

Department of Health and Human Services

**OFFICE OF
INSPECTOR GENERAL**

**CMS ENROLLMENT SYSTEM
NEEDS TO ENHANCE
RESILIENCY**

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Office of Inspector General

<https://oig.hhs.gov>

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Notices

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OFFICE OF AUDIT SERVICES FINDINGS AND OPINIONS

The designation of financial or management practices as questionable, a recommendation for the disallowance of costs incurred or claimed, and any other conclusions and recommendations in this report represent the findings and opinions of OAS. Authorized officials of the HHS operating divisions will make final determination on these matters.

Report in Brief

Date: September 2018
Report No. A-18-17-06501

U.S. DEPARTMENT OF HEALTH & HUMAN SERVICES
OFFICE OF INSPECTOR GENERAL



Why OIG Did This Review

The Centers for Medicare & Medicaid Services (CMS) Enrollment Database (EDB) is the primary source of Medicare enrollment information for the entire population of beneficiaries who have ever received Medicare benefits. Based on CMS officials' estimates, we calculated the daily financial impact of a nonfunctional EDB to be approximately \$47 million.

Our objective was to determine whether CMS implemented security controls within the EDB to protect the confidentiality, integrity, and availability of Medicare enrollee data, in accordance with Federal requirements.

How OIG Did This Review

We reviewed CMS's policies and procedures, interviewed staff, reviewed system security documentation, and conducted visits to contingency planning sites to determine whether EDB security controls were adequate.

CMS Enrollment System Needs To Enhance Resiliency

What OIG Found

CMS needs to improve existing Information Technology controls to enhance the resiliency of the Medicare enrollment system. We found that CMS could improve its risk management oversight and the current controls in place to ensure the availability of the EDB.

During our audit fieldwork we notified CMS management of our preliminary findings. We provided actionable recommendations for CMS to implement in an effort to timely mitigate the vulnerabilities we identified.

What OIG Recommends and CMS Comments

We provided a restricted report to CMS that included five recommendations. CMS concurred with all of our recommendations, and stated the current system is being integrated into a larger Medicare system. We do not believe CMS's system consolidation will have a significant impact on our findings and recommendations.