Department of Health Care Services
CA-MMIS
Project Management Plan Overview

Version 3.00

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Preface

Revision History

Version	Date	Description	Author
1.0	06/10/2010	Restructure plan template and content per discussion with DHCS, plan approval	Nicole Tressler
1.1	03/06/2012	Restructure document into SPARK-ITS Template and update for Legacy Operations and Replacement System phases	Pamela Preston
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Configuration of This Document

This document is under limited configuration management. See the *Configuration Items List* in the CA-MMIS SharePoint site for details.

1. Introduction

The *Project Management Plan Overview* (*PMPO*) provides a high-level description of the Project Management Methodology (PMM) activities used on the California Medicaid Management Information System (CA-MMIS) Contract.

The PMM is composed of a group of project management plans (PMPs), processes, procedures, and tools used to effectively and efficiently manage project activities. Key relationships between the various plans and processes support execution of project tasks and activities in a structured and repeatable manner.

1.1 Scope

This document is intended to provide Department of Health Care Services (DHCS) and CA-MMIS staff with an overview of the PMM: its purpose, structure, alignment with industry standards, and key work products as adopted and tailored by the Xerox State Healthcare, LLC (Xerox), Enterprise Project Management Office (EPMO), and project management leadership.

1.2 Objectives

Through the PMPs, the *PMPO* defines how the project will be executed, monitored, controlled, and closed. It includes actions necessary to define, integrate, and coordinate project management processes selected by the project management team.

2. PMM Process Groups

The PMM is a grouping of plans, processes, procedures, and tools used to manage the CA-MMIS activities. Aspects of the "business" side of the project are governed by the PMM, while aspects of the "development" side are governed by the system development methodology (SDM). Our PMM is built on the recognized project management areas of knowledge outlined in the *Project Management Body of Knowledge* (*PMBOK®) Guide —* Fourth Edition. The Project Management Institute's (PMI's) five project management process groups provide a framework for organizing project management processes defined by the nine *PMBOK® Guide* knowledge areas.

The following are the five *PMBOK® Guide* process groups:

1. Initiate
2. Plan
3. Execute
4. Control
5. Close

The PMM is composed of the same five process groups. Each contains one or more core process using standard tools and templates. A graphical representation of the various elements of the Xerox PMM is shown in Figure 1: PMBOK Process Groups below.
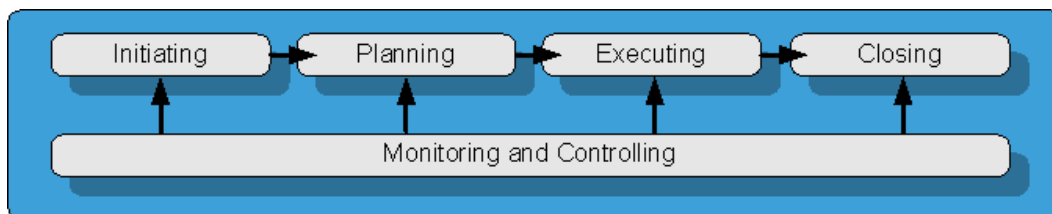
Figure 1: PMBOK Process Groups

These process groups occur in concert with the SDM. The following list includes a brief definition of each of the five process groups that are an integral part of the Xerox PMM.

1. **Initiating** — A formal approval for each project and project kickoff is obtained. This includes the activities conducted at the beginning of each project phase to determine or reaffirm the management team and to document and approve the business criteria and strategy for the phase.

2. **Planning** — Project requirements, client expectations, and project objectives are determined and the project baseline plan is created. In this phase, workable methods are developed and maintained for accomplishing business needs and objectives that the project was originally undertaken to address. This includes activities conducted throughout the project that identify and reaffirm the processes, practices, procedures, resources, schedules, and deliverables that are needed or expected for successful completion of business goals and objectives.

3. **Executing** — Work is performed according to the plan in order to meet deliverable requirements. Scope control is carefully monitored in this phase of the project. Status is tracked and reported. This phase includes staff activities performed to prepare and accept the deliverables needed to meet business objectives. These deliverables are set forth in the schedule (also known as "work plan"), which captures and reports on the progress of the project.

4. **Closing** — Projects are closed and final client approval is obtained for the end deliverable. Post-project evaluations are conducted and lessons learned are documented and stored. This includes activities conducted at the end of a phase or project to transition resources back to their normal duties. It also includes activities required to end the phase or project in an orderly manner.

5. **Controlling** — Issues and risks are identified and resolved, progress is measured and monitored, and changes that affect project, cost, timing, and quality are managed. A process to measure and record project metrics is also established and implemented in the executing phase of the project. This includes activities conducted by the management team to monitor the progress of planned and unplanned work. It also includes the corrective actions taken to avoid or resolve performance problems that may endanger the business objectives of the phase.

The PMM components are illustrated below in Figure 2: Project Management Processes. Key PM processes described in the PMBOK are included in the top tier (these are described further in Section 3 PMM Topics). Governance is also included in the diagram as a key PM process as it supports the facilitation of decision-making and resolution of project concerns. Supporting PM and system development (SD) processes are identified in the diagram's lower tier. Detailed standard operating procedures (SOPs) have been developed for many of the PMP processes (as indicated in the diagram). The SOPs were developed to help verify structured and consistent execution of the tasks associated with the PM process.

It is important to note that Xerox PMM process inputs and outputs depend on the PMM life cycle phase in which they are accomplished. During a project, there will be many overlaps. The planning process, for example, must not only provide details about the work to be performed to bring the current project phase to successful completion, but also provide a preliminary description of work to be performed in later phases. See the various PMM plans for specific activities conducted to initiate, plan, execute, control, and close each process.

PMP Overview

PMM

Key PM Processes (PMBOK, Governance)

Change Control Management	Communication Management	Decommissioning	Governance Management	Human Resource Management	Issue Management	Quality Management	Risk Management	Scope (WBS) Management	Time (Schedule) Management
SOP	SOP					SOP			SOP

Supporting Processes (PM, SD)**

Action Item Management	Configuration Management**	Defect Management**	Deliverable Management	Document Management**	Release Management**	Requirements Management**
	SOP		SOP		SOP	SOP

Legend

Key PM Process

Supporting Process

Standard Operating Procedure

** = SD Supporting Process

Figure 2: Project Management Processes

2.1 Integration with System Development

The combined efforts of the SDM, used for defining system solutions, and the PMM is the encompassing methodology for overall project management for the CA-MMIS Contract. These two methodologies are used concurrently to manage and implement projects.

Every effort has been made to verify the PMM and SDM work together, do not conflict, and focus on their respective areas of expertise. Aspects of systems and software development, particularly design, code, and test, are governed by the SDM, while the aspects of project management, the "business" side of the project, are governed by the PMM.

The project managers use the PMPs to plan, manage, monitor, deliver, and support each project for which it is responsible. The processes, standards, and activities identified in the PMPs are applied universally to each project and verify that similar management tasks are performed in a similar way. Executing tasks in a retrievable, repeatable, and measureable manner ensures consistent, high-quality work products, ultimately resulting in successful project implementation.

The PMM governs the PMPs, which address the management of a project and the higher level activities that support schedule, communication, change control, quality, risk, scope, time, etc.; whereas the SDM governs the System Replacement plans and *Technical Architecture Plan (TAP)*, which address a specific technical solution and by design are not focused on the higher level organizational issues. The two methodologies work together to ensure successful project implementations.

The graphics that follow illustrate both the high-level and more detailed-level alignment and relationship of the two methodologies. Specifically, Figure 3 shows how the PMM process groups, also known as phases, align with the SDM phases. As indicated in the graphic, the overarching function of the EPMO is to monitor and control projects throughout the life of the CA-MMIS Contract. Figure 4 provides additional detail that illustrates the SDM and PMM activities and how they are related. In this illustration, it is clear that the PMM, detailed within the PMP processes, are executed by the EPMO through the Contract lifecycle.
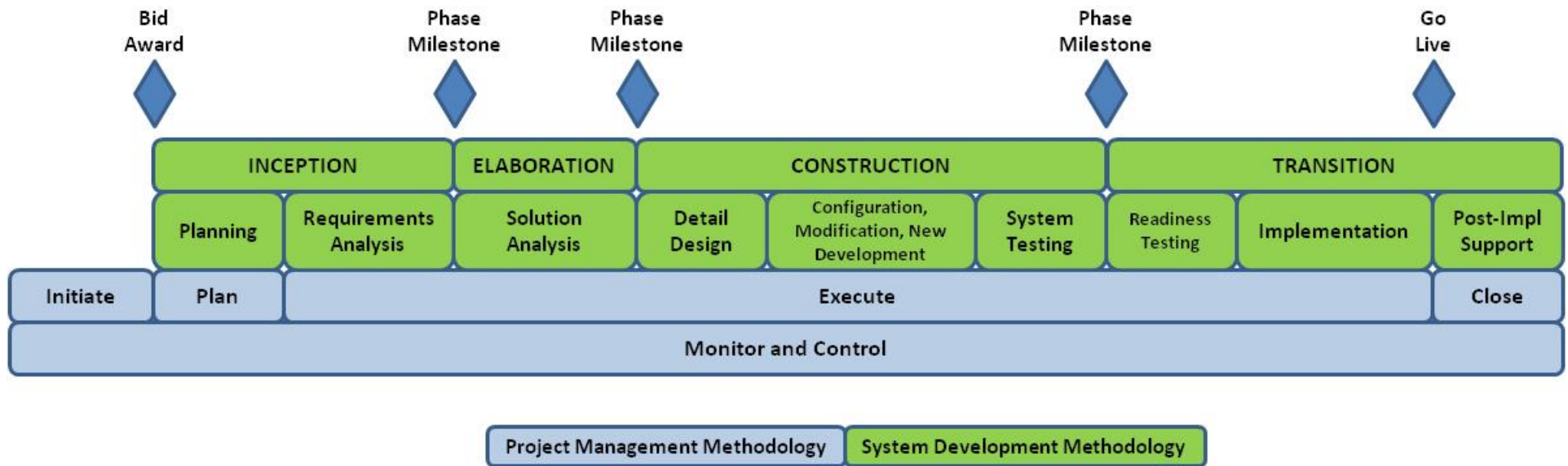
Figure 3: SDM and PMM Phase Relationship
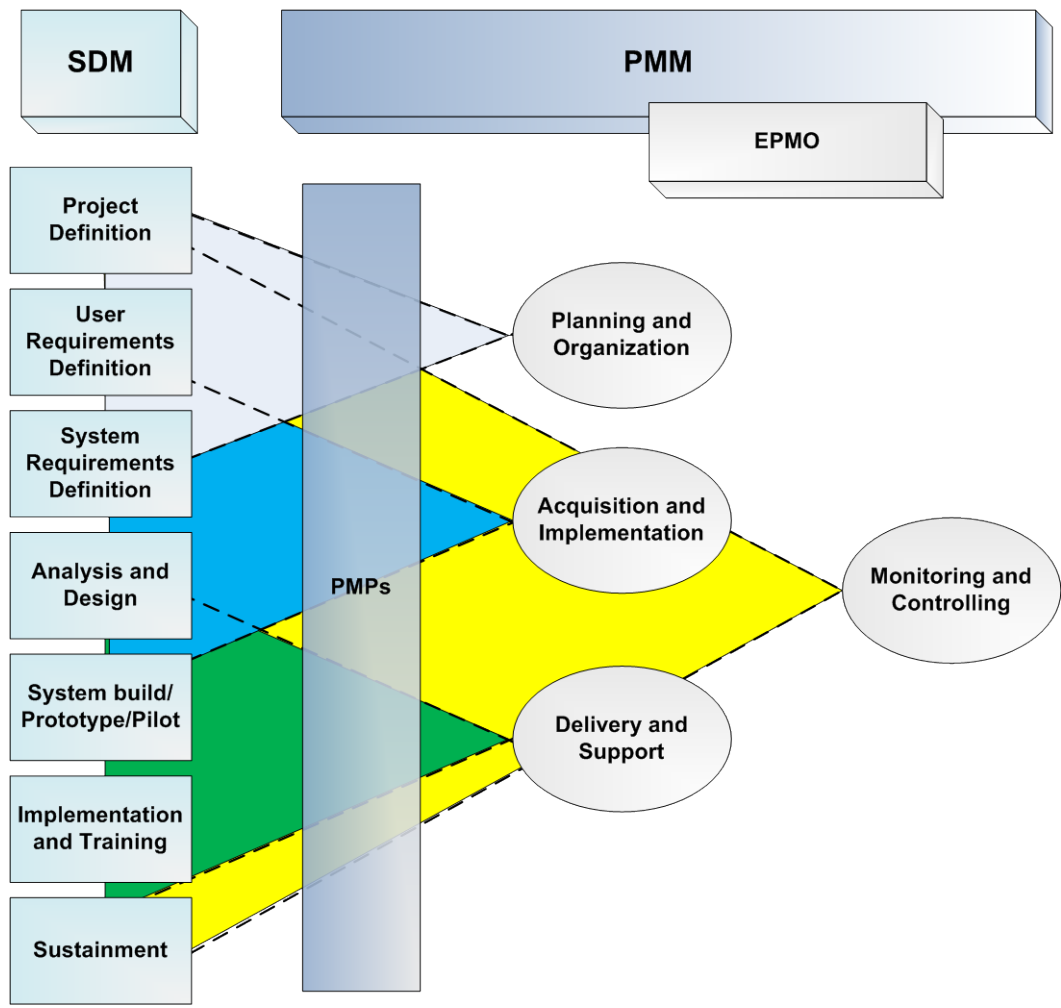
Figure 4: SDM and PMM Activity Relationship

3. PMM Alignment with PMBOK

The PMPs, which compose Xerox' PMM, align with the *PMBOK® Guide*, as well as other standards such as Carnegie Mellon's Software Engineering Institute's (SEI) Capability Maturity Model Integration (CMMI®) and the Institute of Electronics and Electrical Engineers (IEEE).

The following are the nine *PMBOK® Guide* knowledge areas:

1. Integration Management
2. Scope Management
3. Time Management
4. Cost Management
5. Quality Management
6. Human Resource Management
7. Communication Management
8. Risk Management
9. Procurement Management

Our PMPs meet the nine knowledge areas of the PMBOK® Guide, as shown in the table below.

PMBOK Knowledge Areas	Xerox PMPs

1. Project Integration Management	*Project Management Plan Overview*
	Action Item Management Plan[1]
	Configuration Management Plan
	Document Management Plan
	Integration Management Plan composed of:
	    Change Control Management Plan
	    Decommissioning Plan
	    Issue Management Plan
	Release Management Plan

2. Project Scope Management	*Requirements Management Plan*[1] *Scope Management Plan*
3. Project Time Management	*Time (Schedule) Management Plan*
4. Project Cost Management	*Cost Management Plan*[2]

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[1] This PMP is not formally recognized as part of the PMBOK knowledge areas and was not proposed for Takeover in the Narrative Technical Proposal (NTP); however, per FI letters T-0302/A-0253, this PMP was added.

PMBOK Knowledge Areas	Xerox PMPs
5. Project Quality Management	*Quality Management Plan*[3]
6. Project Human Resource Management	*Human Resource Management Plan*
7. Project Communication Management	*Communication Management Plan* *Deliverable Management Plan*[1] *Governance Management Plan*[1]
8. Project Risk Management	*Risk Management Plan* *Defect Management Plan*[1]
9. Project Procurement Management	*Procurement Management Plan*[2] *Subcontractor Management Plan*

The PMPs listed in the above table are described in detail (in alphabetical order) in the "PMM Plans" section. Individual management directive plans for each of the topics above are retained in the CA-MMIS SharePoint site.

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[2] Per FI letters T-0348/A-0309, the Cost Management Plan and Procurement Management Plan are no longer included in the list of PMP deliverables as they have been incorporated into the *Accounting Procedures* deliverable.
[3] Per FI letters T-0309/A-0253, the Quality Management Plan was removed from inclusion of the PMP and defined as its own deliverable.

4. Project Management Plans

As discussed earlier in this document, the PMM is composed of multiple PMPs that work together in concert to provide a methodology suitable for managing project activities. Each of the individual PMP processes has relationships with other processes, some of which are essential to the success of that specific PMP process. These are referred to as "essential relationships" in this document.

This section of the *PMPO* provides a high level description of each of the PMPs including objectives, key content, and essential relationships with other PMP processes. Relationships with other processes and tools are discussed further within each of the PMPs. Also included is a small graphic illustrating the relationships. The same diagram is included in each PMP along with a more detailed description of the relationships. The graphic is included here as a visual aid and to integrate the individual PMP with this *PMPO* document.

4.1 Action Item Management Plan

The *Action Item Management Plan* documents the management strategy for identifying and managing project action items. It mandates that action items are communicated to management and other project stakeholders, as appropriate and in a timely manner.

4.1.1 Objectives

The following are the objectives of the *Action Item Management Plan*:

1. To establish a structured, repeatable process to verify timely resolution or completion of project action items
2. To stimulate continuous identification of action items and develop a more effective strategy for completing action items

4.1.2 Key Content

An Action Item is a question, problem, or condition that requires a follow-up activity to resolve the question, problem, or condition. The *Action Item Management Plan* provides direction on identifying Action Items; assessing them by identifying their ownership and priority; and managing them to closure. The Plan describes the roles, responsibilities, tools, and control measures used to identify and manage Action Items.

4.1.3   Essential Relationships
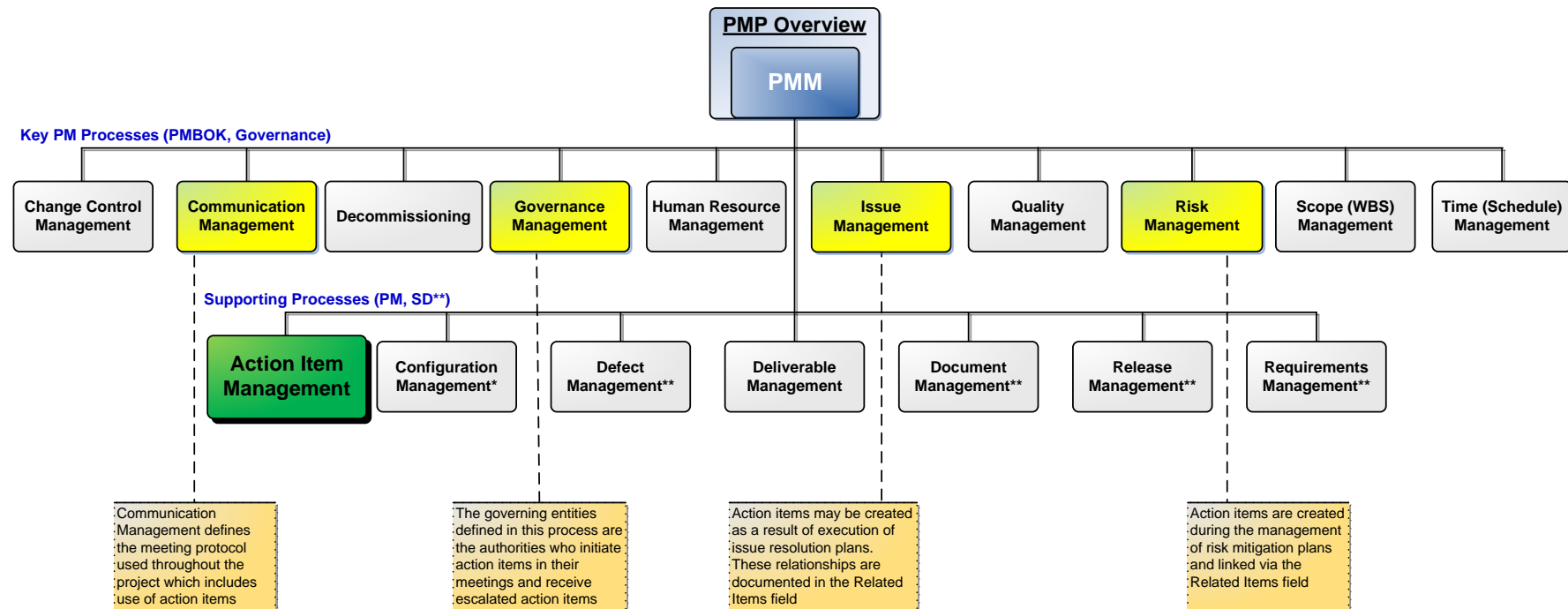
Figure 5: Essential *Action Item Management Plan* Relationships

The following are essential relationships of the *Action Item Management Plan*:

1. **Communication Management** - Defines the meeting protocol used throughout the project which includes use of action items
2. **Governance Management** - Defines in this process who the authorities are that initiate action items in their meetings and receive escalated action items
3. **Issue Management** – Defines that action items may be created as a result of execution of issue resolution plans; these relationships are documented in the Related Items field
4. **Risk Management** – Defines that action items are created during the management of risk mitigation plans and linked via the Related Items field

4.2   Change Control Management Plan

The *Change Control Management Plan* defines the standards and activities that must occur to manage changes - system and non-system - to a project. The Change Management process closely links to events and activities within release management, configuration management and the Change Control Board (CCB).

4.2.1   Objectives

The following are the objectives of the *Change Control Management Plan*:

1. To establish a structured, repeatable change management process to verify project changes are effectively managed and controlled
2. To verify requested changes are documented, tracked, managed, and implemented on a timely schedule and at reasonable and expected cost

4.2.2   Key Content

The Change Control Management process provides the mechanism for identifying, analyzing, approving, and tracking changes to the DHCS CA-MMIS baselined Configured Items (CIs), including the addition of new CIs. It involves documenting identified Change Requests (CRs), performing an analysis of the impacts of the requested change, submitting the CR to the CCB for disposition (approval, denial, or deferral), and tracking and monitoring the progress of approved CRs through deployment and post-implementation review of the change.

4.2.3   Essential Relationships

Figure 6: Essential *Change Control Management Plan* Relationships

The following are the essential relationships of the *Change Control Management Plan*:

1. **Configuration Management** - The definition of CIs are subject to Change Control Management processes
2. **Deliverable Management** - This is the process used to manage required change-related deliverables
3. **Governance Management** - The governing entities defined in this process are the authorities who approve, reject, or defer CRs
4. **Quality Management** - A Problem Statement (PS) (described in the QM processes) is a specific kind of change request
5. **Release Management** - The grouping of approved system changes is needed to create a release package
6. **Requirements Management** - The analysis and approval (or rejection) of CRs to the baselined set of requirements maintained is reflected in the Requirements Traceability Matrix (RTM)
7. **Scope Management** - The analysis and approval (or rejection) of CRs to the project scope baseline are reflected in the Work Breakdown Structure (WBS)

4.3　Communication Management Plan

The *Communication Management Plan* outlines the framework for managing and coordinating the wide variety of communication that occurs, directly or indirectly, during each phase of CA-MMIS. This Plan provides the communication framework and guidelines that enable relevant, accurate and consistent information is provided to the organization.

4.3.1　Objectives

The following are the objectives of the *Communication Management Plan*:

1. To clearly define communication standards and processes to verify successful completion of the project
2. To identify and document the ways in which communication is managed between the client and Xerox
3. To verify executives and decision makers receive timely information regarding the project progress and status

4.3.2　Key Content

The Communication Management process provides a structured approach to creating and delivering information, defining audiences, and establishing delivery vehicles. The process enables accurate and consistent communication to be conveyed at the right time, by the right sender, to the right audience, and via the most appropriate channel.

The Communication Management process is supported by the CA-MMIS SharePoint site to help streamline data, communications, and process documentation.
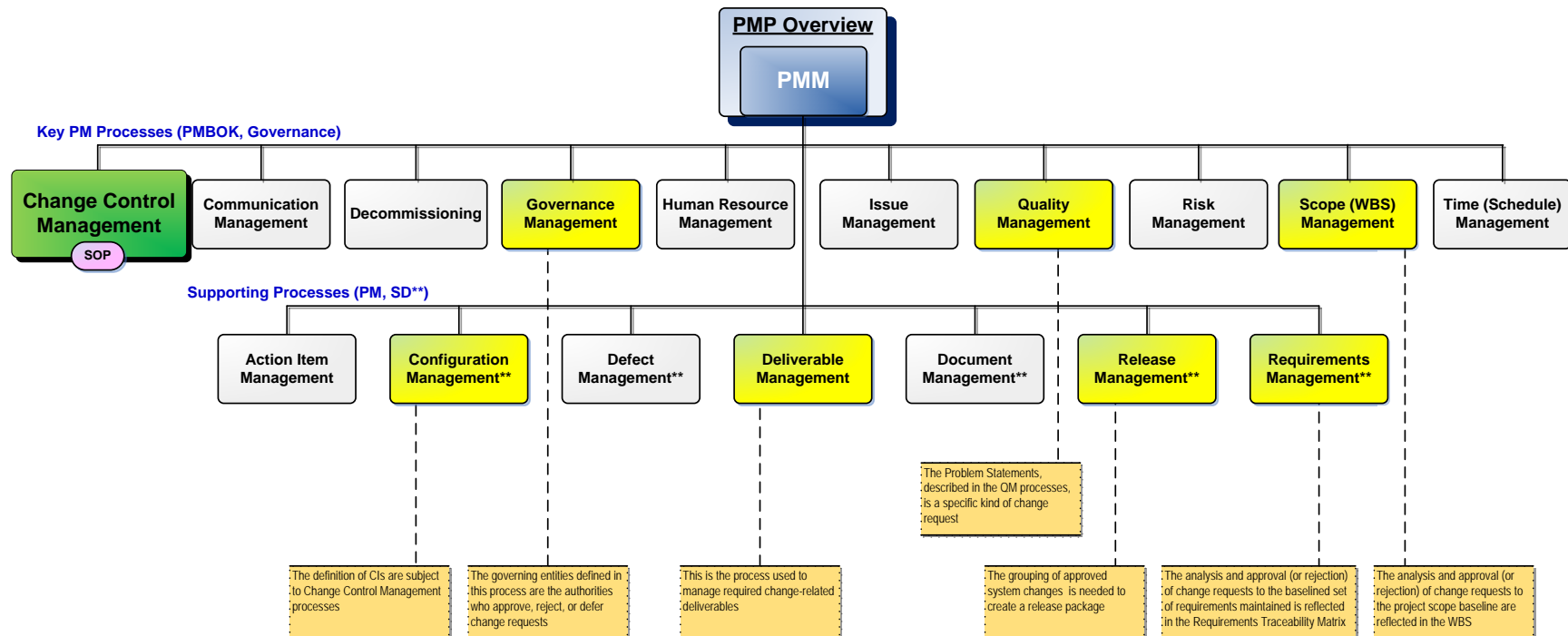
4.3.3　Essential Relationships

Figure 7: Essential *Communication Management Plan* Relationships

The following are the essential relationships of the *Communication Management Plan*:

1. **Action Item Management** - This process is managed through the use of SharePoint, which serves as a form of project communication

2. **Change Control Management** - This is a formal process utilized in the management and communication of key decisions

3. **Deliverable Management** - This process is managed through the use of SharePoint, which serves as a form of project communication; deliverable metrics are also gathered for project progress reporting

4. **Document Management** - This process defines the standards and processes to which non-deliverable documents must adhere; additionally, all project related documents and artifacts must be stored on the project's SharePoint site

5. **Governance Management** – This process defines the governing process used to meet and discuss project progress and activities

6. **Issue Management** - This process is managed through the use of SharePoint, which serves as a form of project communication; issue metrics are also gathered for project progress reporting

7. **Risk Management** - This process is managed through the use of SharePoint, which serves as a form of project communication; risk metrics are also gathered for project progress reporting
8. **Scope Management** - This process documents the standards used to define the scope of project work, which is tracked in project schedules and progress is communicated through progress reporting
9. **Time Management** - This process documents the standards for creating and maintaining project schedules, which is a critical tool used in communicating project progress

4.4 Configuration Management Plan

The *Configuration Management Plan* defines the approach that the CA-MMIS Team will take to identify CIs, develop a strategy for handling CIs, verify that CM activities take place, and assign ownership and accountability. CIs are approved or base-lined artifacts such as approved deliverables, technical manuals, hardware (servers, tools), and software (applications and the programs or code within it). CIs are modified or updated via a change request. A Document Configuration Item List is maintained in SharePoint.

The CM process closely links to events and activities with release management and change management.

4.4.1 Objectives

The following are the objectives of the *Configuration Management Plan*:

1. To identify CIs
2. To identify the strategy for handling CIs
3. To verify CM activities take place appropriately

4.4.2 Key Content

The *Configuration Management Plan* is one of several documents, processes, and procedures that support the overall CM structure for CA-MMIS software, hardware, and related documentation. Configuration management can be defined as the logical and physical connectivity and relationships of physical assets and their internal characteristics such as software components (e.g. programs, data bases) or documentation of procedures (e.g. user or technical manuals). Configuration management identifies CIs controlled by the project; change management identifies how changes to CIs are requested and tracked; and release management defines processes for releasing the CIs to controlled environments such as system test and production.
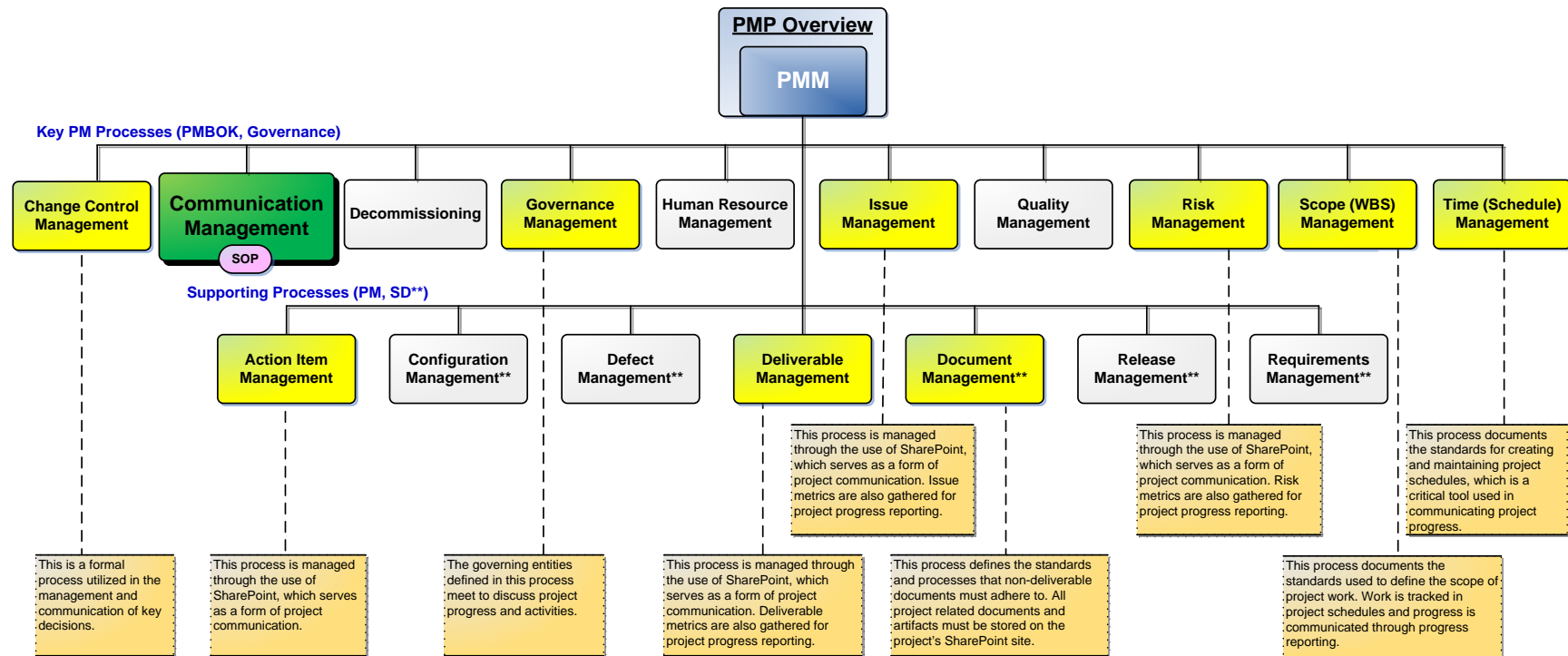
4.4.3 Essential Relationships
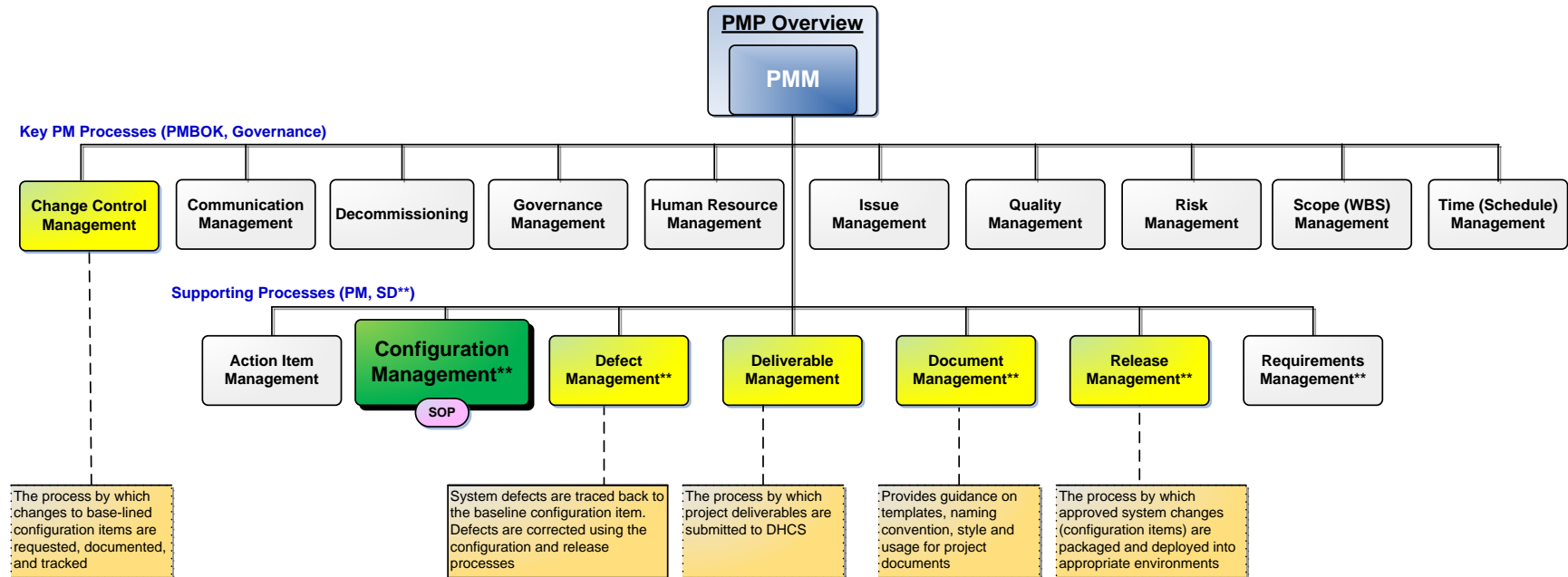
Figure 8: Essential *Configuration Management Plan* Relationships

The following are the essential relationships of the *Configuration Management Plan*:

1. **Change Control Management** - This is the process by which changes to baselined CIs are requested, documented, and tracked
2. **Defect Management** - System defects are traced back to the baseline CI; defects are corrected using the configuration and release processes
3. **Deliverable Management** - This is the process by which project deliverables are submitted to DHCS
4. **Document Management** - Provides guidance on templates, naming convention, style and usage for project documents
5. **Release Management** - This is the process by which approved system changes CIs are packaged and deployed into appropriate environments

4.5 Cost Management Plan

This Plan is no longer a separate PMP deliverable as it has been incorporated into the O.1 Accounting Procedures deliverable per Fiscal Intermediary (FI) letters T-0348/A-0309. This section is provided for reference purposes only and will be excluded from future updates to this document. The *Cost Management Plan* was created to establish a structured and repeatable plan for effective management of the project costs. Please refer to the O.1 Accounting Procedures deliverable for cost management information.

4.6 Decommissioning Plan

The *Decommissioning Plan* details the strategy that will be taken to decommission identified CA-MMIS legacy system components as a result of the implementation of new CA-MMIS functionality. This plan also presents the process by which the decommissioning requirements are developed for the legacy system under the administration of Xerox, provides the specifics on what is to be decommissioned during the four phases of the CA-MMIS Contract, and identifies the responsibilities of the CA-MMIS legacy systems project and the CA-MMIS Health Enterprise project staff to conduct the overall decommissioning process. Other decommissioning activities, such as normal replacement of hardware at end of life, will be handled through normal Change Management procedures.

4.6.1 Objectives

The following are the objectives of the *Decommissioning Plan*:

1. To prioritize decommissioning activities
2. To verify legacy system components that are no longer required can be removed
3. To verify streamlined, efficient, and orderly removal of legacy system components

4.6.2 Key Content

The *Decommissioning Plan* addresses the decommissioning of CA-MMIS legacy system components as the new CA-MMIS Health Enterprise Functionality is implemented. Legacy system components addressed by this plan include all hardware, equipment, commercial off-the-shelf (COTS) products, appliances, and application software. The process allows the project team and stakeholders to effectively prioritize, assign resources, and communicate the status of decommissioning activities.

4.6.3 Essential Relationships

Figure 9: Essential *Decommissioning Plan* Relationships

The following are the essential relationships of the *Decommissioning Plan*:

1. **Change Control Management** - This is the process by which changes required to decommission system components are requested, documented, and tracked

2. **Configuration Management** - This is the process by which updates to configurable items required to support decommissioning activities are managed

3. **Release Management** - This is the process by which the requirements used to drive decommissioning activities are identified and documented

4. **Requirements Management** - This is the process by which approved system changes required to support decommissioning activities are packaged and deployed into appropriate environments

4.7 Defect Management Plan

The *Defect Management Plan* defines the approach that the CA-MMIS Team will take to manage an error, flaw, failure, or fault in an application or system component identified during system testing (System Integration Testing [SIT] or User Acceptance Testing [UAT]) that produces an incorrect or unexpected result.

4.7.1 Objectives

The following are the objectives of the *Defect Management Plan*:

1. To establish a structured, repeatable defect management process to verify project defects are effectively identified, managed, and resolved
2. To verify defects are documented, tracked, managed, and resolved on a timely schedule and at reasonable and expected cost

4.7.2 Key Content

The Defect Management process provides the mechanism for recognizing, investigating, taking action, and resolving defects. It involves recording defects, prioritizing them, classifying them, and identifying their impact. The process allows the project team and stakeholders to effectively prioritize, assign resources, and communicate the status of the defect.

4.7.3   Essential Relationships

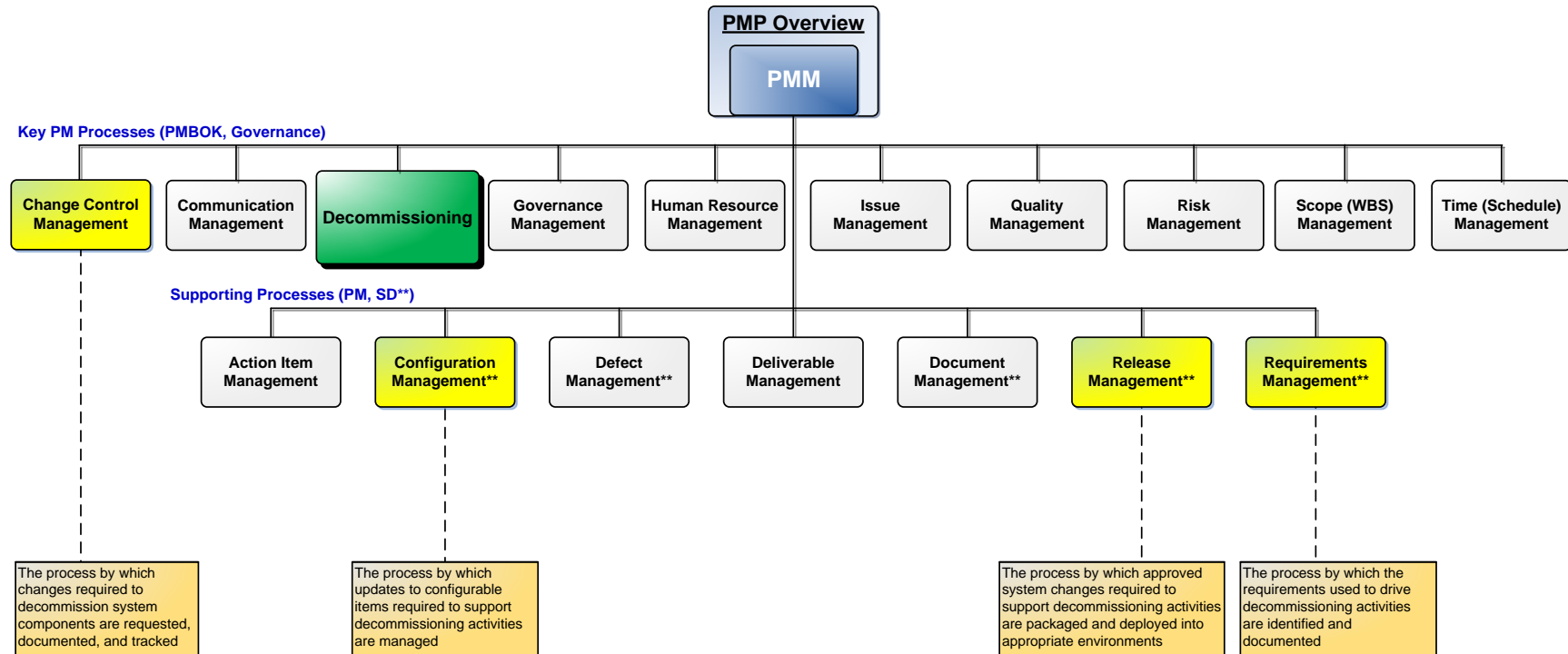**Figure 10: Essential *Defect Management Plan* Relationships**

The following are the essential relationships of the *Defect Management Plan*:

1. **Change Control Management** - If a defect cannot be traced to a CA-MMIS requirement, or if there is a request for enhancements or modified functionality, the defect must go through the Change Management Process
2. **Configuration Management** - Defects are traced back to the baselined CA-MMIS configurable items and the configuration processes used to track specific changes applied to each type of configurable item
3. **Quality Management** - Defects found in production are corrected as PSs as per the quality management processes
4. **Release Management** - System defect correction follows release management process
5. *Requirements Management* - Defects are linked back to requirements as outlined in the *Requirements Management Plan*

4.8   Deliverable Management Plan

Although this is not a PMBOK-specific document, it is a component of a communications management plan. During the Takeover Phase, it was determined by management that the creation of this, as a separate PM document with its own processes and SOPs, would be beneficial to the CA-MMIS Team. The *Deliverable Management Plan* defines the approach that the CA-MMIS Team will use to coordinate the development, review, submission, and tracking of deliverables.

4.8.1   Objectives

The following are the objectives of the *Deliverable Management Plan*:

1. To coordinate deliverable activities
2. To verify timely submission of quality deliverables

4.8.2   Key Content

The Deliverable Management process defines the mechanism for consistent deliverable development, review, and submission. It involves deliverable kickoffs, creation of DXDs, peer and team reviews, walkthroughs and quality assurance. The process allows the project team and stakeholders to effectively collaborate and use high quality templates as a starting point to develop deliverables.
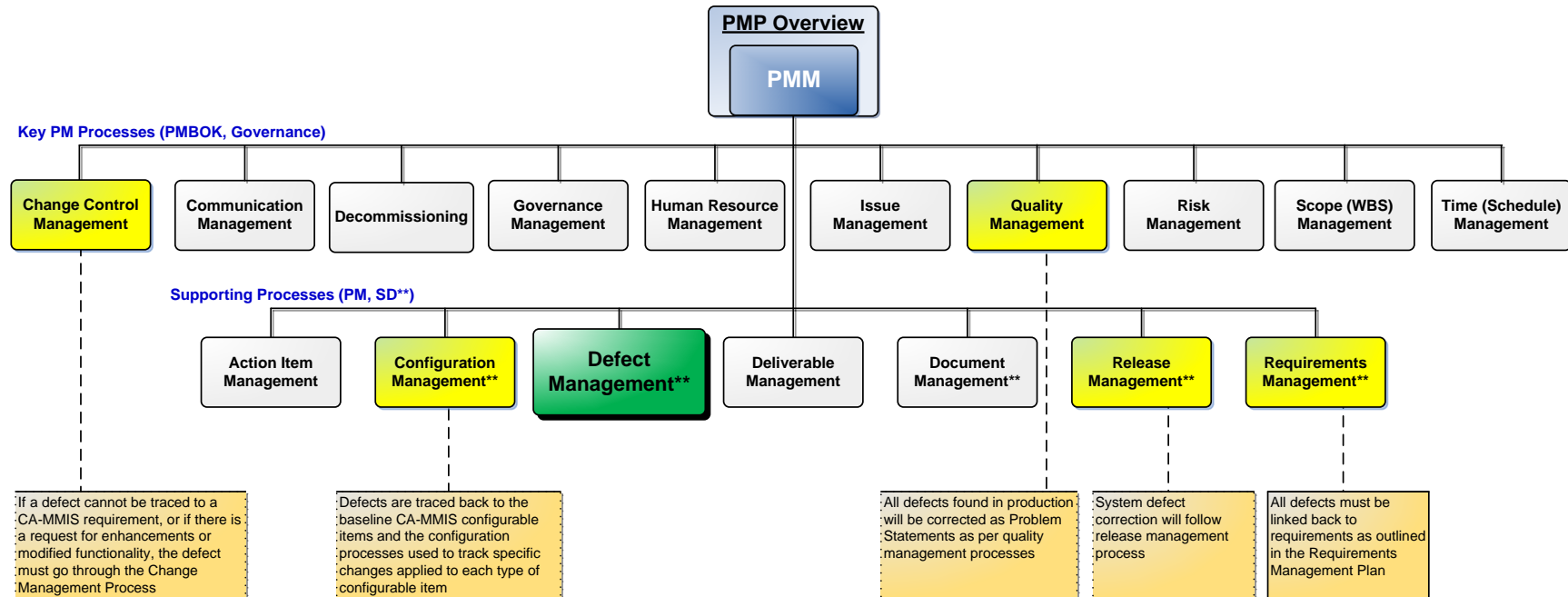
4.8.3 Essential Relationships

Figure 11: Essential *Deliverable Management Plan* Relationships

The following are the essential relationships of the *Deliverable Management Plan*:

1. **Change Control Management** - This is the process used to manage required change-related deliverables
2. **Communication Management** - This process is used to gather deliverable data for the weekly progress report

3. **Configuration Management** - This process is used once deliverables are approved
4. **Document Management** - This process is used for documentation standards and templates
5. **Time Management** - This process is used for the development of the deliverable schedule and due dates
6. **Quality Management** – This process is used for reviewing deliverables prior to submission to DHCS

4.9 Document Management Plan

The *Document Management Plan* details the overall processes used to create, submit, and store CA-MMIS documentation for Legacy System Operations, Enhancements, and Replacement System phases. This plan assists the project team in determining the document type and the associated process stream.

4.9.1 Objectives

The following are the objectives of the *Document Management Plan*:

1. To assist the user in locating the appropriate templates on SharePoint
2. To provide guidance for naming conventions, versioning, and formatting of CA-MMIS documentation

4.9.2 Key Content

Document Management activities are conducted throughout all phases of the contract. The *Document Management Plan* assists the user in the management of templates stored on SharePoint, as well as providing guidance on formatting and structure of CA-MMIS documentation. It is not meant to address deliverable content or processes for their review and approval. A Document *Configuration Items List* is maintained in SharePoint. This Plan does not define processes for work products created as references, job aids or other documents not submitted to the DHCS.
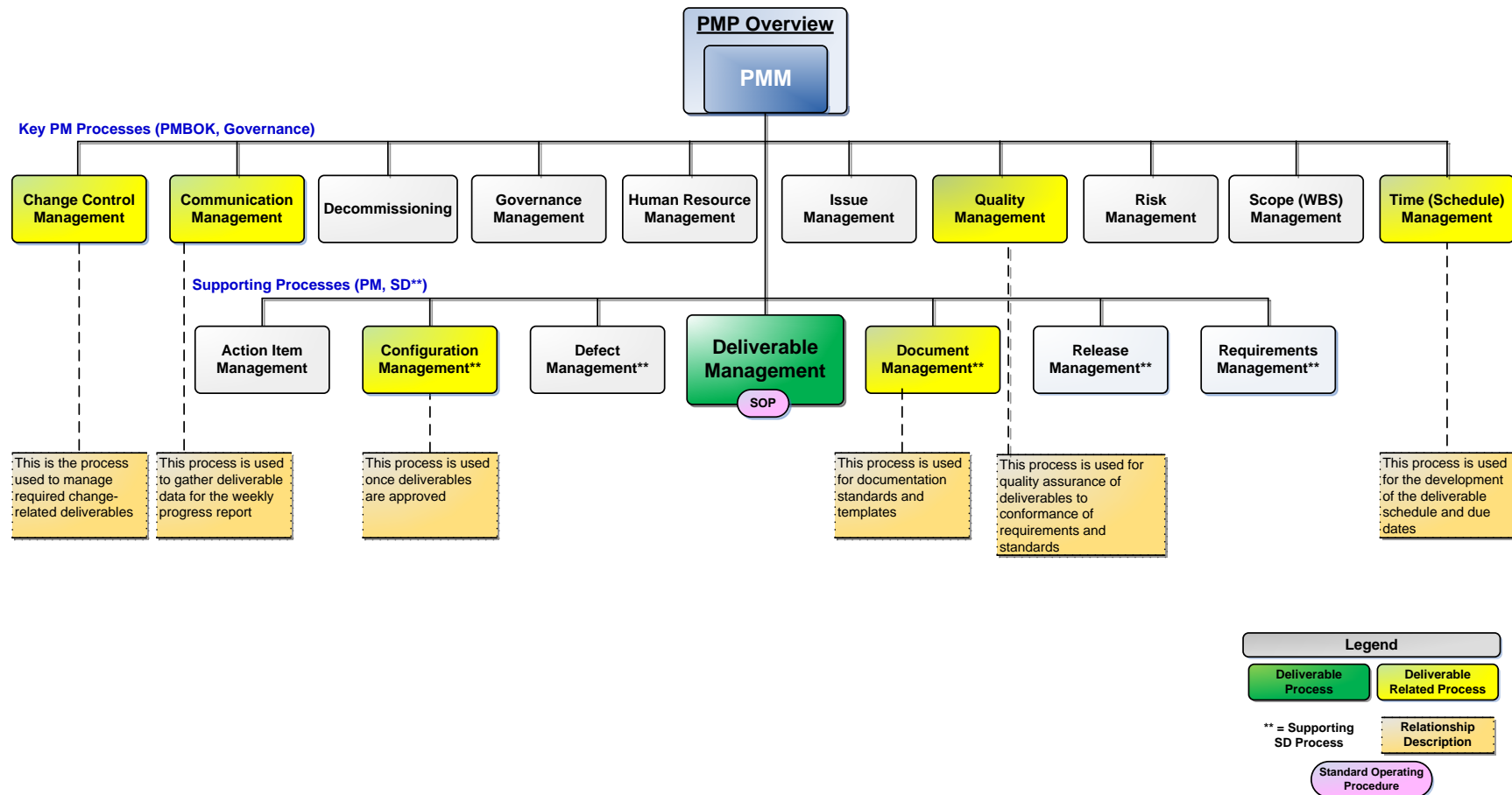
4.9.3 Essential Relationships

Figure 12: Essential *Document Management Plan* Relationships

The following are the essential relationships of the *Document Management Plan*:

1. **Configuration Management** - This is the process used to identify, develop, and maintain CIs, including documents discussed in the *Document Management Plan*
2. **Deliverable Management** - This process is used to manage the development and submission of documents identified as project deliverables

4.10 Governance Management Plan

The *Governance Management Plan* outlines the decision-making structure of the CA-MMIS Program related to projects and operations that change the legacy CA-MMIS (Legacy Operations) or replace the legacy system (System Replacement). The CA-MMIS Program covers activities under the management and direction of the DHCS CA-MMIS Division. While decisions are always expected to be made at the lowest level possible, the CA-MMIS Program *Governance Management Plan* identifies the protocols and responsibilities for escalation of issues, risks, and CRs.

4.10.1 Objectives

The following are the objectives of the *Governance Management Plan*:

1. To establish a consistent model for escalation of action items, issues, risks, and change requests for resolution
2. To verify timely and effective resolutions

4.10.2 Key Content

Governance is the overall management approach implemented to verify that critical information reaching the executive management team is complete, accurate, and timely to enable appropriate decision making and conflict resolution. The *Governance Management Plan* is logical, robust, and repeatable, and governs the overall effort of projects. Further, it documents the delegation of authority and the responsibilities attendant to that authority.
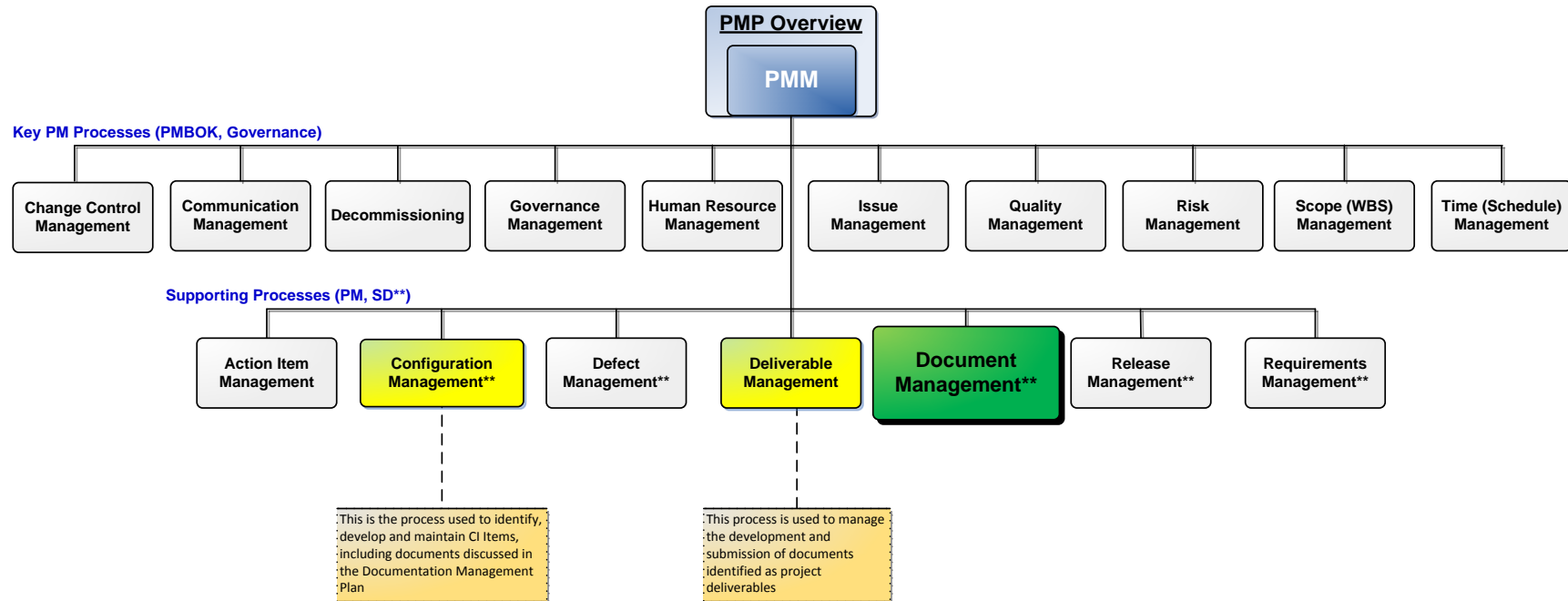
4.10.3 Essential Relationships
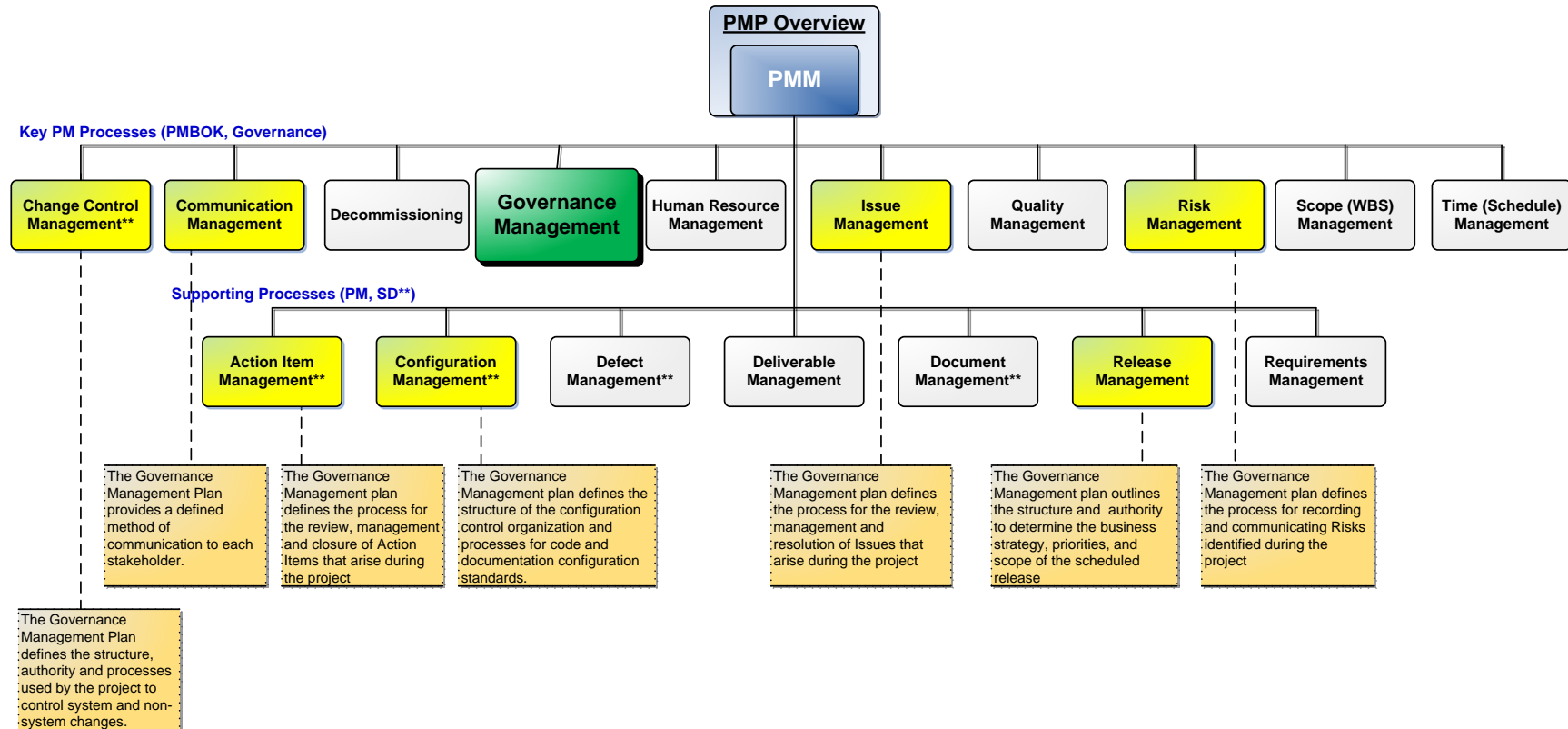
Figure 13: Essential *Governance Management Plan* Relationships

The following are the essential relationships of the *Governance Management Plan*:

1. **Action Item Management** - The *Governance Management Plan* defines the process for the review, management, and closure of Action Items that arise during the project
2. **Change Control Management** - The *Governance Management Plan* defines the structure, authority, and processes used by the project to control system and non-system changes
3. **Communication Management** - The *Governance Management Plan* provides a defined method of communication stakeholders
4. **Configuration Management** - The *Governance Management Plan* defines the structure of the configuration control organization and processes for code and documentation configuration standard

5. **Issue Management** - The *Governance Management Plan* defines the process for the review, management, and resolution of Issues that arise during the project
6. **Release Management** - The *Governance Management Plan* outlines the structure and authority to determine the business strategy, priorities, and scope of the scheduled release
7. **Risk Management** - The *Governance Management Plan* defines the process for recording and communicating Risks identified during the project

4.11 Human Resource Management Plan

The *Human Resource Management Plan* details the management strategy for properly staffing the project. The Plan defines the approach to communicating resource needs to senior management and other project stakeholders such that project staffing needs can be met. Human resource management refers to the activities to properly staff a project to complete project objectives. It involves not only the placement and commitment of resources on a project, but also the development of the resources to enhance their performance on current and future assignments.

4.11.1 Objectives

The following are the objectives of the *Human Resource Management Plan*:

1. To establish a plan for effective management of critical project resources
2. To verify the required human resources are in place and equipped to accomplish project objectives

4.11.2 Key Content

The *Human Resource Management Plan* establishes a structured, repeatable process that verifies resources on CA-MMIS are compensated, managed, and rewarded appropriately as well as enabling timely identification of staffing issues to avoid a negative impact to the project. By developing this plan, Xerox is able to verify resources perform assigned functions as required, performance is monitored, and appropriate steps are taken in a timely fashion when improvement is required, resources are compensated fairly, resource efforts are recognized and rewarded, resources remain motivated, and turnover is minimal.

4.11.3   Essential Relationships

Figure 14: Essential *Human Resource Management Plan* Relationships

The following are the essential relationships of the *Human Resource Management Plan*:

1. **Communication Management** - This is the process used for human resource reporting
2. **Deliverable Management** - This is the process by which human resource deliverables are created and submitted for approval
3. **Time Management** - This is the process by which allocated resources are loaded into the project schedule and billed according to their roles

4.12   Issue Management Plan

The *Issue Management Plan* describes the project management processes and tools used to effectively manage the project. Issue management is the process used to identify, assess, and manage CA-MMIS issues throughout the project life cycle from inception to closure.

4.12.1   Objectives

The following are the objectives of the *Issue Management Plan*:

1. To establish a structured, repeatable issue management process to verify timely resolution or completion of issues
2. To communicate issue status to management and other project stakeholders in a timely manner

4.12.2   Key Content

The *Issue Management Plan* defines the approach that the CA-MMIS Team will take to identify, assess, and manage project issues from inception through closure. An issue is a presently occurring problem or question that, if not resolved, will have an adverse impact on the project. The *Issue Management Plan* provides direction on identifying issues; assessing them by identifying their ownership and severity; and managing them via resolution plans. The Plan describes the roles, responsibilities, tools and control measures used to identify and manage Issues.
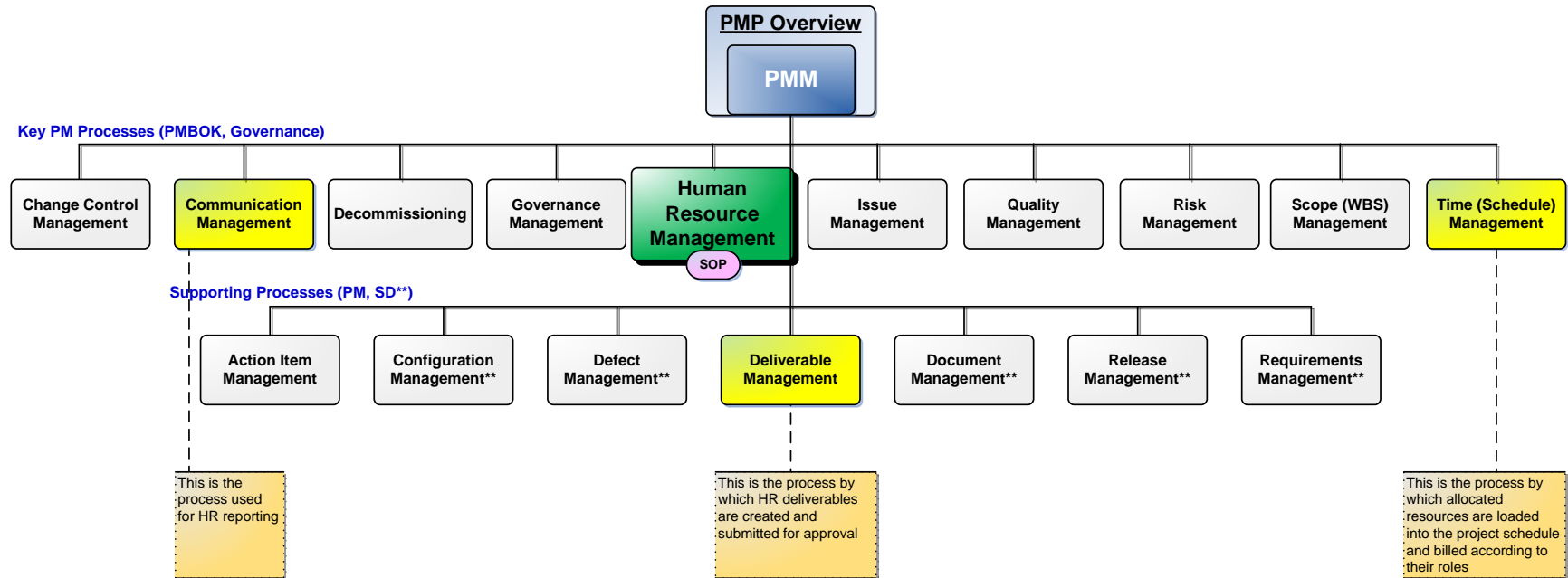
4.12.3   Essential Relationships

Figure 15: Essential *Issue Management Plan* Relationships

The following are the essential relationships of the *Issue Management Plan*:

1. **Action Item Management** – This defines that action items are created during the management of issue resolution plans and linked via the Related Items field

2. **Communication Management** – This defines the weekly reporting artifacts and schedule which include issues metrics and detail on overdue items

3. **Governance Management** – This defines the governing entities in this process are the authorities who receive escalated Issues and approve or reject resolution plans

4. **Quality Management** – This defines that issues may be created as a result of a deficiency identified during QM's validation of meeting contract requirements; additionally, an issue may trigger creation of a PS, which is governed by QM

5. **Risk Management** – This defines that issues may be created as a result of execution of mitigation plans during risk management; risks, once triggered, may result in issues that can cause the risk to close and the issue track the remaining work

4.13 Procurement Management Plan

This Plan is no longer a separate PMP deliverable as it has been incorporated into the *O.1 Accounting Procedures* deliverable per FI letters T-0348/A-0309. This section is provided for reference purposes only and will be excluded from future updates to this document. The *Procurement Management Plan* was created to establish a structured plan for effective and cost effective acquisition of goods and services. Please refer to the *O.1 Accounting Procedures* deliverable for procurement management information.

4.14 Quality Management Plan

Although no longer a part of the CA-MMIS PMPs, the *Quality Management Plan* is a critical part of the overall PMM. The *Quality Management Plan* details the quality strategy used to verify that the quality objectives of project implementations are met. It identifies and defines the framework for validating management and delivery of quality processes, procedures, services, and products for the project.

The CA-MMIS Quality Management Team is designed to be an independent, quality organization, reporting to DHCS executives and is therefore not under the control and management of the EPMO. In support of QM's independence, the *Quality Management Plan* was separated and excluded from the PMPs per FI letters T-0348/A-0309.

4.14.1 Objectives

The following are the objectives of the *Quality Management Plan*:

1. To establish a strategy to manage and improve the overall quality (quality assurance, quality control, peer review, and improvement) in processes, procedures, services, and products that are delivered to stakeholders
2. To support sustained and continuous improvement
3. To support independent reporting to executive management

4.14.2 Key Content

The Quality Assurance (QA) component of the *Quality Management Plan* identifies and defines the framework for validating the overall quality level in our processes, procedures, services, and products are sustained and continual improvement is achieved in order to provide superior customer service.

Content in the Quality Control (QC) component of the *Quality Management Plan* focuses on testing, reporting, and monitoring results.

The Peer Review component is similar to QC; however, the focus is to detect and remove potential defects from the software work products as early in the development process as possible.

The Continuous Process Improvement component is designed to identify actions that will have a positive effect on projects. Improving business performance to reach the highest impact at the lowest cost is the driver of this event.
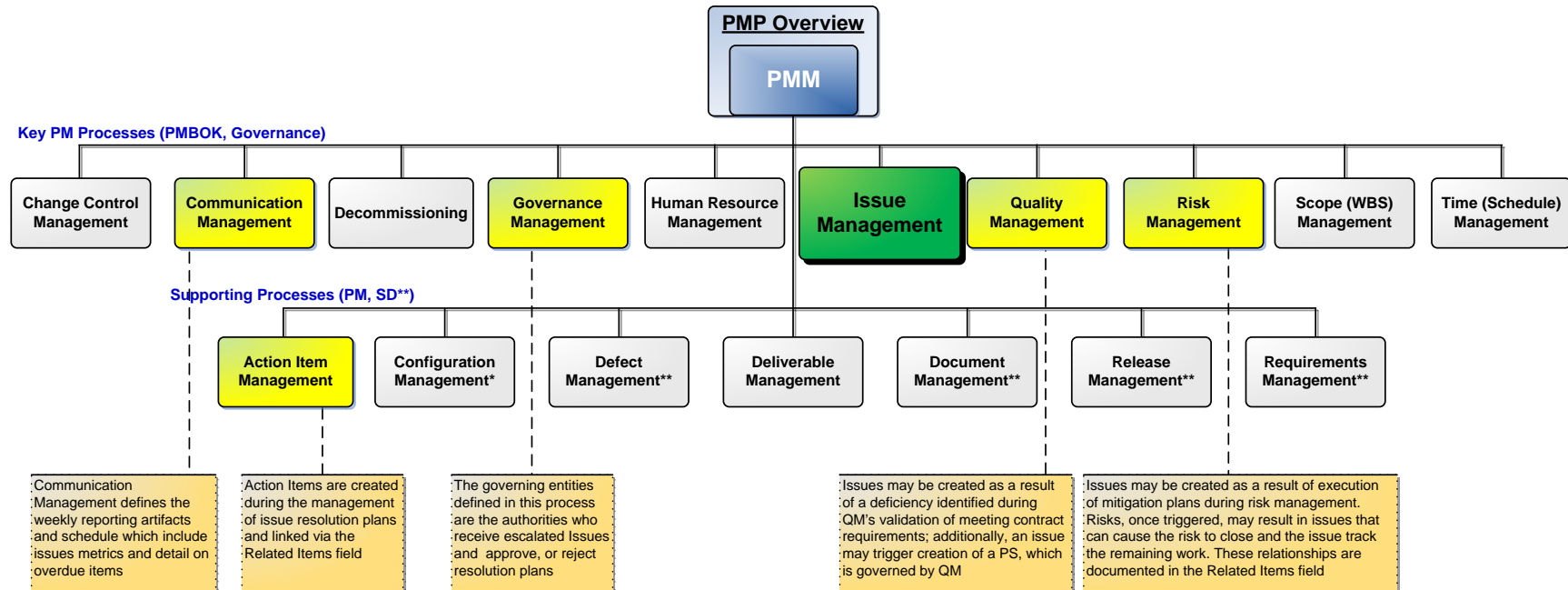
4.14.3   Essential Relationships

Figure 16: Essential *Quality Management Plan* Relationships

The following are the essential relationships of the *Quality Management Plan:*

1. **Communication Management** – This defines the communication protocols used throughout the project which are applicable to QM reporting and meetings
2. **Defect Management** – This defines that defects could result in issuance of a PS or Erroneous Payment Correction (EPC) which is governed by Quality Management (QM)
3. **Deliverables Management** – This defines the Quality Management process of reviewing deliverables prior to submission to DHCS

4. **Governance Management** - The governing entities defined in this process are the authorities who receive escalated reports of nonconformity and approve or reject resolution plans
5. **Issue Management** - Issues may be created as a result of a deficiency identified during QM's validation of meeting contract requirements; additionally, an issue may trigger creation of a PS, which is governed by QM
6. **Risk Management** - Risks may be created as a result of a deficiency identified during QM's validation of meeting contract requirements; additionally, a risk may trigger creation of a PS, which is governed by QM

4.15 Release Management Plan

The release management process closely links to events and activities with change management and configuration management.

4.15.1 Objectives

The following are the objectives of the *Release Management Plan*:

1. To verify release management activities take place
2. To establish a structured management process to verify timely and accurate product releases that maintain confidence in the accuracy of the product
3. To verify that software releases are tracked and implemented

4.15.2 Key Content

Release management refers to the collection of activities performed to verify new code changes, along with any related documentation and supporting material are successfully incorporated into the CA-MMIS systems. The process allows the project team and stakeholders to understand the code migration to SIT, UAT, and Production environments.
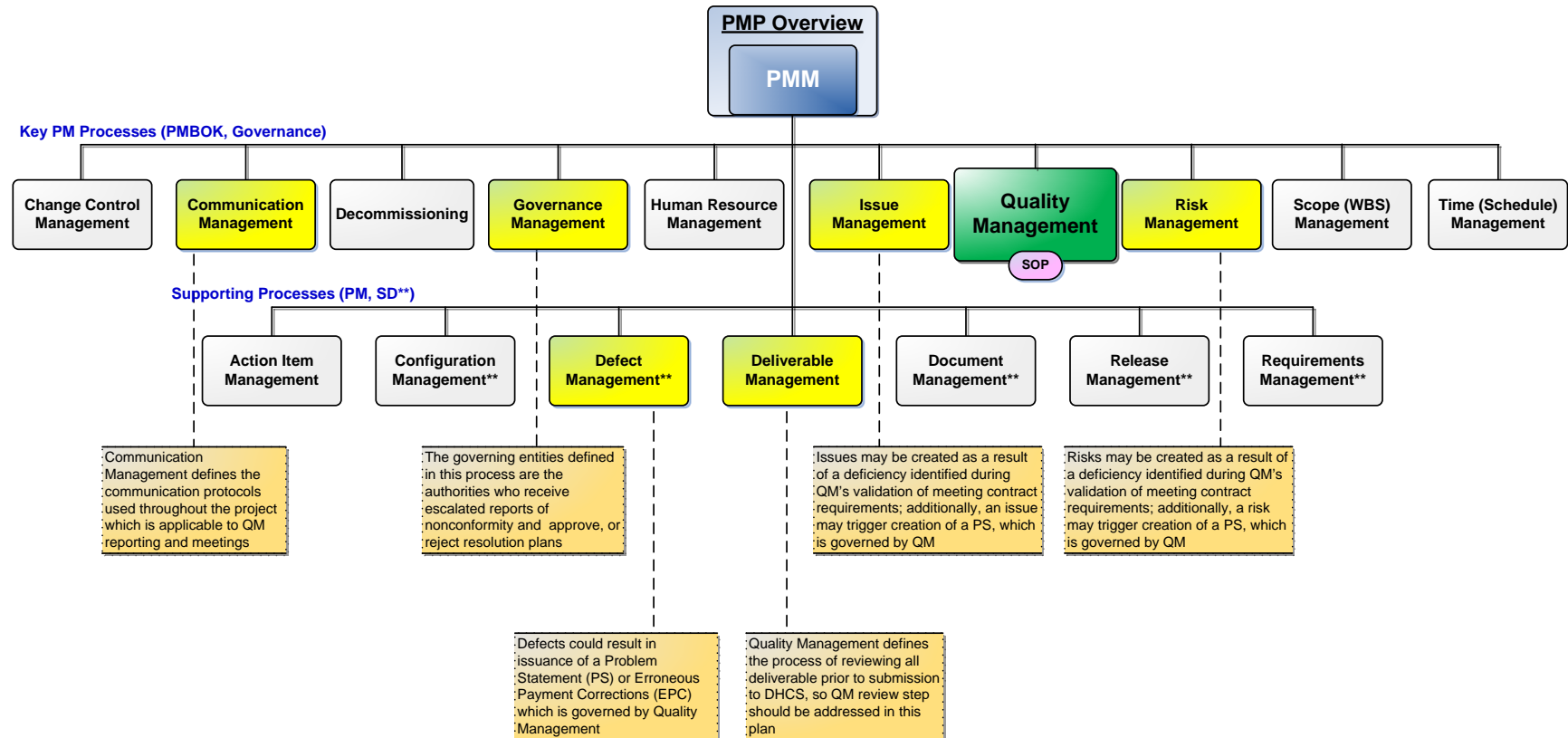
4.15.3   Essential Relationships

Figure 17: Essential *Release Management Plan* Relationships

The following are the essential relationships of the *Release Management Plan*:

1. **Change Control Management** – This defines the grouping of approved system changes needed to create a release package
2. **Configuration Management** – This defines the release contents that are identified by the baseline CA-MMIS configurable items
3. **Defect Management** – This defines the system defect correction deployment that will follow the release management process

4.16 Requirements Management Plan

The *Requirements Management Plan* helps to verify that Conformed Request for Proposal (CRFP) requirements are met and adhere to the defined change management process for approval and controlled implementation.

4.16.1 Objectives

The objective of the *Requirements Management Plan* is to establish a structured, repeatable process to verify the project requirements are identified, documented, agreed upon, and effectively controlled and managed.

4.16.2 Key Content

The *Requirements Management Plan* describes processes to develop and manage requirements. The requirements development process describes how requirements are elicited, analyzed, and validated through collaboration with DHCS, and then documented. The requirements management process describes how requirements are baselined, traced, and maintained.
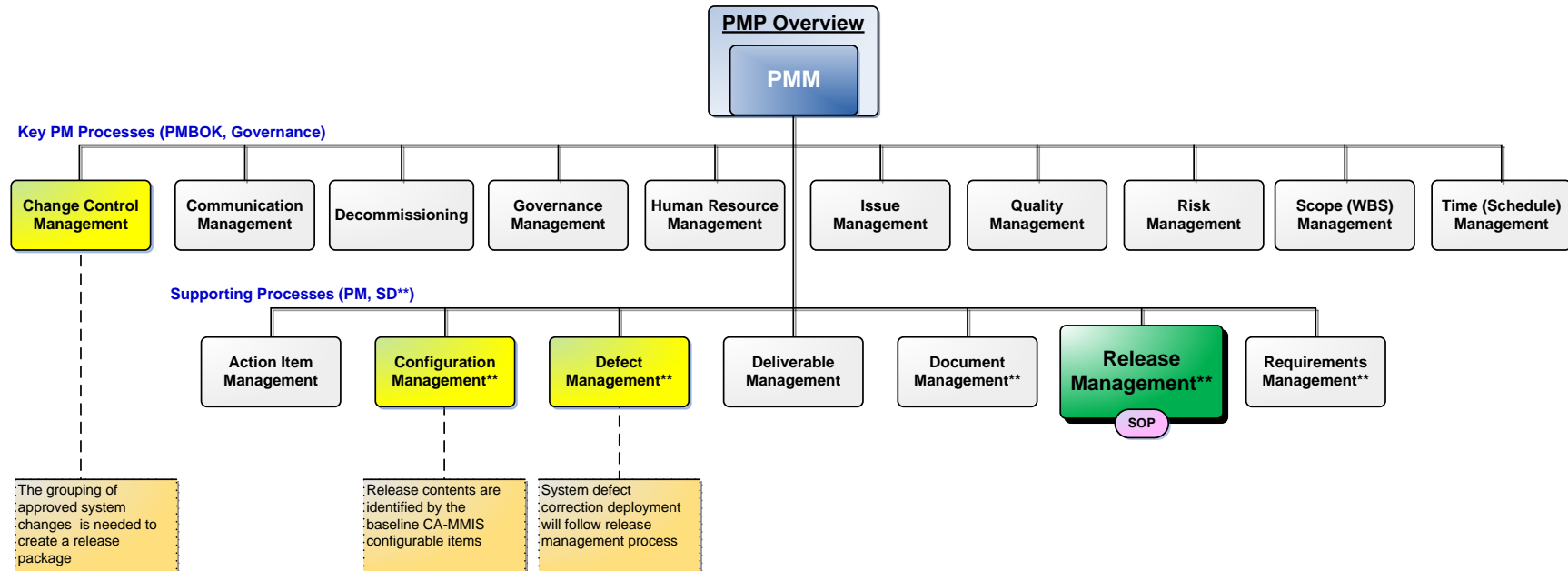
4.16.3   Essential Relationships

Figure 18: Essential *Requirements Management Plan* Relationships

The following are the essential relationships of the *Requirements Management Plan*:

1. **Change Control Management** – This defines how to manage and document changes to baselined requirements
2. **Scope Management** – This defines how requirements form the basis from which the WBS is developed and defines the scope for each component of work.

4.17　Risk Management Plan

The *Risk Management Plan* defines the approach that the CA-MMIS Team will take to identify, assess, and manage project risks from inception through closure.

4.17.1　Objectives

The following are the objectives of the *Risk Management Plan*:

1. To establish a structured, repeatable risk management process to minimize the negative impact and maximize any benefits of risks to a project
2. To verify risks are communicated to management and other project stakeholders in a timely manner

4.17.2　Key Content

Risk Management is the process used to identify, assess, and manage project risks throughout the project life cycle from inception to closure. A risk is a future event that may occur and that could have an impact on project objectives. The *Risk Management Plan* provides direction on managing risk by: identifying risks; assessing them by identifying response strategies and trigger dates; and managing them via mitigation and contingency plans. The plan describes the roles, responsibilities, tools, and control measures used to identify and manage risks.
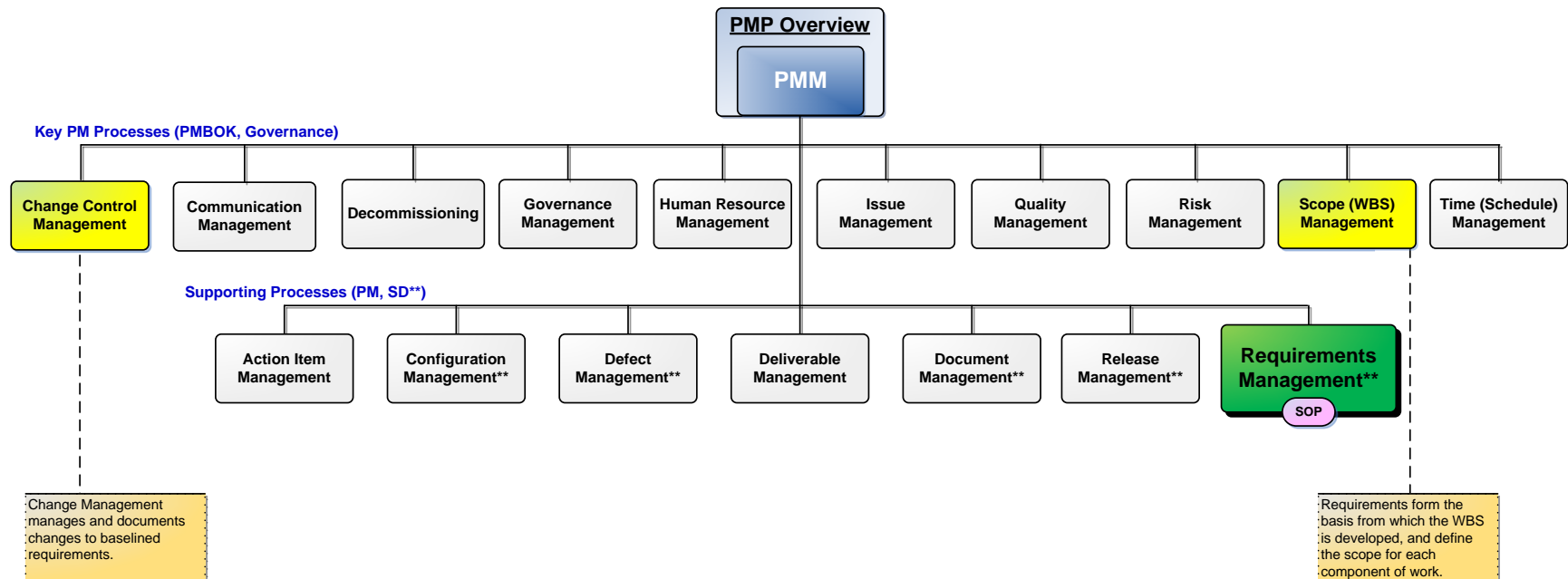
4.17.3   Essential Relationships

Figure 19: Essential *Risk Management Plan* Relationships

The following are the essential relationships of the *Risk Management Plan*:

1. **Action Item Management** – This defines that action items are created during the management of risk mitigation plans and linked via the Related Items field

2. **Communication Management** – This defines the weekly reporting artifacts and schedule which include risks metrics and detail on overdue items

3. **Governance Management** – This defines the governing entities in this process are the authorities who receive escalated risk and approve or reject mitigation and contingency plans

4. **Issue Management** – This defines that issues may be created as a result of execution of mitigation plans during risk management; risks, once triggered, may result in issues that can cause the risk to close and the issue to track the remaining work

5. **Quality Management** – This defines that Quality Management reviews the *Risk Management Plan* to conform to project and industry standards

4.18   Scope Management Plan

The *Scope Management Plan* details the structured and repeatable process that will be used to create each WBS and monitor and control the scope of the work components identified in the CA-MMIS Contract.

4.18.1   Objectives

The following are the objectives of the *Scope Management Plan*:

1. To provide a method for monitoring and communicating scope
2. To provide guidelines for developing the WBS using enterprise standard format
3. To monitor unauthorized changes to scope, also known as 'scope creep'
4. To control the modification to the scope of work, as needed

4.18.2   Key Content

The implementation of a proven scope management process enables the project to stay on schedule and within budget while meeting contractual commitments. The guidelines provided in the *Scope Management Plan* provide a structured approach to developing the WBS, verifying, modifying and controlling scope, and communicating issues and weekly progress on the scope of the work components identified in the WBS. A WBS will be created for each phase and stage of the project and each baselined WBS will be appended to a Master WBS that will be stored on SharePoint.
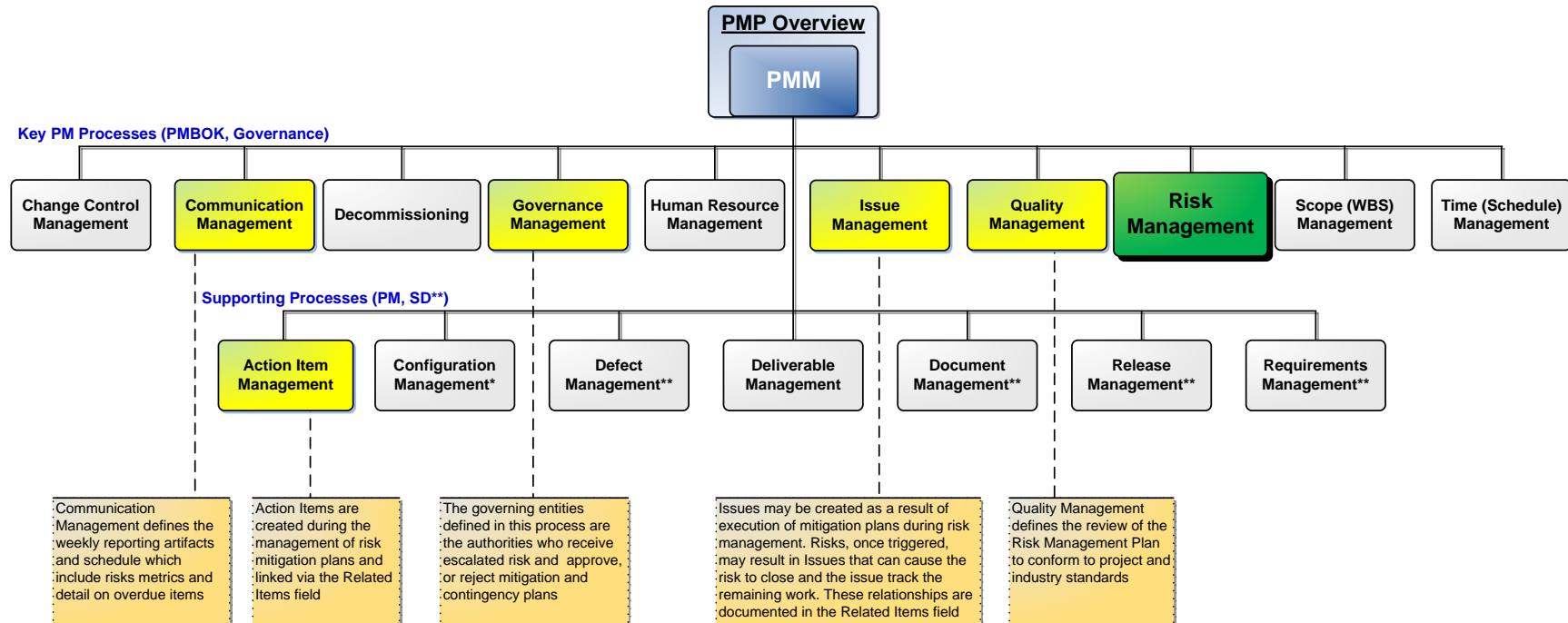
4.18.3 Essential Relationships
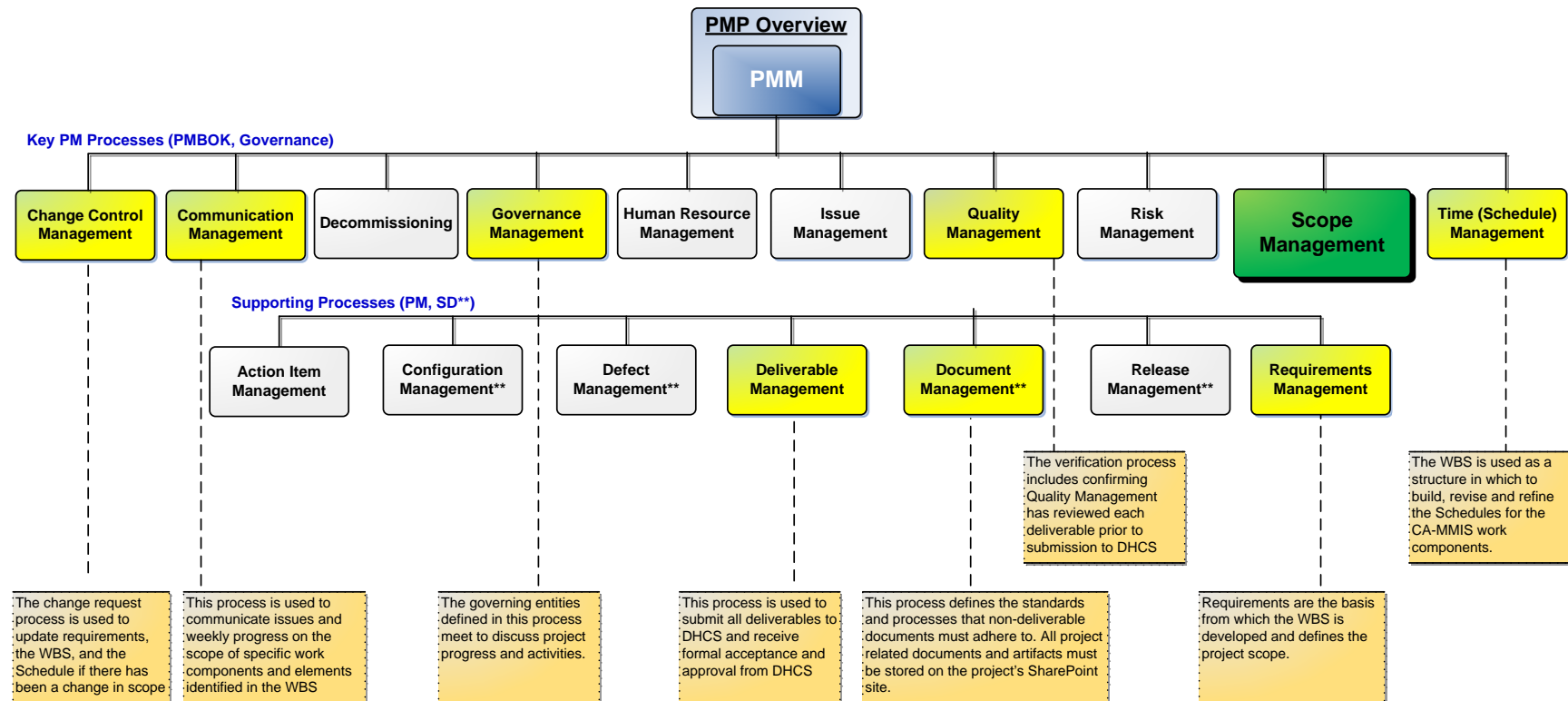
Figure 20: Essential *Scope Management Plan* Relationships

The following are the essential relationships of the *Scope Management Plan*:

1. **Change Control Management** - This defines the process that is used to update requirements, the WBS, and the Schedule if there has been a change in scope
2. **Communication Management** - This defines the process that is used to communicate issues and weekly progress on the scope of specific work components and elements identified in the WBS
3. **Deliverable Management** - This defines the process that is used to submit deliverables to DHCS and receive formal acceptance and approval from DHCS
4. **Document Management** - This defines the process of the standards and processes that non-deliverable documents must adhere to. Project related documents and artifacts must be stored on the project's SharePoint site

5. **Governance Management** – This defines that the governing entities in this process meet to discuss project progress and activities
6. **Quality Management** – This defines that the verification process includes confirming Quality Management has reviewed each deliverable prior to submission to DHCS
7. **Requirements Management** – This defines that requirements are the basis from which the WBS is developed and defines the project scope
8. **Time Management** – This defines that the WBS is used as a structure in which to build, revise and refine the schedules for the CA-MMIS work components

4.19 Subcontractor Management Plan

The *Subcontractor Management Plan* has not yet been produced as it is a System Replacement plan currently in development. This section serves as a placeholder for future updates. Additionally, this summary is provided for reference purposes and is subject to change as the *Subcontractor Management Plan* is developed and approved.

The *Subcontractor Management Plan* defines the approach the project will take to select qualified subcontractors, enter into subcontractor agreements, and effectively manage those subcontractor agreements. A "subcontractor" in this context is an individual or a company with whom Xerox has an agreement to provide some product or service related to the completion of CA-MMIS activities.

For the System Replacement project, this topic is covered in the *Project Start-Up Plan*.

4.20 Time (Schedule) Management Plan

The *Time (Schedule) Management Plan* defines the development of a schedule for the contracted scope of work as detailed in the baselined WBS. The Plan establishes a process for ongoing maintenance of the schedule, which includes reporting of work performed, project progress, and variances.

4.20.1 Objectives

The following are the objectives of the *Time (Schedule) Management Plan*:

1. To establish a structured, repeatable schedule management process that includes creation and maintenance of a project schedule
2. To provide a basis for regular reporting of progress, work performed, and management concepts and calculations

4.20.2 Key Content

The *Time (Schedule) Management Plan* details the approach the project takes to manage its scheduled activities. It includes the development, monitoring, and maintenance of the project schedule. It also includes project progress and schedule adjustments reporting. The *Time (Schedule) Management Plan* provides the necessary guidelines of how to create and manage a schedule, and the appropriate actions to take to be in compliance with the standards set by the project.
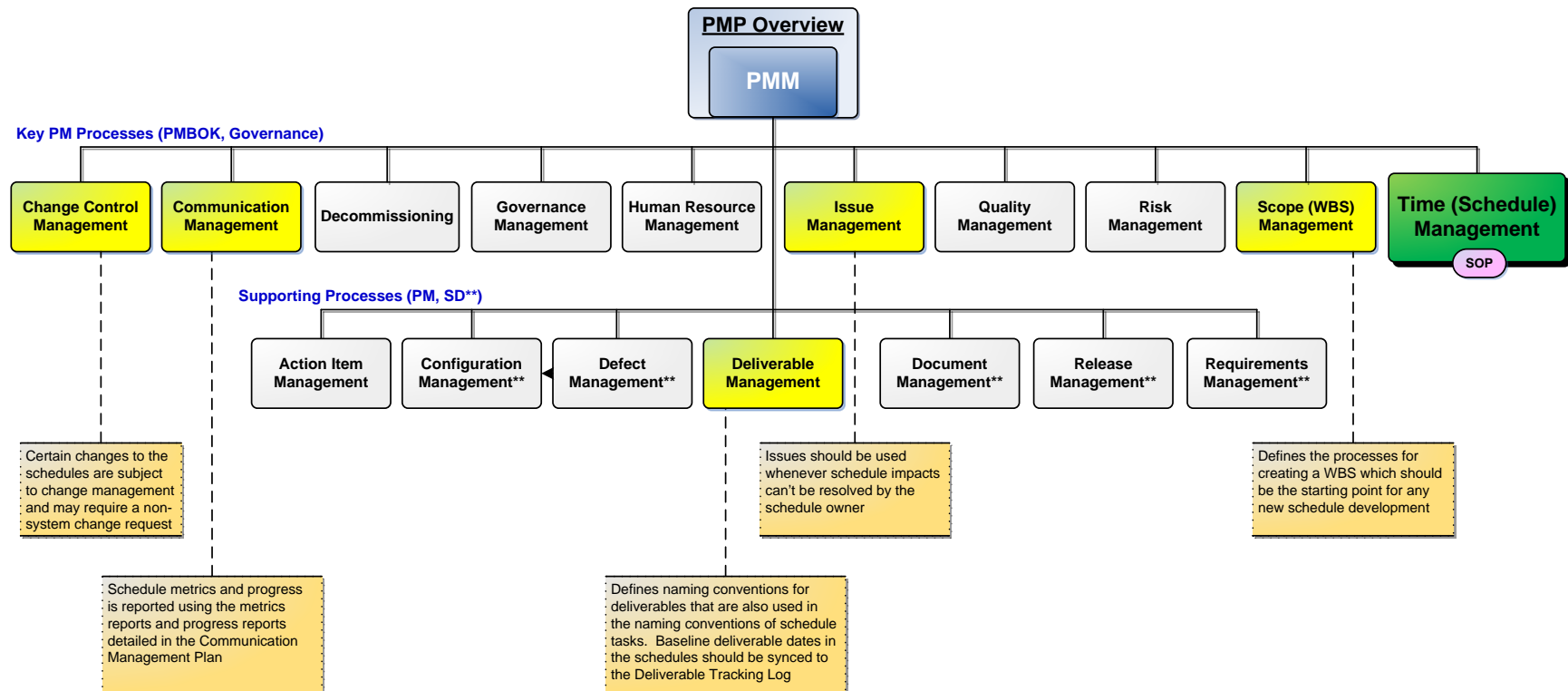
4.20.3   Essential Relationships

Figure 21: Essential *Time (Schedule) Management Plan* Relationships

The following are the essential relationships of the *Time (Schedule) Management Plan*:

1. **Change Control Management** – This defines that certain changes to the schedules are subject to change management and may require a non-system change request

2. **Communication Management** – This defines that schedule metrics and progress is reported using the metrics reports and progress reports detailed in the *Communication Management Plan*

3. **Deliverable Management** – This defines naming conventions for deliverables that are also used in the naming conventions of schedule tasks; baseline deliverable dates in the schedules should be synced to the Deliverable Tracking Log

4. **Issue Management** – This defines that Issues should be used whenever schedule impacts can't be resolved by the schedule owner

5. **Scope Management** – This defines the processes for creating a WBS which should be the starting point for any new schedule development

5. CMMI

The CMMI is an internationally recognized industry standard created and maintained by the Carnegie Mellon SEI. It is a process improvement model that provides a framework for projects that describes a set of best practices to address productivity, performance, cost, and client satisfaction related to technology development and delivery. There are five maturity levels of the CMMI, which are depicted in the graphic below.
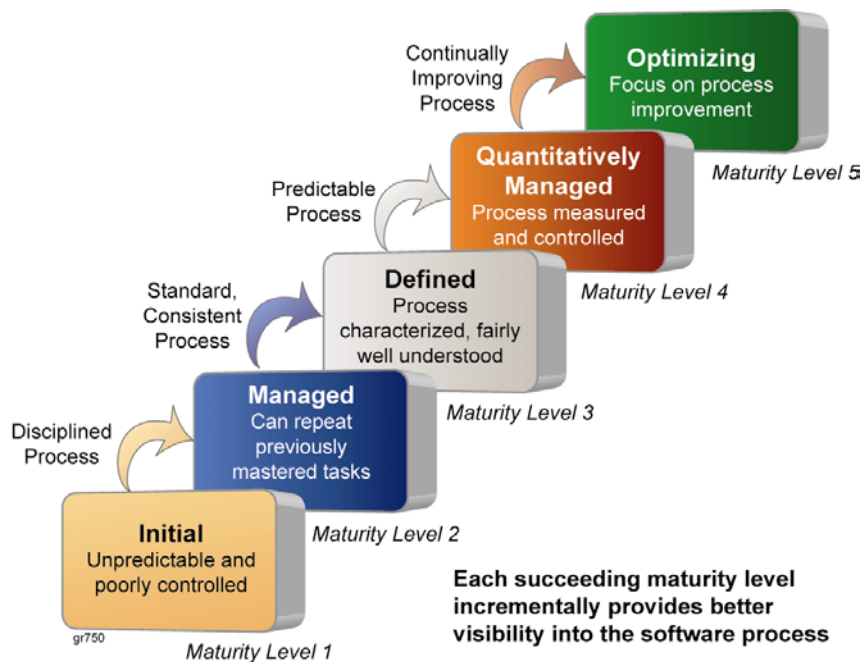
Figure 22: CMMI Maturity Levels

The benefits associated with establishing CMMI-assessed capabilities include the following:

1. Focused process development and implementation
2. Effective project management
3. Improved technology integration
4. Reduction in design inconsistencies
5. Reduced duplication of effort
6. Increased quality
7. Enhanced productivity
8. Reduced staff training costs

As mandated by the CRFP, Xerox is committed to meeting Level 2 requirements for EMPO and PMP activities. Below, the seven CMMI Level 2 process areas (PAs) are described and relevant PMM processes are noted.

5.1   Project Planning

The Project Planning (PP) function involves establishing and maintaining plans to define and direct project activities. PP includes developing estimates for the work to be performed, defining the plans to perform the work, and establishing the necessary commitments. PP begins with a statement of the work (SOW) to be performed and other constraints and goals that define the software project. The PP includes steps to accomplish the following:

1. Estimate the size of the software work products
2. Specify the effort and resources necessary to produce those products based on the size of the software work products
3. Produce a schedule and budget
4. Identify and assess software risks
5. Plan for the management of project data
6. Plan for stakeholder involvement and communication requirements
7. Plan for necessary knowledge and skills (i.e., *Staff Training Plan*)
8. Negotiate commitments to the project plan

Relevant PMM processes include the following: scope management, configuration management, communication management, time management, risk management, quality management, human resource management, subcontractor management, cost management (as incorporated into *O.1 Accounting Procedures*), issue management, and action item management.

5.2   Project Monitoring and Control

The purpose of the Project Monitoring and Control (PMC) function is to provide project management with an understanding of the project's progress so that appropriate corrective actions can be taken when the project's actual performance deviates significantly from the expected performance. Specifically, project tracking and oversight involves monitoring the project against the PMPs, identifying and managing corrective actions to closure, and adjusting project plans based on the actual accomplishments and results.

Relevant PMM processes include the following: configuration management, schedule management, risk management, human resource management, subcontractor management, cost management (as incorporated into *O.1 Accounting Procedures*), issue management, action item management, and project metrics.

5.3   Measurement and Analysis

The purpose of the Measurement and Analysis (MA) function is to develop and sustain a measurement capability to support the management information needs of the project. Measurement collection and analysis provide an objective review of project activities and represent a critical source of project monitoring information.

Relevant PMM processes include configuration management and project metrics.

5.4   Configuration Management

The purpose of the software Configuration Management (CM) function is to establish and maintain the integrity of the products of the software project throughout the project's software life cycle. It involves identifying the items placed under CM (e.g., software specifications, selected software work products, and related items such as product descriptions and operational documentation), systematically controlling changes to the CIs, and maintaining the integrity of the configuration throughout the software life cycle. The work products placed under software CM include the software products that are delivered to the program (e.g., the software specifications and the code) and the items that are identified with or are required to create these software products (e.g., the compiler, third-party software).

Relevant PMM processes include the following: scope management, configuration management, release management, and time management.

5.5   Supplier Agreement Management

The purpose of the Supplier Agreement Management (SAM) function is to manage the acquisition of products and services from suppliers based upon formal agreements. It involves selecting a supplier, establishing the agreement with the supplier, and tracking and reviewing both supplier and Xerox performance and results under the agreement.

Relevant PMM processes include the subcontractor management.

5.6 Process and Product Quality Assurance

The purpose of the Process and Product Quality Assurance (PPQA) function is to provide project management and staff with objective insight into the processes being used by the software project and of the products being built. It involves reviewing and auditing the software products and activities to verify that they comply with the applicable procedures and standards. It also involves providing the software project and other appropriate managers with the results of these reviews and audits.

Relevant PMM processes include configuration management and quality management.

5.7 Requirements Management

The purpose of the Requirements Management (REQM) function is to manage project requirements and validate consistency between the project's requirements and the project's plans, deliverables, and other work products.

Relevant PMM processes include the Scope Management and Requirements Management.

6. Roles and Tools

This section identifies the roles, responsibilities, tools, and training necessary to execute the PMM effectively on the CA-MMIS Contract.

6.1 Roles and Responsibilities

To complete the activities and processes described in the PMM, the following responsibilities must be assumed by one or more individuals on the project. The project manager or resource manager determines how specific responsibilities are allocated to project resources and updates the Roles and Responsibilities section of the PMPs accordingly.

- **Governance Teams** — Responsible for receiving and reviewing project status and performance, escalated items, mitigation strategy, and resolution; this team meets and/or interacts on a regular basis
- **EPMO Director** — Responsible for overseeing promulgation of the PMM and associated PMPs, verifies the application of the PMPs in CA-MMIS Program projects, and promotes continuous improvement in project management processes and standards
- **Project Manager** — Responsible for documenting and submitting items for escalation and resolution. Oversees the execution of project and delivery of the solution to the client
- **EPMO Quality and Standards Team** — Responsible for validating PM processes and procedures are executed in compliance to mandated standards and documentation

6.2 Training

The project manager verifies staff is trained to perform tasks necessary for successful execution of their roles. Orientation, Privacy and Security, and PMP process training are provided to the project team upon joining the project. Collectively, these training sessions are called Project Control and Reporting System (PCRS) training and are available throughout the project life cycle. Training tasks are defined in the project schedule and are scheduled near the beginning of the project. See the *Staff Training Plan* for processes to manage and track training activities.

6.3 Tools

The following tools listed below support the PMM and PMPs. Additional tools may also be identified within each of the PMPs.

- **ClearQuest** – An application used to document and track requested changes throughout their life cycle

- **Dynamic Object-Oriented Requirements System (DOORS)** – A requirements repository used to document traceability from the CRFP through the delivered system
- **iTools** – A Project Management tracking tool used by the Communications Analyst to generate SAG roadmaps
- **Microsoft Excel** – An application used to collect and report metrics
- **Microsoft Project Professional Project Server, Project Web Access (collectively known as the Enterprise Project Management tool)** – A tool used to create and manage the schedule and provide staff with access to assigned tasks
- **Microsoft Word** – An application used to produce documentation related to escalated topic(s)
- **SharePoint** – A repository used to retain CA-MMIS artifacts. Stakeholders with authorized access to the project's Web portal can review the content of the project's artifacts. It is also used to manage project information such as documentation, lists, links, event calendar, organization charts, and more
- **Status Reporting** – A process used to provide leadership with ongoing progress reporting covering major areas of the project
- **Templates** – Documents that are used to follow standards of the project

6.4 Definitions

This section lists glossary terms specifically applicable to this document. The terms listed below must be consistent with the terms and definitions in the global glossary. The global glossary applies to both PMM and SDM.

Term/Acronym	Definition
CA-MMIS	California Medicaid Management Information System
CCB	Change Control Board
CI	Configuration Item
CM	Configuration Management (a CMMI process area)
CMMI	Capability Maturity Model Integration
COTS	Commercial-off-the-shelf
CR	Change Request
CRFP	Conformed Request for Proposal
DHCS	Department of Health Care Services
DOORS	Dynamic Object-Oriented Requirements System
EPC	Erroneous Payment Correction
EPMO	Enterprise Project Management Office
FI	Fiscal Intermediary

Term/Acronym	Definition
IEEE	Institute of Electronics and Electrical Engineers
MA	Measurements and Analysis (a CMMI process area)
NTP	Narrative Technical Proposal
PA	Process Area
PCRS	Project Control and Reporting System
PM	Project Management
PMBOK	Project Management Body of Knowledge
PMC	Project Monitoring and Control (a CMMI process area)
PMI	Project Management Institution
PMM	Project Management Methodology
PMP	Project Management Plan
PMPO	Project Management Plan Overview
PP	Project Planning (a CMMI process area)
PPQA	Product and Process Quality Assurance (a CMMI process area)
PS	Problem Statement
QA	Quality Assurance
QC	Quality Control
QM	Quality Management
REQM	Requirements Management (a CMMI process area)
RTM	Requirements Traceability Matrix
SAM	Supplier Agreement Management (a CMMI process area)
SD	System Development
SDM	System Development Methodology
SEI	Software Engineering Institute
SIT	System Integration Test
SOP	Standard Operating Procedures
SOW	Statement of Work
TAP	Technical Architecture Plan

Term/Acronym	Definition
UAT	User Acceptance Test
WBS	Work Breakdown Structure
Xerox	Xerox State Healthcare, LLC (Xerox)