

Type of Review/Audit	Title of Review/Audit	Date Submitted	Period Covered	Reviewer/Auditor	Scope
	FY 12 Financial Audit	10/2/2012	7/1/11 - 6/30/12	Kundinger, Corder & Eagle, P.C. (Independent CPA/Audit Firm, specializing in non-profit entities)	Financial Audit, including review of internal controls
	Federal Single (A-133) Audit	10/2/2012	7/1/11 - 6/30/12	Kundinger, Corder & Eagle, P.C. (Independent CPA/Audit Firm, specializing in non-profit entities)	Federal Single (A-133) Audit for compliance under HHS Federal Grant Program, including policy compliance
Independent Financial/Compliance Audits	FY 13 Financial Audit	10/2/2012	7/1/12 - 6/30/13	Kundinger, Corder & Eagle, P.C. (Independent CPA/Audit Firm, specializing in non-profit entities)	Financial Audit, including review of internal controls
	Federal Single (A-133) Audit	11/14/2013	7/1/12 - 6/30/13	Kundinger, Corder & Eagle, P.C. (Independent CPA/Audit Firm, specializing in non-profit entities)	Federal Single (A-133) Audit for compliance under HHS Federal Grant Program, including policy compliance
	State Audit	TBD	Unknown	Office of the State Auditor	SB 11-200 states all monies received by the Exchange are subject to audit by the Legislative Audit Committee
	FY14 Financial Audit & Federal Single (A-133) Audit	Scheduled August 2014	7/1/13 - 6/30/14		

Connect for Health Colorado
 Schedule of Audits Reviews through 4/12/2014

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	Planning Review	9/4/2012	11/01/12 - 9/1/12	CMS/CCIO/OIS (Federal program oversight and funder)	Review of planning activities (e.g. governance, scope, acquisition strategy, concept of ops, organization, high-level schedule, funding).
	Detailed Design Review	4/8/2013	9/1/12 - 4/8/13	CMS/CCIO/OIS (Federal program oversight and funder)	Review of proposed technical architecture, consumer experience, contingency plans, contracts awarded, staffing, funding, detailed schedule, CMS/CCIO artifacts.
	Final Detailed Design Review	6/5/2013	4/9/13 - 6/5/13	CMS/CCIO/OIS (Federal program oversight and funder)	Reviewed final architecture, broker and Health Coverage Guide programs, schedule, implementation issues, staffing, funding. Reviewed status of design and other artifacts. Viewed demo of some Marketplace functionality.
	Implementation and Operational Readiness Review	9/13/2013	6/6/13 - 9/13/13	CMS/CCIO/OIS (Federal program oversight and funder)	Reviewed operational model for service center. Viewed demo of end-to-end Marketplace functionality. Reviewed status of artifacts. Reviewed outreach and marketing campaign. Reviewed progress on privacy and security documents.
	Privacy & Security Review	9/13/2013	9/10/2013	CMS/IRS	Reviewed architecture for handling of PII, PHI, FTL. Reviewed policies and procedures. Toured hosting site (Phoenix Data Center).

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	Financial Consultation Review/Review of Sustainability	1/18/2014	10/1/13-1/18/14	CMS/CCIO/OIS (Federal program oversight and funder)	Review grant expenditure planning, sustainability plan progress, A-133 Audit compliance, and required Federal reporting.
	Oversight and Monitoring Review	2/6/2014	10/1/13-2/6/14	CMS/CCIO/OIS (Federal program oversight and funder)	Review processes and procedures to verify compliance and monitoring in operational activities, training, governance, quality assurance, and certifications for Health Coverage Guides and Agents/Brokers.
CMS Operational Reviews	Shared Application Eligibility Design Review	3/19/2014	3/19/2014	CMS/CCIO/OIS (Federal program oversight and funder)	Review shared application project management, IT development and milestones, governance structure, and system design to including architecture, business rules, and integration design.
	Service Center Operations Review	3/20/2014	10/1/13-3/20/14	CMS/CCIO/OIS (Federal program oversight and funder)	Site visit to Colorado Springs Service center to review operations of front and back office activities, training, QA, financial management, eligibility & enrollment, and security.

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Independent Validation and Verification (IV&V)	IV&V Review #1	1/13/2013	7/1/12 - 12/1/12	First Data (Independent Verification & Validation - IV&V)	Independent assessment of deliverables and performance under the Systems Integrator (SI), CGI Contract. To confirm CGI's compliance with the following activities: requirements of the CGI Contract, applicable laws, regulations and other government requirements, COHBE third party software license agreements, policies, procedures and requirements, and industry best practices.
	IV&V Review #2	4/19/2013	12/1/12 - 3/25/13	First Data (Independent Verification & Validation - IV&V)	The review covered the following areas: <ul style="list-style-type: none"> - Interviews with various Stakeholders - Project schedules (CGI and CAHCO) - Organization and resources (CGI and CAHCO) - PMO management (CGI and CAHCO) - Requirements and traceability - Service center buildout - Back office procedures - Training materials development and training plan - SDLC project management, design, data modeling, build, financial systems
	IV&V Review #3	6/18/2013	3/26/13 - 5/13/13	First Data (Independent Verification & Validation - IV&V)	System Security Plan Requirements documents Overall release schedule Release plan System design documents Test plans Contingency plans Database design documents Interface control documents
	IV&V Review #4 & 5	8/12/2013	5/14/13 - 8/1/13	First Data (Independent Verification & Validation - IV&V)	CAHC and HCPF Interoperability Configuration management Service Center requirements traceability Service portal System test deployment planning User acceptance test Business continuity

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Independent Vulnerability Assessment and Penetration Testing	Security Assessment and Penetration Testing Report	9/23/2013	Pre-Go-live	Coalfire	Meet the requirements of the CMS Federal Data Services Hub connectivity for 3rd party assessment Address Minimum Acceptable Risk Controls for Exchanges requirements for security assessments Provide risk management activities and guidance to the C4HCO team to go-live with a 10/1/13 production schedule