have taken the Expedited Life Cycle (XLC) Basic Training and PPA Course Lessons 1 and 2 before proceeding with this lesson. This lesson should take approximately 15 minutes.
- Click the **Help** button for instructions on navigating through this course.

Slide 2: Closed Captioning



Slide Content

- To view Closed Captioning in this training, click the **CC** button in the control bar below.

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- To view Closed Captioning in this training, click the **CC** button in the control bar below.
- In addition, by selecting the **Resources** button, you will be provided with a list of related websites and other reference materials that will help you gain a better understanding of the XLC.
- The **Terms** button provides definitions of words and acronyms that may be unfamiliar to you.

Slide 3: Lesson Overview

The screenshot shows a slide titled "Lesson Overview" with a blue header. In the top right corner of the header are two buttons: "Terms" and "Resources". Below the header, there are three sections: "Topics:", "Objectives:", and "Key Points:". Each section contains two bullet points with yellow arrowheads. A light blue callout box points to the first topic, containing the text "XLC Detailed Description Document: Section 5: The XLC Phases, Reviews, and Artifacts". At the bottom left of the slide is the CMS logo.

Lesson Overview Terms Resources

Topics:

- ➔ XLC Stage Gate Reviews characteristics and examples
- ➔ Completing the Stage Gate Reviews Worksheet of the PPA

Objectives:

- ➔ Prepare the Stage Gate Reviews Worksheet of the PPA for a project based on Project Complexity Level

Key Points:

- ➔ Project Complexity Level defines the minimum set of Stage Gate Reviews for a project
- ➔ The Stage Gate Reviews Worksheet of the PPA documents the specific reviews for a project

CMS

Slide Content

Topics:

- XLC Stage Gate Reviews characteristics and examples
- Completing the Stage Gate Reviews Worksheet of the PPA

Objectives:

- Prepare the Stage Gate Reviews Worksheet of the PPA for a project based on Project Complexity Level

Key Points:

- Project Complexity Level defines the minimum set of Stage Gate Reviews for a project
- The Stage Gate Reviews Worksheet of the PPA documents the specific reviews for a project

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Graphical Reference (upper right corner)

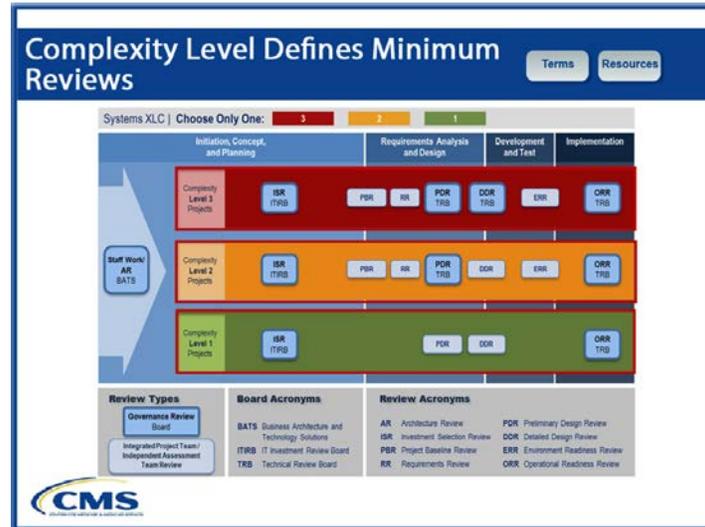
- XLC Detailed Description Document:
- Section 5: The XLC Phases, Reviews, and Artifacts

Slide Voiceover Notes

- In this lesson, we will:
 1. Present characteristics and examples of Stage Gate Reviews in the XLC, and

2. Complete the Stage Gate Review Worksheet of the PPA to document the Reviews for a project.
- At the end of this lesson, you will be able to describe and complete the Reviews Worksheet of the PPA for a project based on Project Complexity.
 - The two key points we will be making are:
 - Project Complexity Level is used to identify the XLC swim lane that defines a minimum set of Stage Gate Reviews for a project, and
 - The Stage Gate Reviews Worksheet of the PPA documents the specific reviews for a project. If you would like more information, you can refer to Section 5, The XLC Phases, Reviews, and Artifacts, of the Detailed Description Document.

Slide 4: Complexity Level Defines Minimum Reviews



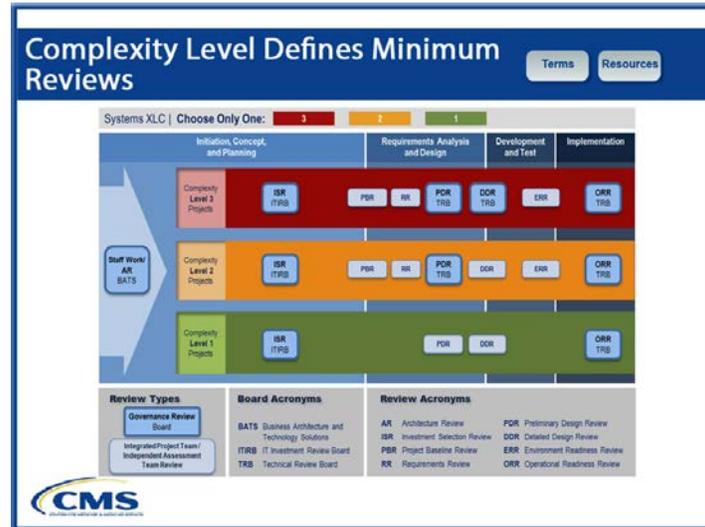
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- In Lesson 2, we determined the Project Complexity Level. The XLC uses the Project Complexity Level to begin tailoring the XLC to your project. The XLC specifies three Project Complexity Levels, each shown in a colored “swim lane” in the diagram: Complexity Level 1, shown on the bottom swim lane in green, for low-complexity projects; Complexity Level 2, shown in the middle swim lane in orange, for more complex projects; and Complexity Level 3, shown on the top swim lane in red, for the most complex projects. The swim lane determines the minimum set of reviews.
- As we noted earlier, the XLC includes stages for Operations & Maintenance and Disposition that are not shown on this diagram. This diagram focuses on the system development perspective.

Slide 5: Complexity Level Defines Minimum Reviews (2)



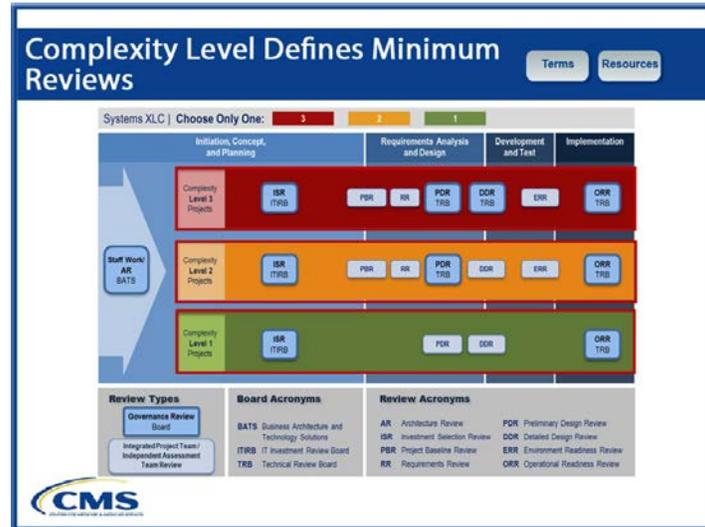
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- The XLC has two (2) types of reviews: Governance and Delegated.
 - **Governance Reviews** are shown as darker blue boxes with wide, dark blue borders and are scheduled with the appropriate governance bodies (i.e., the BATS Board, the ITIRB, or the TRB) and conducted with all relevant stakeholders. The XLC includes three to five governance reviews depending on the project complexity.
 - **Delegated Reviews** are shown as lighter blue boxes with thin blue borders, and may be delegated to, and conducted by, the Integrated Project Team or an Independent Assessment Team.
- These reviews are scheduled internally to the project team without the need to schedule a meeting with a governance board. Depending on the Project Complexity Level, two to four delegated reviews are conducted.
- Each review provides the opportunity to assess project work to date, identify any potential issues, and ultimately approve the project to continue with the next phase of the life cycle.
- Each decision is based on a review of the artifacts associated with that particular review, the accomplishment of phase objectives, plans for the phase, and the risks associated with moving into the next phase.
- (Lesson 4 discusses the tailoring of artifacts to a project.)

Slide 6: Complexity Level Defines Minimum Reviews (3)



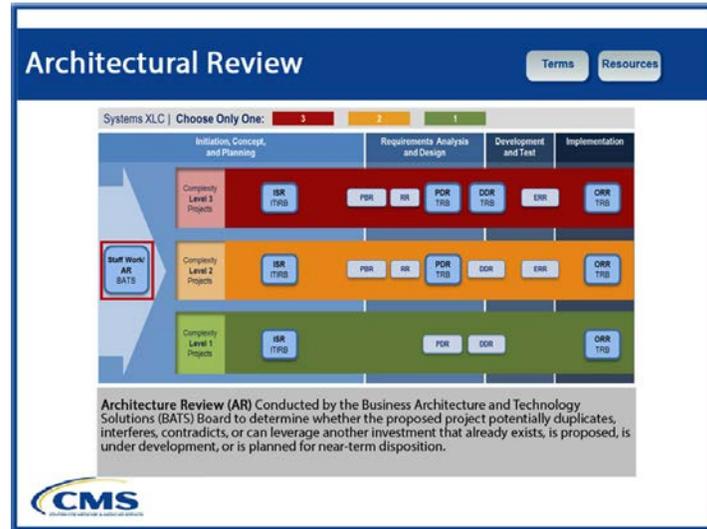
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- The XLC model defines the following Stage Gate Reviews:
 - Three governance reviews are common to all projects: The Architectural Review (AR), the Investment Selection Review (ISR), and the Operational Readiness Review (ORR).
- For a **Complexity Level 1** project, the minimum set of reviews includes the three common governance reviews and adds two delegated reviews: the Preliminary Design Review and the Detailed Design Reviews.
- For a **Complexity Level 2** project, the minimum set of reviews includes the three common governance reviews, adds a fourth governance review (the Preliminary Design Review), and includes four delegated reviews: the Project Baseline Review, Requirements Review, Detailed Design Review, and one or more Environment Readiness Reviews.
- For a **Complexity Level 3** project, the minimum set of reviews is the same as for a Complexity Level 2 project but with one change: the Detailed Design Review is “promoted” to a Governance Review.
- Let’s examine the reviews in more detail.

Slide 7: Architectural Review



Slide Content

(Definition legend at bottom of slide):

- **Architecture Review (AR).** Conducted by the Business Architecture and Technology Solutions (BATS) Board to determine whether the proposed project potentially duplicates, interferes, contradicts, or can leverage another investment that already exists, is proposed, is under development, or is planned for near-term disposition.

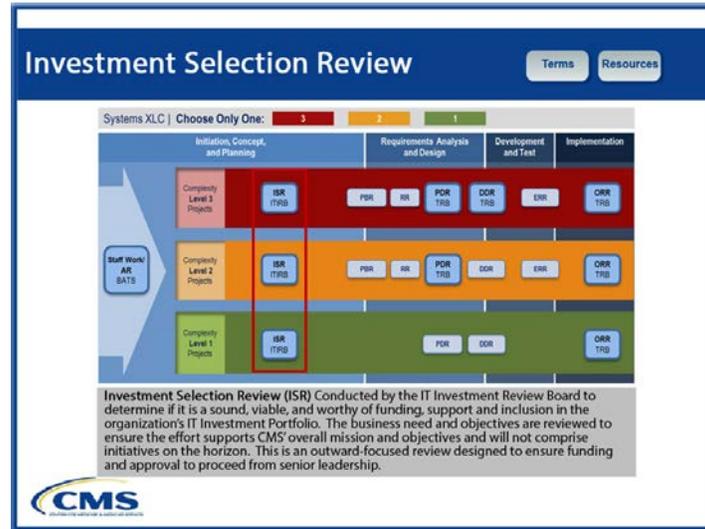
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- The first review is the Architecture Review, and it is conducted by the Business Architecture and Technology Solutions (or BATS) Board. The purpose of the Architecture Review is to determine whether the proposed project:
 - Potentially duplicates, interferes, contradicts, or can leverage another investment that already exists
 - Is proposed
 - Is under development, or
 - Is planned for near-term disposition.
- The business need is assessed to determine if it is sound and conforms to the CMS Enterprise Architecture. The Architecture Review is a governance review.

Slide 8: Investment Selection Review



Slide Content

(Definition legend at bottom of slide)

- **Investment Selection Review (ISR).** Conducted by the IT Investment Review Board to determine if it is a sound viable, and worthy of funding, support and inclusion in the organization's IT Investment Portfolio. The business need and objectives are reviewed to ensure the effort supports CMS' overall mission and objectives and will not comprise initiatives on the horizon. This is an outward-focused review designed to ensure funding and approval to proceed from senior leadership.

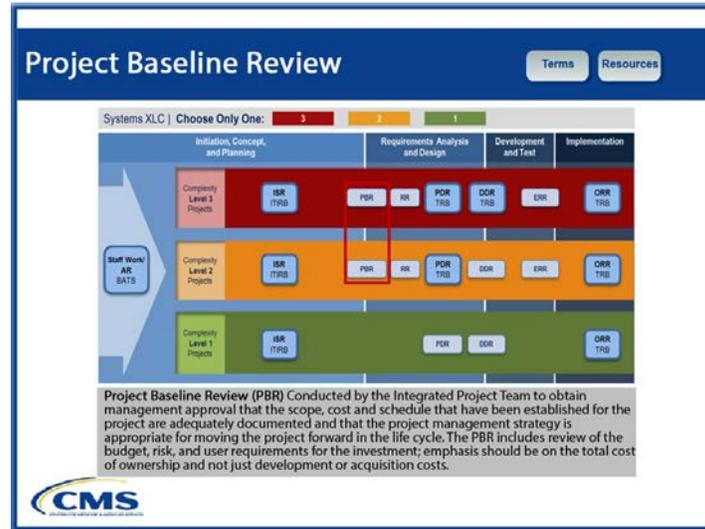
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- After the Architecture Review, the next review is the Investment Selection Review (ISR), conducted by the Information Technology Investment Review Board (ITIRB).
- The purpose of the Investment Selection Review is to determine whether the proposed project is sound, viable, and worthy of funding, support and inclusion in the organization's IT Investment Portfolio.
- The business need and objectives are reviewed to ensure the effort supports CMS's overall mission and objectives and will not comprise initiatives on the horizon. This is an outward-focused review designed to ensure funding and approval to proceed from senior leadership. The ITIRB considers the BATS Board's recommendation in making this decision. The Investment Selection Review is a governance review.

Slide 9: Project Baseline Review



Slide Content

(Definition legend at bottom of slide)

- **Project Baseline Review (PBR).** Conducted by the Integrated Project Team to obtain management approval that the scope, cost and schedule that have been established for the project are adequately documented and that the project management strategy is appropriate for moving the project forward in the life cycle. The PBR includes review of the budget, risk, and user requirements for the investment; emphasis should be on the total cost of ownership and not just development or acquisition costs.

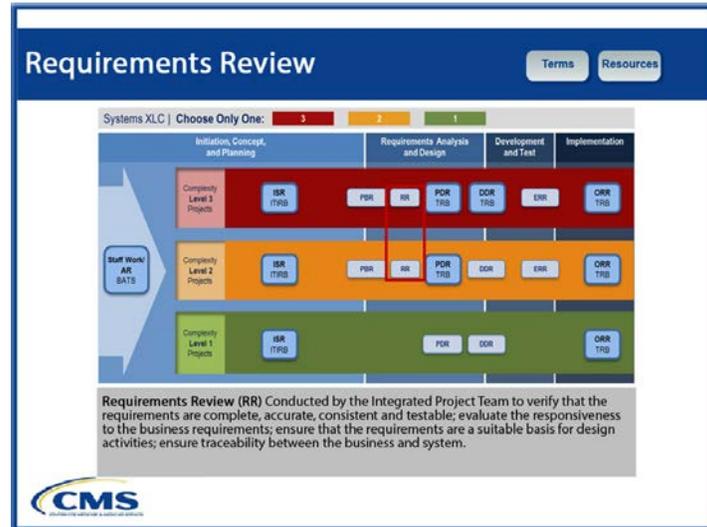
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- For Complexity Level 2 and 3 Projects, the Integrated Project Team performs the Project Baseline Review (or PBR). This review obtains management approval that the scope, cost and schedule that have been established for the project are adequately documented and that the project management strategy is appropriate for moving the project forward in the life cycle.
- The PBR includes review of the budget, risk, and user requirements for the investment, with emphasis on the total cost of ownership and not just development or acquisition costs.
- It ensures project risks have been identified and prioritized, and appropriate mitigation plans are in place.
- The Project Baseline Review is a delegated review. Note that the Project Baseline Review is not required for a Complexity Level 1 Project.

Slide 10: Requirements Review



Slide Content

(Definition legend at bottom of slide)

- **Requirements Review (RR)**. Conducted by the Integrated Project Team to verify that the requirements are complete, accurate, consistent and testable; evaluate the responsiveness to the business requirements; ensure that the requirements are a suitable basis for design activities; ensure traceability between the business and system.

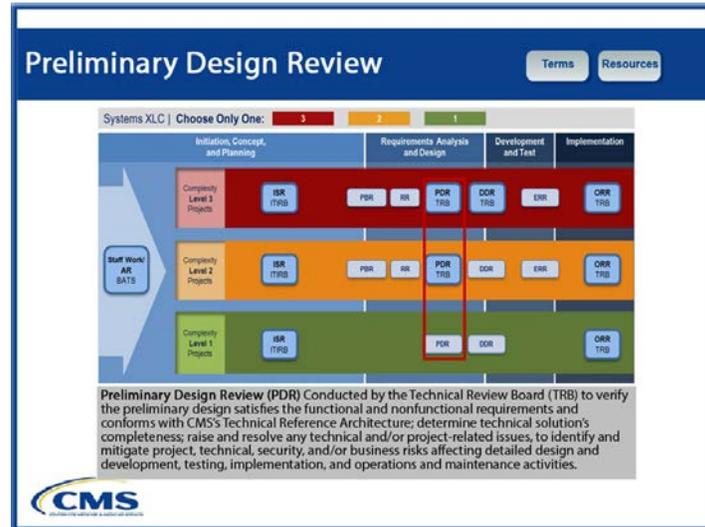
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- For Complexity Level 2 and 3 Projects, the Integrated Project Team performs the Requirements Review. The Requirements Review:
 - Verifies that the requirements are complete, accurate, consistent and testable;
 - Evaluates the project's responsiveness to business requirements;
 - Ensures that the requirements are a suitable basis for design activities; and
 - Ensures traceability between the business and system.
- The Requirements Review is a delegated review. Note that the Requirements Review is not required for a Complexity Level 1 Project.

Slide 11: Preliminary Design Review



Slide Content

(Definition legend at bottom of slide)

- Preliminary Design Review (PDR).** Conducted by the Technical Review Board (TRB) to verify the preliminary design satisfies the functional and nonfunctional requirements and conforms with CMS's Technical Reference Architecture; determine technical solution's completeness; raise and resolve any technical and/or project-related issues, to identify and mitigate project, technical, security, and/or business risks affecting detailed design and development, testing, implementation, and operations and maintenance activities.

Navigation Buttons

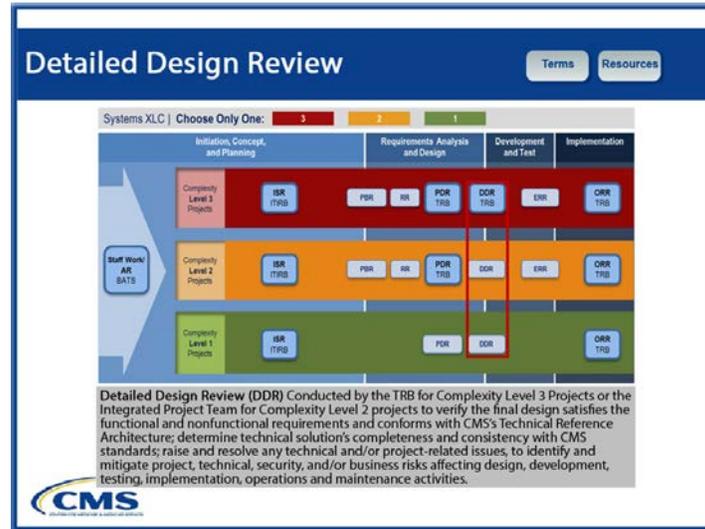
- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- For Complexity Level 2 and 3 Projects, the Technical Review Board performs the Preliminary Design Review. For Complexity Level 1, the Integrated Project Team conducts the Preliminary Design Review.
- The Preliminary Design Review:
 - Verifies that the preliminary design satisfies the functional and nonfunctional requirements and that it conforms with CMS's Technical Reference Architecture;
 - Determines the technical solution's completeness; and raises and resolves any technical and/or project-related issues, to identify and mitigate project, technical, security, and/or business risks affecting detailed design and development, testing, implementation, and operations and maintenance activities.

- For Complexity Level 2 and 3 projects, the Preliminary Design Review is a governance review; for Complexity Level 1 projects, the Preliminary Design Review is a delegated review.

Slide 12: Detailed Design Review



Slide Content

(Definition legend at bottom of slide)

- Detailed Design Review (DDR). Conducted

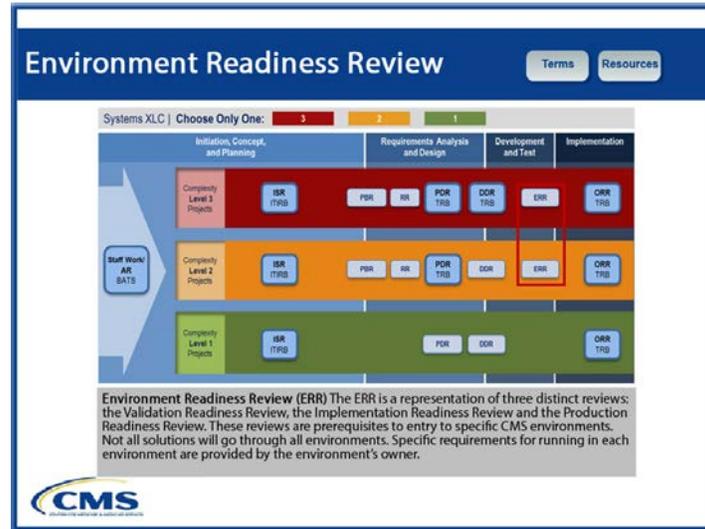
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- For **Complexity Level 3** projects, the Technical Review Board performs the Detailed Design Review. For **Complexity Level 1 and 2** projects, the Integrated Project Team conducts the Detailed Design Review.
- The Detailed Design Review:
 - Verifies that the final design satisfies the functional and nonfunctional requirements and that it conforms with CMS's Technical Reference Architecture;
 - Determines the technical solution's completeness and consistency with CMS standards; and
 - Raises and resolves any technical and/or project-related issues to identify and mitigate project, technical, security, and/or business risks affecting design, development, testing, implementation, operations, and maintenance activities.
- For **Complexity Level 3** projects, the Detailed Design Review is a governance review; for **Complexity Level 1 and 2** projects, the Detailed Design Review is a delegated review.

Slide 13: Environment Readiness Review



Slide Content

(Definition legend at bottom of slide)

- **Environment Readiness Review (ERR).** The ERR is a representation of three distinct reviews: the Validation Readiness Review, the Implementation Readiness Review and the Production Readiness Review. These reviews are prerequisites to entry to specific CMS environments. Not all solutions will go through all environments. Specific requirements for running in each environment are provided by the environment's owner.

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- The Integrated Project Team works with the environment owners to conduct one or more Environment Readiness Reviews. The Environment Readiness Reviews represent three distinct reviews:
 1. Validation Readiness Review,
 2. Implementation Readiness Review, and
 3. Production Readiness Review.
- These reviews are prerequisites to entry into specific CMS environments.
- Not all solutions will go through all environments. Specific requirements for running in each environment are provided by the environment's owner.
- Environment Readiness Reviews are delegated reviews. Note that the Environment Readiness Reviews are not required for a Complexity Level 1 Project.

Slide 14: Types of Environment Readiness Reviews

Environment Readiness Review [Terms](#) [Resources](#)

Validation Readiness Review (VRR)

⇒ Conducted by the Environment Owner to ensure the system/application completed thorough Development Testing and is ready for turnover to the formal, controlled test environment for Validation testing.

Implementation Readiness Review (IRR)

⇒ Conducted by the Environment Owner to ensure the system/application completed thorough Integration Testing and is ready for turnover to the formal, controlled test environment for Production Readiness.

Production Readiness Review (PRR)

⇒ Conducted by the Environment Owner to ensure that the operational staff has the appropriate startup and shutdown scripts, accurate application architecture documentation, application validation procedures, and valid contact information to ensure operability of infrastructure applications.



Slide Content

- **Validation Readiness Review (VRR)**
Conducted by the Environment Owner to ensure the system/application completed thorough Development Testing and is ready for turnover to the formal, controlled test environment for Validation testing.
- **Implementation Readiness Review (IRR)**
Conducted by the Environment Owner to ensure the system/application completed thorough Integration Testing and is ready for turnover to the formal, controlled test environment for Production Readiness.
- **Production Readiness Review (PRR)**
Conducted by the Environment Owner to ensure that the operational staff has the appropriate startup and shutdown scripts, accurate application architecture documentation, application validation procedures, and valid contact information to ensure operability of infrastructure applications.

Navigation Buttons

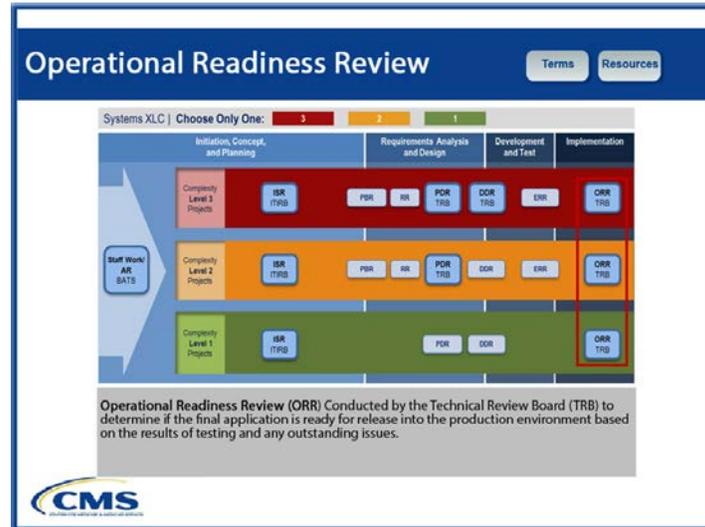
- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- The three types of Environmental Readiness Reviews are:
 - Validation Readiness Review (VRR),
 - Implementation Readiness Review (IRR), and the
 - Production Readiness Review (PRR).

- These reviews are needed to enter the various CMS environments (such as development testing or integration testing), and to test the solution and its contingency operations.
- Not all solutions will go through all environments. Specific requirements for running in each environment are provided by the environment's owner.
- These reviews are typically performed by an Infrastructure Support Contractor.
- The goal of the **Validation Readiness Review** is to ensure the validation activities are sound and feasible, the testing environment, including test data, are in place, and the necessary support resources are available.
- The goal of the **Implementation Readiness Review** is to ensure that the system is ready for implementation activities. The review also verifies that the system hardware, networking, Commercial-off-the-Shelf (or COTS) software and hardware, Government-off-the-Shelf (or GOTS) software and hardware, and databases and/or custom software can be installed and configured in the production environment(s).
- The goal of the **Production Readiness Review** is to determine if the documentation is sufficient to perform the required operations and maintenance.

Slide 15: Operational Readiness Review



Slide Content

(Definition in legend at bottom of slide)

- **Operational Readiness Review (ORR).** Conducted by the Technical Review Board (TRB) to determine if the final application is ready for release into the production environment based on the results of testing and any outstanding issues.

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- The Technical Review Board (TRB) performs the Operational Readiness Review (ORR). The purpose of the Operational Readiness Review is to determine if the final application is ready for release into the production environment based on the results of testing and any outstanding issues. Operational Readiness Reviews are governance reviews.

Slide 16: Operations & Maintenance, and Disposition Reviews

Operations & Maintenance, and Disposition Reviews Terms Resources

Post Implementation Review (PIR)

⇒ Conducted by the Technical Review Board (TRB) to assess how well the system/application performance meets its goals and recommend continued operations, changes to operations, or retirement. Often the PIR is combined with the first Annual Operational Assessment (AOA).

Annual Operational Analysis (AOA)

⇒ Conducted by the Executive Steering Committee to evaluate system performance, user satisfaction with the system, adaptability to changing business needs, and new technologies that might improve the system. This review is diagnostic in nature and can lead to development or maintenance activities. Ultimately, the AOA determines whether the IT Investment should continue, be modified or terminated.

Disposition Review (DR)

⇒ Conducted by the Technical Review Board (TRB) to ensure the IT investment has been completely and appropriately transitioned / disposed thereby ending the life cycle of the IT project. A Disposition Closeout Certificate is issued upon successful completion of this review.



Slide Content

- **Post Implementation Review (PIR)**
Conducted by the Technical Review Board (TRB) to assess how well the system/application performance meets its goals and recommend continued operations, changes to operations, or retirement. Often the PIR is combined with the first Annual Operational Assessment (AOA).
- **Annual Operational Analysis (AOA)**
Conducted by the Executive Steering Committee to evaluate system performance, user satisfaction with the system, adaptability to changing business needs, and new technologies that might improve the system. This review is diagnostic in nature and can lead to development or maintenance activities. Ultimately, the AOA determines whether the IT Investment should continue, be modified, or terminated.
- **Disposition Review (DR)**
Conducted by the Technical Review Board (TRB) to ensure the IT investment has been completely and appropriately transitioned / disposed, thereby ending the life cycle of the IT project. A Disposition Closeout Certificate is issued upon successful completion of this review.

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- In Operations & Maintenance, two reviews are conducted: the Post Implementation Review (or PIR) and the Annual Operational Analysis (or AOA).

- The Technical Review Board performs the Post Implementation Review to assess how well the IT application meets the performance requirements and business needs of CMS.
- The **Post Implementation Review** is typically performed on the application at the six-month point after entering production. It focuses on lessons learned during the development and implementation of the solution.
- The **Annual Operational Analysis** is performed each year to evaluate system performance, user satisfaction with the system, adaptability to changing business needs, and new technologies that might improve the system. The AOA determines whether the IT investment should be continued, modified, or terminated.
- When a decision is made to terminate a system, the **Disposition Review** is performed to ensure the IT investment has been completely and appropriately transitioned and / or disposed of, thus ending the IT project. A Disposition Closeout Certificate is issued upon successful completion of this review.

Slide 17: Remember the PRS?

Remember the PRS? Terms Resources

Program Background
CMS is considering a project to develop a registration system for beneficiaries in a chronic disease self-management program. The project will measure the impact of these programs on health care utilization and outcomes.

Program Overview
The CMS has received funding for clinical and community-based prevention and wellness strategies delivering measurable health outcomes addressing chronic disease rates. As an example, one program helps older Americans with chronic diseases learn how to manage their conditions and take control of their health. The program consists of educational modules delivered by trained personnel throughout the country. To assess the education's impact on the participants' health outcomes requires:

- Comparison of participants' health events before and after education
- Identification and comparison of control groups who have not participated in the chronic disease self-management program.

A new system is needed to gather information on beneficiaries participating in chronic disease self-management programs. The Prototype Registration System (PRS) will simulate the registration and tracking of participants in chronic disease self-management programs.

Project Requirements
The project will develop the functional and program requirements for a secure registration system. The project will design, develop and test the prototype. Based on usability measures, a pilot execution evaluation will be delivered. The project will deliver a roadmap to meeting the identified future requirements for a national registration system supporting chronic disease self-management activities.

Prototype Requirements
The PRS will support a limited scope, collecting information to simulate program registrants and their completion status of particular programs. The PRS shall support:

- Login, authorization, and authentication
- Entering program participant data
- Entering program and program completion data
- Modifying existing program participant, program, and program completion data
- Data extraction
- Audit log export

Deployment Environment
The PRS will not be deployed in CMS operation facilities and will not utilize or support entry of any PII or PHI data. Deployment of the PRS will be in a laboratory environment.

CMS

Slide Content

- Snapshot of a case study for a prototype registration system with headings for Program Background, Program Overview, Project Requirements, Prototype Requirements, and Deployment Environment (and accompanying text).

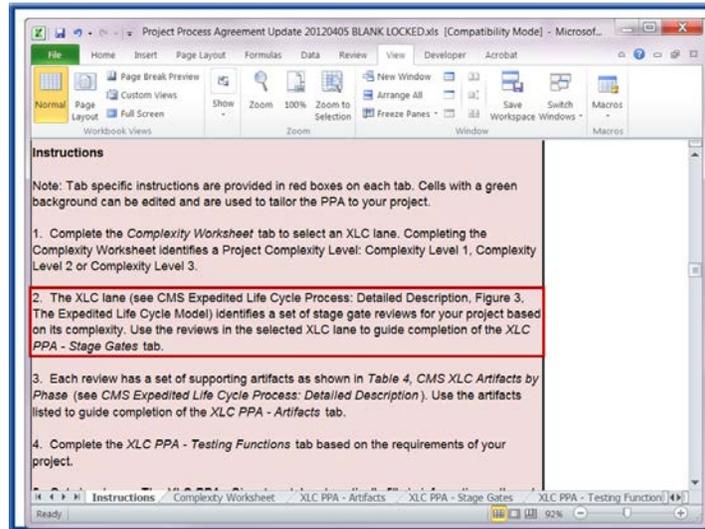
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Remember the Prototype Registration System (or PRS) project? Let's examine this project and identify which reviews are needed.

Slide 18: Screenshot of Instruction Tab on PPA Excel Worksheet (PRS)



Slide Content

(Outlined instruction #2)

- The XLC lane (see CMS Expedited Life Cycle Process: Detailed Description, Figure 3, The Expedited Life Cycle Model) identifies a set of stage gate review for your project based on its complexity. Use the reviews in the selected XLC lane to guide completion of the *XLC PPA – Stage Gates* tab.

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Having completed the first step of the instructions and determined the project is a Complexity Level 2, let's go to the next step of the instructions. Using the swim lane diagram, the third tab in the PPA is the Review Tab.

Slide 19: Screenshot of Stage Gates Review Tab on PPA Excel Worksheet (PRS)

Reviews Tab Terms Resources

PROJECT PROCESS AGREEMENT - STAGE GATES

Project Name: _____
 Project Description: _____
 Release: _____
 Contract ID: _____

STAGE GATE REVIEW | **MS Governance or Delegated to Project** | **STAGE GATE DEFINITION** | **PROJECT ACHIEVEMENT** | **AUTHOR (specify for Project)** | **JUSTIFICATION AND/OR NOTES**

1. Requirements Review (20%) | May be Delegated | [Detailed description of requirements review] | [] | [] | []

2. Preliminary Design Review (20%) | May be Delegated | [Detailed description of preliminary design review] | [] | [] | []

3. Detailed Design Review (20%) | May be Delegated | [Detailed description of detailed design review] | [] | [] | []

4. Release Readiness Review (20%) | May be Delegated | [Detailed description of release readiness review] | [] | [] | []

Review Tailoring: Perform, Combine, Waive, or Delegate

CMS

Slide Content

- Review Tailoring: Perform, Combine, Waive, or Delegate

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- The Stage Gates Reviews Tab is the third of six tabs in the PPA. The PPA Stage Gates Reviews tab includes a project information section at the top left. This information will prefill as it was previously completed in the Project Complexity tab.
- To the right of the Project Information Section are the directions for completing this worksheet (highlighted in pink):
 - Enter your project information in the green cells of the spreadsheet in columns E, F, and G.
 - Review the stage gate list and details in columns A through D.
 - Add any project-defined reviews in rows 14 and 15;
 - Record agreement for the project's initial release in columns E and F.
 - Provide justifications for Waive or Combine in column G; and
 - Consider risks in column H (provide mitigation in justifications for combined or waived reviews).
- Below the Project Information and the Instructions are columns with the following labels:
 - The name of the Stage Gate Review;
 - Whether the review is a governance review or may be delegated to the project to be accomplished by an Integrated Project Team;

3. A short definition of the Review;
4. The project agreement determination: either “Combine”, “Delegate”, “Perform”, or “Waive”;
5. Author; and
6. A justification documenting the reasons for tailoring the XLC Reviews for your project. The worksheet lists all 12 of the stage gate reviews defined in the XLC.

Slide 20: Screenshot of Specific Stage Gate Reviews (1 of 2)

A #	B STAGE GATE REVIEW	C CMS Governance if Delegated to Projects	D STAGE GATE DEFINITION	E		F CMS
				PROJECT AGREEMENT	AUTHOR (specific to Project)	
7	Validation Readiness Review (VRF)	May be Delegated	Ensure the system/application completed thorough Development Testing and is ready for turnover to the formal, controlled test environment for Validation testing.	Delegate		
6	Implementation Readiness Review (IRF)	May be Delegated	Ensure the system/application completed thorough Integration Testing and is ready for turnover to the formal, controlled test environment for Production Readiness	Delegate		
7	Production Readiness Review (PRF)	May be Delegated	Ensure the system/application completed its implementation processes according to plan and that it is ready for turnover to the Operations & Maintenance team and operational release into the Production environment.	Delegate		
9	Operational Readiness Review (ORF)	Performed	Ensure the system/application completed its implementation processes according to plan and that it is ready for turnover to the Operations & Maintenance team and operational release into the Production environment.	Perform		
10	Post Implementation Review (PIR)	May be Delegated	This is the first ACR, and is conducted 6 - 9 months after implementation. Review project performance to evaluate Customer Satisfaction, Strategic and Business Results, Financial			

Slide Voiceover Notes

- Specific reviews have been identified, based on the Complexity Worksheet, showing that this Project is rated as a Complexity Level 2 project. Some of these reviews may be combined or waived, based on project complexity and the PPA.
- If you decide to combine or waive a review, you must include the justification for that decision. This form assumes we are completing the minimum set of reviews for a Complexity Level 2 project, which these include:
 - An Architecture Review;
 - An Investment Selection Review;
 - A Project Baseline Review;
 - A Requirements Review;
 - A Preliminary Design Review;
 - A Detailed Design Review;
 - Up to three (3) Environment Readiness Reviews (consisting of a Validation Readiness Review, an Implementation Readiness Review, and a Production Readiness Review); and finally,
 - An Operational Readiness Review.
- Four reviews are defined as governance reviews: the Architecture Review, the Investment Selection Review, the Preliminary Design Review, and the Operational Readiness Review.

Slide 21: Screenshot of Specific Stage Gate Reviews (2 of 2)

A #	B STAGE GATE REVIEW	C CMS Governance # Delegated to Projects	D STAGE GATE DEFINITION	E		F CMS
				PROJECT AGREEMENT	AUTHOR (specific to Project)	
7	Validation Readiness Review (VRF)	May be Delegated	Ensure the system/application completed thorough Development Testing and is ready for turnover to the formal, controlled test environment for Validation testing.	Delegate		
8	Implementation Readiness Review (IRF)	May be Delegated	Ensure the system/application completed thorough Integration Testing and is ready for turnover to the formal, controlled test environment for Production Readiness	Delegate		
7	Production Readiness Review (PRF)	May be Delegated	Ensure the system/application completed its implementation processes according to plan and that it is ready for turnover to the Operations & Maintenance team and operational release into the Production environment.	Delegate		
9	Operational Readiness Review (ORF)	Performed	Ensure the system/application completed its implementation processes according to plan and that it is ready for turnover to the Operations & Maintenance team and operational release into the Production environment.	Perform		
10	Post Implementation Review (PIR)	May be Delegated	This is the first ACR and is conducted 6 - 9 months after implementation. Review project performance to evaluate Customer Satisfaction, Strategic and Business Results, Financial			

Slide Voiceover Notes

- ... And five reviews are defined as delegated reviews, and delegated to the project team: the Project Baseline Review, the Requirements Review, the Detailed Design Review, the Validation Readiness Review, the Implementation Readiness Review, and the Production Readiness Review.

Slide 22: PRS Reviews

PROJECT FRODO BAGGINS - STAGE GATE 1						
STAGE GATE REVIEW		CME Development/Requirement	STAGE GATE DEFINITION	PROJECT AUTHORITY	CREDIT PRECEDENCE	TYPE OF WITHHOLD REVIEW
1	Project Review (PR)	Not to be Waived	Ensure that the requirements are complete, accurate, consistent and verifiable. Review the requirements for the proposed project. The PRS is a prototype and this system will not be implemented; therefore, a DDR is unnecessary. This text is entered as a justification.	Waived		Waived
2	Requirements Review (RR)	Not to be Waived	Ensure that the requirements are complete, accurate, consistent and verifiable. Review the requirements for the proposed project. The PRS is a prototype and this system will not be implemented; therefore, a DDR is unnecessary. This text is entered as a justification.	Waived		Waived
3	Detailed Design Review (DDR)	Not to be Waived	Ensure that the requirements are complete, accurate, consistent and verifiable. Review the requirements for the proposed project. The PRS is a prototype and this system will not be implemented; therefore, a DDR is unnecessary. This text is entered as a justification.	Waived		Waived
4	Final Review (FR)	Not to be Waived	Ensure that the requirements are complete, accurate, consistent and verifiable. Review the requirements for the proposed project. The PRS is a prototype and this system will not be implemented; therefore, a DDR is unnecessary. This text is entered as a justification.	Waived		Waived

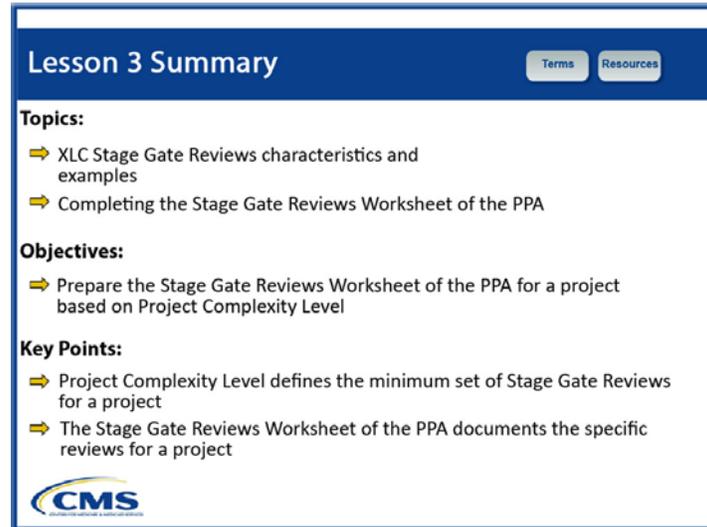
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- When “waived” or “combined” is selected from the Project Agreement pull-down menu, these items require a justification.
- In the PRS example, because the Requirements Review is “combined” with the Project Baseline Review, this text is entered as a justification in the “Justification and/or Notes” field.
- The Detailed Design Review is “waived” because the PRS is a prototype and this system will not be implemented; therefore, a DDR is unnecessary. This text is entered as a justification.
- The remaining fields are completed in a similar manner.

Slide 23: Lesson 3 Summary



The screenshot shows a slide titled "Lesson 3 Summary" with a dark blue header. In the top right corner of the header are two buttons: "Terms" and "Resources". Below the header, the slide is divided into three sections: "Topics:", "Objectives:", and "Key Points:". Each section contains two bullet points with yellow arrowheads. At the bottom left of the slide is the CMS logo.

Lesson 3 Summary Terms Resources

Topics:

- ➔ XLC Stage Gate Reviews characteristics and examples
- ➔ Completing the Stage Gate Reviews Worksheet of the PPA

Objectives:

- ➔ Prepare the Stage Gate Reviews Worksheet of the PPA for a project based on Project Complexity Level

Key Points:

- ➔ Project Complexity Level defines the minimum set of Stage Gate Reviews for a project
- ➔ The Stage Gate Reviews Worksheet of the PPA documents the specific reviews for a project



Slide Content

Topics:

- XLC Stage Gate Reviews characteristics and examples
- Completing the Stage Gate Reviews Worksheet of the PPA

Objectives:

- Prepare the Stage Gate Reviews Worksheet of the PPA for a project based on Project Complexity Level

Key Points:

- Project Complexity Level defines the minimum set of Stage Gate Reviews for a project
- The Stage Gate Reviews Worksheet of the PPA documents the specific reviews for a project
- The PPA documents the project complexity, reviews, artifacts, tests, and key stakeholder agreement for a project.

Navigation Buttons

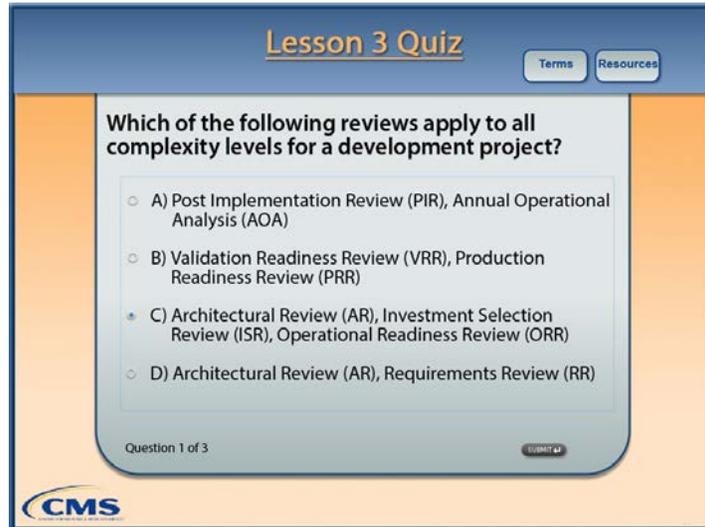
- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- So let's summarize what we have just reviewed in Lesson 3, Reviews. In this lesson, we covered the following points:
 1. Characteristics and examples of Stage Gate Reviews in the XLC, and
 2. Completing the Stage Gate Reviews Worksheet of the PPA. You should now be able to prepare the Reviews Worksheet of the PPA for a project based on Project Complexity Level.

- The key points we covered were:
 - Project Complexity Level defines the minimum set of Stage Gate Reviews for a project, and
 - The Stage Gate Reviews Worksheet of the PPA documents the specific reviews for a project.
- Now that you have a good understanding of the need for Reviews, let's check your understanding of this material with a few questions. You must take the review quiz to move on to the next lesson.

Slide 24: Lesson 3 Quiz (Question 1 of 3)



Slide Content

Which of the following reviews apply at all complexity levels for a development project?

- A) Post Implementation Review (PIR), Annual Operational Analysis (AOA)
- B) Validation Readiness Review (VRR), Production Readiness Review (PRR)
- C) Architectural Review (AR), Investment Selection Review (ISR), Operational Readiness Review (ORR)
- D) Architectural Review (AR), Requirements Review (RR)

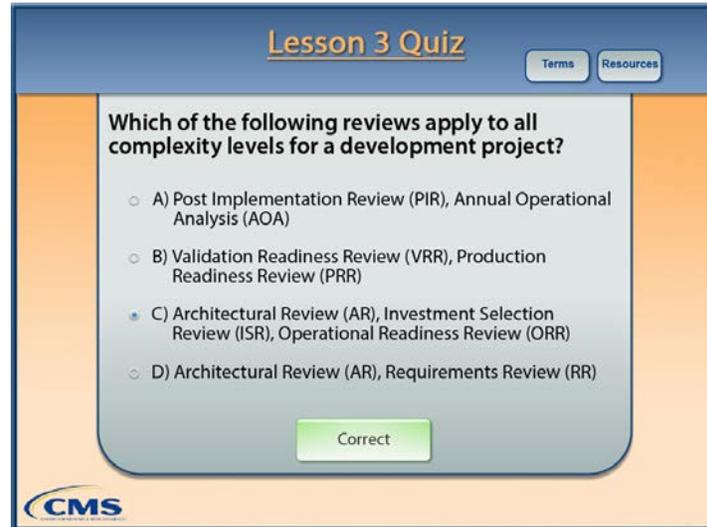
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Submit** button is at the lower right corner of the screen.

Slide Voiceover Notes

- Question 1 of 3: Which of the following reviews apply to all complexity levels for a development project?

Slide 25: Correct Answer to Question 1



Slide Content

Which of the following reviews apply at all complexity levels for a development project?

- A) Post Implementation Review (PIR), Annual Operational Analysis (AOA)
 - B) Validation Readiness Review (VRR), Production Readiness Review (PRR)
 - C) Architectural Review (AR), Investment Selection Review (ISR), Operational Readiness Review (ORR)
 - D) Architectural Review (AR), Requirements Review (RR)
- Answer: (C) Correct

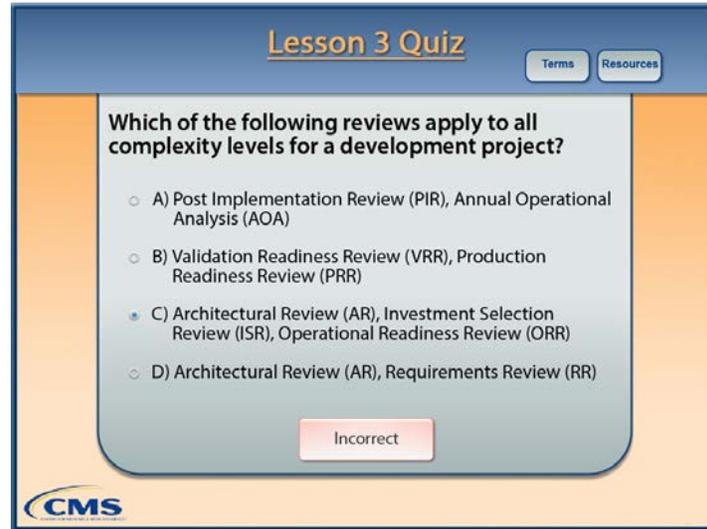
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Answer C is correct. Architecture Review, Investment Selection Review and Operational Readiness Review apply to all development projects.

Slide 26: Incorrect Answer to Question 1



Slide Content

Which of the following reviews apply at all complexity levels for a development project?

- A) Post Implementation Review (PIR), Annual Operational Analysis (AOA)
 - B) Validation Readiness Review (VRR), Production Readiness Review (PRR)
 - C) Architectural Review (AR), Investment Selection Review (ISR), Operational Readiness Review (ORR)
 - D) Architectural Review (AR), Requirements Review (RR)
- Answer: Incorrect

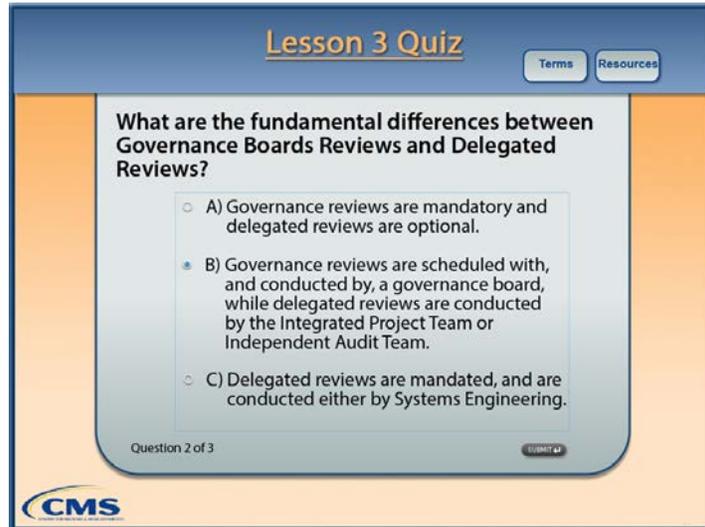
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Answers A, B, and D are not correct. Answer A is not correct because the Post Implementation Review and Annual Operational Analysis (AOA) do not occur during the Development phases. These reviews occur in the Operations & Maintenance and Disposition phases.
- Answer B is not correct because both the Validation Readiness Review and the Production Readiness Review are types of Environment Readiness Reviews and they may not apply to all projects.
- Answer D is partially correct. An Architecture Review does apply to all complexity levels, but a Requirements Review does not.

Slide 27: Lesson 3 Quiz (Question 2 of 3)



Slide Content

What are the fundamental differences between Governance Board Reviews and Delegated Reviews?

- A) Governance reviews are mandatory and delegated reviews are optional.
- B) Governance reviews are scheduled with, and conducted by, a governance board, while delegated reviews are conducted by the Integrated Project Team or Independent Audit Team.
- C) Delegated reviews are mandated, and are conducted either by Systems Engineering

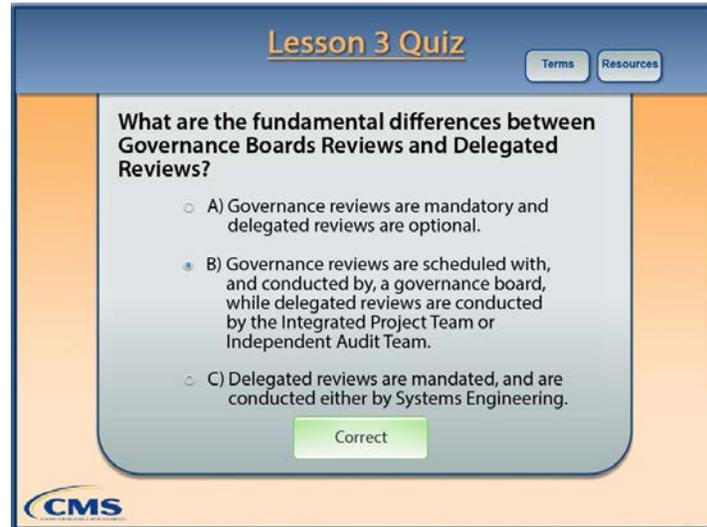
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Submit** button is at the lower right corner of the screen.

Slide Voiceover Notes

- Question 2 of 3: What are the fundamental differences between Governance Boards Reviews and Delegated Reviews?

Slide 28: Correct Answer to Question 2



Slide Content

What are the fundamental differences between Governance Board Reviews and Delegated Reviews?

- A) Governance reviews are mandatory and delegated reviews are optional.
- B) Governance reviews are scheduled with, and conducted by, a governance board, while delegated reviews are conducted by the Integrated Project Team or Independent Audit Team.
- C) Delegated reviews are mandated, and are conducted either by Systems Engineering.
- Answer: (B) Correct

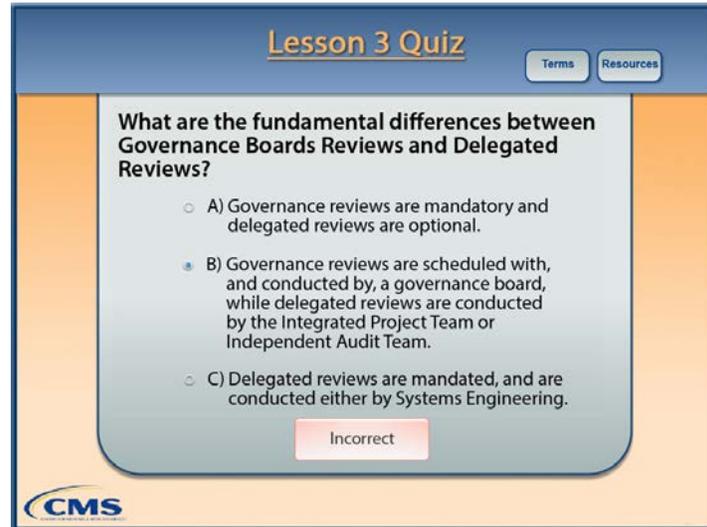
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Answer B is correct. Governance reviews are scheduled with, and conducted by, a governance board, while delegated reviews are conducted by the Integrated Project Team or Independent Audit Team.

Slide 29: Incorrect Answer to Question 2



Slide Content

What are the fundamental differences between Governance Board Reviews and Delegated Reviews?

- A) Governance reviews are mandatory and delegated reviews are optional.
- B) Governance reviews are scheduled with, and conducted by, a governance board, while delegated reviews are conducted by the Integrated Project Team or Independent Audit Team.
- C) Delegated reviews are mandated, and are conducted either by Systems Engineering.
- Answer: Incorrect

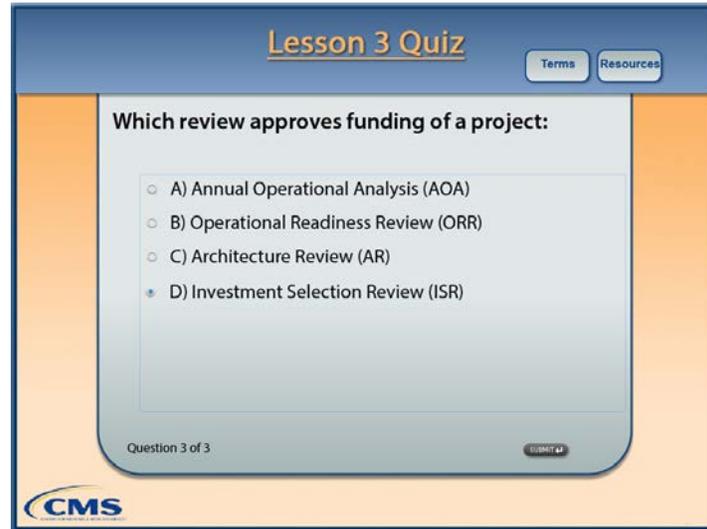
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Answer A is not correct. All governance reviews are not mandated for all projects.
- Answer C is not correct. Not all delegated reviews are mandated nor are they conducted by Systems Engineering.
- Answer B is correct. Governance reviews are scheduled with, and conducted by, a governance board; while delegated reviews are conducted by the Integrated Project Team or Independent Audit Team.

Slide 30: Lesson 3 Quiz (Question 3 of 3)



Slide Content

Which review approves funding of a project?

- A) Annual Operational Analysis (AOA)
- B) Operational Readiness Review (ORR)
- C) Architecture Review (AR)
- D) Investment Selection Review (ISR)

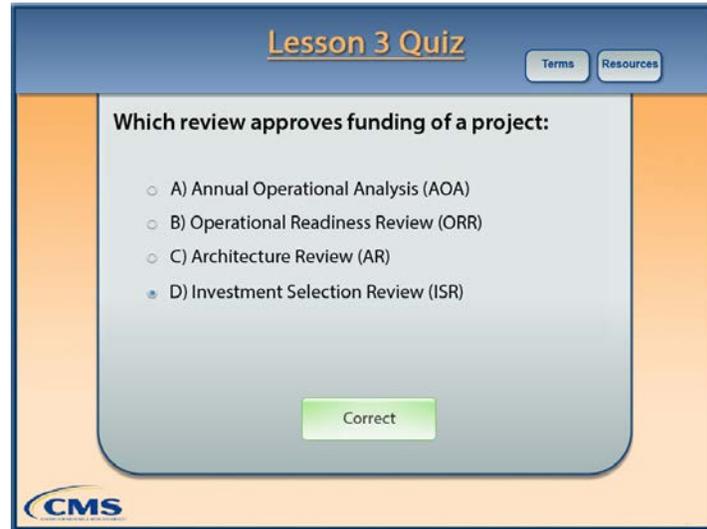
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Submit** button is at the lower right corner of the screen.

Slide Voiceover Notes

- Question 3 of 3: Which review approves funding of a project?

Slide 31: Correct Answer to Question 3



Slide Content

Which review approves funding of a project?

- A) Annual Operational Analysis (AOA)
- B) Operational Readiness Review (ORR)
- C) Architecture Review (AR)
- D) Investment Selection Review (ISR)
- Answer: (D) Correct

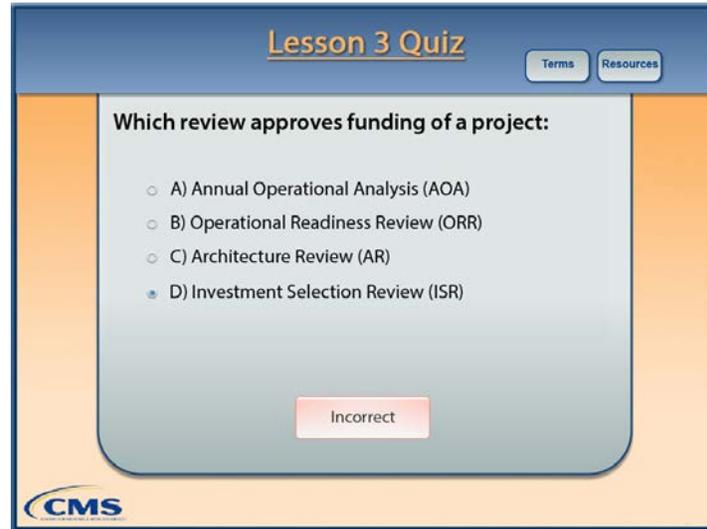
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Answer D is correct. The Investment Selection Review (ISR) determines if it is sound, viable, and worthy of funding, support, and inclusion in the organization's IT Investment Portfolio.
- The business need and objectives are reviewed to ensure the effort supports CMS's overall mission and objectives and will not compromise initiatives on the horizon.
- This is an outward-focused review designed to ensure funding and approval to proceed from senior leadership.

Slide 32: Incorrect Answer to Question 3



Slide Content

Which review approves funding of a project?

- A) Annual Operational Analysis (AOA)
- B) Operational Readiness Review (ORR)
- C) Architecture Review (AR)
- D) Investment Selection Review (ISR)
- Answer: Incorrect

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Submit** button is at the lower right corner of the slide.

Slide Voiceover Notes

- Answers A, B, and C are incorrect. Answer D is correct. The Investment Selection Review (ISR) determines if it is sound, viable, and worthy of funding, support, and inclusion in the organization's IT Investment Portfolio.
- Answer A is incorrect. The Annual Operational Analysis evaluates system performance, user satisfaction with the system, adaptability to changing business needs, and new technologies that might improve the system.
- Answer B is incorrect. The Operational Readiness Review determines if the final application is ready for release into the production environment based on the results of testing and any outstanding issues.
- Answer C is incorrect. The Architecture Review only provides a recommendation, not approval of funding.

Slide 33: End of Lesson 3



Slide Content

Congratulations!

- Selecting the **Proceed to Lesson 4** button will take you back to the main menu where you can proceed to the next lesson.

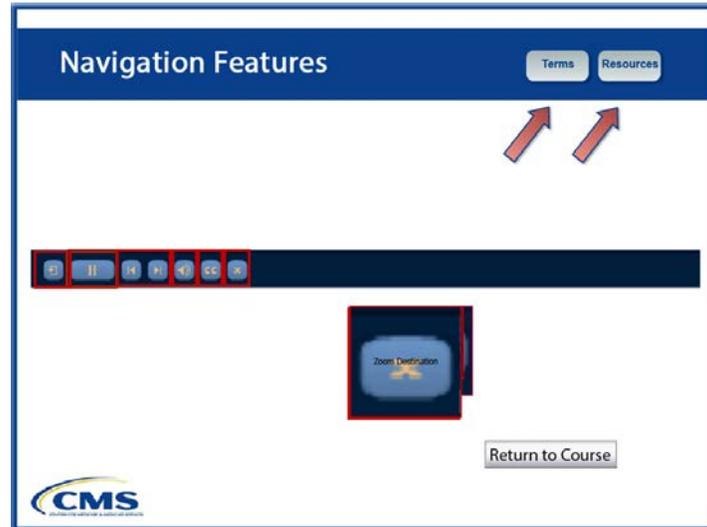
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Proceed to Lesson 4** button is at the lower right corner of the page.

Slide Voiceover Notes

- Congratulations! You now have a general understanding of the Reviews. Let's move on to Lesson 4—Artifacts.
- Selecting the **Proceed to Lesson 4** button will take you back to the main menu where you can proceed to the next lesson.

Slide 40: Help Slide (Navigation Features)



Slide Content

- **Navigation Features**

Navigation Features

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Return to Course** button is at the lower right corner of the page.

Slide Voiceover Notes

- Let's examine the navigation features of this e-learning course so that you can understand how to navigate the material. The main navigation buttons for the course appear at the bottom of the window on the playback.
- The main navigation button is the **Play** button and is used to progress through the course. The **Pause** button can be used to halt the course; pressing it again will resume the course.
- The **Forward** and **Back** arrows are used to review and progress through the course material. The **Rewind** button takes you back to the beginning of the course.
- The **Audio** button toggles between turning the narration on or off. The **CC** button turns closed captioning on or off. The button with the **X** exits the course.
- In addition, by selecting the **Resources** button, you will be provided with a list of related websites and other reference materials that will help you gain a better understanding of the XLC.
- The **Terms** button provides definitions of words and acronyms that may be unfamiliar to you.
- You can also use the Tab key to tab to the various navigation controls on the play back bar. Press the space bar or the Enter key to make your selection.



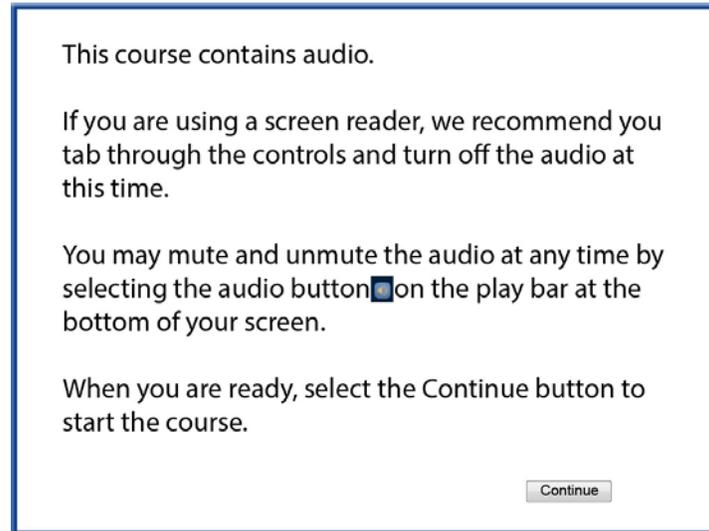
Centers for Medicare & Medicaid Services

The Project Process Agreement Lesson 4: Artifacts

Version 1.0

May 16, 2013

Course Advisory



Slide Content

- This course contains audio.
- If you are using a screen reader, we recommend you tab through the controls and turn off the audio at this time.
- You may mute and unmute the audio at any time by selecting the audio button on the play bar at the bottom of your screen.
- When you are ready, select the **Continue** button (at the bottom right of the screen) to start the course.

Navigation Buttons

- The **Continue** button is located at the bottom right of the slide.

Slide 1: The Project Process Agreement, Lesson 4: Artifacts



Slide Content

- Identity Mark of the Centers for Medicare & Medicaid Services
- Office of Information Services, Enterprise Architecture & Strategy Group, Division of IT Governance

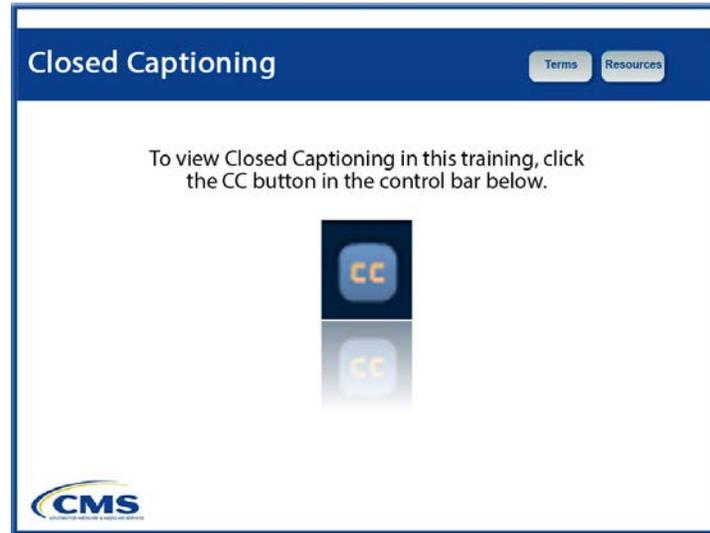
Navigation Buttons

- The **Help** button is located in the upper right of the title bar.

Slide Voiceover Notes

- Welcome to the Project Process Agreement (PPA) online training course, Lesson 4: Artifacts.
- It is expected that you have taken the Expedited Life Cycle (XLC) Basic Training course and PPA Course Lessons 1, 2, and 3 before proceeding with this lesson, which should take approximately 10 minutes.
- Click the **Help** button for instructions on navigating through this course.

Slide 2: Closed Captioning



Slide Content

- To view Closed Captioning in this training, click the **CC** button in the control bar below.

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- To view Closed Captioning in this training, click the **CC** button in the control bar below.
- In addition, by selecting the **Resources** button, you will be provided with a list of related websites and other reference materials that will help you gain a better understanding of the XLC.
- The **Terms** button provides definitions of words and acronyms that may be unfamiliar to you.

Slide 3: Lesson Overview

Lesson Overview Terms Resources

Topics:

- ➔ The eXpedited Life Cycle (XLC) and the Project Process Agreement (PPA)
- ➔ Overview of the Project Process Agreement and its major components
- ➔ Benefits of the Project Process Agreement

Objectives:

- ➔ Describe the PPA and its five (5) components: project complexity determination, artifacts, reviews, tests and signature page.

Key Items:

- ➔ The XLC allows project tailoring based on project complexity and the PPA documents this project tailoring.
- ➔ The PPA documents the project complexity, reviews, artifacts, tests, and key stakeholder agreement for a project.

XLC Detailed Description Document:

- Section 1.1: High Level Process Overview
- Section 1.2: eXpedited Life Cycle (XLC) Model
- Section 3: XLC Risk Considerations

CMS

Slide Content

Topics:

- Artifacts in the XLC
- Completing the Artifacts Worksheet of the PPA

Objective:

- Prepare the Artifacts Worksheet of the PPA for a project based on the reviews selected on the Reviews Tab.

Key Points:

- Artifacts are tailored based on the Complexity Level.
- A justification must be given for artifacts that are “waived” or “combined”.

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Graphical Reference (upper right corner)

- XLC Detailed Description Document:
 - Section 5: The XLC Phases, Reviews, and Artifacts

Slide Voiceover Notes

- In this lesson, we will learn about:
 1. Artifacts in the XLC, and
 2. Completing the Artifacts Worksheet of the PPA.

- At the end of this lesson, you will be able to describe and complete the PPA Artifacts Worksheet for a project based on the reviews selected on the Reviews Tab.
- The key points are:
 - Artifacts are tailored to a project based on the Complexity Level of the project, and
 - If an artifact is waived or combined, a justification must be provided.
- If you would like more information, you can refer to the Detailed Description Document, Section 5, The XLC Phases, Reviews, and Artifacts. Additional information on artifacts is available on the CMS website and in the PPA.

Slide 4: Artifact Maturity

Artifact Maturity		Terms	Resources
Preliminary	First instance of artifact that contributes to review		
Interim	“Point in Time” snapshot of artifact that contributes to review; Interim snapshots represent progress from last time artifact reviewed		
Baseline	Version of artifact under initial configuration management control, once baselined only updated only based on a change control process and a change request to ensure cost, schedule, and technical baseline implications are addressed		
Final	Baseline version of artifact deemed complete, cannot be changed in later XLC phases for the current release, typically the version used to hand off to Operations and Maintenance		
Update	During the Operations & Maintenance phase, several artifacts are updated on a regular basis		



Slide Content

- **Preliminary:** First instance of artifact that contributes to review
- **Interim:** “Point in Time” snapshot of artifact that contributes to review; Interim snapshots represent progress from last time artifact reviewed
- **Baseline:** Version of artifact under initial configuration management control, once baselined only updated only based on a change control process and a change request to ensure cost, schedule, and technical baseline implications are addressed
- **Final:** Baseline version of artifact deemed complete, cannot be changed in later XLC phases for the current release, typically the version used to hand off to Operations and Maintenance
- **Update:** During the Operations & Maintenance phase, several artifacts are updated on a regular basis

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Artifacts evolve in their maturity through the XLC. There are five “Maturity” stages:
 - Preliminary (P)
 - Baseline (B),
 - Interim (I),
 - Final (F), and
 - Update (U).

- “Preliminary” is the first instance of the artifact that contributes to a review.
- “Interim” Artifacts are “Point in Time” snapshots used in a review. During a project’s Development Phase, “interim” snapshots should represent progress from the last time the artifact was reviewed.
- “Baseline” is defined as the version of an artifact under initial configuration management control. In other words, a baseline artifact is one that has been completed, reviewed, and approved.
 - It is possible to change a baseline artifact by using a change control process. This requires a Change Request (to ensure cost, schedule, and technical baseline implications are addressed).
- “Final” is the Baseline version of an artifact that is deemed complete; it cannot be changed in later XLC phases. The “Final” version of an artifact is also deemed unchangeable for a particular system release. The “Final” version is used for handoff to Operations & Maintenance.
- The last maturity stage is “Update”. During the Operations & Maintenance phase, several artifacts are updated on a regular basis, so the letter “U” is used to only denote changes accomplished during O&M.

Slide 6: Systems Development Artifacts by Phase

SYSTEMS DEVELOPMENT ARTIFACTS BY PHASE		PHASES											
		Initiation	Concept	Planning	Requirements Analysis	Design	Development	Testing	Implementation	Operations & Maintenance	Disposal	Other	Reviews
ARTIFACTS		AR	CR	PR	RR	DR	DR	DR	DR	DR	DR	DR	DR
IT Intake Request Form		P/F											
Enterprise Architecture Analysis Artifacts		P	F										
Business Case		P/F											
Requirements Document		P		B									
Initial and Updated Letters		P/F											
Section 508 Assessment Package		P	F	I	I	I	I	I	F				
Logical Data Model		P	F										
Physical Plan		P	F										
System of Records Notice			P	F									
Test Plan				P	F								
System Design Document				P	F								
Database Design Document				P	F								
Physical Database Model				P/F									
Interface Control Document				P/F									
Data Use Agreement				P	F								
Test Case Specification				P	F								
Data Conversion Plan				P	F								
Computer Match Agreement				P/F									
Interagency Agreement				P	F								
Implementation Plan				P	F								
User Manual				P	F								
Operations & Maintenance Manual				P	F								
Business Process/Code				P/F									
Version Description Document				P	F								
Training Plan				P/F									
Test Summary Report								P	F				
Training Artifacts								P	F				
System Disposition Plan										P	F		
Post-Implementation Report										P	F		
Annual Operational Analysis Report										P	F		
Disposition Operational Certificate										P	F		

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- This table shows all thirty (30) XLC Systems Development artifacts, listed in the left-most column labeled “Artifacts”. Their life-cycle maturity values appear in the corresponding columns to the right as shaded-blue entries “P”, “F”, “B”, and so on. A project’s Complexity Level (1, 2, or 3) provides the starting point for identifying the artifacts to be prepared and presented at reviews.
- By using the “Reviews” columns, this chart can help you develop a first pass at displaying which artifacts and their maturity level are required for a specific review.
- For artifacts spanning multiple phases, it is expected that updates to the artifact (usually including more detail in the updated artifact reflecting work accomplished in the phase) will be available for review.
- The life cycle of possible artifacts is mapped to the XLC phases and associated reviews. These artifacts are documented and agreed to in the PPA.
- For an example artifact, let’s review the IT Intake Request Form. The IT Intake Request Form goes from Preliminary to Final (denoted as “P/F”) in the Initiation Phase prior to the Architecture Review.
- Let’s examine another example, the 508 artifact, called “Section 508 Assessment Package”. This Systems Development artifact spans almost every Development phase required in the XLC.

Slide 7: Remember the PRS?

Remember the PRS? Terms Resources

Program Background
CMS is considering a project to develop a registration system for beneficiaries in a chronic disease self-management program. The project will measure the impact of these programs on health care utilization and outcomes.

Program Overview
The CMS has received funding for clinical and community-based prevention and wellness strategies delivering measurable health outcomes addressing chronic disease rates. As an example, one program helps older Americans with chronic diseases learn how to manage their conditions and take control of their health. The program consists of educational modules delivered by trained personnel throughout the country. To assess the education's impact on the participants' health outcomes requires:

- Comparison of participants' health events before and after education
- Identification and comparison of control groups who have not participated in the chronic disease self-management program.

A new system is needed to gather information on beneficiaries participating in chronic disease self-management programs. The Prototype Registration System (PRS) will simulate the registration and tracking of participants in chronic disease self-management programs.

Project Requirements
The project will develop the functional and program requirements for a secure registration system. The project will design, develop and test the prototype. Based on usability measures, a pilot execution evaluation will be delivered. The project will deliver a roadmap to meeting the identified future requirements for a national registration system supporting chronic disease self-management activities.

Prototype Requirements
The PRS will support a limited scope, collecting information to simulate program registrants and their completion status of particular programs. The PRS shall support:

- Login, authorization, and authentication
- Entering program participant data
- Entering program and program completion data
- Modifying existing program participant, program, and program completion data
- Data extraction
- Audit log export

Deployment Environment
The PRS will not be deployed in CMS operation facilities and will not utilize or support entry of any PII or PHI data. Deployment of the PRS will be in a laboratory environment.

CMS

Slide Content

- Snapshot of a case study for a prototype registration system with headings for Program Background, Program Overview, Project Requirements, Prototype Requirements, and Deployment Environment (and accompanying text).

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Let's consider the PRS example. How do you decide which artifacts are required for a project? These decisions are based on the complexity of the project and what is required of the project. One size does not fit all.
- Let's examine how you record your decisions in the PPA.

Slide 8: Screenshot of Artifacts Worksheet in the PPA (PRS)

PROJECT PROCESS AGREEMENT – ARTIFACTS						
Project Name		Directions: Enter information into green cells.				
Project Description		Enter artifacts list & details in columns A-C. Add any project defined artifacts in row 10-12.				
Release		Record agreement for the project's initial release in column E and F.				
Complexity Level		Provide justification for Waive or Combine in column G.				
ARTIFACT	Domain	ARTIFACT DEFINITION	PROJECT AGREEMENT	AUTHOR	WHY PROJECT	JUSTIFICATION and/or NOTES
1) Risk Form	Systems Development	Identifies new project information from a business process perspective that is not in the current project plan.	Provide (New)			
2) Enterprise Architecture Analysis Artifacts	Systems Development	Identifies and documents the business processes and data flows that are impacted by the project.	Provide (New)			
3) Business Case	Systems Development	Identifies and documents the business value and costs of the project.	Provide (New)			
4) Requirements Document	Systems Development	Identifies and documents the functional and non-functional requirements for the project.	Provide (New)			
5) High Level Technical Design	Systems Development	Identifies and documents the high level technical design for the project.	Provide (New)			
6) System Size Product Assessment Package	Systems Development	Identifies and documents the system size and product assessment package for the project.	Provide (New)			
7) Project Process Agreement	Project Management	Identifies and documents the project process for using, not using, or combining specific design processes and the selection of specific work products.	Provide (New)			
8) Project Charter	Project Management	Establishes the mission of a project and provides the authority to proceed and early organizational resources.	Provide (New)			
9) Information Security Risk Assessment	Security	Identifies a list of threats and vulnerabilities, an evaluation of current security controls, their resulting risk levels, and any recommended safeguards to reduce risk exposure.	Provide (New)			
10) System Security Plan	Security	Documents the system's security level and describes the planned, technical and operational security controls.	Provide (New)			
11) Privacy Impact Assessment	Security	Assesses the privacy risks of a project, including the collection, storage, access, use or transmission of identifiable, nonpublic information that is subject to privacy and protection.	Provide (New)			
12) Logical Data Model	Systems Development	Identifies and documents the logical data model for the project.	Provide (New)			
13) Release Plan	Systems Development	Identifies and documents the release plan for the project.	Provide (New)			
14) Project Management Plan	Project Management	Provides detailed plans, processes, and procedures for planning and controlling the project.	Provide (New)			
15) System of Records	Systems Development	Identifies and documents the system of records for the project.	Provide (New)			
16) Test Plan	Systems Development	Identifies and documents the test plan for the project.	Provide (New)			
17) Project Schedule	Project Management	Identifies and documents the project schedule for the project.	Provide (New)			
18) Risk Register	Project Management	Identifies and documents the risk register for the project.	Provide (New)			
19) System List	Project Management	Identifies and documents the system list for the project.	Provide (New)			

Artifact Tailoring: Provide (New), Provide (Update), Combine, or Waive (See Appendix for full PPA)

Slide Content

- Artifact Tailoring: Provide (New), Provide (Update), Combine, or Waive (See Appendix for full PPA)

Slide Voiceover Notes

- This is the Artifacts Worksheet of the PPA. The shaded green areas in the three columns labeled “Project Agreement”, “Author”, and “Justification and/or Notes” on the right side of this worksheet indicate that input is required or suggested to be entered here.
- The pink areas at the top of the form (on the right-hand side labeled “Directions”) indicate worksheet-specific instructions on how to complete this form.
- The PPA Artifacts Worksheet lists:
 - The Artifact’s name,
 - The Domain of the artifact: either Project Management, Security or Systems Development,
 - A Short artifact description,
 - The project agreement: either Combine, Provide (New), Provide (Update), or Waive,
 - The Author, and
 - A Justification.
- We will now consider how to fill out the first three rows.

Slide 9: Screenshot of IT Project Intake Form in PPA (PRS) (1 of 4)

PROJECT PROCESS AGREEMENT – ARTIFACTS						Directions: Enter information into green cells Review artifacts list & details in columns A-C. Add any project defined artifacts in row 50-52. Record agreement for the project's initial release in columns E and F. Provide justifications for Waive or Continue in column G.	
Project Name		Project Description		Release		Complexity Level	
A	B	C	D	E	F	G	
ARTIFACT	Domain	ARTIFACT DEFINITION		PROJECT	AUTHOR (select from Project)	JUSTIFICATION and/or NOTES	
1	IT Intake Form	Systems Development	Collect basic non-project information from a Business Office.	Provide (New)			
2	Enterprise Architecture Analysis Artifacts	Systems Development	Consists of models, diagrams, tables, and narratives which show the proposed solution's integration into CDD operations from both a logical and technical perspective.	Provide (New)			
3	Business Case	Systems Development	Describes the basic rationale of the proposed IT project, why, when, where, and how.	Provide (New)			
4	Requirements Document	Systems Development	Describes the business and technical capabilities and constraints of the IT project.	Provide (New)			
5	High Level Technical Design	Systems Development	Conceptual functions and interrelated interactions.	Provide (New)			
6	Section 508 Product Assessment Package	Systems Development	Provides information regarding compliance with required accessibility standards.	Provide (New)			
7	Project Process Agreement	Project Management	Authorizes and documents the public plans for using, not using, or continuing specific design gate reviews and the selection of specific work products.	Provide (New)			
8	Project Charter	Project Management	Authorizes the existence of a project and provides the authority to generate and apply organizational resources.	Provide (New)			
9	Information Security Risk Assessment	Security	Contains a list of threats, an evaluation of current security controls, their resulting risk levels, and any recommended mitigations to reduce risk exposure.	Provide (New)			
10	System Security Plan	Security	Describes the system's security needs and identifies managed, technical and operational security controls.	Provide (New)			
11	Privacy Impact Assessment	Security	Identifies the collection, storage, use, and dissemination of identifiable respondent information that is not public and sensitive.	Provide (New)			
12	Logical Data Model	Systems Development	Specifies CDD data within the scope of a system development project and shows the specific entities, attributes, and relationships involved in a business function or set of functions.	Provide (New)			
13	Release Plan	Systems Development	Describes what portions of the system functionality will be implemented in each release and why.	Provide (New)			
14	Project Management Plan	Project Management	Provides detailed plans, processes, and procedures for managing and controlling the life cycle activities.	Provide (New)			
15	System of Records	Systems Development	Informs the public of collection of information about its history from which data are retrieved by a unique identifier.	Provide (New)			
16	Test Plan	Systems Development	Describes the overall scope, technical and management approach, resources, and schedule for all structured test facilities associated with solution testing.	Provide (New)			

Slide Voiceover Notes

- The IT Intake Form will be created from scratch, so keep the default “Provide (new)” option selected in the Project Agreement column. No entry is required in the “Justification and/or Notes” field for artifacts provided.
- At the row for Enterprise Architecture Analysis Artifacts, select the “Waive” option from the pull-down menu.

Slide 10: Screenshot of IT Project Intake Form in PPA (PRS) (2 of 4)

PROJECT PROCESS AGREEMENT – ARTIFACTS						
Project Name				Directions: Enter information into green cells		
Project Description				Review artifacts list & details in columns A-C. Add any project defined artifacts in row 10-12.		
Release				Provide justification for the project's initial release in columns E and F.		
Complexity Level				Provide justifications for Waiver or Continue in column G.		
A	B	C	D	E	F	G
ARTIFACT	Domain	ARTIFACT DEFINITION	PROJECT Initial Status	AUTHOR (owner) for Project	DATE PROJECT	JUSTIFICATION and/or NOTES
1	IT Intake Form	Collect basic non-project information from a Business Office.	Provide (New)			
2	Enterprise Architecture Analysis Artifacts	Consists of models, diagrams, tables, and narratives which show the proposed solution's integration into CDD operations from both a logical and technical perspective.	Waive			PRR is a Prototype
3	Business Case	Describes the basic rationale of the proposed IT project, why, when, where, and how.	Provide (New)			
4	Requirements Document	Describes the business and technical capabilities and constraints of the IT project.	Provide (New)			
5	High Level Technical Design	Conceptual functions and interrelated interactions.	Provide (New)			
6	Section 508 Product Assessment Package	Provides information regarding compliance with required accessibility standards.	Provide (New)			
7	Project Process Agreement	Authorizes and documents the public plans for using, not using, or continuing specific design decisions and the selection of specific work products.	Provide (New)			
8	Project Charter	Authorizes the existence of a project and provides the authority to generate and apply organizational resources.	Provide (New)			
9	Information Security Risk Assessment	Contains a list of threats, vulnerabilities, an evaluation of current security controls, their resulting risk levels, and any recommended mitigations to reduce risk exposure.	Provide (New)			
10	System Security Plan	Describes the system's security needs and identifies management, technical, and operational security controls.	Provide (New)			
11	Privacy Impact Assessment	Identifies the collection, storage, disclosure, use, or dissemination of identifiable respondent information that is not both needed and permitted.	Provide (New)			
12	Logical Data Model	Provides CDD data within the scope of a system development project and shows the specific entities, attributes, and relationships involved in a business function area of information.	Provide (New)			
13	Release Plan	Describes what portions of the system functionality will be implemented in each release and why.	Provide (New)			
14	Project Management Plan	Provides detailed plans, processes, and procedures for managing and controlling the life cycle activities.	Provide (New)			
15	System of Records	Defines the public collection of information about its subjects from which data are retrieved by a unique identifier.	Provide (New)			
16	Test Plan	Describes the overall scope, technical and management approach, resources, and schedule for all structured test facilities associated with solution testing.	Provide (New)			

Slide Voiceover Notes

- Because you are waiving an artifact, enter a justification in the “Justification and/or Notes” field: “PRR is a prototype”.

Slide 11: Screenshot of IT Project Intake Form in PPA (PRS) (3 of 4)

PROJECT PROCESS AGREEMENT - ARTIFACTS						
Project Name			Directions: Enter information into green cells			
Project Description			Review artifacts list & details in columns A-C. Add any project defined artifacts in row 10-12.			
Release			Provide justification for the project's initial release in columns E and F.			
Complexity Level			Provide justifications for Work or Continue in column G.			
A	B	C	D	E	F	G
ARTIFACT	Domain	ARTIFACT DEFINITION	PROJECT Initial Status	AUTHOR (owner) for Project	STATUS	JUSTIFICATION and/or NOTES
1	IT Intake Form	Collect basic, non-project information from a Business Office.	Provide (New)			
2	Enterprise Architecture Analysis Artifacts	Consists of models, diagrams, tables, and narratives which show the proposed solution's integration into CDD operations from both a logical and technical perspective.	None			PRC is a Prototype
3	Business Case	Describes the basic rationale of the proposed IT project, why, when, where, and how.	Provide (New)			
4	Requirements Document	Describes the business and technical capabilities and constraints of the IT project.	Provide (New)			
5	High Level Technical Design	Conceptual business and operational interactions.	Provide (New)			
6	Section 508 Product Assessment Package	Provides information regarding compliance with required accessibility standards.	Provide (New)			
7	Project Process Agreement	Authorizes and documents the public plans for using, not using, or combining specific design gate reviews and the selection of specific work products.	Provide (New)			
8	Project Charter	Authorizes the existence of a project and provides the authority to proceed and assign organizational resources.	Provide (New)			
9	Information Security Risk Assessment	Contains a list of threats, vulnerabilities, an evaluation of current security controls, their resulting risk levels, and any recommended mitigations to reduce the risk exposure.	Provide (New)			
10	System Security Plan	Describes the system's security needs and identifies integrated, technical and operational security controls.	Provide (New)			
11	Privacy Impact Assessment	Identifies the collection, storage, disclosure, use or dissemination of identifiable respondent information that is not used solely for program purposes.	Provide (New)			
12	Legal Data Model	Provides CDD data within the scope of a system development project and shows the specific entities, attributes, and relationships involved in a business function's use of information.	Provide (New)			
13	Release Plan	Describes what portions of the system functionality will be implemented in each release and why.	Provide (New)			
14	Project Management Plan	Provides detailed plans, processes, and procedures for managing and controlling the life cycle activities.	Provide (New)			
15	System of Records	Defines the public collection of information about its subjects from which data are retrieved for or disseminated.	Provide (New)			
16	Test Plan	Describes the overall scope, technical and management approach, resources, and schedule for all structured test facilities associated with validation testing.	Provide (New)			

Slide Voiceover Notes

- For the Business Case, select the “Combine” option from the pull-down menu.

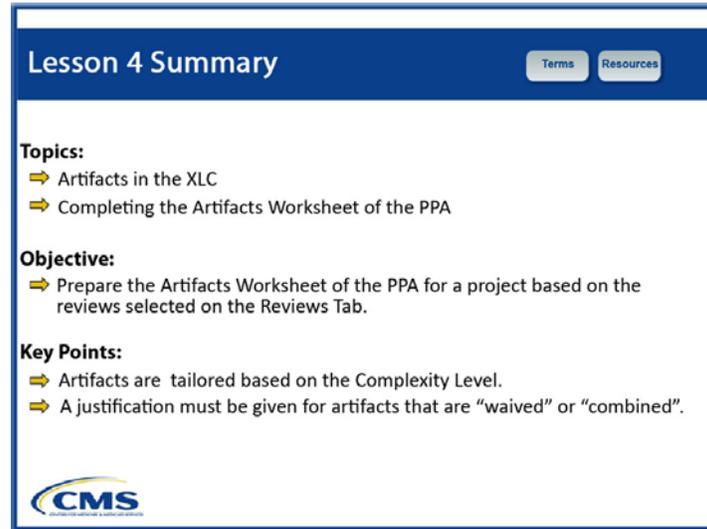
Slide 12: Screenshot of IT Project Intake Form in PPA (PRS) (4 of 4)

PROJECT PROCESS AGREEMENT – ARTIFACTS							Directions: Enter information into green cells Review artifacts list & details in columns A-C. Add any project defined artifacts in row 10-12. Record agreement for the project's initial release in columns E and F. Provide justifications for Work or Continue in column G.	
Project Name								
Project Description								
Release								
Complexity Level								
A	B	C	D	E	F	G		
ARTIFACT	Domain	ARTIFACT DEFINITION	PROJECT	AUTHOR	STATUS	JUSTIFICATION and/or NOTES		
1	IT Intake Form	Systems Development	Collect basic non-project information from a Business Office.	Provide (New)				
2	Enterprise Architecture Analysis Artifacts	Systems Development	Consists of models, diagrams, tables, and narratives which show the proposed system's organizational, data, operations from both a logical and technical perspective.	None			PR3 is a Prototype	
3	Business Case	Systems Development	Describes the basic rationale of the proposed IT project, why, what, when, and how.	Combine			Combined with IT Intake Form	
4	Requirements Document	Systems Development	Describes the business and technical capabilities and constraints of the IT project.	Provide (New)				
5	High Level Technical Design	Systems Development	Conceptual functions and interrelated interactions.	Provide (New)				
6	Section 508 Product Assessment Package	Systems Development	Provides information regarding compliance with required accessibility standards.	Provide (New)				
7	Project Process Agreement	Project Management	Authorizes and documents the public plans for using, not using, or combining specific design gate reviews and the selection of specific work products.	Provide (New)				
8	Project Charter	Project Management	Authorizes the existence of a project and provides the authority to generate and apply organizational resources.	Provide (New)				
9	Information Security Risk Assessment	Security	Contains a list of threats, the vulnerabilities, an evaluation of current security controls, their resulting risk levels, and any recommended mitigations to reduce the risk exposure.	Provide (New)				
10	System Security Plan	Security	Describes the system's security needs and identifies integrated, technical and operational security controls.	Provide (New)				
11	Privacy Impact Assessment	Security	Identifies the collection, storage, disclosure, use or dissemination of identifiable respondent information that is not both sensitive and pertinent.	Provide (New)				
12	Legal Data Model	Systems Development	Provides CDE data within the scope of a system development project and shows the specific entities, attributes, and relationships involved in a business function or set of functions.	Provide (New)				
13	Release Plan	Systems Development	Describes what portions of the system functionality will be implemented in each release and why.	Provide (New)				
14	Project Management Plan	Project Management	Provides detailed plans, processes, and procedures for managing and controlling the life cycle activities.	Provide (New)				
15	System of Records	Systems Development	Defines the public collection of information about its subjects from which data are retrieved by a unique identifier.	Provide (New)				
16	Test Plan	Systems Development	Describes the overall scope, technical and management approach, resources, and schedule for all structured test facilities associated with solution testing.	Provide (New)				

Slide Voiceover Notes

- Because you are combining artifacts, enter a justification in the “Justification and/or Notes” field. For example, enter: “Combined with IT Intake Form”.
- The remaining fields are completed in a similar manner. **Note:** Project-specific artifacts can be added as needed at the bottom of the worksheet.

Slide 13: Lesson 4 Summary



Lesson 4 Summary Terms Resources

Topics:

- ➔ Artifacts in the XLC
- ➔ Completing the Artifacts Worksheet of the PPA

Objective:

- ➔ Prepare the Artifacts Worksheet of the PPA for a project based on the reviews selected on the Reviews Tab.

Key Points:

- ➔ Artifacts are tailored based on the Complexity Level.
- ➔ A justification must be given for artifacts that are “waived” or “combined”.



Slide Content

Topics:

- Artifacts in the XLC
- Completing the Artifacts Worksheet of the PPA

Objectives:

- Prepare the Artifacts Worksheet based on the reviews selected on the Reviews Tab.

Key Items:

- Artifacts are tailored based on the Complexity Level.
- A justification must be given for artifacts that are “waived” or “combined”.

Navigation Buttons

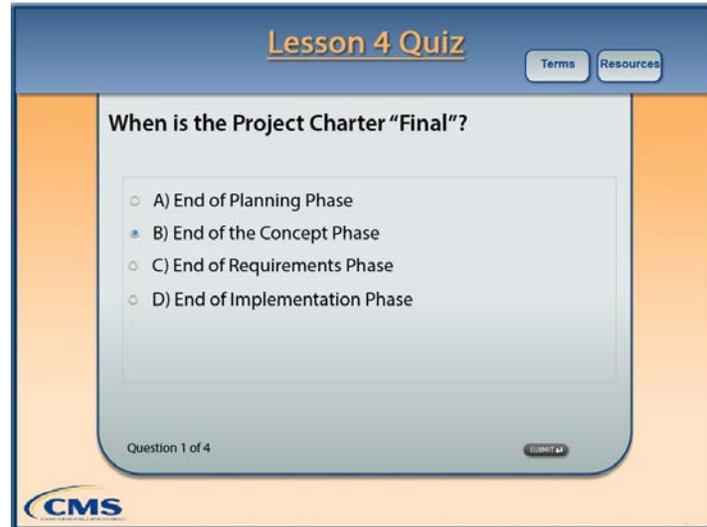
- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- So let’s summarize what we have just reviewed in Lesson 4, Artifacts.
- In this lesson, we covered the following:
 1. All Artifacts in the XLC, and
 2. How to complete the Artifacts Worksheet of the PPA.
- You should now be able to prepare a project’s Artifacts Worksheet on the PPA Reviews Tab based on the reviews selected
- The key points we covered were:

- Artifacts are tailored based on the Complexity Level of a project, and
- A justification must be given for artifacts that are “waived” or “combined”.
- Now that you have a good understanding of how to complete the Artifacts Worksheet of the PPA, let’s check your understanding of this material with a few questions. You must take the review quiz to move on to the next lesson.

Slide 14: Lesson 4 Quiz (Question 1 of 4)



Slide Content

When is the Project Charter “Final”?

- A) End of Planning Phase
- B) End of the Concept Phase
- C) End of Requirements Phase
- D) End of Implementation Phase

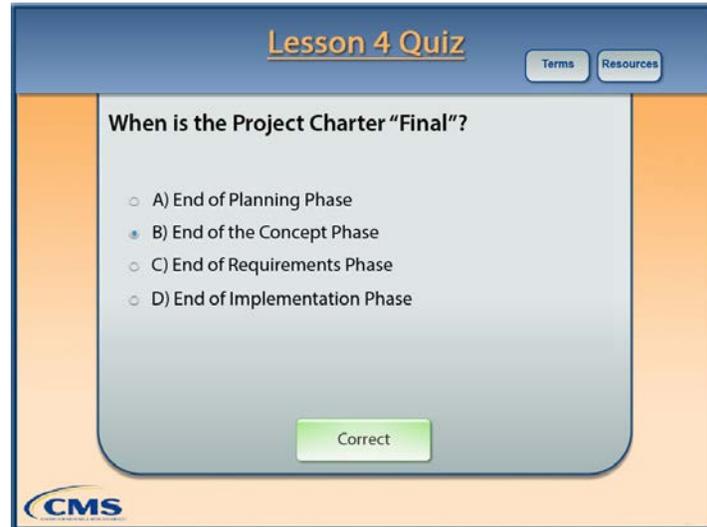
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Submit** button is located in the lower right corner of the screen.

Slide Voiceover Notes

- Question 1 of 4: When is the Project Charter final?

Slide 15: Correct Answer to Question 1



Slide Content

When is the Project Charter “Final”?

- A) End of Planning Phase
- B) End of Concept Phase
- C) End of Requirements Phase
- D) End of Implementation Phase
- Answer: (B) Correct

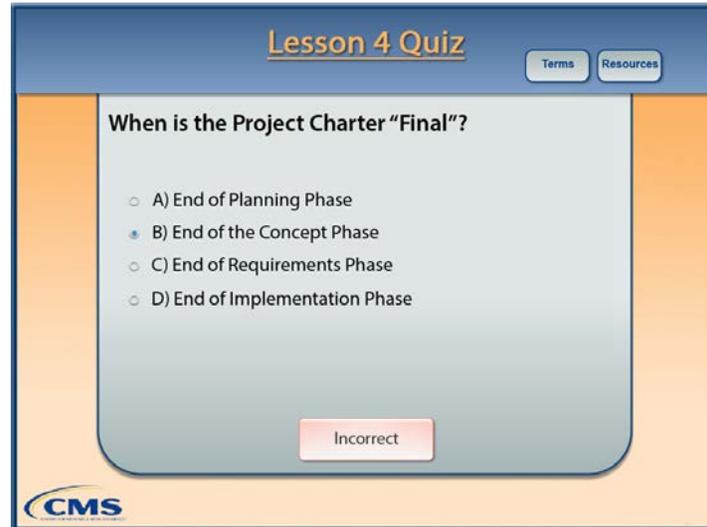
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- B is correct: at the end of the Concept Phase.

Slide 16: Incorrect Answer to Question 1



Slide Content

When is the Project Charter “Final”?

- A) End of Planning Phase
- B) End of Concept Phase
- C) End of Requirements Phase
- D) End of Implementation Phase
- Answer: Incorrect

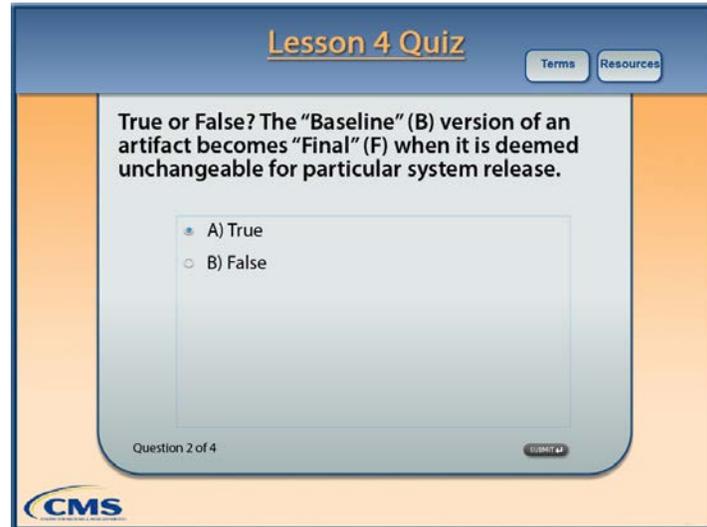
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Answers A, C, and D are not correct. The Project Charter is not created during the Planning, Requirements, or Implementation Phases. The Project Charter is initiated and completed in the Concept Phase.

Slide 17: Lesson 4 Quiz (Question 2 of 4)



Slide Content

True or False? The “Baseline” (B) version of an artifact becomes “Final” (F) when it is deemed unchangeable for particular system release?

- A) True
- B) False

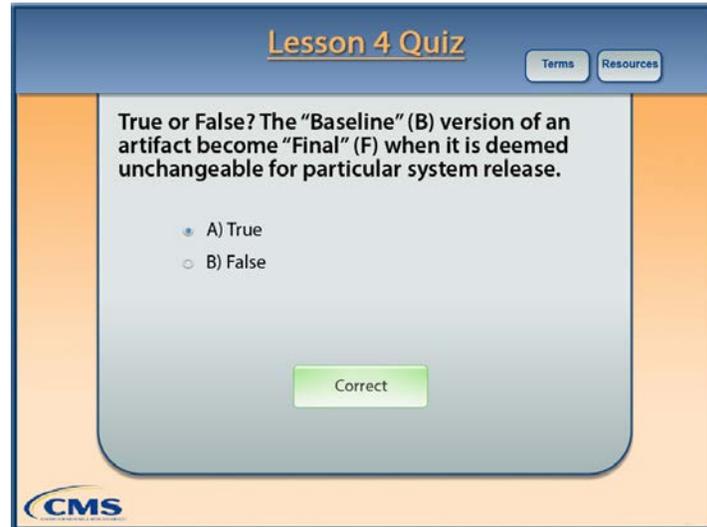
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Submit** button is located in the lower right corner of the screen.

Slide Voiceover Notes

- Question 2 of 4: True or False? The “Baseline” (B) version of an artifact becomes “Final” when it is deemed unchangeable for a particular system release.

Slide 18: Correct Answer to Question 2



Slide Content

- True or False? The “Baseline” (B) version of an artifact becomes “Final” (F) when it is deemed unchangeable for particular system release?
 - A) True
 - B) False
- Answer: (A) Correct

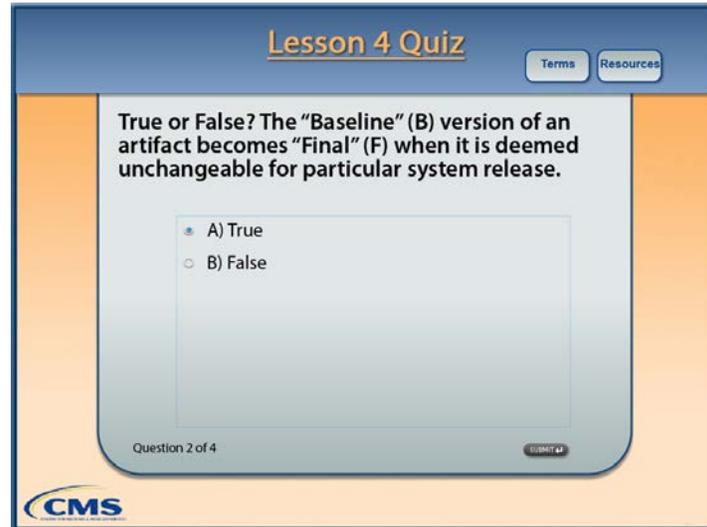
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- The answer is “True.”

Slide 19: Incorrect Answer to Question 2



Slide Content

- True or False? The “Baseline” (B) version of an artifact becomes “Final” (F) when it is deemed unchangeable for particular system release?
 - A) True
 - B) False
- Answer: Incorrect

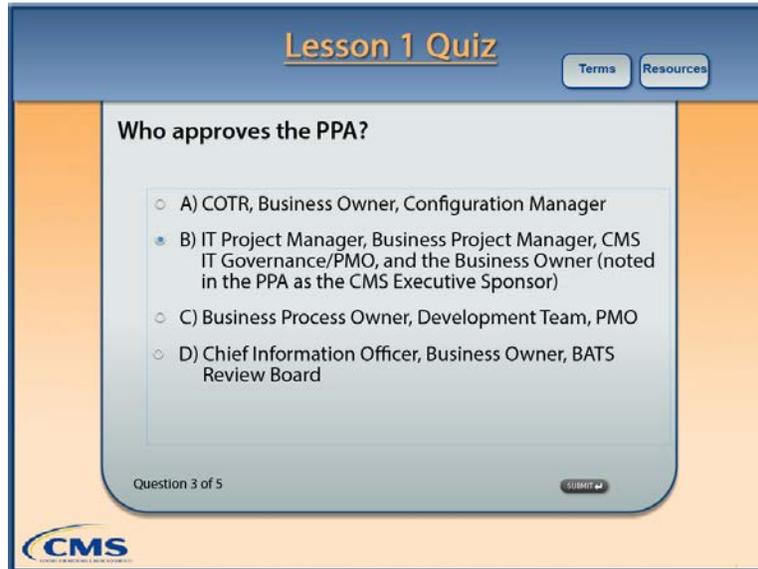
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Submit** button is located in the lower right corner of the screen.

Slide Voiceover Notes

- The answer is “True.” “False” is incorrect because the “Baseline” (B) version of an artifact becomes “Final” when it is deemed unchangeable for a particular system release.

Slide 20: Lesson 4 Quiz (Question 3 of 4)



Slide Content

What are the three different types of artifacts?

- A) Project Management, Security, and Systems Development
- B) Project Management, Systems Engineering, and Enterprise Architecture
- C) Final, Baseline, and Interim
- D) Project Management, Security, and Enterprise Architecture

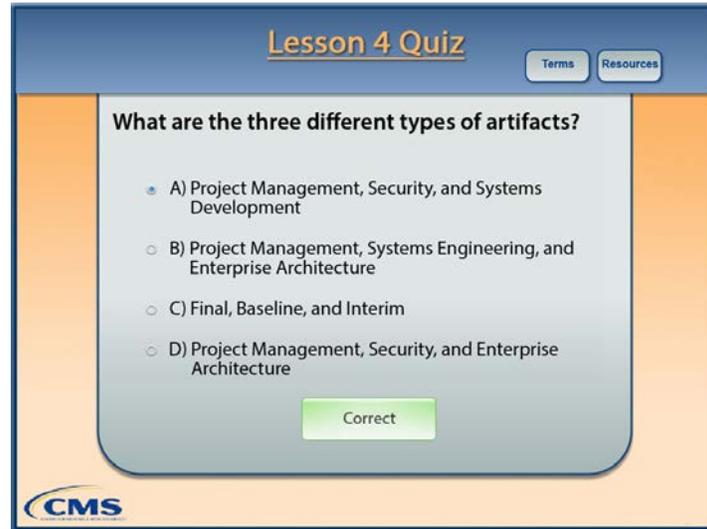
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Submit** button is located in the lower right corner of the screen.

Slide Voiceover Notes

- Question 3 of 4: What are the three different types of artifacts?

Slide 21: Correct Answer to Question 3



Slide Content

What are the three different types of artifacts?

- A) Project Management, Security, and Systems Development
 - B) Project Management, Systems Engineering, and Enterprise Architecture
 - C) Final, Baseline, and Interim
 - D) Project Management, Security, and Enterprise Architecture
- Answer: (A) Correct

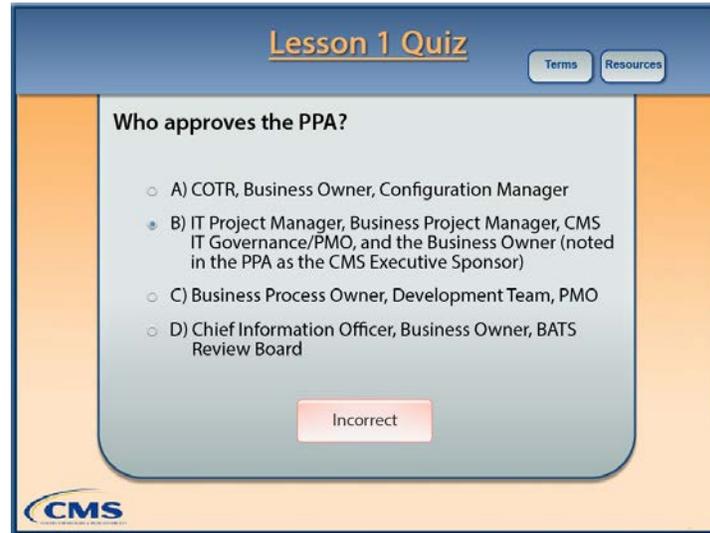
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Answer A is correct. Project Management, Security, and Systems Development are the three different types of artifacts in the XLC.

Slide 22: Incorrect Answer to Question 3



Slide Content

What are the three different types of artifacts?

- A) Project Management, Security, and Systems Development
- B) Project Management, Systems Engineering, and Enterprise Architecture
- C) Final, Baseline, and Interim
- D) Project Management, Security, and Enterprise Architecture

- Answer: Incorrect

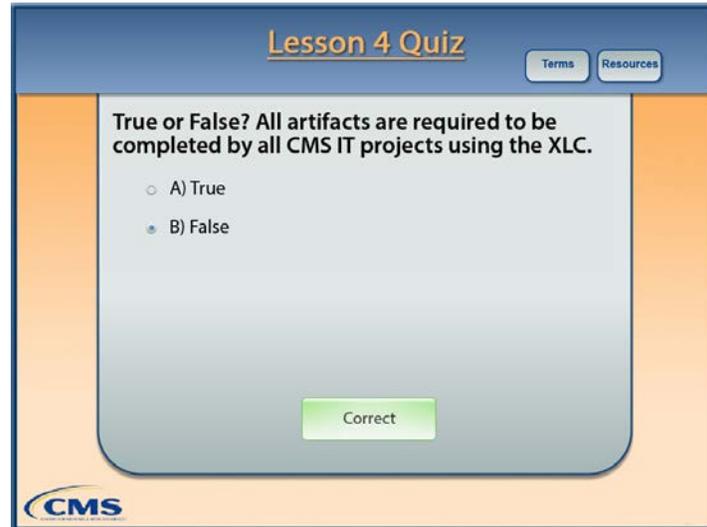
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Answers B, C, and D are incorrect. Answers B and C are partially correct, however, because Enterprise Architecture is not a type of artifact. Answers B and C are incorrect.
- Answer C is incorrect because it lists three of the maturity stages of an artifact, but not the three different types of artifacts.
- The three different types of artifacts in the XLC are Project Management, Security, and Systems Development
- The three different types of artifacts in the XLC are Project Management, Security, and Systems Development.

Slide 23: Lesson 4 Quiz (Question 4 of 4)



Slide Content

True or False? All artifacts are required to be completed by all CMS IT projects using the XLC.

- A) True
- B) False

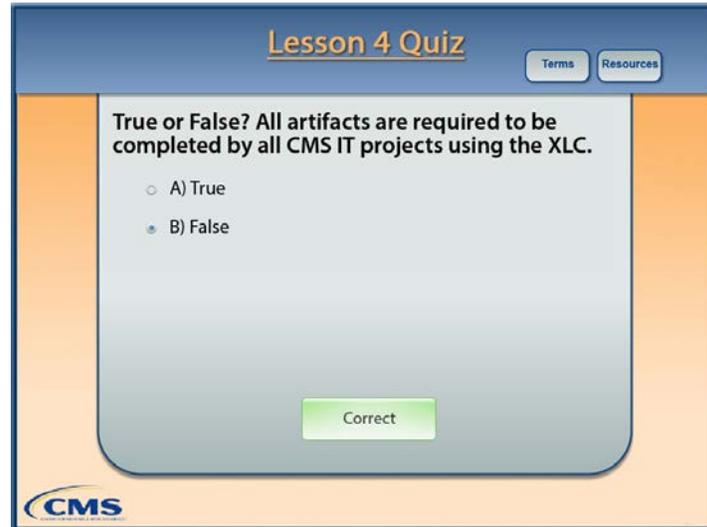
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Question 4 of 4: When is the PPA developed and completed?

Slide 24: Correct Answer to Question 4



Slide Content

True or False? All artifacts are required to be completed by all CMS IT projects using the XLC.

- A) True
- B) False
- Answer: (B) Correct

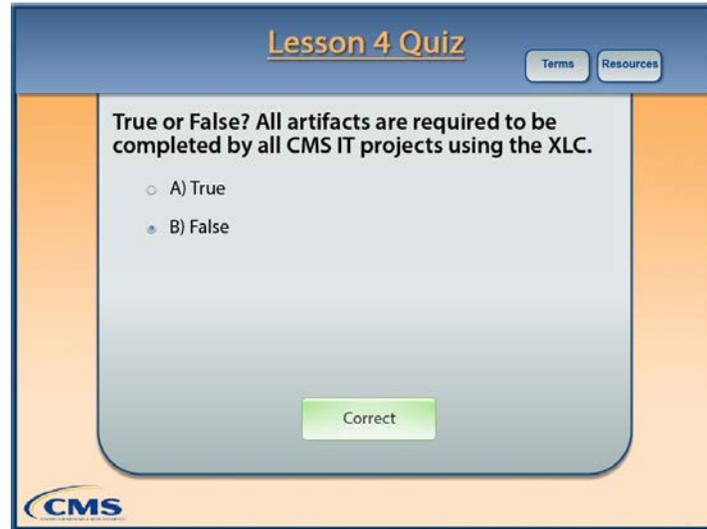
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- “False” is the correct answer.

Slide 25: Incorrect Answer to Question 4



Slide Content

True or False? All artifacts are required to be completed by all CMS IT projects using the XLC.

- A) True
- B) False
- Answer: Incorrect

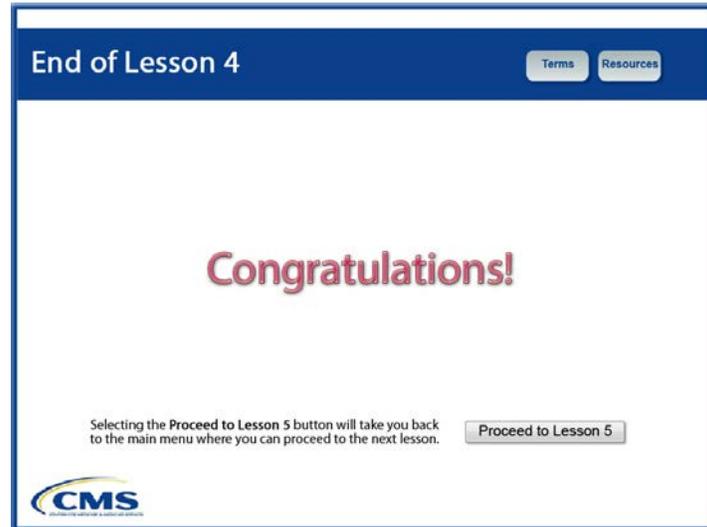
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- False is the correct answer. The PPA allows a Project Manager to use their best judgment in selecting which artifacts to complete.

Slide 26: End of Lesson 4



Slide Content

Congratulations!

- Selecting the **Proceed to Lesson 5** button will take you back to the main menu where you can proceed to the next lesson.

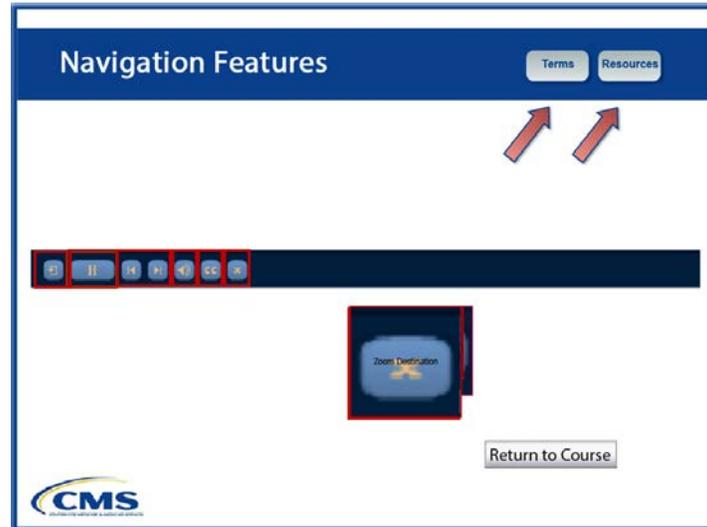
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Proceed to Lesson 5** button is at the lower right corner of the screen.

Slide Voiceover Notes

- Congratulations! You now have a general understanding of the PPA Artifacts. Let's move on to Lesson 5—Testing.
- Selecting the **Proceed to Lesson 5** button will take you back to the main menu where you can proceed to the next lesson.

Slide 27: Help Slide (Navigation Features)



Slide Content

- Navigation Features

Navigation Features

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Return to Course** button is at the lower right corner of the screen.

Slide Voiceover Notes

- Let's examine the navigation features of this e-learning course so that you can understand how to navigate the material. The main navigation buttons for the course appear at the bottom of the window on the playback.
- The main navigation button is the **Play** button and is used to progress through the course. The **Pause** button can be used to halt the course; pressing it again will resume the course.
- The **Forward** and **Back** arrows are used to review and progress through the course material. The **Rewind** button takes you back to the beginning of the course.
- The **Audio** button toggles between turning the narration on or off. The **CC** button turns closed captioning on or off. The button with the **X** exits the course.
- In addition, by selecting the **Resources** button, you will be provided with a list of related websites and other reference materials that will help you gain a better understanding of the XLC.
- The **Terms** button provides definitions of words and acronyms that may be unfamiliar to you.
- You can also use the Tab key to tab to the various navigation controls on the play back bar. Press the space bar or the Enter key to make your selection.



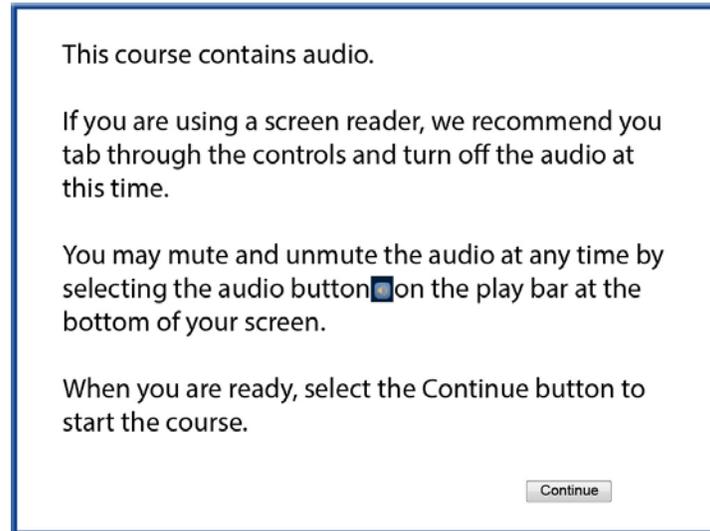
Centers for Medicare & Medicaid Services

The Project Process Agreement Lesson 5: Testing

Version 1.0

May 16, 2013

Course Advisory



Slide Content

- This course contains audio.
- If you are using a screen reader, we recommend you tab through the controls and turn off the audio at this time.
- You may mute and unmute the audio at any time by selecting the audio button on the play bar at the bottom of your screen.
- When you are ready, select the **Continue** button (at the bottom right of the screen) to start the course.

Navigation Buttons

- The **Continue** button is located at the bottom right corner of the screen.

Slide 1: The Project Process Agreement, Lesson 5: Testing



Slide Content

- Identity Mark of the Centers for Medicare & Medicaid Services
- Office of Information Services, Enterprise Architecture & Strategy Group, Division of IT Governance

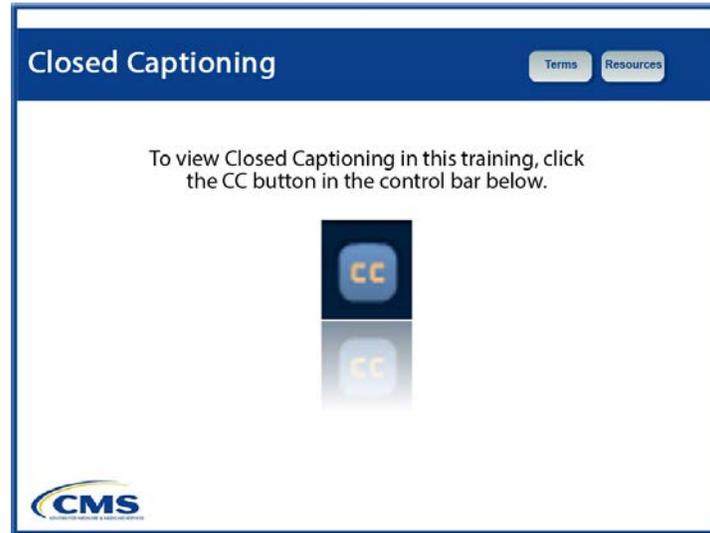
Navigation Buttons

- The **Help** button is located in the upper right of the title bar.

Slide Voiceover Notes

- Welcome to the Project Process Agreement online training course, Lesson 5: Testing within the PPA.
- It is expected that you have taken the Expedited Life Cycle (XLC) Basic Training course and Lessons 1 through 4 before proceeding with this lesson, which should take approximately 10 minutes.
- Click the **Help** button for instructions on navigating through this course.

Slide 2: Closed Captioning



Slide Content

- To view Closed Captioning in this training, click the **CC** button in the control bar below.

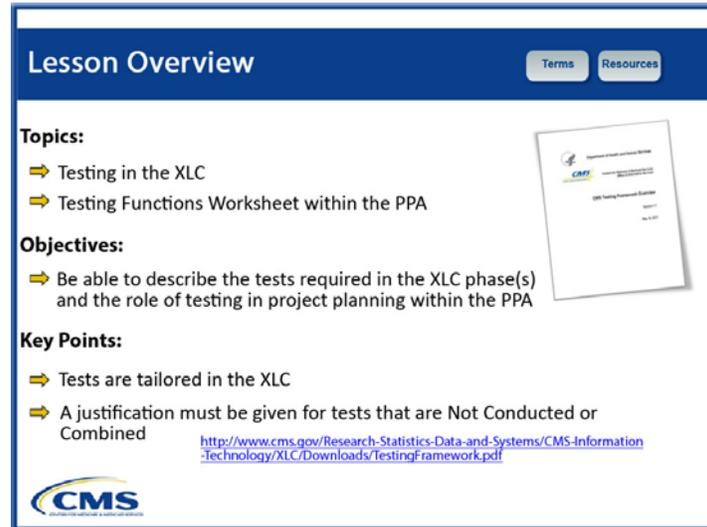
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- To view Closed Captioning in this training, click the **CC** button in the control bar below.
- In addition, by selecting the **Resources** button, you will be provided with a list of related websites and other reference materials that will help you gain a better understanding of the XLC.
- The **Terms** button provides definitions of words and acronyms that may be unfamiliar to you.

Slide 3: Lesson Overview



The slide is titled "Lesson Overview" and features a blue header bar with "Terms" and "Resources" buttons. The main content is organized into three sections: "Topics", "Objectives", and "Key Points". Each section contains a list of items with yellow arrow icons. A small image of a document cover is shown in the upper right. The CMS logo is at the bottom left, and a URL is provided at the bottom right.

Lesson Overview Terms Resources

Topics:

- ➔ Testing in the XLC
- ➔ Testing Functions Worksheet within the PPA

Objectives:

- ➔ Be able to describe the tests required in the XLC phase(s) and the role of testing in project planning within the PPA

Key Points:

- ➔ Tests are tailored in the XLC
- ➔ A justification must be given for tests that are Not Conducted or Combined

<http://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/XLC/Downloads/TestingFramework.pdf>

CMS

Slide Content

Topics:

- Testing Functions Worksheet within the PPA

Objectives:

- Be able to describe the tests required in the XLC phase(s) and the role of testing in project planning within the PPA

Key Points:

- Tests are tailored in the XLC. A justification must be given for tests that are Not Conducted or Combined.
- <http://www.cms.gov/Research-Statistics-Data-and-Systems/CMS-Information-Technology/XLC/Downloads/TestingFramework.pdf> (link to *CMS Testing Framework Overview* document depicted within the slide.)

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Graphic (upper right corner)

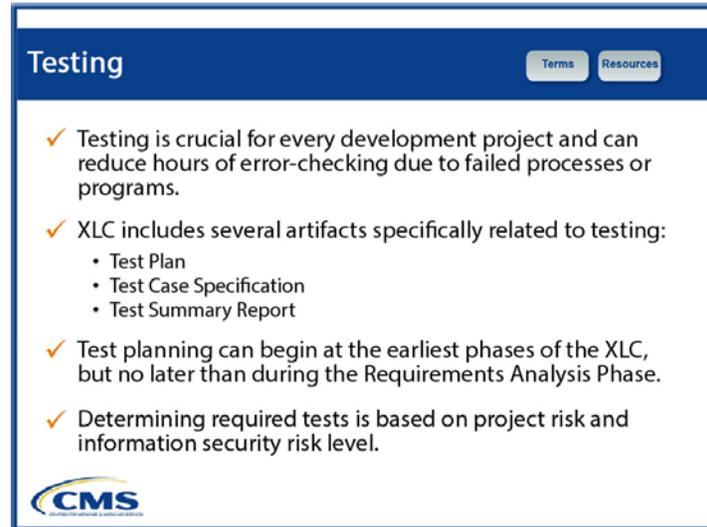
- Depiction of cover of *CMS Testing Framework Overview* document

Slide Voiceover Notes

- In this lesson, we will learn about:
 1. The role of testing in the XLC, and
 2. Completing the Testing Functions Worksheet of the PPA.

- At the end of this lesson, you will be able to describe and complete the PPA Testing Functions Worksheet for a project.
- If you would like additional information on testing, you can refer to the CMS Testing Framework Overview document on the XLC website.
- The key points are:
 - Tests are tailored to a project based on project needs, and
 - If a test is “Not Conducted” or “Combined,” a justification must be provided.

Slide 4: Testing



The slide is titled "Testing" and features a blue header bar with the title and two buttons labeled "Terms" and "Resources". The main content area is white with a blue border and contains four bullet points, each starting with a checkmark. The CMS logo is located in the bottom left corner of the slide.

- ✓ Testing is crucial for every development project and can reduce hours of error-checking due to failed processes or programs.
- ✓ XLC includes several artifacts specifically related to testing:
 - Test Plan
 - Test Case Specification
 - Test Summary Report
- ✓ Test planning can begin at the earliest phases of the XLC, but no later than during the Requirements Analysis Phase.
- ✓ Determining required tests is based on project risk and information security risk level.

Slide Content

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 - Test Plan
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Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

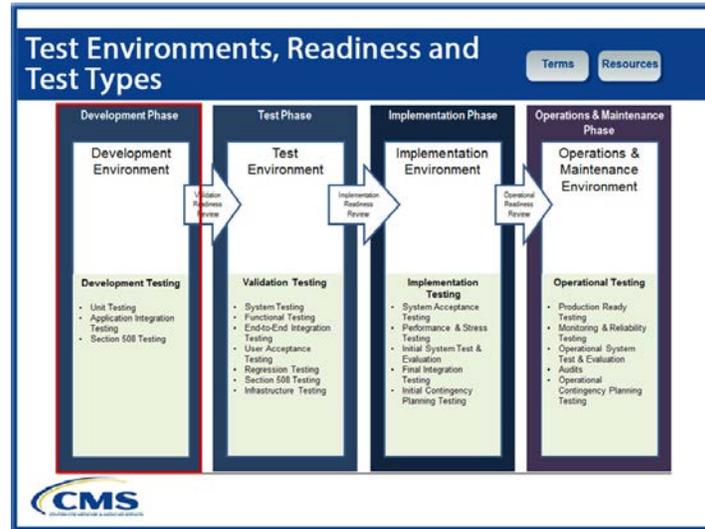
Slide Voiceover Notes

- Testing is crucial for every phase of new and existing systems development projects. When adequately defined and conducted, testing can reduce hours of error checking due to failed processes or programs.
- The XLC includes several artifacts specifically related to testing: the Test Plan, which defines the specific tests to be conducted; when the tests will be conducted; who will conduct the test; the environments in which the tests will be conducted; and if needed, caveats, expectations, or justifications for why testing is not required for a project; the Test Case Specification that identifies specific test cases to be tested; and the Test Summary Report, which documents the results of testing. Test planning can begin at the

earliest phases of the XLC, but should not occur any later than during the Requirements Analysis Phase.

- Determining required tests is based on project risk and information security risk level.

Slide 5: Test Environments, Readiness, and Test Types



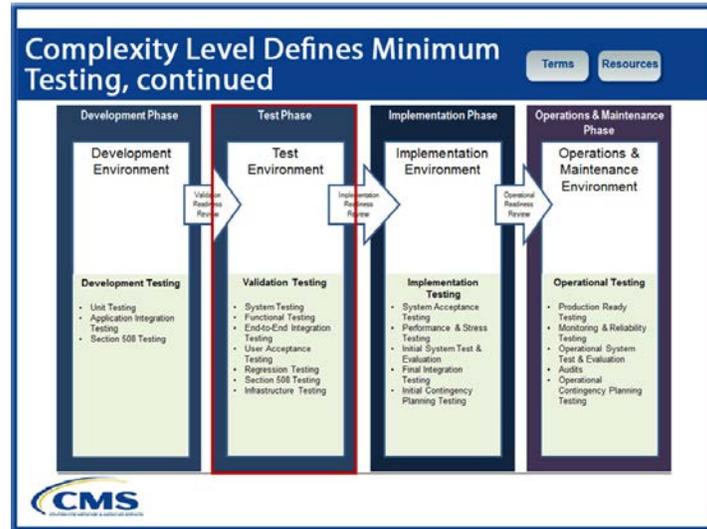
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Testing in the XLC is conducted in four phases. Testing begins in the Development Phase, continues through the Test and Implementation phases, and concludes in the Operations & Maintenance Phase.
- Testing is not conducted in the Disposition phase. As part of the transition between these phases, the system is evaluated in a Readiness Review.
- Each phase includes testing to evaluate (and validate) the readiness of the system for promotion into the next environment.
- Development testing is conducted in the Development Environment to verify that an individual module, or integrated sets of modules, performs as prescribed in the application requirements.
- Development testing includes:
 - Unit Testing to assess and correct functionality and data issues;
 - Application Integration Testing to assess interfaces, data, and interoperability of modules and systems within a single business application, and
 - Section 508 Testing to ensure compliance with Section 508 Accessibility Standards.

Slide 6: Complexity Level Defines Minimum Testing (1 of 3)



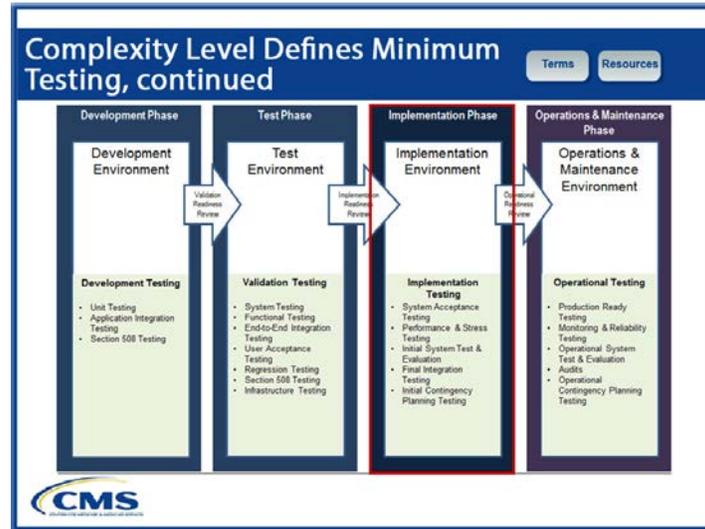
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Validation Testing is conducted in the Test environment to confirm the system fulfills the requirements and can accomplish the business processes correctly. Validation Testing includes:
 - **System Testing** to assess the functionality and interoperability of a business application and multiple systems
 - **Functional Testing** to assess the input and output functions of a business application;
 - **End-to-End Integration Testing** to test all of the business applications' access or touch points and data (across multiple business applications and systems);
 - **User Acceptance Testing** to test the application with end users in a production-like environment;
 - **Regression Testing** to validate that code modifications have not caused unintended functional or data results;
 - **Section 508 Testing** to ensure compliance with Section 508 Accessibility Standards; and finally,
 - **Infrastructure Testing** to assess whether or not new or modified infrastructure causes unintended effects on other systems.

Slide 7: Complexity Level Defines Minimum Testing (2 of 3)



Navigation Buttons

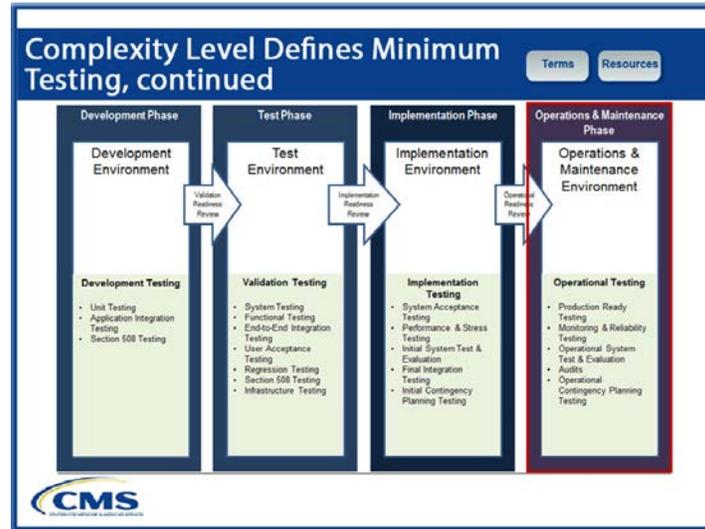
- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Implementation Testing is conducted in the Implementation environment to ensure that:
 - The system performs in a production-like environment;
 - Is configured with the same infrastructure as found in the target production environment;
 - Has the same security settings; and
 - Complies with CMS Technical Reference Architecture (TRA).
- Implementation Testing includes:
 - **System Acceptance Testing** to assess the system's functionality, architecture, and configuration in a production-like environment;
 - **Performance & Stress Testing** to assess the capacity and throughput of a system in terms of processing time, CPU utilization, network utilization, and memory and storage capacities under various workloads as defined in the system requirements document;
 - The **Initial System Test & Evaluation** to determine the extent to which the security controls in the system are implemented correctly, operate as intended, and produce the desired outcome.
 - **Final Integration Testing** to confirm the business application or infrastructure solution performs without errors in an end- to-end environment configured like the production environment; and

- **Initial Contingency Planning Testing** to ensure personnel are knowledgeable and capable of performing the notification/activation requirements and procedures as outlined in Contingency Planning in a timely manner.

Slide 8: Complexity Level Defines Minimum Testing (3 of 3)



Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Operational Testing is conducted in the Operations & Maintenance environment to ensure that the system is installed correctly in a production environment and performs as expected when operational.
- Operational Testing includes:
 - **Production Ready Testing** to confirm that the production-ready system is installed and configured in the production environment and ready for operation;
 - **Monitoring & Reliability Testing** to confirm the operational availability of system, performance or service level, and capacity utilization of production systems;
 - **Operational System Test & Evaluation** to determine the extent to which security controls are implemented and performing as expected;
 - **Audits** ensure systems meet prescribed auditing requirements, operating standards, and assure the accuracy of operating statistics, and reporting; and
 - **Operational Contingency Planning Testing** ensures personnel are knowledgeable and capable of performing the notification/activation requirements and procedures as outlined in Contingency Planning in a timely manner.

Slide 9: Remember the PRS?

Remember the PRS? Terms Resources

Program Background
CMS is considering a project to develop a registration system for beneficiaries in a chronic disease self-management program. The project will measure the impact of these programs on health care utilization and outcomes.

Program Overview
The CMS has received funding for clinical and community-based prevention and wellness strategies delivering measurable health outcomes addressing chronic disease rates. As an example, one program helps older Americans with chronic diseases learn how to manage their conditions and take control of their health. The program consists of educational modules delivered by trained personnel throughout the country. To assess the education's impact on the participants' health outcomes requires:

- Comparison of participants' health events before and after education
- Identification and comparison of control groups who have not participated in the chronic disease self-management program.

A new system is needed to gather information on beneficiaries participating in chronic disease self-management programs. The Prototype Registration System (PRS) will simulate the registration and tracking of participants in chronic disease self-management programs.

Project Requirements
The project will develop the functional and program requirements for a secure registration system. The project will design, develop and test the prototype. Based on usability measures, a pilot execution evaluation will be delivered. The project will deliver a roadmap to meeting the identified future requirements for a national registration system supporting chronic disease self-management activities.

Prototype Requirements
The PRS will support a limited scope, collecting information to simulate program registrants and their completion status of particular programs. The PRS shall support:

- Login, authorization, and authentication
- Entering program participant data
- Entering program and program completion data
- Modifying existing program participant, program, and program completion data
- Data extraction
- Audit log export

Deployment Environment
The PRS will not be deployed in CMS operation facilities and will not utilize or support entry of any PII or PHI data. Deployment of the PRS will be in a laboratory environment.

CMS

Slide Content

- Snapshot of a case study for a prototype registration system with headings for Program Background, Program Overview, Project Requirements, Prototype Requirements, and Deployment Environment (and accompanying text).

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Let's consider the PRS example. How do you decide which tests are required for a project? These decisions are based on the complexity of the project and what is required of the project.
- Let's look at how you record your test decisions in the PPA.

Slide 10: Testing Functions Worksheet

Testing Functions Worksheet						
PROJECT PROCESS AGREEMENT – TESTS					Directions: Enter information into green cells. Review test list & initials in column A-D. Add any project defined tests in row 21-22. Review agreement for the project's initial release in columns E and F. Provide justification for Status or Combine in column G.	
Project Name		Project Description		Release		Contract/Line Item
TEST	Business App, Infrastructure, or Both	TEST DEFINITION	PROJECT AGREEMENT	AUTHOR (Last, Initial, or Phone)	IF PROJECT	JUSTIFICATION and/or NOTES
Development Testing	Business App	Verifies and confirms the functionality and data of a business application in a testing environment.	Conducted			
Unit Testing	Business App	Verifies the structure, size, and implementation principles and confirms with a single business application.	Conducted			
Application Integration Testing	Business App	Verifies that an application's functionality is preserved and consistent with available business data.	Conducted			
System Testing	Business App	Verifies the functionality and interoperability of a business application in a testing environment, such as database, hardware, software, or communication devices, and their integration with infrastructure with an integrated system.	Conducted			
Functional Testing	Business App	Verifies the functional behavior of a business application against the defined functional and data requirements.	Conducted			
UAT/End-User Integration Testing	Business App	Verifies that the business application meets business requirements, meets user data and control needs to one another, and user data needs.	Conducted			
User Acceptance Testing	Business App	Verifies the overall functionality and interoperability of a business application in an operational setting.	Conducted			
Regression Testing	Both	Verifies that modifications have not caused previously functional or non-functional behavior to change, and that the application still complies with its specific requirements. Generally, verifies that infrastructure changes have not impacted required business applications.	Conducted			
UAT/End-User Integration Testing	Both	Verifies that the UAT product is compliant with applicable Section 508 requirements.	Conducted			
Infrastructure Testing	Infrastructure	Verifies the structure and interoperability of an installed infrastructure with other infrastructure and system components, such as database, hardware, software, or communication devices.	Conducted			
Performance Testing	Both	Verifies the structure, functionality, and interoperability of a business application in an operational setting.	Conducted			
Performance & Stress Testing	Both	Verifies the structure and interoperability of a business application in an operational setting.	Conducted			
UAT/End-User Integration Testing	Both	Verifies the structure and interoperability of a business application in an operational setting.	Conducted			
UAT/End-User Integration Testing	Both	Verifies that a business application or infrastructure meets user requirements for the application or infrastructure.	Conducted			
UAT/End-User Integration Testing	Both	Verifies that a business application or infrastructure meets user requirements for the application or infrastructure.	Conducted			
UAT/End-User Integration Testing	Both	Verifies that a business application or infrastructure meets user requirements for the application or infrastructure.	Conducted			
Test Tailoring: Conducted, Not Conducted, or Combine						

Slide Content

- Test Tailoring: Conducted, Not Conducted, or Combine

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- This is the Testing Functions Worksheet of the PPA for PRS. The shaded green areas in the three columns labeled “Project Agreement”, “Author”, and “Justification and/or Notes” on the right side of this worksheet indicate that input is required or suggested to be entered here.
- The pink areas at the top of the form (on the right-hand side labeled “Directions”) indicate worksheet-specific instructions on how to complete this form.
- The PPA Testing Functions Worksheet lists:
 1. The Test Name,
 2. Whether the test impacts the Business Application, CMS Infrastructure, or Both,
 3. A Short Test description,
 4. The project agreement: either Conducted, Not Conducted, or Combine,
 5. The Author, and
 6. A Justification.
- We will now consider how to fill out the first three rows for the PRS.

Slide 11: Screenshot of Testing Functions Workbook (Pull-Down Menu)

PROJECT PROCESS AGREEMENT – TESTS				Directions: Enter information into green cells	
Project Name			Review test list & details in column A-C. Add any project defined tests in row 21&22.		
Project Description			Record agreement for the project's initial release in column E and F.		
Release			Provide justifications for Waive or Continue in column G.		
Complexity Level					
TEST	Business App, Infrastructure, or Both	TEST DEFINITION	PROJECT AGREEMENT	AUTHOR (enter for Project)	CMS IT PROJECT JUSTIFICATION and/or NOTES
Development Testing	Business App	Assesses and corrects the functionality and data of a business application's individual code modules.			
Unit Testing	Business App	Assesses the structure, logic, and interoperability of modules and systems within a single business application.			
Application Integration Testing	Business App	Assesses that the Exchange Information Technology (EIT) product is compliant with applicable Section 508 Accessibility Standards.			
Section 508 Testing	Business App				
Validation Testing	Business App	Assesses the functionality and interoperability of a business application and related systems, such as databases, hardware, software, or communication devices, and their integration with infrastructure into an overall integrated system.			
System Testing	Business App				
Functional Testing	Business App	Assesses the individual functions of a business application against pre-defined functional and data requirements.			
End-to-End Integration Testing	Business App	Evaluates whether the business application and systems integrate properly, pass data and control correctly to one another, and share data correctly.			
User Acceptance Testing	Business App	Assesses the overall functionality and interoperability of a business application's solution in an operational mode.			
Regression Testing	Both	Validates that modifications have not caused previously functional or data results and that the application still complies with its specific requirements. Iteratively validates that architectural changes have not compromised dependent business applications.			
Section 508 Testing	Both	Assures that the EIT product is compliant with applicable Section 508 Accessibility Standards.			
Infrastructure Testing	Infrastructure	Assesses the structure and interoperability of new or modified infrastructure with other infrastructure and system components, such as databases, hardware, software, or communication devices.			
Implementation Testing	Both	Assesses the solution's functionality, architecture, and configuration in a production like environment.			
Performance & Stress Testing	Both	Assesses the capacity and throughput of a business application or infrastructure in processing time.			
Other EIT	Both	Assesses the extent to which the security controls in the business application or infrastructure are developed, controlled, operated, and			

Slide Voiceover Notes

- In the PRS, both the Unit Testing and Application Integration Testing will be conducted, so select the “Conducted” option from the pull-down menu for both.

Slide 12: Screenshot of Testing Functions Workbook

PROJECT PROCESS AGREEMENT – TESTS				Directions: Enter information into green cells. Review test list & details in column A-C. Add any project defined tests in row 21&22. Record agreement for the project's initial release in column E and F. Provide justifications for Waive or Combine in column G.	
Project Name		Project Description		Release	
Complexity Level					
TEST	Business App, Infrastructure, or Both	TEST DEFINITION	PROJECT AGREEMENT	AUTHOR (enter for Project)	CMS IT PROJECT JUSTIFICATION and/or NOTES
Development Testing	Business App	Assesses and corrects the functionality and data of a business application's individual code modules.	Combine		
Unit Testing	Business App	Assesses the structure, logic, and interoperability of modules and systems within a single business application.			
Application Integration Testing	Business App	Assesses that the Exchange Information Technology (EIT) product is compliant with applicable Section 508 Accessibility Standards.			
Section 508 Testing	Business App				
Validation Testing	Business App	Assesses the functionality and interoperability of a business application and related systems, such as databases, hardware, software, or communication devices, and their integration with infrastructure into an overall integrated system.			
System Testing	Business App	Assesses the logical/output functions of a business application against pre-defined functional and data requirements.			
Functional Testing	Business App	Validates whether the business application and systems interoperate properly, pass data and control correctly to one another, and share data correctly.			
End-to-End Integration Testing	Business App	Assesses the overall functionality and interoperability of a business application's solution in an operational mode.			
User Acceptance Testing	Business App	Validates that modifications have not caused unintended functional or data results and that the application still complies with its specific requirements. Iteratively validates that architectural changes have not compromised dependent business applications.			
Regression Testing	Both	Assures that end EIT product is compliant with applicable Section 508 Accessibility Standards.			
Section 508 Testing	Both	Assesses the structure and interoperability of new or modified infrastructure with other infrastructure and system components, such as databases, hardware, software, or communication devices.			
Infrastructure Testing	Infrastructure	Assesses the solution's functionality, architecture, and configuration in a production like environment.			
Implementation Testing	Both	Assesses the capacity and throughput of a business application or infrastructure in processing time.			
Performance & Stress Testing	Both	Assesses the ability to detect or prevent security vulnerabilities in the business environment to detect or prevent the security controls in the business environment to detect or prevent the security controls, identify and			
Security (SI&E)	Both				

Slide Voiceover Notes

- Section 508 Testing will be combined with Section 508 Testing during Validation Testing. Select “Combine” from the pull-down menu and enter a justification in the “Justification and/or Notes” Field.

Slide 13: Screenshot of Testing Functions Workbook

PROJECT PROCESS AGREEMENT – TESTS				Directions: Enter information into green cells		
Project Name			Review test list & details in column A-C. Add any project defined tests in row 21&22.			
Project Description			Record agreement for the project's initial release in column E and F.			
Release			Provide justifications for Waive or Continue in column G.			
Complexity Level						
TEST	Business App, Infrastructure, or Both	TEST DEFINITION	PROJECT AGREEMENT	AUTHOR (enter for Project)	CMS IT PROJECT	JUSTIFICATION and/or NOTES
Development Testing	Business App	Assesses and corrects the functionality and data of a business application's individual code modules.	Continue			
Unit Testing	Business App	Assesses the reliability, data, and interoperability of modules and systems within a single business application.	Continue			
Application Integration Testing	Business App	Assesses that the Enterprise Information Technology (EIT) product is compliant with applicable Section 508 Accessibility Standards.				
Section 508 Testing	Business App	Assesses the functionality and interoperability of a business application and related systems, such as databases, hardware, software, or communication devices, and their integration with infrastructure into an overall integrated system.				
Validation Testing	Business App	Assesses the logical/output functions of a business application against pre-defined functional and data requirements.				
System Testing	Business App	Assesses whether the business application and systems integrate properly, pass data and control correctly to one another, and adhere to security.				
Functional Testing	Business App	Assesses the overall functionality and interoperability of a business application's solution in an operational mode.				
End-to-End Integration Testing	Business App	Validates that modifications have not caused unintended functional or data results and that the application still complies with its specific requirements. Iteratively validates that architecture changes have not compromised dependent business applications.				
User Acceptance Testing	Business App	Ensures that end EIT product is compliant with applicable Section 508 Accessibility Standards.				
Regression Testing	Both	Assesses the reliability and interoperability of new or modified infrastructure with other infrastructure and system components, such as databases, hardware, software, or communication devices.				
Section 508 Testing	Both	Assesses the reliability, data, and interoperability of a business application and systems within a single business application.				
Infrastructure Testing	Infrastructure	Assesses the capacity and throughput of a business application or infrastructure in processing time.				
Implementation Testing	Both	Assesses the capacity and throughput of a business application or infrastructure in processing time.				
System Integration Testing	Both	Assesses the capacity and throughput of a business application or infrastructure in processing time.				
Performance & Stress Testing	Both	Assesses the capacity and throughput of a business application or infrastructure in processing time.				
Disaster EIT&I	Both	Assesses the capacity and throughput of a business application or infrastructure in processing time.				

Slide Voiceover Notes

- The IT Intake Form will be created from scratch, so keep the default “Provide (new)” option selected. No entry is required in the “Justification and/or Notes” field for artifacts provided.
- For the Enterprise Architecture Analysis Artifacts, select the “Waive” option from the pull-down menu.

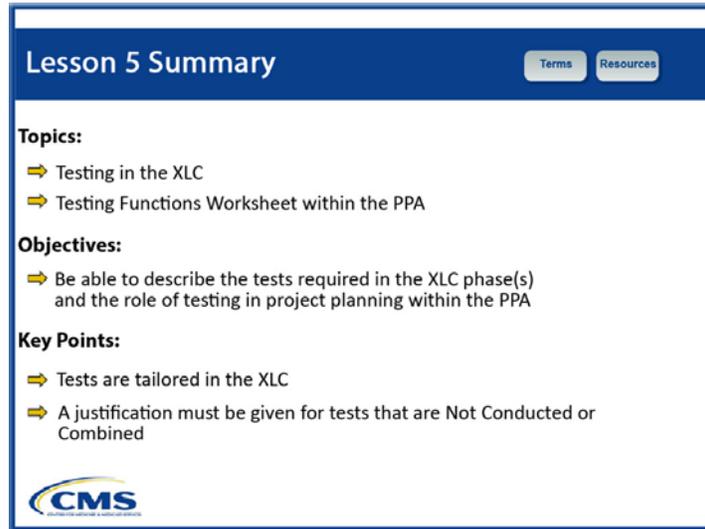
Slide 14: Screenshot of Testing Functions Workbook

PROJECT PROCESS AGREEMENT – TESTS				Directions: Enter information into green cells. Review test list & details in column A-C. Add any project defined tests in row 21&22. Record agreement for the project's initial release in column E and F. Provide justifications for Waive or Combine in column G.	
Project Name		Project Description		Release	
Complexity Level					
TEST	Business App, Infrastructure, or Both	TEST DEFINITION	PROJECT AGREEMENT	AUTHOR (enter fee Payer)	CMS IT PROJECT JUSTIFICATION and/or NOTES
Development Testing	Business App	Assesses and corrects the functionality and data of a business application's individual code modules.	Combine		
Unit Testing	Business App	Assesses the modularity, logic, and interoperability of modules and systems within a single business application.	Combine		
Application Integration Testing	Business App	Assesses that the Exchange Information Technology (EIT) product is compliant with applicable Section 508 Accessibility Standards.	Combine		Combine with Validation Testing Section 508 Test
Section 508 Testing	Business App				
Validation Testing	Business App	Assesses the functionality and interoperability of a business application and related systems, such as databases, hardware, software, or communication devices, and their integration with infrastructure into an overall integrated system.			
System Testing	Business App	Assesses the logical/valid functions of a business application against pre-defined functional and data requirements.			
Functional Testing	Business App	Evaluates whether the business application and systems interoperate properly, pass data and control correctly to one another, and other data correctly.			
End-to-End Integration Testing	Business App	Assesses the overall functionality and interoperability of a business application's solution in an operational mode.			
User Acceptance Testing	Business App	Validates that modifications have not caused unintended functional or data results and that the application still complies with its specific requirements. Iteratively validates that architectural changes have not compromised dependent business applications.			
Regression Testing	Both	Ensures that end EIT product is compliant with applicable Section 508 Accessibility Standards.			
Section 508 Testing	Both	Assesses the interface and interoperability of new or modified infrastructure with other infrastructure and system components, such as databases, hardware, software, or communication devices.			
Infrastructure Testing	Infrastructure	Assesses the solution's functionality, architecture, and configuration in a production like environment.			
Implementation Testing	Both	Assesses the capacity and throughput of a business application or infrastructure in processing time.			
Performance & Stress Testing	Both	Assesses the extent to which the security controls in the business application or infrastructure are designed to control, identify, and			
Security (P&A)	Both				

Slide Voiceover Notes

- The remaining fields are completed in a similar manner. **Note:** Project-specific tests can be added, as needed, at the bottom of the worksheet.

Slide 15: Lesson 5 Summary



Lesson 5 Summary Terms Resources

Topics:

- ➔ Testing in the XLC
- ➔ Testing Functions Worksheet within the PPA

Objectives:

- ➔ Be able to describe the tests required in the XLC phase(s) and the role of testing in project planning within the PPA

Key Points:

- ➔ Tests are tailored in the XLC
- ➔ A justification must be given for tests that are Not Conducted or Combined



Slide Content

Topics:

- Testing in the XLC
- Testing Functions Worksheet within the PPA

Objectives:

- Be able to describe the tests required in the XLC phase(s) and the role of testing in project planning within the PPA

Key Points:

- Tests are tailored in the XLC
- A justification must be given for tests that are Not Conducted or Combined

Navigation Buttons

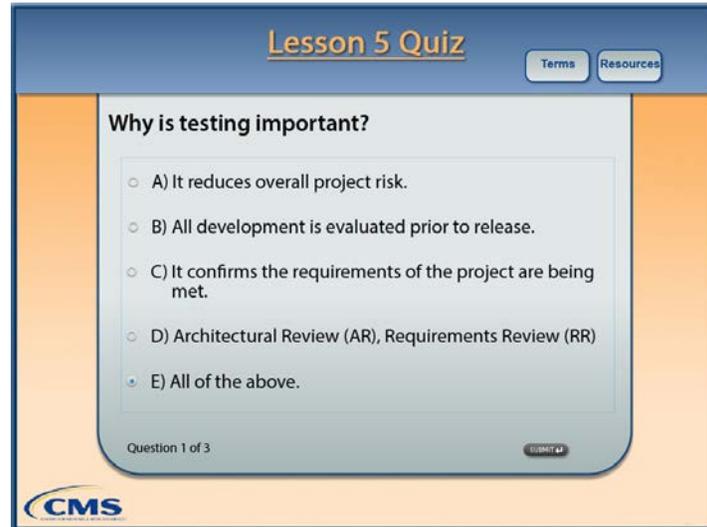
- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- So let's summarize what we have just reviewed in Lesson 5, Testing. In this lesson, we covered the following points:
 1. Testing in the XLC, and
 2. Completing the Testing Functions Worksheet within the PPA.
- You should now be able to prepare the project's Testing Functions Worksheet in the Project Process Agreement.

- The key points in this lesson are:
 - Testing is tailored to the specific project, and
 - A justification must be given for tests that are not conducted or are combined.
- Now that you have a good understanding of testing let's check your understanding of this material with a few questions. You must take the review quiz to move on to Lesson 6, PPA Approvals.

Slide 16: Lesson 5 Quiz (Question 1 of 3)



Slide Content

Why is testing important?

- A) It reduces overall project risk.
- B) All development is evaluated prior to release.
- C) It confirms the requirements of the project are being met.
- D) Architectural Review (AR), Requirements Review (RR)
- E) All of the above.

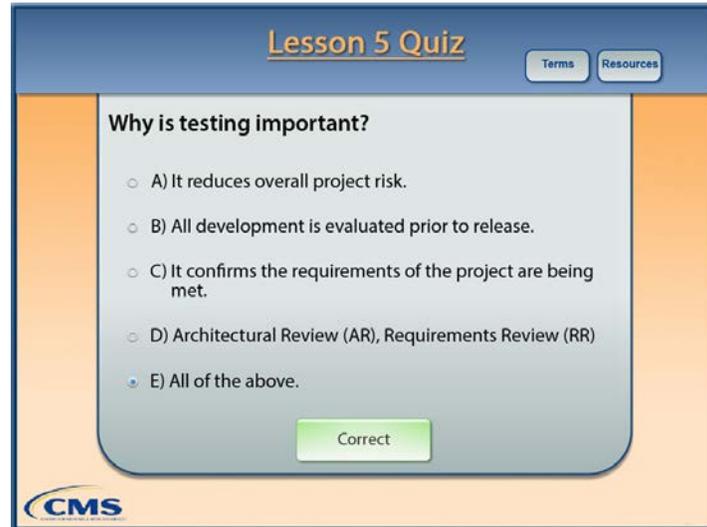
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Submit** button is located in the lower right corner of the screen.

Slide Voiceover Notes

- Question 1 of 3: Why is testing important?

Slide 17: Correct Answer to Question 1



Slide Content

Why is testing important?

- A) It reduces overall project risk.
 - B) All development is evaluated prior to release.
 - C) It confirms the requirements of the project are being met.
 - D) Architectural Review (AR), Requirements Review (RR)
 - E) All of the above.
- Answer: (E) Correct

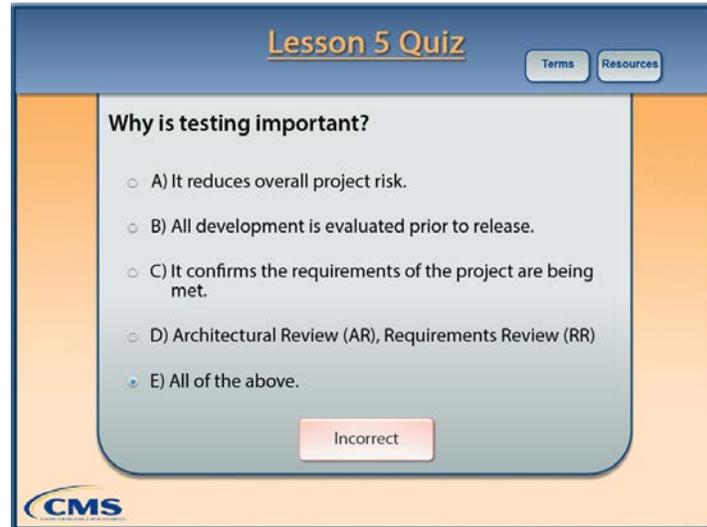
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Answer E is correct. All of the above are correct because all are important aspects of testing.

Slide 18: Incorrect Answer to Question 1



Slide Content

Why is testing important?

- A) It reduces overall project risk.
 - B) All development is evaluated prior to release.
 - C) It confirms the requirements of the project are being met.
 - D) Architectural Review (AR), Requirements Review (RR)
 - E) All of the above.
- Answer: Incorrect

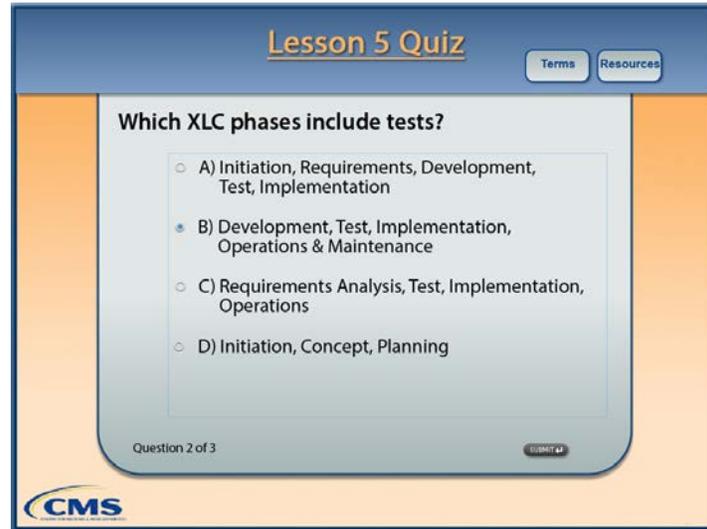
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Answers A, B, C, and D are only partially correct because Answer E (“All of the above”) is the most complete answer—all are important aspects of testing.

Slide 19: Lesson 1 Quiz (Question 2 of 3)



Slide Content

Which XLC phases include tests?

- A) Initiation, Requirements, Development, Test, Implementation
- B) Development, Test, Implementation, Operations & Maintenance
- C) Requirements Analysis, Test, Implementation, Operations
- D) Initiation, Concept Planning

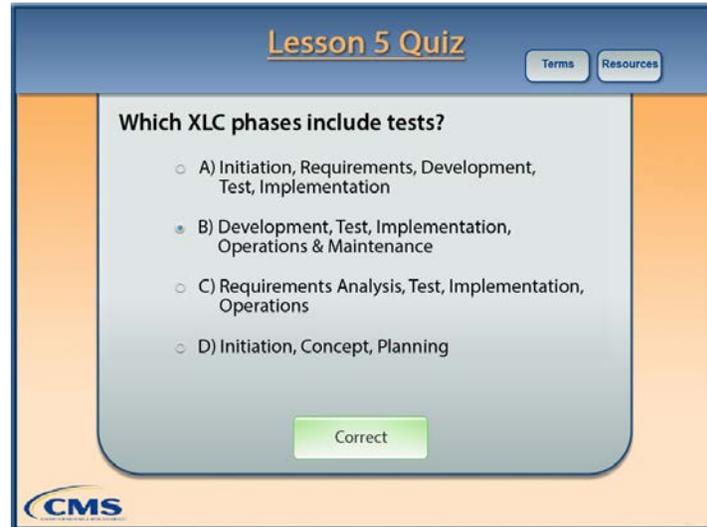
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Submit** button is located in the lower right corner of the screen.

Slide Voiceover Notes

- Question 2 of 3: Which XLC phases include tests?

Slide 20: Correct Answer to Question 2



Slide Content

Which XLC phases include tests?

- A) Initiation, Requirements, Development, Test, Implementation
 - B) Development, Test, Implementation, Operations & Maintenance
 - C) Requirements Analysis, Test, Implementation, Operations
 - D) Initiation, Concept Planning
- Answer: (B) Correct

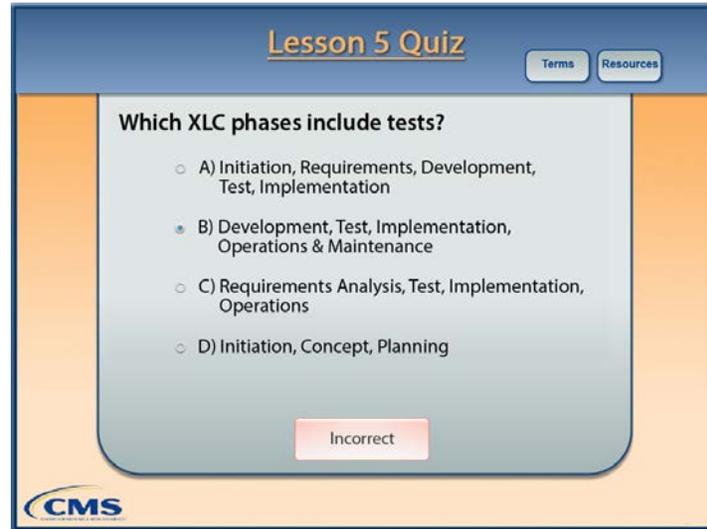
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Answer B is correct. Development, Test, Implementation, and Operations & Maintenance are phases with tests within the XLC.

Slide 21: Incorrect Answer to Question 2



Slide Content

Which XLC phases include tests?

- A) Initiation, Requirements, Development, Test, Implementation
 - B) Development, Test, Implementation, Operations & Maintenance
 - C) Requirements Analysis, Test, Implementation, Operations
 - D) Initiation, Concept Planning
- Answer: Incorrect

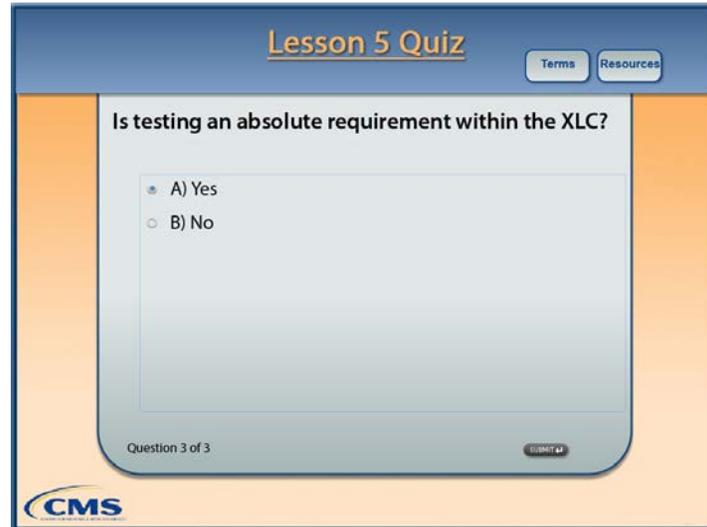
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Incorrect. Answer A is partially correct. While Development, Test, and Implementation phases are correct, Initiation and Requirements are not. Testing is not conducted in these two early phases of the XLC.
- Answer C is partially correct. Three of the four phases of testing in the XLC are correct: Test, Implementation, and Operations & Maintenance. The Requirements Analysis phase does not require testing.
- Answer D is incorrect. These phases are part of the planning phase and do not include any testing.

Slide 22: Lesson 1 Quiz (Question 3 of 3)



Slide Content

Is testing an absolute requirement within the XLC?

- A) Yes
- B) No

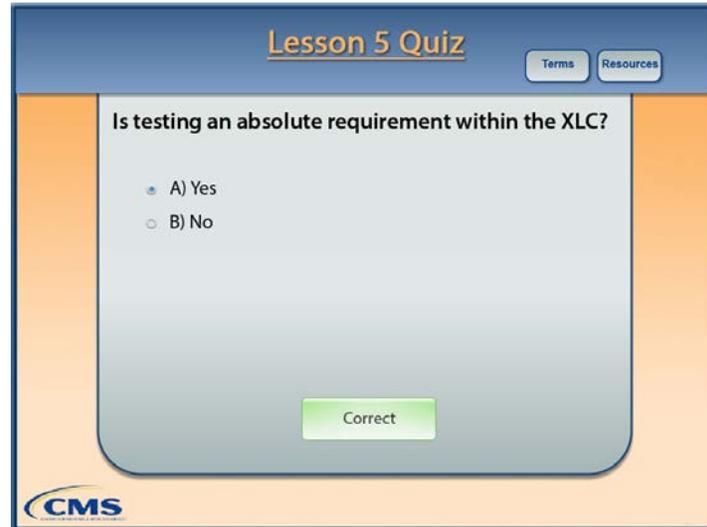
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Submit** button is located in the lower right corner of the screen.

Slide Voiceover Notes

- Question 3 of 3: Is testing an absolute requirement within the XLC?

Slide 23: Correct Answer to Question 3



Slide Content

Is testing an absolute requirement within the XLC?

- A) Yes
- B) No
- Answer: (A) Correct

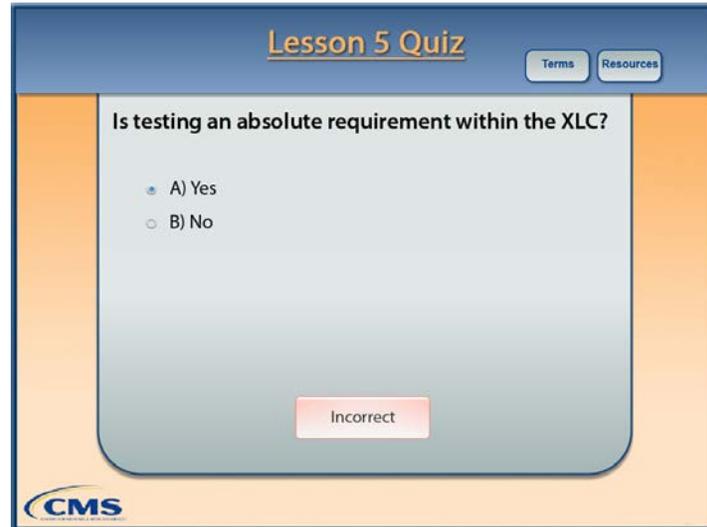
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Answer A, "Yes," is correct. Testing is an absolute requirement of the XLC.

Slide 24: Incorrect Answer to Question 3



Slide Content

Is testing an absolute requirement within the XLC?

- A) Yes
- B) No
- Answer: Incorrect

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Answer B, “No,” is incorrect. Testing is an absolute requirement of the XLC. Without the identification of testing in the earliest stages of the planning of a project, the project will not be approved.
- Testing Artifacts are defined in the PPA and the tailoring of the Testing Artifacts is largely based on the complexity level of the project, along with other factors.

Slide 25: End of Lesson 5



Slide Content

Congratulations!

- Selecting the **Proceed to Lesson 6** button will take you back to the main menu where you can proceed to the next lesson.

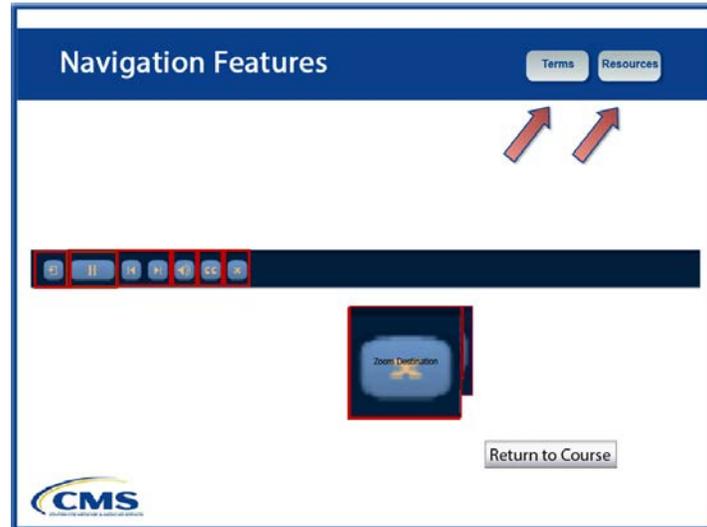
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Proceed to Lesson 6** button is at the lower right corner of the screen.

Slide Voiceover Notes

- Congratulations! You now have a general understanding of Testing. Let's move on to Lesson 6—Approvals.
- Selecting the **Proceed to Lesson 6** button will take you back to the main menu where you can proceed to the next lesson.

Slide 26: Help Slide (Navigation Features)



Slide Content

- **Navigation Features**

Navigation Features

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Return to Course** button is at the lower right corner of the page.

Slide Voiceover Notes

- Let's examine at the navigation features of this e-learning course so that you can understand how to navigate the material. The main navigation buttons for the course appear at the bottom of the window on the playback.
- The main navigation button is the **Play** button and is used to progress through the course. The **Pause** button can be used to halt the course; pressing it again will resume the course.
- The **Forward** and **Back** arrows are used to review and progress through the course material. The **Rewind** button takes you back to the beginning of the course.
- The **Audio** button toggles between turning the narration on or off. The **CC** button turns closed captioning on or off. The button with the **X** exits the course.
- In addition, by selecting the **Resources** button, you will be provided with a list of related websites and other reference materials that will help you gain a better understanding of the XLC.
- The **Terms** button provides definitions of words and acronyms that may be unfamiliar to you.
- You can also use the Tab key to tab to the various navigation controls on the play back bar. Press the space bar or the Enter key to make your selection.



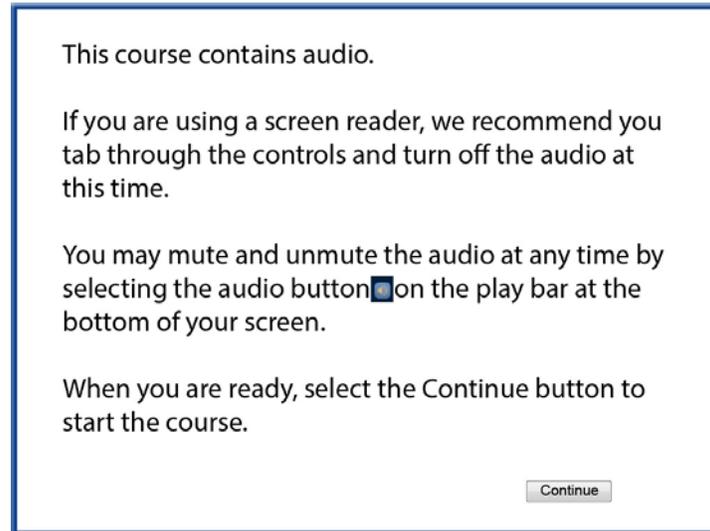
Centers for Medicare & Medicaid Services

The Project Process Agreement Lesson 6: Approvals

Version 1.0

May 16, 2013

Course Advisory



Slide Content

- This course contains audio.
- If you are using a screen reader, we recommend you tab through the controls and turn off the audio at this time.
- You may mute and unmute the audio at any time by selecting the audio button on the play bar at the bottom of your screen.
- When you are ready, select the **Continue** button (at the bottom right of the screen) to start the course.

Navigation Buttons

- The **Continue** button is located at the bottom right corner of the screen.

Slide 1: The Project Process Agreement, Lesson 6: Approvals



Slide Content

- Identity Mark of the Centers for Medicare & Medicaid Services
- Office of Information Services, Enterprise Architecture & Strategy Group, Division of IT Governance

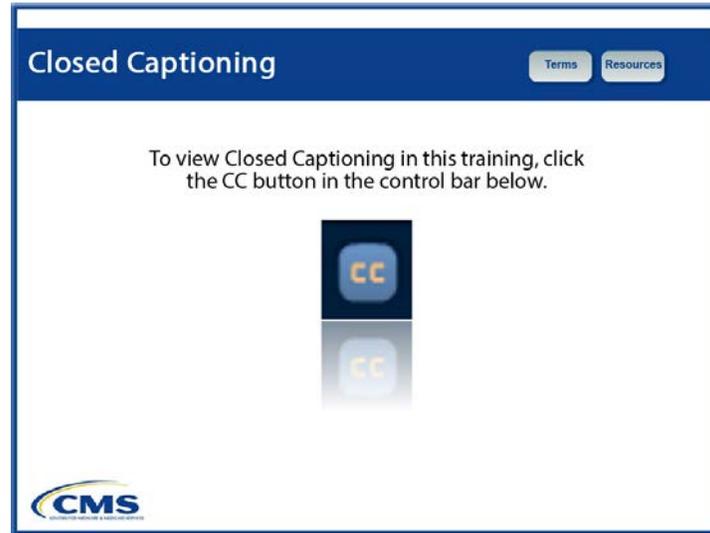
Navigation Buttons

- The **Help** button is located in the upper right of the title bar.

Slide Voiceover Notes

- Welcome to the Project Process Agreement online training course, Lesson 6: Approvals.
- It is expected that you have an understanding of the Basic XLC Training and PPA Course Lessons 1 through 5 before proceeding with this lesson, which should take approximately 10 minutes.
- Click the **Help** button for instructions on navigating through this course.

Slide 2: Closed Captioning



Slide Content

- To view Closed Captioning in this training, click the **CC** button in the control bar below.

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- To view Closed Captioning in this training, click the **CC** button in the control bar below.
- In addition, by selecting the **Resources** button, you will be provided with a list of related websites and other reference materials that will help you gain a better understanding of the XLC.
- The **Terms** button provides definitions of words and acronyms that may be unfamiliar to you.

Slide 3: Lesson Overview

The screenshot shows a slide titled "Lesson Overview" with a dark blue header. In the top right corner of the header are two buttons labeled "Terms" and "Resources". The main content area is white and contains three sections: "Topics:" with one bullet point, "Objectives:" with three bullet points, and "Key Points:" with two bullet points. At the bottom left of the slide is the CMS logo.

Slide Content

Topics:

- Project Approvals Process in the XLC

Objectives:

- Identify when to obtain approval of a project
- Describe the requirements for project approval
- Identify key approval signatories required for a Project Process Agreement

Key Points:

- The PPA requires approval from key stakeholders
- Modifications to the PPA require PPA re-approval

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- In this lesson, we will describe the project approvals required in the Project Process Agreement.
- At the end of this lesson, you will be able to:
 - Identify when to obtain approval of a project
 - Describe the requirements for project approval, and
 - Identify key approval signatories required for a Project Process Agreement.

- The **Key Points** we will be covering in this lesson are:
 1. The PPA requires approval from key stakeholders, and
 2. Modifications to the PPA require re-approval.

Slide 4: Project Process Agreement (PPA)

The slide features a blue header with the title "Project Process Agreement (PPA)" and two buttons labeled "Terms" and "Resources". Below the header, the text "A PPA is:" is followed by three bullet points, each preceded by a yellow checkmark. The first bullet point lists "An agreement for:" with sub-bullets for "Complexity Level", "Artifacts", "Reviews", and "Tests". The second bullet point lists "Documents agreement between:" with sub-bullets for "IT Project Manager", "Business Project Manager", "CMS IT Governance / Program Management Office (PMO)", and "CMS Executive Sponsor". The third bullet point states "Completed by the Business Owner in the Concept phase prior to the Investment Selection Review". To the right of the text is a photograph of a man in a white lab coat and tie standing behind a table, looking at a document. The CMS logo is in the bottom left corner.

Slide Content

A PPA is:

An agreement for:

- Complexity Level
- Artifacts
- Reviews
- Tests

Documents agreement between:

- IT Project Manager
- Business Project Manager
- CMS IT Governance / Program Management Office (PMO)
- CMS Executive Sponsor
- Completed by the Business Owner in the Concept phase prior to the Investment Selection Review

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- The Signatures Worksheet is the last worksheet of the Project Process Agreement. It summarizes the project-specific tailoring of reviews, artifacts, and testing.
- The Signatures Worksheet is produced from information entered on the other worksheets; therefore, no data is entered here.

- The Signatures Worksheet documents the agreement of the IT Project Manager, the Business Project Manager, CMS IT Governance/Program Management Office (PMO), and the CMS Executive Sponsor regarding the Complexity Level and tailoring for a particular project. (**Note:** not every project requires both an IT Project Manager and a Business Project Manager. When a project does have both, approvals and signatures of both are required). When you have completed the PPA, print the Signatures Worksheet and obtain the needed signatures. It is a written agreement between the key stakeholders that establishes a common understanding of which reviews will be conducted, which artifacts are appropriate, and which tests are necessary. The Business Owner is responsible for the Project Process Agreement.
- The PPA is completed in the Concept phase prior to the Investment Selection Review.

Slide 5: Complexity Level Drives the PPA

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Here are three sample Signatures Pages for the three different projects each with a different complexity level.
- The PPA contains three color-coded lists: Artifacts, Stage Gate Reviews, and Tests. The green, yellow, and pink colors are used with associated word labels to denote the tailoring documented on the PPA form and show the decision for each PPA item for a project. For each project, relevant artifacts, reviews, and tests to be performed are highlighted in green and the word or words “Conduct”, “Delegate”, “Performed”, “Provide New”, or “Provide Update” appear in the status field. When the decision is made for a project to combine artifacts, reviews, or tests, they are highlighted in yellow and the word “Combine” appears in the status field. Items that are waived for a project because they are not applicable to a solution are highlighted in pink and the word or words “Not Conducted” or “Waive” appear in the status field. As you consider these three examples, you will notice that there are more green artifacts that include the word or words “Conduct”, “Delegate”, “Performed”, “Provide New”, or “Provide Update” in the Complexity Level 3 example than in the Complexity Level 1 example. This is because there is less flexibility in a Level 3 project than there is in a Level 1 project.
- **Note:** These are examples of projects of different complexity levels. They are meant only as illustrations of tailoring. Tailoring needs to be customized individually for each project, based on a specific project’s particular attributes.

Slide 6: Remember the PRS?

Remember the PRS? Terms Resources

Program Background
CMS is considering a project to develop a registration system for beneficiaries in a chronic disease self-management program. The project will measure the impact of these programs on health care utilization and outcomes.

Program Overview
The CMS has received funding for clinical and community-based prevention and wellness strategies delivering measurable health outcomes addressing chronic disease rates. As an example, one program helps older Americans with chronic diseases learn how to manage their conditions and take control of their health. The program consists of educational modules delivered by trained personnel throughout the country. To assess the education's impact on the participants' health outcomes requires:

- Comparison of participants' health events before and after education
- Identification and comparison of control groups who have not participated in the chronic disease self-management program.

A new system is needed to gather information on beneficiaries participating in chronic disease self-management programs. The Prototype Registration System (PRS) will simulate the registration and tracking of participants in chronic disease self-management programs.

Project Requirements
The project will develop the functional and program requirements for a secure registration system. The project will design, develop and test the prototype. Based on usability measures, a pilot execution evaluation will be delivered. The project will deliver a roadmap to meeting the identified future requirements for a national registration system supporting chronic disease self-management activities.

Prototype Requirements
The PRS will support a limited scope, collecting information to simulate program registrants and their completion status of particular programs. The PRS shall support:

- Login, authorization, and authentication
- Entering program participant data
- Entering program and program completion data
- Modifying existing program participant, program, and program completion data
- Data extraction
- Audit log export

Deployment Environment
The PRS will not be deployed in CMS operation facilities and will not utilize or support entry of any PII or PHI data. Deployment of the PRS will be in a laboratory environment.

CMS

Slide Content

- Snapshot of a case study for a prototype registration system with headings for Program Background, Program Overview, Project Requirements, Prototype Requirements, and Deployment Environment (and accompanying text).

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Let's consider the PRS example. We have now completed the worksheets for project complexity level, artifacts, stage gate reviews, and testing. Let's go to the Signatures Worksheet for the PRS.

Slide 7: PPA Approvals

The screenshot shows a worksheet titled "PPA Approvals" with a blue header bar containing "Terms" and "Resources" buttons. The worksheet content is organized into several sections:

- Project Information:** A table with columns for Project Name, Description, Release, and Complexity Level.
- Artifacts:** A table with columns for Artifact Name, Status (Provided, Combined, Waived), and a third column.
- Stage Gate Review:** A table with columns for Review Name, Status (Provided, Combined, Waived), and a third column.
- Tests:** A table with columns for Test Name, Status (Conducted, Not Conducted, Combined), and a third column.
- APPROVALS:** A table with columns for Role (IT Project Manager, Business Project Manager, CMS IT Governance / PMO, CMS Executive Sponsor), Print Name, and Date.

The CMS logo is located in the bottom left corner of the worksheet area.

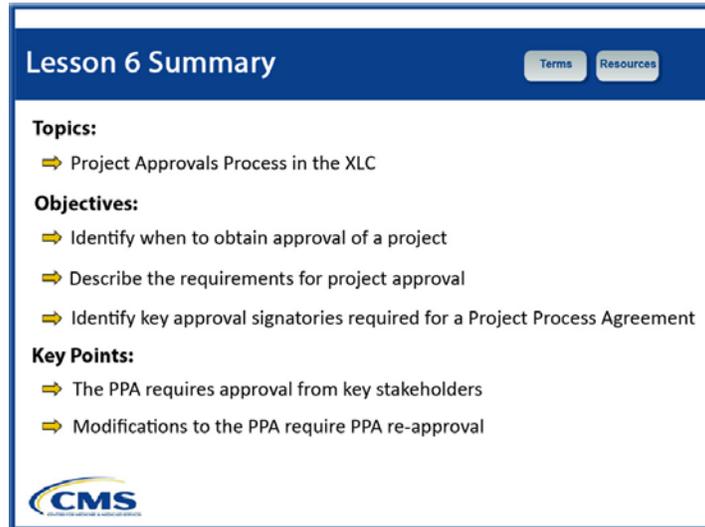
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- The Signatures worksheet is prefilled based on information entered while completing the other worksheets in the PPA.
- The Signatures Worksheet includes five sections (the legend lists acronyms for the boards and the reviews shown in the chart):
 1. Project information, including the name, description, release, and complexity level at the top.
 2. Artifacts in two columns with the artifact name and an indication of whether the artifact is “Provided”, “Combined”, or “Waived”.
 3. Stage Gate Review in two columns with the review name and an indication of whether the review is “Provided”, “Combined”, or “Waived”.
 4. Test in two columns with the test name and an indication of whether the review is “Conducted”, “Not Conducted” or “Combined”.
 5. Approvals with areas for signatures for the IT Project Manager, the Business Project Manager, CMS IT Governance / PMO, and for the CMS Executive Sponsor.
- If approved, the approval authorities will then sign the PPA and it will be documented as the baseline document for the project within Configuration Management.
- If updates are required to a signed PPA, the process is repeated: an updated PPA is generated, and the approval authorities will then sign the updated PPA.

Slide 8: Lesson 6 Summary



Lesson 6 Summary Terms Resources

Topics:

- ⇒ Project Approvals Process in the XLC

Objectives:

- ⇒ Identify when to obtain approval of a project
- ⇒ Describe the requirements for project approval
- ⇒ Identify key approval signatories required for a Project Process Agreement

Key Points:

- ⇒ The PPA requires approval from key stakeholders
- ⇒ Modifications to the PPA require PPA re-approval



Slide Content

Topics:

- Project Approvals Process in the XLC

Objectives:

- Identify when to obtain approval of a project
- Describe the requirements for project approval
- Identify key approval signatories required for a Project Process Agreement

Key Points:

- The PPA requires approval from key stakeholders
- Modifications to the PPA require PPA pre-approval

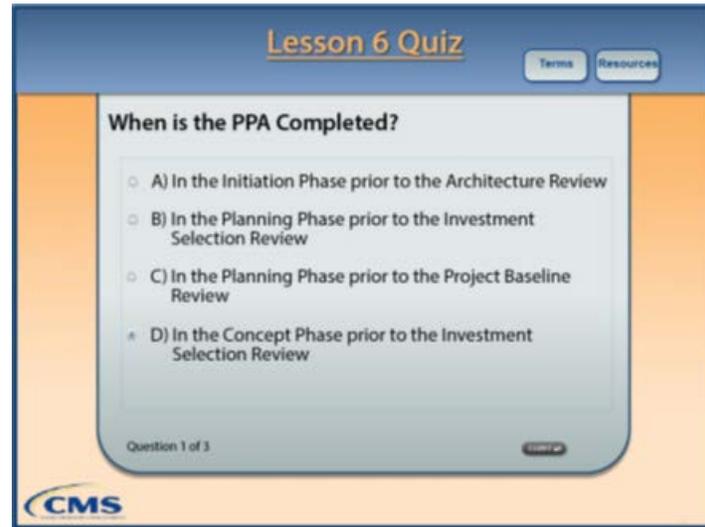
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- So let's summarize what we have just reviewed in Lesson 6—Approvals. In this lesson, we covered the following key points:
 1. The PPA requires approval from key stakeholders, and
 2. Modifications to the PPA require pre-approval.
- Now that you have a good understanding of the approval process, let's check your understanding of this material with a few questions. You must take the review quiz to move on to the next lesson.

Slide 9: Lesson 6 Quiz (Question 1 of 3)



Slide Content

When is the PPA completed?

- A) In the Initiation Phase prior to the Architecture Review
- B) In the Planning Phase prior to the Investment Selection Review
- C) In the Planning Phase prior to the Project Baseline Review
- D) In the Concept Phase prior to the Investment Selection Review

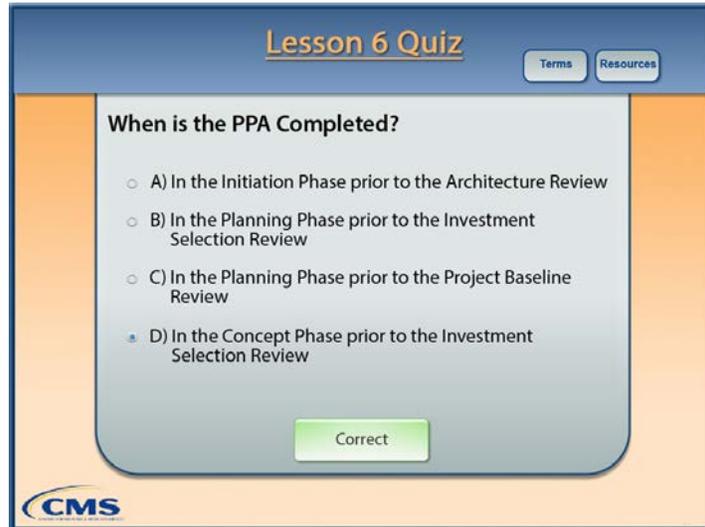
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Submit** button is located in the lower right corner of the screen.

Slide Voiceover Notes

- Question 1 of 3: When is the PPA completed?

Slide 10: Correct Answer to Question 1



Slide Content

When is the PPA completed?

- A) In the Initiation Phase prior to the Architecture Review
 - B) In the Planning Phase prior to the Investment Selection Review
 - C) In the Planning Phase prior to the Project Baseline Review
 - D) In the Concept Phase prior to the Investment Selection Review
- Answer: (D) Correct

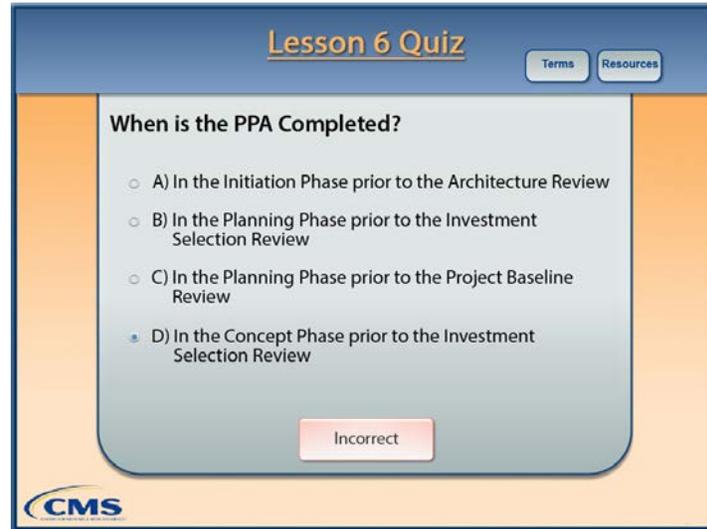
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- The correct Answer is D, In the Concept Phase prior to the Investment Selection Review.
- All project-relevant stakeholders are identified, and Complexity Level and tailoring are determined/agreed to prior to the Investment Selection Review.

Slide 11: Incorrect Answer to Question 1



Slide Content

When is the PPA completed?

- A) In the Initiation Phase prior to the Architecture Review
 - B) In the Planning Phase prior to the Investment Selection Review
 - C) In the Planning Phase prior to the Project Baseline Review
 - D) In the Concept Phase prior to the Investment Selection Review
- Answer: In correct

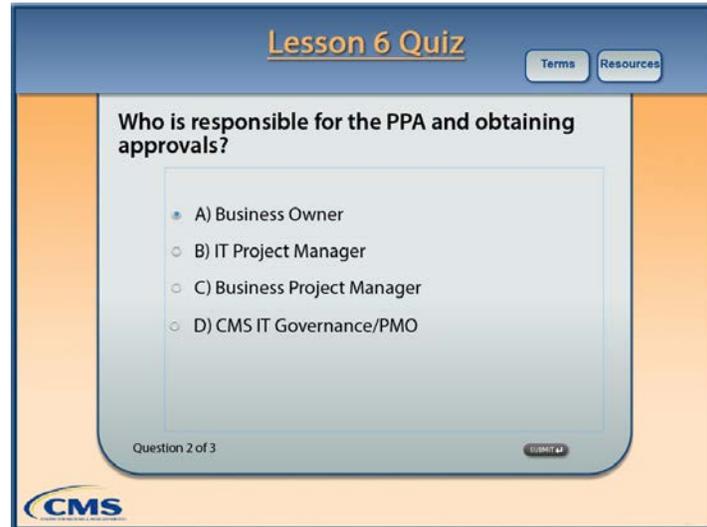
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- The correct Answer is D, In the Concept Phase prior to the Investment Selection Review.
- All project-relevant stakeholders are identified, and Complexity Level and tailoring are determined/agreed to prior to the Investment Selection Review.
- Answer A is not correct. In the Initiation Phase prior to the Architecture Review is too early in the XLC process to complete the tailoring and obtain approvals.
- Answer B is not correct. Approvals must occur earlier in the XLC process than in the Planning Phase. The Planning Phase occurs after Investment Selection Review.
- Answer C is not correct. Approvals must occur earlier in the XLC process than in the Planning Phase prior to the Project Baseline Review. The Planning Phase is too late.

Slide 12: Lesson 1 Quiz (Question 2 of 3)



Slide Content

Who is responsible for the PPA and obtaining approvals?

- A) Business Owner
- B) IT Project Manager
- C) Business Project Manager
- D) CMS IT Governance/PMO

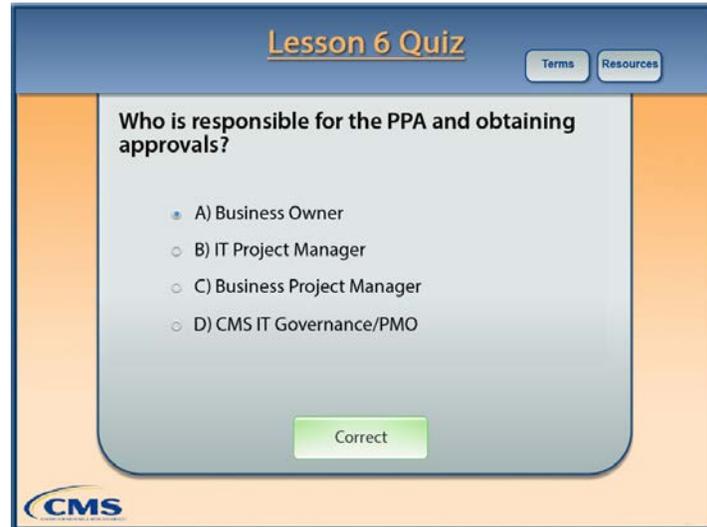
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Submit** button is located in the lower right corner of the screen.

Slide Voiceover Notes

- Question 2 of 3: Who is responsible for the PPA and obtaining approvals?

Slide 13: Correct Answer to Question 2



Slide Content

Who is responsible for the PPA and obtaining approvals?

- A) Business Owner
- B) IT Project Manager
- C) Business Project Manager
- D) CMS IT Governance/PMO
- Answer: (A) Correct

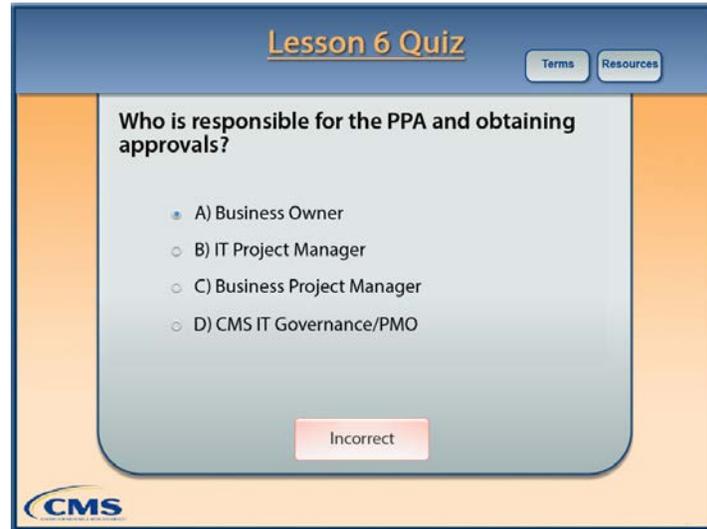
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Answer A is correct: the Business Owner is responsible for the PPA and obtaining approvals.

Slide 14: Incorrect Answer to Question 2



Slide Content

Who is responsible for the PPA and obtaining approvals?

- A) Business Owner
 - B) IT Project Manager
 - C) Business Project Manager
 - D) CMS IT Governance/PMO
- Answer: Incorrect

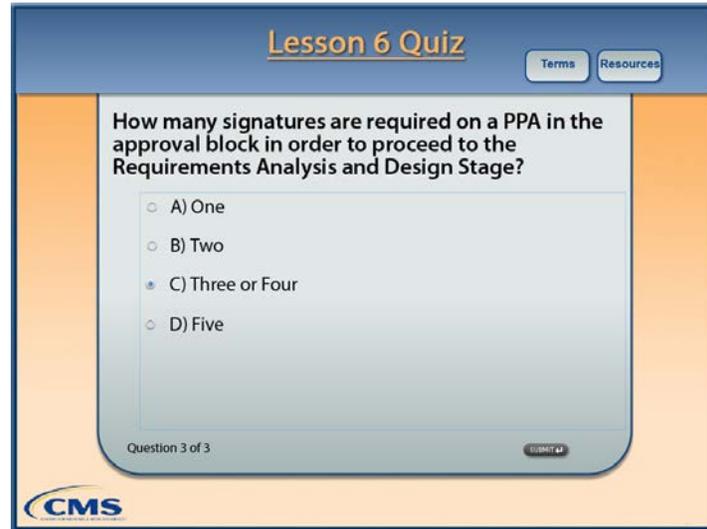
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Incorrect. Answer B is not correct. The IT Project Manager is not responsible for the PPA and obtaining approvals; the Business Owner is. The IT Project Manager may be a PPA signatory.
- Answer C is not correct. The Business Project Manager is not responsible for the PPA and obtaining approvals; the Business Owner is. The Business Project Manager may be a PPA signatory.
- Answer D is not correct. CMS IT Governance/PMO is not responsible for the PPA and obtaining approvals; the Business Owner is. CMS IT Governance/PMO is a PPA signatory.
- Answer A is correct: the Business Owner is responsible for the PPA and obtaining approvals.

Slide 15: Lesson 1 Quiz (Question 3 of 5)



Slide Content

How many signatories are required on a PPA in the approval block in order to proceed to the Requirements Analysis and Design Stage?

- A) One
- B) Two
- C) Three or Four
- D) Five

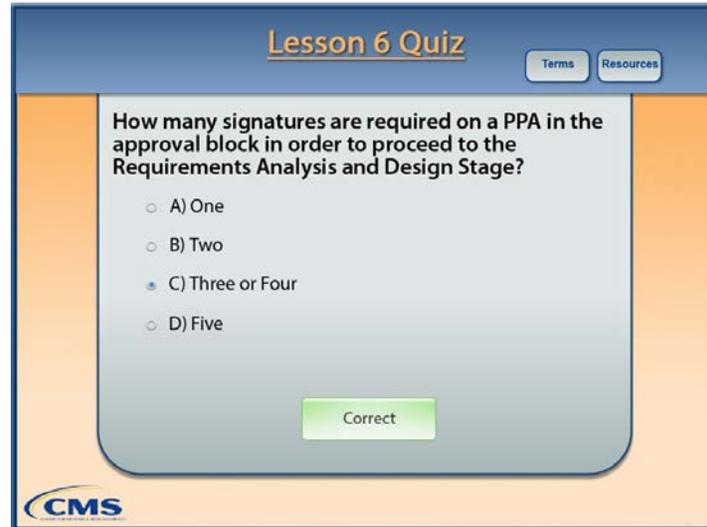
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Submit** button is located in the lower right corner of the screen.

Slide Voiceover Notes

- Question 3 of 3: How many signatories are required on a PPA in the approval block in order to proceed to the Requirements Analysis and Design Stage?

Slide 16: Correct Answer to Question 3



Slide Content

How many signatories are required on a PPA in the approval block in order to proceed to the Requirements Analysis and Design Stage?

- A) One
- B) Two
- C) Three or Four
- D) Five
- Answer: (C) Correct

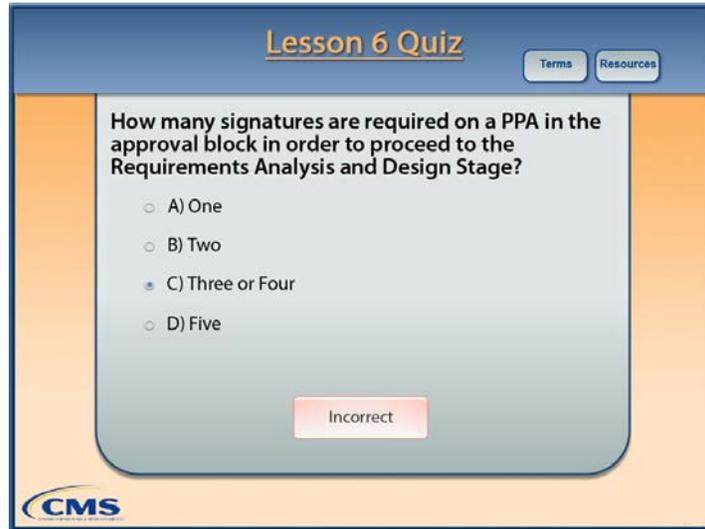
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Answer C is correct. Three or four signatures must be present in the signature block for the project to move forward to the Requirements Analysis and Design Stage.
- Some projects may have only one project manager depending on the scope.

Slide 17: Incorrect Answer to Question 3



Slide Content

Who approves the PPA?

- A) COTR, Business Owner, Configuration Manager
 - B) IT Project Manager, Business Project Manager, CMS IT Governance/PMO, and the Business Owner (noted in the PPA as the CMS Executive Sponsor)
 - C) Business Process Owner, Development Team, PMO
 - D) Chief Information Officer, Business Owner, BATS Review Board
- Answer: Incorrect

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Answers A, B, and D are incorrect. Answer C is correct. Three or four signatures, depending on the scope, must be present in the signature block for the project to move forward to the Requirements Analysis and Design Stage.

Slide 18: End of Lesson 6



Slide Content

Congratulations!

- Selecting the **Proceed to Lesson 7** button will take you back to the main menu where you can proceed to the next lesson.

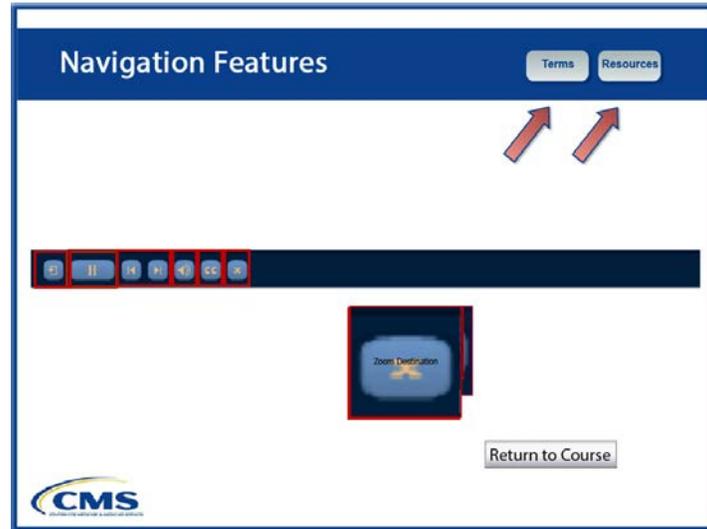
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Proceed to Lesson 7** button is at the lower right corner of the screen.

Slide Voiceover Notes

- Congratulations! You now have an understanding of Approvals. Let's move on to Lesson 7—Using the PPA in Project Planning and Contracting.
- Selecting the **Proceed to Lesson 7** button will take you back to the main menu where you can proceed to the next lesson.

Slide 19: Help Slide (Navigation Features)



Slide Content

- **Navigation Features**

Navigation Features

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Return to Course** button is at the lower right corner of the screen.

Slide Voiceover Notes

- Let's take a look at the navigation features of this e-learning course so that you can understand how to navigate the material. The main navigation buttons for the course appear at the bottom of the window on the playback.
- The main navigation button is the **Play** button and is used to progress through the course. The **Pause** button can be used to halt the course; pressing it again will resume the course.
- The **Forward** and **Back** arrows are used to review and progress through the course material. The **Rewind** button takes you back to the beginning of the course.
- The **Audio** button toggles between turning the narration on or off. The **CC** button turns closed captioning on or off. The button with the **X** exits the course.
- In addition, by selecting the **Resources** button, you will be provided with a list of related websites and other reference materials that will help you gain a better understanding of the XLC.
- The **Terms** button provides definitions of words and acronyms that may be unfamiliar to you.
- You can also use the Tab key to tab to the various navigation controls on the play back bar. Press the space bar or the Enter key to make your selection.



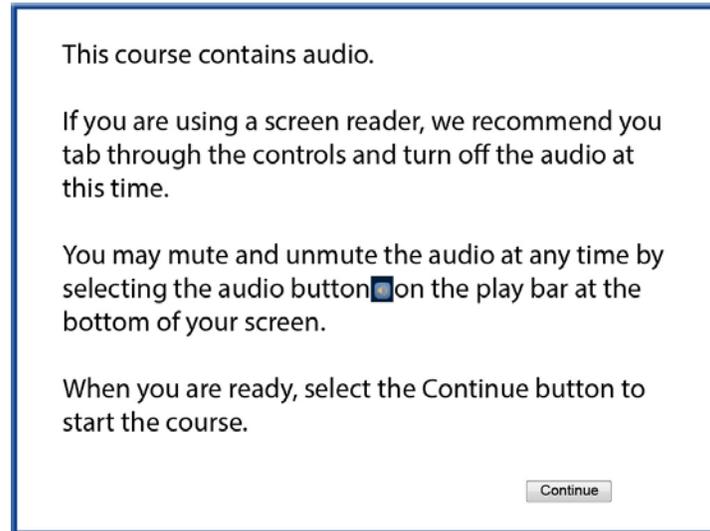
Centers for Medicare & Medicaid Services

The Project Process Agreement Lesson 7: Using the PPA in Project Planning and Contracting

Version 1.0

May 16, 2013

Course Advisory



Slide Content

- This course contains audio.
- If you are using a screen reader, we recommend you tab through the controls and turn off the audio at this time.
- You may mute and unmute the audio at any time by selecting the audio button on the play bar at the bottom of your screen.
- When you are ready, select the **Continue** button (at the bottom right of the screen) to start the course.

Navigation Buttons

- The **Continue** button is located at the bottom right corner of the screen.

Slide 1: The Project Process Agreement, Lesson 7: Using the PPA in Project Planning and Contracting



Slide Content

- Identity Mark of the Centers for Medicare & Medicaid Services
- Office of Information Services, Enterprise Architecture & Strategy Group, Division of IT Governance

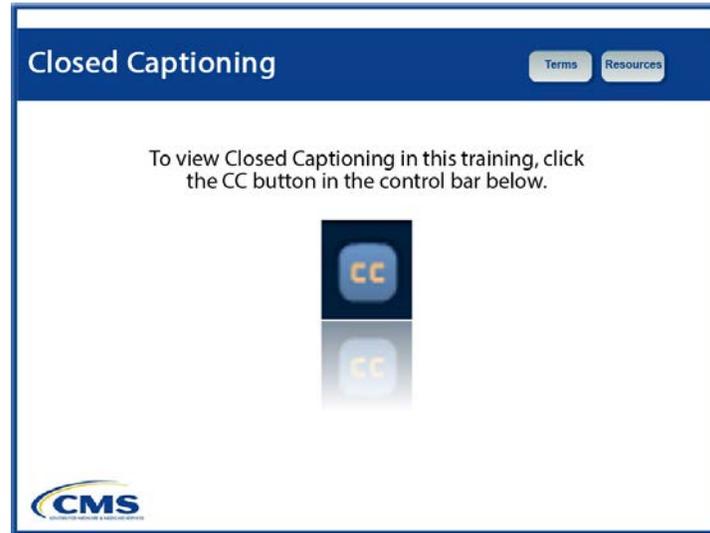
Navigation Buttons

- The **Help** button is located in the upper right of the title bar.

Slide Voiceover Notes

- Welcome to the Project Process Agreement online training course, Lesson 7—Using the PPA in Project Planning and Contracting.
- It is expected that you have an understanding of the XLC Basic Training and have completed PPA Course Lessons 1 through 6 before proceeding with this lesson.
- This lesson should take approximately 10 minutes. At the end of this lesson, there is no quiz, but there is a short Course Summary.
- Click the **Help** button for instructions on navigating through this course.

Slide 2: Closed Captioning



Slide Content

- To view Closed Captioning in this training, click the **CC** button in the control bar below.

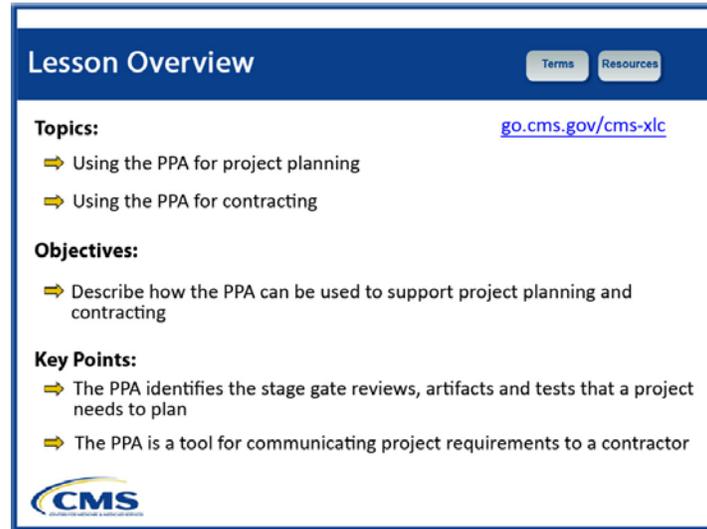
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- To view Closed Captioning in this training, click the **CC** button in the control bar below.
- In addition, by selecting the **Resources** button, you will be provided with a list of related websites and other reference materials that will help you gain a better understanding of the XLC.
- The **Terms** button provides definitions of words and acronyms that may be unfamiliar to you.

Slide 3: Lesson Overview



The screenshot shows a slide titled "Lesson Overview" with a dark blue header. In the top right corner of the header are two buttons: "Terms" and "Resources". Below the header, the slide content is organized into sections: "Topics:" with a hyperlink go.cms.gov/cms-xlc to its right; two bullet points with yellow arrowheads; "Objectives:" with one bullet point with a yellow arrowhead; and "Key Points:" with two bullet points with yellow arrowheads. The CMS logo is at the bottom left.

Slide Content

- Hyperlink to: go.cms.gov/cms-xlc

Topics:

- Using the PPA for project planning
- Using the PPA for contracting

Objectives:

- Describe how the PPA can be used to support project planning and contracting

Key Points:

- The PPA identifies the stage gate reviews, artifacts and tests that a project needs to plan
- The PPA is a tool for communicating project requirements to a contractor

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- In this lesson, we will learn about using the PPA for project planning and using the PPA for contracting.
- At the end of this lesson, you will be able to describe how the PPA can be used to support project planning and contracting.

- If you would like additional information on project planning, the XLC website, at go.cms.gov/cms-xlc, includes a Microsoft Project Plan. Included in the plan are all XLC stage gate reviews, artifacts, and tests.
- The key points in this lesson are:
 - The PPA identifies the stage gate reviews, artifacts, and tests that a project needs to plan, and
 - The PPA is a tool for communicating project requirements to a contractor.

Slide 4: PPA through IT Project's Life Cycle

PPA through IT Project's Life Cycle [Terms](#) [Resources](#)

- ✓ Use the PPA as a roadmap for your project:
 - What is the next review?
 - What artifacts do I need to prepare for the next review?
 - What tests do I need to perform?
- ✓ Re-baseline the PPA during your project, if required
- ✓ The PPA supports developing the project schedule and contractor statement of work.



Slide Content

- Use the PPA as a roadmap for your project:
 - What is the next review?
 - What artifacts do I need to prepare for the next review?
 - What tests do I need to perform?
- Re-baseline the PPA during your project, if required
- The PPA supports developing the project schedule and contractor statement of work.

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- The completed Project Process Agreement becomes a project roadmap and is the project team's guide for what is expected in order to complete delivery.
- The artifacts, reviews, and tests of a project defined in the Project Process Agreement represent tasks to be accomplished, deliverables to be developed, and milestones to be completed—all items that a project manager needs to resource, plan, and schedule in a project. The project team can use the Project Process Agreement to determine what is the next review, what artifacts need to be prepared for in that review, and what testing needs to be conducted. The Project Process Agreement is a baselined document.
- If the project undergoes significant changes in scope, the PPA may need to be reevaluated and potentially updated. If changes to the Project Process Agreement are required, they must be approved by the original PPA signatories: the IT Project Manager, the Business Project Manager, IT Governance / Project Management Office, and the Executive Sponsor.

Slide 5: Using the PPA with a Contractor

Using the PPA with a Contractor Terms Resources

Project Name: 2013
Project Description: Provider Registration System
Release Version: 4
Complexity Level: 3

Artifacts

Artifact	Owner	Start	End	Status
Business Process Analysis Review	PM	10/1/13	10/1/13	Complete
Business Process Design	PM	10/1/13	10/1/13	Complete
High Level Requirements	PM	10/1/13	10/1/13	Complete
Functional Requirements	PM	10/1/13	10/1/13	Complete
System Requirements	PM	10/1/13	10/1/13	Complete
Software Requirements	PM	10/1/13	10/1/13	Complete
System Architecture	PM	10/1/13	10/1/13	Complete
Software Architecture	PM	10/1/13	10/1/13	Complete
System Design	PM	10/1/13	10/1/13	Complete
Software Design	PM	10/1/13	10/1/13	Complete
System Test Plan	PM	10/1/13	10/1/13	Complete
Software Test Plan	PM	10/1/13	10/1/13	Complete
System Acceptance Test Plan	PM	10/1/13	10/1/13	Complete
Software Acceptance Test Plan	PM	10/1/13	10/1/13	Complete
System Deployment Plan	PM	10/1/13	10/1/13	Complete
Software Deployment Plan	PM	10/1/13	10/1/13	Complete
System Release Plan	PM	10/1/13	10/1/13	Complete
Software Release Plan	PM	10/1/13	10/1/13	Complete
System User Acceptance Test Plan	PM	10/1/13	10/1/13	Complete
Software User Acceptance Test Plan	PM	10/1/13	10/1/13	Complete
System Security Test Plan	PM	10/1/13	10/1/13	Complete
Software Security Test Plan	PM	10/1/13	10/1/13	Complete
System Performance Test Plan	PM	10/1/13	10/1/13	Complete
Software Performance Test Plan	PM	10/1/13	10/1/13	Complete
System Integration Test Plan	PM	10/1/13	10/1/13	Complete
Software Integration Test Plan	PM	10/1/13	10/1/13	Complete
System Regression Test Plan	PM	10/1/13	10/1/13	Complete
Software Regression Test Plan	PM	10/1/13	10/1/13	Complete
System Configuration Test Plan	PM	10/1/13	10/1/13	Complete
Software Configuration Test Plan	PM	10/1/13	10/1/13	Complete
System Security Test Plan	PM	10/1/13	10/1/13	Complete
Software Security Test Plan	PM	10/1/13	10/1/13	Complete
System Performance Test Plan	PM	10/1/13	10/1/13	Complete
Software Performance Test Plan	PM	10/1/13	10/1/13	Complete
System Integration Test Plan	PM	10/1/13	10/1/13	Complete
Software Integration Test Plan	PM	10/1/13	10/1/13	Complete
System Regression Test Plan	PM	10/1/13	10/1/13	Complete
Software Regression Test Plan	PM	10/1/13	10/1/13	Complete
System Configuration Test Plan	PM	10/1/13	10/1/13	Complete
Software Configuration Test Plan	PM	10/1/13	10/1/13	Complete

Stage Gates

Stage Gate	Owner	Start	End	Status
System Architecture Review	PM	10/1/13	10/1/13	Complete
Software Architecture Review	PM	10/1/13	10/1/13	Complete
System Design Review	PM	10/1/13	10/1/13	Complete
Software Design Review	PM	10/1/13	10/1/13	Complete
System Test Plan Review	PM	10/1/13	10/1/13	Complete
Software Test Plan Review	PM	10/1/13	10/1/13	Complete
System Acceptance Test Plan Review	PM	10/1/13	10/1/13	Complete
Software Acceptance Test Plan Review	PM	10/1/13	10/1/13	Complete
System Deployment Plan Review	PM	10/1/13	10/1/13	Complete
Software Deployment Plan Review	PM	10/1/13	10/1/13	Complete
System Release Plan Review	PM	10/1/13	10/1/13	Complete
Software Release Plan Review	PM	10/1/13	10/1/13	Complete
System User Acceptance Test Plan Review	PM	10/1/13	10/1/13	Complete
Software User Acceptance Test Plan Review	PM	10/1/13	10/1/13	Complete
System Security Test Plan Review	PM	10/1/13	10/1/13	Complete
Software Security Test Plan Review	PM	10/1/13	10/1/13	Complete
System Performance Test Plan Review	PM	10/1/13	10/1/13	Complete
Software Performance Test Plan Review	PM	10/1/13	10/1/13	Complete
System Integration Test Plan Review	PM	10/1/13	10/1/13	Complete
Software Integration Test Plan Review	PM	10/1/13	10/1/13	Complete
System Regression Test Plan Review	PM	10/1/13	10/1/13	Complete
Software Regression Test Plan Review	PM	10/1/13	10/1/13	Complete
System Configuration Test Plan Review	PM	10/1/13	10/1/13	Complete
Software Configuration Test Plan Review	PM	10/1/13	10/1/13	Complete

Tests

Test	Owner	Start	End	Status
System Architecture Test	PM	10/1/13	10/1/13	Complete
Software Architecture Test	PM	10/1/13	10/1/13	Complete
System Design Test	PM	10/1/13	10/1/13	Complete
Software Design Test	PM	10/1/13	10/1/13	Complete
System Test Plan Test	PM	10/1/13	10/1/13	Complete
Software Test Plan Test	PM	10/1/13	10/1/13	Complete
System Acceptance Test Plan Test	PM	10/1/13	10/1/13	Complete
Software Acceptance Test Plan Test	PM	10/1/13	10/1/13	Complete
System Deployment Plan Test	PM	10/1/13	10/1/13	Complete
Software Deployment Plan Test	PM	10/1/13	10/1/13	Complete
System Release Plan Test	PM	10/1/13	10/1/13	Complete
Software Release Plan Test	PM	10/1/13	10/1/13	Complete
System User Acceptance Test Plan Test	PM	10/1/13	10/1/13	Complete
Software User Acceptance Test Plan Test	PM	10/1/13	10/1/13	Complete
System Security Test Plan Test	PM	10/1/13	10/1/13	Complete
Software Security Test Plan Test	PM	10/1/13	10/1/13	Complete
System Performance Test Plan Test	PM	10/1/13	10/1/13	Complete
Software Performance Test Plan Test	PM	10/1/13	10/1/13	Complete
System Integration Test Plan Test	PM	10/1/13	10/1/13	Complete
Software Integration Test Plan Test	PM	10/1/13	10/1/13	Complete
System Regression Test Plan Test	PM	10/1/13	10/1/13	Complete
Software Regression Test Plan Test	PM	10/1/13	10/1/13	Complete
System Configuration Test Plan Test	PM	10/1/13	10/1/13	Complete
Software Configuration Test Plan Test	PM	10/1/13	10/1/13	Complete

APPROVALS

Role	First Name	Date
Project Manager		
Business Project Manager		
S&E Compliance (PM)		
S&E Compliance, Sponsor		

Slide Content

- The PPA provides a view of project scope
 - Artifacts to develop
 - Stage Gate Reviews to conduct
 - Tests to perform
- Input to Project Schedule

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- The approved PPA can be provided to a contractor as part of a request for proposal (or RFP). The PPA, in its definition of project scope, provides context that is critical in understanding the scope of work for a project.
- A contractor needs to understand the artifacts to be developed, stage gate reviews to be conducted, and tests to be performed.
- The Project Process Agreement clearly defines this view of the project scope and supports the contractor's need to resource, plan, and schedule a project.

Slide 6: XLC Project Schedule

XLC Project Schedule

Terms
Resources

- ⇒ Microsoft Project Template
- ⇒ Supports artifact, review and test tracking
- ⇒ Includes project reporting milestones

XLC Project Schedule is located at:
<http://go.cms.gov/cms-xlc>

Slide Content

- Microsoft Project Template
- Supports artifact, review and test tracking
- Includes project reporting milestones
- XLC Project Schedule is located at: <http://go.cms.gov/cms-xlc>

Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- The XLC framework includes a Microsoft Project template with all XLC Artifacts, Reviews, and Tests.
- The XLC Project Schedule includes project milestones for simplified reporting. It includes a fully networked schedule with predecessor and successor relationships.
- The XLC Project Schedule can be found at <http://go.cms.gov/cms-xlc>.

Slide 7: Starting a Project

Starting a Project

Terms Resources

New Idea

STEP 1 Business Owner

- Submits IT Intake Request Form

STEP 2 CMS Intake Review Team (CIRT)

- Evaluates IT Intake Request Form
- Specifies next steps

STEP 3 CIRT Member

- Contacts Business Owner
- Advises Business Owner on next steps

XLC Continues

IT Intake Request Form is located at: <http://go.cms.gov/cms-xlc>

IT Intake Request Form

The purpose of the IT Intake Request Form is to collect basic information from the Business Owner for:

- Ideas for new IT projects
- New projects beginning the life cycle
- Existing O&M projects coming back through the life cycle
- New projects/ideas that need to complete Attachment Bs for the CIO IT Budget Call Letter
- Guidance with System Disposition
- Requesting additional resources (project team members) for existing projects
- Help in tracing and routing the collected information to the appropriate area for handling

Instructions: Please complete this form and click the "Submit my Request" button at the bottom of the form to initiate the intake process. All fields must be filled in. Please note: ONLY the business owner/GTL or other CMS employee can complete and submit this form. Contractors cannot submit this form.

Part I: Requester Information

1. Services Requested:

2. Date of Request: February 28, 2012

3. Business Owner:

4. Requester's Name:

5. Project Manager:

6. Component:

Part II: Project or Idea Information

7. Name and acronym:

Slide Content

- IT Intake Request Form is located at <http://go.cms.gov/cms-xlc>

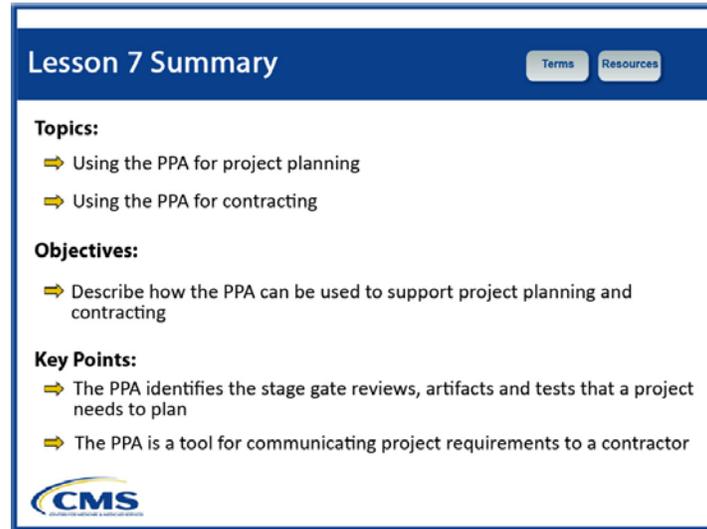
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- A quick bit of advertising! Starting a project is a three-step process:
 - Step 1:** Starting a project begins with an idea of a project that includes Information Technology. The Business Owner drafts and submits an IT Intake Request Form. The IT Intake Request Form is short (roughly a page), and notifies CMS's Office of Information Services (or OIS) that a Business Owner may need some help.
 - Step 2:** The IT Intake Request Form is evaluated by the CMS's Intake Review Team (or CIRT). The CIRT specifies next steps and recommends assignment of a CIRT Member to assist the Business Owner with navigating the XLC startup process.
 - Step 3:** The assigned CIRT Member contacts and works with the Business Owner to initiate the project.
- Tasks performed may include the assessment of project complexity and risk, as well as development of the Project Process Agreement prior to the Investment Selection Review.

Slide 8: Lesson 7 Summary



Lesson 7 Summary Terms Resources

Topics:

- ➔ Using the PPA for project planning
- ➔ Using the PPA for contracting

Objectives:

- ➔ Describe how the PPA can be used to support project planning and contracting

Key Points:

- ➔ The PPA identifies the stage gate reviews, artifacts and tests that a project needs to plan
- ➔ The PPA is a tool for communicating project requirements to a contractor



Slide Content

Topics:

- Using the PPA for project planning
- Using the PPA for contracting

Objectives:

- Describe how the PPA can be used to support project planning and contracting

Key Points:

- The PPA identifies the stage gate reviews, artifacts and tests that a project needs to plan
- The PPA is a tool for communicating project requirements to a contractor

Navigation Buttons

- The Terms and Resources buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- Let's summarize what we have just reviewed in Lesson 7—Project Planning. In this lesson, we covered how to use the PPA for project planning and for contracting. You should be able to describe how the PPA can be used to support project planning and contracting.
- The key points covered in this lesson were:
 - The PPA identifies the stage gate reviews, artifacts, and tests that a project needs to plan for, and
 - The PPA is a tool for communicating project requirements to a contractor.
- You should now have an understanding of how to use the PPA in your project planning and contracting.

Slide 9: PPA Course Summary

PPA Course Summary Terms Resources

Using an IT Project Process Agreement (PPA) Course

Lessons and Topics:

- ✓ Lesson 1 Introduction to the PPA
- ✓ Lesson 2 Project Complexity Determination
- ✓ Lesson 3 Reviews
- ✓ Lesson 4 XLC Artifacts
- ✓ Lesson 5 XLC Testing
- ✓ Lesson 6 XLC Approvals
- ✓ Lesson 7 Using the PPA in Project Planning and Contracting

Course Objective:

- ➔ Familiarize you with how to complete a PPA during a CMS IT project



Slide Content

Using an IT Project Process Agreement (PPA) Course

- **Lessons and Topics**
 - Lesson 1 Introduction to the PPA
 - Lesson 2 Project Complexity Determination
 - Lesson 3 Reviews
 - Lesson 4 XLC Artifacts
 - Lesson 5 XLC Testing
 - Lesson 6 XLC Approvals
 - Lesson 7 Using the PPA in Project Planning and Contracting
- **Course Objective:**
 - Familiarize you with how to complete a PPA during a CMS IT Project

Navigation Buttons

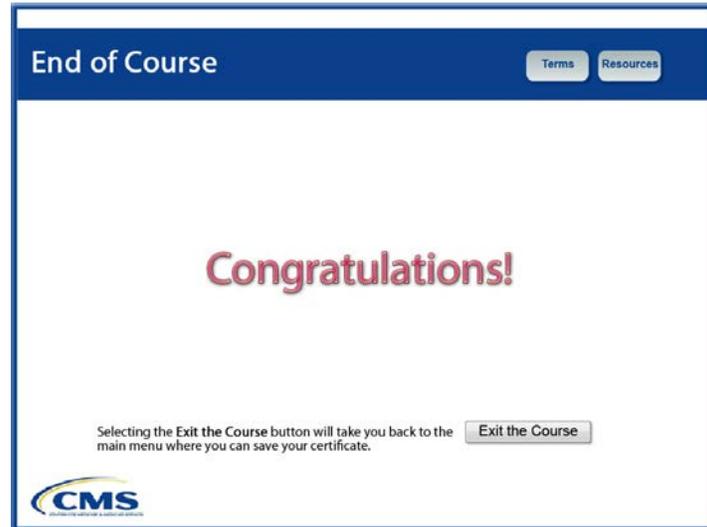
- The **Terms** and **Resources** buttons are located in the upper right of the title bar.

Slide Voiceover Notes

- This course described how the Project Process Agreement (PPA) document is helpful to a CMS Project Manager when an IT project entails different levels of risk, complexity, and funding.
- In this course, we covered the following seven lessons and topics:
 - Lesson 1, Introduction to the PPA;
 - Lesson 2, Project Complexity Determination;

- Lesson 3, Reviews;
 - Lesson 4, XLC Artifacts;
 - Lesson 5, XLC Testing;
 - Lesson 6, XLC Approvals; and
 - Lesson 7, Using the PPA in Project Planning and Contracting.
- The Course Objective was to familiarize you with how to complete a PPA during your IT project.
 - You should now be able to describe the PPA and its five components: project complexity determination, artifacts, stage gate reviews, tests, and signature page.
 - You should be able to explain how to use the PPA to evaluate your **complexity level** of the project's characteristics and to perform a project complexity determination. Is your project a level 1, (low complexity), Level 2, (medium complexity) or Level 3 (high complexity) project?
 - You should be able to identify the **reviews** required for your project based on the project complexity level. Remember, the PPA documents the minimum number of reviews that CMS requires.
 - You should be able to document the **artifacts** required for your project based on the selected reviews. Remember that artifacts are grouped into three different types: Project Management, Security, and Systems Development.
 - You should be able to document the **tests** required for your project. Remember, tests occur after the Development Stage. You should be able to document the rationale for when to use, combine, or not use an artifact, review, or test based on your project's complexity. Tailoring is permitted in the XLC to allow you to manage your project with your best judgment. You should be able to identify the approvals required for your PPA (you obtain approvals prior to the Investment Selection Review), and you should be able to describe how the PPA can be used to support your project planning and contracting requirements.
 - Contractors need to resource, plan, and schedule projects, too. Using the PPA will help to keep all of CMS's IT projects right on schedule.

Slide 10: End of Course



Slide Content

Congratulations!

- Selecting the **Exit the Course** button will take you back to the main menu where you can save your certificate.

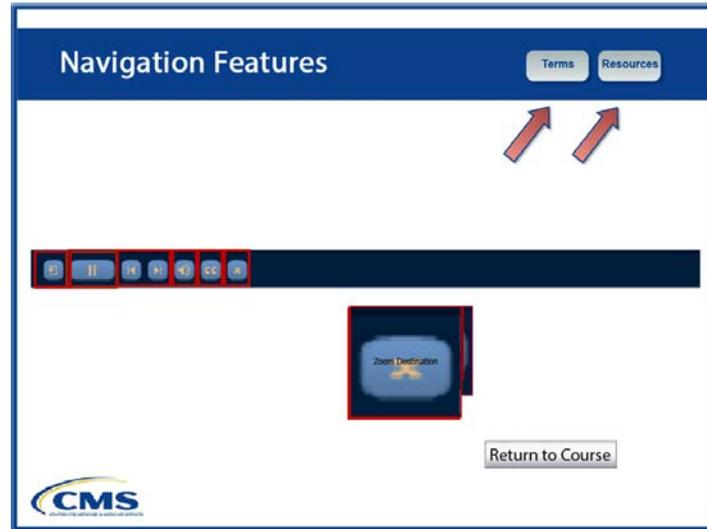
Navigation Buttons

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Exit the Course** button is at the lower right corner of the screen.

Slide Voiceover Notes

- Congratulations! You now have completed the PPA e-learning training! Selecting the **Exit the Course** button will take you back to the main menu where you can save your certificate.

Slide 31: Help Slide (Navigation Features)



Slide Content

- **Navigation Features**

Navigation Features

- The **Terms** and **Resources** buttons are located in the upper right of the title bar.
- The **Return to Course** button is at the lower right corner of the screen.

Slide Voiceover Notes

- Let's examine the navigation features of this e-learning course so that you can understand how to navigate the material. The main navigation buttons for the course appear at the bottom of the window on the playback.
- The main navigation button is the **Play** button and is used to progress through the course. The **Pause** button can be used to halt the course; pressing it again will resume the course.
- The **Forward** and **Back** arrows are used to review and progress through the course material. The **Rewind** button takes you back to the beginning of the course.
- The **Audio** button toggles between turning the narration on or off. The **CC** button turns closed captioning on or off. The button with the **X** exits the course.
- In addition, by selecting the **Resources** button, you will be provided with a list of related websites and other reference materials that will help you gain a better understanding of the XLC.
- The **Terms** button provides definitions of words and acronyms that may be unfamiliar to you.
- You can also use the Tab key to tab to the various navigation controls on the play back bar. Press the space bar or the Enter key to make your selection.