Organizational Change Management (OCM) Approach

Alabama Medicaid Enterprise Systems (MES) Modernization Program (AMMP)

Contract Number: C20000000080
OCM-2-a

Prepared for:

Alabama Medicaid Agency

Version 6.0

May 31, 2023

Revision History

Version	Effective Date	Revision Owner	Description of Change
6.0	05/31/2023	Latoya Byas	Approved and published
5.1	05/25/2023	Heather Burns, Mark Bonner, Bonita Bowens	Iteration update
5.0	1/26/2023	Latoya Byas	Approved and published
4.1	12/20/2022	Jamie Roberts	Iteration update
4.0	10/13/2022	Latoya Byas	Approved and published
3.2	06/29/2022	Jamie Roberts, Bonita Bowens, Brooke Bailey, Mark Bonner	Response to Comments
3.1	05/31/2022	Jamie Roberts, Bonita Bowens, Brooke Bailey, Mark Bonner	Iteration update
3.0	10/22/2021	Latoya Byas	Approved. Removed resolved comments and published
2.2	09/29/2021	Suzanne Smith	Response to Comments
2.1	09/02/2021	Suzanne Smith	Updated for iteration 2.
2.0	04/09/2021	Latoya Byas	Approved. Removed resolved comments and published
1.3	02/26/2021	Suzanne Smith	Response to Rejected Comments
1.2	02/12/2021	Barkeiya Ormond and Suzanne Smith	Response to Comments
1.1	1/19/2021	Suzanne Smith	Iteration 1. Completed a review of the whole document. Updated all sections to reflect updates in the OCM approach and processes being followed.
1.0	07/29/2020	Deborah Hall	Approved. Removed resolved comments and published
0.3	07/10/2020	Suzanne Smith	Response to Comments
0.2	06/12/2020	Suzanne Smith	Response to Comments
0.1	05/13/2020	Suzanne Smith	Initial Submission

TABLE OF CONTENTS

List of Exhibits

1. Introduction / Overview

The Alabama Medicaid Agency (AMA), which will be further recognized as the “Agency,” is updating their Medicaid Enterprise Systems (MES). The name for the program is the Alabama MES Modernization Program (AMMP). This transformation will modernize the information systems that fall under the MES umbrella, including the modernization of the Alabama Medicaid Management Information System (AMMIS), Electronic Visit Verification (EVV), and the Eligibility & Enrollment (E&E) system known as Centralized Alabama Recipient Eligibility System (CARES). The program also includes the implementation of a new modular solution for EVV, and modules such as Provider Management and Enterprise Data Services (EDS) (reporting). In support of this transformation, the Agency brought on a Program Management Office (PMO) Services Contractor to provide Program Management, Requirements and Business Process Management (RBPM), Enterprise Architecture (EA), and Organizational Change Management (OCM) services for AMMP.

The Agency has a team of Medicaid business and technical professionals who support all PMO activities, in concert with Agency subject matter experts (SMEs).The PMO OCM Team will develop an OCM approach and strategy to transition Agency stakeholders from the current state to the new future state. Effective change management must match the unique characteristics and attributes of the modularity change and the people who are impacted by the change. The MES program change initiative is large and complex and requires a significant OCM effort to fully realize the intended benefits. Some modules and projects will require more change management than others. To this end, this will require a collaborative effort between the (Agency) MES PMO Team, PMO OCM Team and module contractors. To achieve successful change, leaders must articulate a consistent, achievable, inspiring, and easily understood vision that guides the organization to measurable achievement of expected benefits. Instead of a single event, change is a transitional process with multiple and varied events supporting the objective of moving an organization and its stakeholders from the current state to a future state.

This document describes the OCM approach which will be used throughout the AMMP. This approach will be applied to AMMP, and Contractors, who will provide module-specific training for each implementation solution. This approach provides the framework for how the PMO OCM Team will prepare the business areas for upcoming changes and ensure that the implemented solution is adopted. The approach sets the stage for how the PMO OCM Team will assist with meeting the program objectives and outcomes.

While the approach to OCM will be consistent throughout the program, the implementation strategy will be adjusted for each module because the business impacts will be different for each.

1.1 Referenced Deliverables and Artifacts

The following deliverables and artifacts are cited in this document:

- COM-6-A: Responsibility Assignment Matrix
- OCM-2-c1: OCM Strategic Plan
- OCM-2-c2: OCM Templates
- OCM-2-d1: OCM Communication Plan
- OCM-2-d2: OCM Communication Matrix
- OCM-2-e1: OCM Training Plan
- OCM-2-e2: OCM Training Matrix
- OCM-2-f1: OCM Implementation Plan – Template
- OCM-2-g1: OCM Implementation Tracking Matrix – Template
- OCM-2-g2: OCM Master Tracking Matrix

- OCM-2-h: OCM Project Schedule (RFP deliverable name) / MES_NTT_OCM.mpp (SharePoint Project Repository file name)
- OCM-2-i: OCM Executive Level Dashboard
- PMO-2-y: OCM Effectiveness Evaluation Plan
- REQ-2-a3-5,6,7: [FA] AS IS and TO BE Business Process Models Template

Note Links to external artifacts is restricted to those with a business need and the required level of access.

1.2 Introduction to OCM

OCM is a structured approach to transition an organization, its groups, and its individuals from the current state to a new desired state. It focuses on the people side of change – socializing change to increase adoption and sustainment. Moving the Agency to a modular Medicaid system is a huge effort that requires partnership between both the technical side (design, develop, deliver – executed by the project management discipline) and a people side (engage, adopt, use – enabled by the OCM discipline) to be successful.

OCM is essential to effective business transformation. Organizational change management drives individual and collective adoption, thus ensuring achievement of expected benefits. AMMP's OCM approach focuses on the four key principles as described in Exhibit 1:

- Sponsorship
- Communication
- Learning
- Reinforcement

Exhibit 1: OCM Key Principles

Principle	Description
Sponsorship – Develop effective and aligned change sponsorship across the organization	Strong change sponsorship is essential to the success of any change project. Change sponsorship should be built from the executive sponsor to Functional Process Owners (FPOs)/front-line supervisors/team leaders, to end-users. Change messaging should cascade from leadership. It should be aligned with the vision, and ongoing to build sustainable momentum in support of the change program. For AMMP, the primary sponsors are the Agency Commissioner and the Agency Chief Information Officer. The AMMP sponsors must be able to articulate a compelling vision, organizational benefits, and clear objectives for the change.
Communication – Provide ongoing, targeted, and timely stakeholder communication	The functional process areas and stakeholders impacted by change need to know what the change includes, why it is needed, and how it will be implemented. At each step in the change process, OCM's communications should be delivered sharing the right messages, at the right time. Open and timely communication serves to prevent or minimize change resistance which could slow or hamper the modularity program. Examples of OCM communications include, but are not limited to, newsletters, frequently asked questions (FAQs), engagement videos, kick-off presentations, and Change Champion sessions.

Principle	Description
Learning – Provide ongoing, targeted, and timely OCM learning activities and events	Learning activities and events provide those AMMP team members leading the change, and those directly impacted by change with the knowledge needed to function effectively through the transition and after the implementation. The Contractor shall provide virtual instructor-led training that describes and demonstrates the platform, all user-facing features, functions, limitations, standards, integration, governance processes, tools, and other relevant items. Documentation provided shall include, but not be limited to: 1. Training Outline, identifying the learning objectives and target audience for each course 2. Systems Operations Manual, Instructor guides, Participant guides. 3. User task-based job aids, fact sheets 4. Program policy requiring system updates/modifications 5. Online user tools or sites 6. Role based Frequently Asked Questions (FAQs) and troubleshooting steps 7. A knowledge check with answer key and noted pass/fail requirements
Reinforcement – Provide ongoing, targeted, and timely reinforcement	Recognizing milestones achieved and efforts made as the Agency moves toward the change, both builds acceptance, as well as promotes ownership of the change among the stakeholders and functional process areas. Post-implementation evaluations of change adoption will help to reinforce the change.

1.3 OCM Scope

To avoid overlapping of disciplines, it is important to note what OCM is and what it is not:

- OCM is not a standalone process for designing a business solution nor improving organizational performance
- OCM is not a process improvement methodology, but process improvements often go hand-in-hand with organizational changes
- OCM is the processes, templates, and techniques for managing the people side of change in order to realize expected business outcomes

The processes, templates and techniques described in this document will allow the PMO OCM Team to support the Agency MES PMO Team and each Contractor to determine the scope of the change for each functional process area, by module, and the unique communication, training, and reinforcements needed for each.

1.4 OCM Goals

Program outcomes are realized by a structured change management approach that positively influences stakeholder perceptions and manages expectations during the change effort. The goal of the OCM approach is to focus on smooth modularity implementations with minimal disruptions to Medicaid Management Information System (MMIS) and sub-systems operations and stakeholders. The approach seeks to minimize the impact of the change, as well as improve operational efficiency, and the quality of services rendered once the change is deployed.

A leader in OCM research, training, and consulting[1], Prosci® lists five main tenets of OCM, with the questions that must be answered to succeed in meeting the program goals. The principles, the questions that must be answered, and the goals are defined in Exhibit 2.

Exhibit 2: Five Tenets of OCM

Tenet	Question	Goals
We for a reason	Why are we changing?	Define what the organization gains and what the program achieves. For Alabama Medicaid, the impetus for the change is to comply with the Centers for Medicare & Medicaid Services (CMS) mandate. More importantly, the program's success will improve business processes as well as support the Agency's goal of improving healthcare outcomes.
Organizational change requires individual change	Who must do their job differently (and how)?	Organizations don't change; individuals do. We tend to focus change on the organization level, but the true unit of change is the individual. Along with the Requirements Business Process Management (RBPM) team, the AMMP OCM Team must help identify the impacted groups, review their current operations, processes, and roles, to document the critical behaviors that will need to change as a part of each module implementation. The PMO OCM Team will work with the RBPM team to identify changes to individual roles necessary within each stakeholder group. These changes will be validated with the Change Champions (described later in this document in Section 2.3).
Organizational outcomes are the collective result of individual change	How much of our outcomes depend on adoption and usage?	An organizational move to a future state requires individuals to move from their own current state to their own future state. OCM closes the process gaps identified by the RBPM team and assesses the needed business process changes. OCM supports effective change management, from outputs to outcomes, from specifications to sustainment, from solutions to benefits. For AMMP, the AS IS and TO BE business process changes and the gaps will be tracked by the RBPM team in the REQ-2-a3-5,6,7: [FA] AS IS and TO BE Business Process Models Template. The OCM significant differences will be tracked by the OCM Team in the OCM-2-g1: OCM Implementation Tracking Matrix Template and the OCM-2-g2: OCM Master Tracking Matrix The effectiveness of OCM in assisting individual and organizational change will be tracked and reported in PMO-2-y: OCM Effectiveness Evaluation Plan, and OCM-2-i: OCM Executive Level Dashboard.

[1] Prosci, Inc. https://www.prosci.com/

Tenet	Question	Goals
Change management is an enabling framework for managing the people side of change	What will we do to support adoption and usage?	OCM prepares, equips, and supports those in people-facing roles to mobilize their teams to deliver results. For instance, the outcome desired is that an individual who needs to do their job differently adopts and uses the new system and processes efficiently. The PMO OCM Team will support each Contractor to perform the activities required to get to successful adoption of new systems and processes. These activities are broken down into activities within the Preparing for Change, Managing Change, and Reinforcing Change phases. The PMO OCM Team will support the MES PMO Team and each Contractor to address resistance management. These efforts will be in concert with the Change Champions suggesting ways to reduce resistance and define measures to track adoption.
We apply change management to realize the benefits and desired outcomes of change	How will driving adoption and usage improve results?	The ability to successfully deliver organizational benefits and program objectives is directly impacted by how effectively the people side of change is managed. The Agency objectives include reduced manual actions for both users and Agency staff, reduced processing times, increased transparency, improved efficacy in data management, and the ability to leverage available technology. OCM strategies are applied to improve the likelihood of change outcomes, meet or exceed objectives, minimize risks, capture people-dependent Return on Investment (ROI), and deliver results. For AMMP, benefits realization will be using the OCM-2-i: OCM Executive Level Dashboard and PMO-2-y: OCM Effectiveness Evaluation Plan.

1.5 Definition of OCM Success

As stated in the fifth tenet, above, if OCM is effective, the program will meet or exceed program objectives, mitigate risks, , capture people-dependent ROI, and deliver results.

OCM success consists of the following objectives:

- Document and apply the OCM strategy and plans required for the Agency to successfully transition the organization and stakeholders to the future state
- Develop mechanisms for the project team to identify, measure, and track metrics for benefits realization (namely: monthly status reports, OCM-2-i: OCM Executive Level Dashboard, and PMO-2-y: OCM Effectiveness Evaluation Plan)
- Educate stakeholders at all levels to understand the reason for and benefits of the change
- Encourage sponsors and managers to be actively visible and understand their roles in leading people through change
- Implement a feedback loop to allow for feedback, questions/answers, and capture areas of resistance and areas where coaching and additional support can be provided to the Change Champions and people leaders

- Identify stakeholders who are impacted by the change, how the change impacts them, and strategies to support them
- Ensure contractor-provided training is tailored so that end users understand what is changing and are prepared to do their jobs differently
- Create a resource repository that stores all Agency-level OCM Materials (e.g., communications, training material, quick reference guides, job aids, and other user resource materials) providing ease of access for stakeholders
- Create a strategy for the Agency to implement enterprise-wide change competency and capability that allows the organization to apply change management practices successfully and routinely. The growth in change competency will be measured in the Stakeholder Assessments which will be performed and documented as part of PMO-2-y: OCM Effectiveness Evaluation Plan as captured in the OCM-2-c2: OCM Templates

1.6 OCM Process

Organizing a holistic business transition effort involves analyzing stakeholders, sponsors and the organization involved in a change effort. The Agency is undergoing several separate implementations, which require a tailored approach that is repeatable and sometimes concurrent, depending on the phase of each module implementation. Change readiness and impact assessments, and stakeholder analysis provide the information and insight needed to craft specific OCM communication, OCM training, and resistance management strategies that are tailored for the conditions surrounding each implementation in the AMMP. The process will be conducted through a collaborative effort among the Agency MES Team, Contractor, and PMO OCM Team, with the PMO OCM Team supporting the Contractor's OCM efforts.

The business transformation effort encompasses the transition of individuals from their current state to the desired future state and the transition of the organization from its current state to the desired future state. Individual change is managed using the Prosci® Awareness, Desire, Knowledge, Ability, Reinforcement (ADKAR®) model of individual change. Change is a choice and a process that everyone goes through differently at their own pace. The PMO OCM Team will provide support to the MES PMO Team and each Contractor to assist Change Champions to overcome the resistance challenges and provide post-implementation support to improve performance. The Prosci® ADKAR® change model will be used to support individuals and the Agency through a successful transition. Exhibit 3 below depicts the ADKAR® model.

Exhibit 3: ADKAR® Model of Individual Change

	ADKAR® Element	Definition	What you hear	Triggers for building	Agency Approach
A	Awareness	Of the need for change	"I understand why…"	Why? Why now? What if we don't?	CMS has mandated that states move toward a modular MMIS Funding is provided and the current contract is up for renewal
D	Desire	To participate and support the change	"I have decided to…"	What's in it for me? Personal motivators Organizational motivators	System will reduce manual/redundant processes Customization allows the modular system to support the Agency's unique needs Implementing new and innovative technologies modernizes the systems necessary to conduct Agency operations
K	Knowledge	On how to change	"I know how to…"	Within context (after A and D steps) Need to know during Need to know after	Upon the conclusion of OCM activities, participants will have a foundational understanding of what has changed and how to complete tasks related to their roles in the TO BE organization. Additionally, they will understand how to access available resources and tools as the implementation moves forward
A	Ability	To implement required skills and behaviors	"I am able to…"	Size of the Knowledge/Ability gaps Barriers/Capacity Practice/Coaching	Training enrollment is based on user roles Training materials, reference guides, and practice are customized to each module, supporting the business needs/goals of the Agency
R	Reinforcement	To sustain the change	"I will continue to…"	Mechanisms Measurements Sustainment	Go-live support including continued coaching and reinforcement in groups and 1-on-1 . Knowledge transfer activities are completed

OCM is not an event, but rather an iterative process with tasks and activities generally occurring across the three phases:

- Phase 1 – Preparing for Change
- Phase 2 – Managing Change
- Phase 3 – Reinforcing Change

A variety of templates are used in each phase to help impacted stakeholders understand and become committed to the MES modularity effort. The processes are repeated for each of the modules, with communication, learning, and reinforcements tailored to each implementation. The exhibit below shows the phases of change and the tasks that will be completed in each implementation.

Exhibit 4: OCM Process and Phases

Phase	Tasks
Preparing for Change – Occurs during Project Planning	
Assess Organizational Change Readiness	• Identify potential impacts for each stakeholder group • Prepare and administer baseline surveys • Compile and analyze survey data • Review organizational change history • Review organizational culture • Prepare and conduct change readiness and impact assessments • Prepare for and conduct stakeholder interviews • Identify critical change management risks and define how they will be managed
Prepare OCM Resources	• Identify OCM team resources, including Change Champions embedded in the transitioning teams • Train the OCM team and Change Champions (when applicable) • Conduct OCM team meetings and Change Champion meetings
Prepare Sponsors (Occurs at the Program-level only)	• Identify sponsors • Assess sponsor change support needs • Develop, schedule, and deliver change sponsor OCM learning events, as needed • Provide one-to-one sponsor coaching and assistance
Managing Change – Occurs throughout Design, Development, and Implementation of each module and until the desired future state is achieved	

Develop Implementation Plan	• Identify impacted stakeholder populations
	• Analyze change impact and change assistance needs by user group
	• Develop/update resistance prevention/mitigation strategies using the change systems of:
	  ▪ Communication
	  ▪ Root cause analysis of encountered resistance/ suggested mitigations
	  ▪ Learning / Capability development
	  ▪ Reinforcements / Recognitions
	• Identify special tactics necessary to deal with high-risk areas

Implement OCM Strategies	• Assist Contractors, Functional Process Owners (FPOs) and Change Champions to implement resistance prevention/mitigation strategies (communication, learning, reinforcements/recognitions)

Phase	Tasks
Reinforcing Change – Occurs throughout program and into future state for each module	
Collect and Analyze Feedback	• Conduct Effectiveness Evaluations • Conduct internal stakeholder interviews, as needed • Conduct internal stakeholder focus groups, as needed • Analyze stakeholder feedback and determine resistance mitigation strategies and identify/correct gaps in OCM • Update Implementation Plan, OCM Master Tracking Matrix, OCM Communication Matrix, and OCM Training Matrix
Manage Resistance	• Implement resistance mitigation strategies defined in the Implementation Plan • Evaluate need for refresher training • Celebrate successes

2 Governance

The PMO OCM Team plays a supportive role to the MES PMO Team and Module Contractor, to build the change competency within the leaders of the Agency. If it is not possible for the leaders/FPOs/managers/supervisors to deliver the change messages, then at a minimum, their visibility and support at kick-offs and other key meetings will be critical to staff engagement.

The core roles can be grouped into Employee-Facing Roles (the Executive Sponsor, Deputy Commissioners, and the FPOs) and the Change-Enabling Roles (The Change Practitioner/OCM team and the Project Managers [MES team as well as module teams]).

The Employee-Facing Roles are the individuals who will remain at the conclusion of the project, so the goal of the Enabling Roles is to support them in the transition and, ultimately, to build their change competency.

2.1 PMO OCM Team

AMMP is considered a large-scale program with inherent change risks and organizational needs. The PMO OCM Team includes the OCM Manager, an OCM Communication/Training Lead, and an OCM Training Lead. The OCM Manager reports to the PMO Services Program Manager.

The PMO OCM Team works directly with the (Agency) MES PMO Team. The MES PMO will provide oversight and escalation, as needed. The PMO OCM Team will collaborate directly with the contractors' staff whose role aligns with OCM-related tasks.

2.2 Program Governance

The program governance of the PMO Services team is provided by the Agency MES core team, which is led by the Director of MES. In addition to the Project Governance by MES, the project must follow the Medicaid IT Project Governance as defined by the Medicaid IT Project Portfolio Management Office (PPMO). The OCM Communications Committee approves all communications, both internal and external. More information about this can be found in Section 0 OCM Communication.

2.3 Program Sponsors

The modularity program is governed by the Agency's Department of Information Systems and Technology Chief Information Officer. The Chief Information Officer reports to the Commissioner, who is also an executive sponsor. The Commissioner reports to the Governor of Alabama.

Effective sponsorship is the number one factor in successfully leading an organization and its people to the desired state. It is important for Agency staff to see their leaders actively engaged in the project(s). Because sponsorship is a critical success factor to the success of the OCM initiative and the large change effort, a sponsor coalition is recommended. Lastly, the coalition includes the Executive Sponsors, the Executive Oversight Committee, and Chief Data Officer reporting on behalf of the Data Governance Council, made up of leaders across the Agency program areas. The coalition also includes the Change Champion network comprised of select business area SMEs.

The OCM Sponsor and Functional Process Owners select the Change Champions to assist with AMMP. The Change Champions will serve as the eyes, ears, and feet on the ground to help support the Agency through the needed organizational changes. They support change by engaging stakeholders as they work towards individual change..

2.4 OCM Oversight

This section provides information on the proposed OCM Oversight individuals. The composition of this list is periodically reviewed and revised as appropriate for the specific program phase.

Exhibit 5: OCM Oversight

Role	Representing
Associate Director	MES
MES Director	MES
MES Program Manager	MES
MES Business Analysts	MES
PPMO / PQA Specialist	Medicaid IT Project Portfolio Management Office (PPMO) and Program Quality Assurance (PQA)
FPOs	Division Directors who oversee Agency Business Units
Change Champions	Agency Business Units designees, to support organizational change management
Chief Data Officer	Reporting on behalf of the Data Governance Council
Director of Communications	Agency office tasked with internal and external communication
PMO Project Manager	Oversees program and project procurement and implementation

3 OCM Templates, Processes and Procedures

This section identifies the templates, processes, and procedures that will be used in support of the OCM strategy (OCM-2-c1: OCM Strategic Plan) and the implementation plan (OCM-2-f1: OCM Implementation

Plan - Template). While the strategy and implementation plan document how OCM will be performed, the templates listed in this section detail the actual execution of the strategy/implementation plan. Each template, process, and procedure identified in this document can be scaled appropriately for each implementation or each module, as needed, based on the amount of associated change. Change readiness and impact assessments take the form of spreadsheets which can be customized for AMMP. The PMO OCM Team builds the OCM-2-g2: OCM Master Tracking Matrix which will trace all the significant differences/impacts to the OCM materials in which the impact has been documented. Additionally, the OCM team uses spreadsheets to track OCM communication and OCM training.

3.1 OCM-2-g2: OCM Master Tracking Matrix

The OCM-2-g2: OCM Master Tracking Matrix will be used for tracking and monitoring coverage of the significant differences throughout the lifecycle of the program. This matrix will provide traceability to ensure each difference is addressed in training (formal or informal) and/or OCM communication. A module-specific tracking matrix (OCM-2-g1: OCM Implementation Tracking Matrix – Template) will be used to track significant differences for each module and will be incorporated into the OCM Master Tracking Matrix.

The PMO OCM Team will use the RBPM team's artifacts, including gap analysis, business process models, roadmaps, workgroup meetings to identify the significant differences. The OCM-2-g2: OCM Master Tracking Matrix will list the significant differences between the AS IS functionality and the TO BE processes. An attribute will indicate whether the difference applies to the program or functional program area or a module (or a combination of each). Each significant difference will be assigned an Impact Rating. Considerations include the type and degree of change, degree of user impact, degree of process/organization change, and timeframe of the change.

The tracker will pinpoint whether the significant difference is addressed by training (with specific training materials that cover it) and/or communication (with specific communication package that covers it). High-impact items will be covered in multiple formats (communication, learning, reinforcement). For example, any significant difference noted in the tracker with a high impact will be addressed with business process training, with module contractor trainers instructed to stress it in classroom (or virtual) instruction as well as a callout in the User Manual. All the high impact differences will be verified for sufficient coverage during dry runs of training with Change Champions. Any deficiencies will be addressed in training updates.

An effectiveness measurement will be used as a feedback loop for improvement. Significant differences which need more attention will be identified, as evidenced by the change readiness and impact assessments as well as the effectiveness evaluations conducted over time. When a stakeholder group is not advancing along the Awareness, Desire, Knowledge, Ability, Reinforcement (ADKAR®) change model, the PMO OCM Team will suggest additional efforts be directed to that group.

3.2 OCM-2-d2: OCM Communication Matrix

The identification of key messages and the review and approval process for OCM communication messages are detailed and tracked, including the timing, media method and responsibility in this spreadsheet. OCM Communication will be monitored for effectiveness and messages will be updated regularly over the lifetime of the program. More details about the methodology follow in Section 0 *Roles identified in RFP. As the project progresses, roles will be reevaluated, and changes may need to be made.

OCM Communication.

3.3 OCM-2-e2: OCM Training Matrix

The OCM team will identify methods of training, with benefits and constraints for each, and possible uses for each, along with potential methods. The training methods will inform the planning for training delivery. More details follow in Section 8 OCM Training Approach. The OCM training tracking spreadsheet will include:

- Training Needs Assessment
- Training Schedule
- Contractor Training Evaluation
- Training Logistics
- Training Evaluation Report

4 Phases of Change

The work of Organizational Change Management is split into three phases: Preparing for Change, Managing Change, and Reinforcing Change, as shown in Exhibit 4: OCM Process and Phases in Section 1.6. This section gives more details on the tasks within each of these phases.

4.1 Phase 1 – Preparing for Change

The first steps in preparing for change are to define the change, assess unique organizational characteristics, scale, size, and complexity of the change to determine the level of OCM involvement that will be required. Part of preparing for change includes internal stakeholder identification so that the right people are selected for the interviews and assessments described in this section.

AMMP stakeholders also include external stakeholders, and their identification at this phase is necessary so that the impact to their groups is understood. Communication and training in Phase 2 will address those needs. To thoroughly identify all stakeholder groupings and individual stakeholders, the PMO OCM Team will work with the RBPM team, the MES Program Manager, the module project managers and Contractors, as well as the primary and secondary FPOs and the Change Champions they designate. The Stakeholder Registry is documented in a worksheet within COM-6-A: Responsibility Assignment Matrix.

The following exhibit summarizes the change readiness and impact assessments performed with stakeholders during the Preparing for Change phase of the program. The PMO OCM Team conducts Change Readiness and Impact assessments and interviews (as appropriate) with Agency executive leaders, State Agency business owners, MES SMEs, program staff and contractors. These assessments may be repeated during the Managing Change and Reinforcing Change phases as captured in deliverable OCM-2-c2: OCM Templates. The active participation of the stakeholders identified in this exhibit will be needed across all three phases of OCM (see Frequency column), even during periods when an assessment is not being performed.

The Change Readiness and Impact Assessments will be structured by audience, and the questions and timing will vary based on that structure.

Exhibit 6: OCM Change Readiness and Impact Assessments

Audience	Purpose	Frequency
• Agency Commissioner • Chief Information Officer • Chief Financial Officer • Deputy Commissioners • Department of Information & Systems Technology leaders	To assess and analyze the primary sponsors to determine if they are at the right level and have the capacity to lead the program to success Goal is to: • Assess the sponsor coalition • Understand their business goals • Enable their support of the change process	Initially – during the Preparing for Change phase Repeated – as needed if any of the periodic assessments indicate that leadership engagement has waned
• Project leadership • Project management • Change management team • MES Core team	For overall project health diagnostics, using concise but purposeful questions about leadership, project management and change management Goal is to assess the strengths of: • The sponsor coalition • Project/Program management • Change management team • MES Core Team	Initially – before the Managing Change phase to provide definition and context, both as a diagnostic and to drive next steps Repeated – at each OCM Effectiveness Evaluation to track progress, and refocus actions
• Sponsor • Deputy Commissioner • FPO Managers	Based on previous responses, to understand how each group is impacted, including unique challenges and risks by group, to prioritize and customize the OCM approach to drive adoption for each group Goal is to assess the impact of the change and the readiness of the organization, including: • What is the value-system and background of the impacted groups? • How much change is already going on? • What type of resistance can be expected?	Once – at the start of the Managing Change phase. Validated with the Change Champions when they are identified

Audience	Purpose	Frequency
• End users within the functional areas	To understand where the end users are in their change journey along the five building blocks of successful change (ADKAR) Goal is to understand: • User perceptions of the organization's readiness • User personal readiness for change • User understanding of the change and how they perceive the personal impact of that change	Initially – before the Managing Change phase Repeated – via SurveyMonkey at each OCM Effectiveness Evaluation to track individual / group progress and refocus actions
• FPOs • Change Champions • People managers designated by the FPO	To gauge the change management competency of supervisors, managers, and Change Champions; appraising their ability to manage employees through their change process	Initially – before the Managing Change phase Repeated – via SurveyMonkey at each OCM Effectiveness Evaluation

4.1.1 Assessment Audience: Sponsor Coalition

Change readiness and impact assessments/interviews will be conducted to gather insight from the key leaders listed below. These organizational readiness interviews are conducted with the leaders individually to learn about their vision for the program and business goals. The OCM team will gain the leaders' perspectives on change impacts, anticipated resistance and mitigations, and the organizational culture.

Exhibit 7: Sponsor Coalition Interviews

Interviews
MES Sponsors (AMA Commissioner and Chief Information Officer (CIO))
AMA Deputy Commissioners
AMA Department of Information Systems and Technology leaders
AMA FPOs and their backups (performed at the beginning of each module, with impacted FPO)

The feedback from the interviews will be analyzed to extract key themes and areas of most concern to the leaders. The feedback serves as inputs for the OCM communication, OCM training, and reinforcement efforts. An important outcome of the assessment interviews with the FPOs will be the identification of Change Champions to assist with the subsequent phases of OCM.

4.1.2 Assessment Audience: Project Leadership, Management, and Change Management Team, MES Core Team

The assessment includes questions designed to assess project health and readiness, analyzes three strategic elements that must be in place and continuously strengthened to make a project successful. The three areas are Leadership/Sponsorship, Project Management and Change Management. The assessment focuses on whether the project has adequate focus in all three areas. The assessment will identify areas which are adequate and those where more focus is needed. The assessment will be conducted every six months, thereafter, to assess progress. The participating individuals may change for each module.

4.1.3 Assessment Audience: Sponsor, Deputy Commissioner, FPO Managers

This assessment is used to evaluate the perceived need for change, impact of past changes, change capacity, past changes, shared vision, resource availability culture, responsiveness, reinforcement leadership style and distribution and change management competencies. During the FPO interviews, the PMO OCM Team will rate the organization based on a series of change readiness questions. Each question is rated on a scale of 1-5, with answers rating 4 or 5 indicating a high need for change management and answers of 1 or 2 indicating a low area of concern. The assessment areas that will be rated include:

- Perceived need for change among employees and managers
- Impact of past changes on employees
- Change capacity
- Management of past changes
- Shared vision and direction for the organization
- Resources and funding availability
- Organization’s culture and responsiveness to change
- Organizational reinforcement
- Leadership style and power distribution
- Executives/senior management change competency
- Employee change competency

4.1.4 Assessment Audience: End Users by Functional Process Area

The assessment of end users is used to evaluate end user readiness for change. For this assessment, the Module Contractor will survey a set of individuals identified by the Change Champions. The same individuals will be surveyed again over the course of the implementation, for instance after they have attended OCM training, after participating in UAT, and after Go Live of a module. Responses are used to determine users’ readiness to engage with the new system, evaluate the effectiveness of training and organizational change management and identify areas where additional support is needed. Each question is rated on a scale of 1-5, with answers rating 4 or 5 indicating a high need for change management. The individual assessment areas include:

- Awareness
    - Awareness that the Agency is implementing a modular program
    - Understanding the business reasons for implementing a modular program
    - Understanding the risks of not changing to a new system
    - Understanding the impact on day-to-day work activities
    - Receipt of adequate communication on the changes related to day-to-day work activities

- Desire
  - Feeling motivated to be part of the change
  - Looking forward to the new, changed environment
  - Feeling comfortable asking questions
  - Peers support the change
  - Executives and key business leaders support the change
- Knowledge
  - Having the skills and knowledge to be successful during the change
  - Having the skills and knowledge to be successful after the change
  - Having training that was adequate in preparing for the new system
  - Knowing who to contact with questions about modularity
- Ability
  - Able to perform the new duties required by the change
  - Can practice performing job tasks in the online or testing environment
  - Able get support when I have problems and questions
- Reinforcement
  - Understanding the organization is committed to keeping the change in place
  - Knowing the consequences of not performing new duties

4.1.5 Assessment Audience: FPO Managers

The assessment of FPO managers is used to evaluate FPO managers and supervisors' ability to assist their teams with change. The Module Contractor and the PMO OCM Team will survey selected managers and supervisors to determine their readiness to lead employees through the change and identify areas where additional support is needed. Each question is rated on a scale of 1-5, with answers rating 4 or 5 indicating a high need for change management and answers of 1 or 2 indicating a lower need. The questions covered in the managers' assessment include:

- Adapting to change
  - Seeking information to better understand 'why' the change is occurring
  - Asking questions to determine how the change will impact one's group
  - Providing feedback, including any objections, in a clear, non-confrontational manner to managers and the project team
  - For those resistant to the change, identifying the root cause of the resistance and working with managers to find solutions to objections
  - Making a personal choice to support and participate in the changes before introducing them to employees
- Introducing change to employees
  - Share with employees the nature of the change in context with the broader vision and direction of the Agency
  - Explaining 'why' the change is happening, including the risk of not changing

- Formally encouraging dialogue with employees by asking them to provide feedback and to raise their questions and concerns about the change
- Correcting misinformation that may be circulating about the change
- Visibly demonstrating personal support and enthusiasm for the change (seen as an advocate or sponsor for the change)

- Managing employees through the transition
  - Conducting one-on-one sessions with employees to identify how they are impacted by the change, to link the change to their job role, and to listen to their concerns
  - Identifying any areas of resistance to the change and effectively manage this resistance
  - Assessing the gap between current job knowledge and skills, and the job knowledge and skills needed to support the change, to create professional development plans for each employee
  - Providing ongoing information about the change and ensuring that employees have the time necessary to attend training
  - Mentoring employees during the implementation of the change and providing a safe environment for employees to practice, to make mistakes, and to adapt to the change
- Reinforcing and celebrating success
  - Publicly recognizing and celebrating achievements and successes
  - Recognizing individuals for their contribution and support
  - Putting in place measurement and performance management programs aligned with the change so that employees' progress is measurable and observable
  - Providing data to the project team on how well employees are embracing the change, including specific performance data and areas of resistance

4.2 Phase 2 – Managing Change

Due to the uniqueness of the Agency change initiative and results of the various assessments, the following change management plans will be included in the OCM planning:

- OCM Communication Plan (OCM-2-d1) – This plan defines the OCM communication processes for the program. It serves as a framework for the OCM communication, identifying stakeholders, with whom it is critical to communicate. It is accompanied by a tracking matrix (OCM-2-d2: OCM Communication Matrix) that defines and maps specific messages to stakeholder groups. This plan provides the information for OCM communication at the program level, and detailed items are tracked in the matrix.. Module-specific communication plans will be developed for each module and documented in OCM-2-f1: OCM Implementation Plan – Template
- Transition Plan – this is a section of the OCM-2-c1: OCM Strategic Plan. It provides information on the approach, plan, transition roadmap between current and future state, and potential impacts, with an impact rating
- OCM Training Plan (OCM-2-e1) – This plan defines the OCM training methods to be used during the program. It serves as a framework for the OCM training provided for the transition to modularity. It identifies and defines the stakeholders that require training to easily transition from their current state to the new future state. It also contains a tracking matrix (OCM-2-e2: OCM Training Matrix) which identifies the training required for stakeholder groups. The items captured on the matrix are built into the OCM-2-h: OCM Project Schedule. A specialized training plan will be developed for each module and documented in OCM-2-f1: OCM Implementation Plan – Template

- Resistance Management – this is a section of the OCM-2-f1: OCM Implementation Plan – Template that provides information about anticipated resistance, identifying root causes of the resistance, and tactics to address the resistance. It also provides information on engaging the individuals identified by the FPO Managers as Change Champions. These individuals will assist the Module Contractor with improving adoption
- OCM Effectiveness Evaluation Plan (PMO-2-y) – This is a plan that defines the methods to measure the effectiveness of OCM, the effectiveness areas to be evaluated, the desired level of effectiveness (including unacceptable levels), and the dashboard reporting for OCM effectiveness. Planning for the evaluations will include the following:
    - The method used to measure the effectiveness
    - The templates (with samples)
    - The schedule for conducting the evaluations
    - The areas to be evaluated
    - The industry standard levels of effectiveness
    - Acceptable and unacceptable levels of effectiveness
    - The effectiveness evaluations will be performed by individuals on the PMO Services Contractor team and MES partners. Results will be documented and summarized and provided to the Agency within three business days of the evaluation. For additional details, please see PMO-2-y: OCM Effectiveness Evaluation Plan.

4.3 Phase 3 – Reinforcing Change

The final phase in the OCM process is Reinforcing Change for sustainment. The main components of this phase include:

- Collecting and analyzing feedback – this involves getting feedback from the Change Champions as well as the stakeholder users. This feedback will be obtained using the OCM go-live change readiness assessments and effectiveness evaluations. The assessments will be tracked and analyzed with the PMO-2-y: OCM Effectiveness Evaluation Plan and its activities
- Diagnosing gaps and managing resistance – this involves reviewing the OCM training provided by the Module Contractor. Any gaps will be identified and addressed, either by updating training materials and user guides, or providing refresher training, or both. Resistance will be managed using the feedback of the Change Champions, with special tactics to address the resistance applied
- Evaluating adoption – this will also be measured using the OCM go-live change readiness assessments and effectiveness evaluations and PMO-2-y: OCM Effectiveness Evaluation Plan activities in consultation with the Change Champions
- Take Action and Implement Plans - The Contractor shall develop, in collaboration with the OCM team for Agency approval, and provide training to address changes that impact end users resulting from solution/software/system releases, in accordance with the approved Training and Knowledge Plan
- The Contractor shall prepare and deliver pre-planned refresher trainings (live, instructor-led), post solution implementation, to help facilitate knowledge gains by end-users from solution use. This training should be delivered upon Agency request, no later than eight (8) weeks after system go-live
- Celebrating successes – successes will be celebrated using the Agency Newsletter. FPO managers and project leaders will also be encouraged to celebrate the successes of their teams as well as individuals

- Documenting lessons learned – OCM lessons learned will be documented at the conclusion of each module phase. The OCM-specific lessons learned will be tracked in the OCM-2-d1: OCM Communication Matrix. Any lessons learned which have a program-wide impact will also be documented in the program or module toolkit
- Delivering the closing report – this involves the delivery of the production turnover documents. It is documented in the Transition Plan section of the OCM-2-c1: OCM Strategic Plan. Module closing reports are delivered in the OCM-2-f1: OCM Implementation Plan – Template

The PMO OCM Team, MES PMO Team, and Change Champions will look for ways to celebrate early success and watch for the achievement of major milestones to recognize individuals and groups for their efforts, even small. It is important to celebrate successes early in the project.

5 OCM Responsibility Assignment Matrix

The program-level Responsible, Accountable, Consulted, Support, Informed (RACSI) chart is located on the Program SharePoint. MES_NTT_DEL_COM-6-A_Responsibility_Assignment_Matrix.xlsx

The chart shows the assigned role that the PMO, RBPM, EA, OCM, MES, PPMO, Data Governance Office (DGO), and Program Quality Assurance (PQA) teams have regarding each phase of the program.

The exhibit that follows describes the roles for the OCM initiative and identifies the responsibilities of the team members as related to OCM.

Exhibit 8: OCM Roles and Responsibilities

Role Name	Description
Agency Commissioner	• Executive sponsor • Participate in the Sponsor Interview
Agency Department of Information Systems & Technology Chief Information Officer	• Primary sponsor • Provide executive oversight for AMMP • Resolve escalated issues • Actively and visibly participate throughout the program • Build a coalition of sponsorship with peers and managers • Participate in OCM Communication Committee meetings • Communicate directly with employees • Participate in the Sponsor Interview
Agency Communications Director	• Review and approve all communication issued to external stakeholders, direct all stakeholder outreach • Participate in OCM Communication Committee meetings • Approve communication to internal Agency stakeholders and ensure it is within the Alabama Medicaid Agency standards • Approve all communication issued to external stakeholders
MES Director	• Provide executive oversight for the OCM initiative • Participate in OCM Communication Committee meetings • Facilitate activities to support engagement

Role Name	Description
Alabama MES Associate Director	• Provide executive oversight for the OCM initiative • Resolve escalated issues • Facilitate communication with the Alabama Medicaid Agency Executive team • Participate in OCM Communication Committee meetings • Approve OCM deliverables
MES Analyst with OCM Oversight	• Provide oversight for the OCM initiative • Resolve escalated issues • Participate in OCM Communication Committee and other OCM meetings • Review and approve OCM deliverables • Provide input and approval of priority and timing of OCM activities • Provide input and approval of stakeholder outreach • Identify gaps and/or risks that may impact program success • Remove resistance or other types of barriers impacting OCM work
MES Business Analysts	• Identify gaps and/or risks that may impact program success • Remove resistance or other types of barriers impacting OCM work • Provide input into stakeholder outreach • Provide guidance to the OCM team and Change Champions • Participate in OCM Communication Committee meetings • Communicate importance of OCM related activities • Identify success criteria and performance metrics and measurements • Provide input into priority and timing of OCM activities • Approve OCM deliverables • Review and approve OCM training • Review and approve vendor system training plans and products • Review and approve vendor communication plans
Change Champions	• Be the eyes, ears, and feet on the ground to support the success of AMMP • When issues arise, assist in problem resolution, and OCM strategy development • Provide input into OCM activities, communication, and training • Motivate others to want to become engaged and share in the experience • Confirm business unit needs with the OCM team • Share functional business area updates that directly impact the program with the OCM team • Keep the OCM team and leadership informed about areas of resistance requiring attention

Role Name	Description
PMO Services RBPM team	• The Stakeholder Identification performed by the RBPM team will be needed for the OCM stakeholder assessments • The AS IS and TO BE business processes, gap analysis, and business requirements documents created by the RBPM team are needed by OCM in order to perform analysis of roles and responsibilities, communication and training planning and development, and transition planning
OCM Project Lead*	• Create OCM Approach • Create and execute OCM Strategy • Enable and equip change network • Identify tactics for resistance management • Recommend mechanisms for measuring OCM effectiveness and change readiness • Guide MES in leading people through change • Draft and coordinate OCM Communication through the approval process • Create and manage transition plans to move stakeholders to the future state • Report status monthly
OCM Communication / Training Lead*	• Plan for OCM training needs in collaboration with the Module Contractor and training team • Coordinate with Functional Process Owners/Change Champions to confirm training needs assessment, training gaps and coverage • Draft, coordinate, and deliver communications in collaboration with the Module Contractor and communications team • Draft, coordinate, and deliver training in collaboration with the Module Contractor and training team • Collaborate with the Module Contractor to track evaluations of training and updates to materials • Evaluate the need for refresher training and support the module Contractor and Functional Process Owners with identifying appropriate training methods
System Integration (SI) and Module Contractor Shared Resources	• Provide the PMO and MES team Agency approved, module specific communication, training, and implementation plans • Provide in-depth, role-based, system training and user-support materials for training delivery • Provide assistance to the OCM team, as needed

Contractor PMO Analysts	• Perform evaluations on OCM effectiveness:
	  ○ Send assessment surveys
	  ○ Review surveys and organizational assessments to track OCM effectiveness
	• Deliver report of OCM Effectiveness

PMO Contractor Project Managers	• Collaborate with the OCM team to ensure Contractor alignment with the OCM strategy • Coordinate with the OCM team on the delivery of project kickoffs • Assist with coordinating the OCM and contractor collaboration

*Roles identified in RFP. As the project progresses, roles will be reevaluated, and changes may need to be made.

6 OCM Communication

This section gives an overview of the OCM communication approach. Successful change leadership requires communication and the engagement of employees through effective, interactive communication processes. AMMP impacts multiple divisions within the Agency as well as diverse and varied groups external to the Agency. These external organizations include other State agencies, special interest and advocacy groups, public advisory boards, commissions, councils, providers, provider networks, and citizens of Alabama.

OCM communication provides a framework that serves as a guide linking program staff, sponsors, and internal and external stakeholders via communication methods. OCM communication ensures that the correct individuals get the information they need in a timely manner throughout the life of the program to help ensure the success of the program. The initial planning lays the foundation for communication during subsequent phases and serves as a model or template for ongoing communication efforts.

OCM communication planning is expected to evolve throughout the course of the program, according to communication needs and the effectiveness of communication vehicles. As shown in Exhibit 9 that follows, the communication methodology is based on a logical sequence of steps that focus on identifying key groups impacted by the program, key messages the groups need to receive, and appropriate delivery mechanisms for the messages.

No matter how the communication planning may evolve over the program lifecycle, it is critical that communication always be reviewed and approved by the Agency Communications Director. This includes messaging to both internal and external stakeholders. For details on the process for communication review and approval, including the workflow, please see OCM-2-d1: OCM Communication Plan.

Exhibit 9: Communication Methodology

In Step 1, the OCM Communication Principles and Objectives are outlined by the PMO OCM Team for the MES group review and approval. Aligned with the OCM Communication Objectives as listed above, the OCM team supports MES in the following areas:

- Stakeholders and recipients are identified and confirmed by the Agency
- Communication is planned and timely
- Recipients' roles and responsibilities are clearly communicated
- Outcomes are measurable and able to be evaluated

In Step 2, the PMO OCM Team and MES group collaborate to identify the stakeholders that are impacted by the AMMP modules. This information is documented in OCM-2-d2: OCM Communication Matrix. Some initial analysis of the OCM communication needs is performed by the PMO OCM Team and reviewed/approved by the MES team and the Functional Process Owners.

In Step 3, the PMO OCM Team, in collaboration with the Change Champions (a stakeholder or subject matter expert within the various program areas of Medicaid that will be the eyes, ears and feet on the ground as it relates to the success of AMMP) and the MES group, identify the key messages needed by each stakeholder group. Like Step 2, this information is documented in OCM-2-d2: OCM Communication Matrix. Additional analysis on the key messages is ongoing as the REQ-2-a3-5,6,7: [FA] AS IS and TO BE Business Process Models Template, Gap Analysis, and Roadmap deliverables are completed by the RBPM team and the OCM-2-f1: OCM Module Implementation Plan by the PMO OCM Team.

In Step 4, the PMO OCM Team completes and executes the OCM Communication Plan. This plan is updated at a minimum of every six (6) months. The MES team participates in review and approval of each iteration of the plan.

In Step 5, feedback is captured on the effectiveness of key messaging. The feedback can be received in the form of a survey, newsletter, event, or within a focus group session. If a survey is used, the contents of the survey are reviewed/approved by the OCM Communication Committee at the same time they are reviewing the planned message. Feedback may result in reviewing the communication methods, the audience, the messages, or the format, in a cyclical manner to gain process improvements.

A sound communication plan requires a set of guiding principles. The guiding principles are fundamental assumptions used when developing and evaluating all communication. They serve as "directional signs" to help those who develop and deliver communication stay on path toward the objectives of OCM communication.

The PMO OCM Team uses the following guiding principles for all OCM communication planning:

- Follow the methodology outlined in this document for all OCM communication
- Ensure the Agency's Communications Department is involved in the review and approval of OCM communication, both internal and external to the Agency
- Designate the Agency Program Director and Agency Communications Department as providing final approval of all OCM communication (for more details on the approval process, refer to OCM-2-d1: OCM Communication Plan)
- Speak with "one voice" – facilitate easy delivery of a consistent message through appropriate media and delivery sources
- Keep messages simple – provide relevant, accurate, timely, appropriate, transparent, and consistent communication

- Review every message from the viewpoint of the receiver – answer the question "What's in it for me?" Messages that address the personal impact to the receiver lead to greater desire to engage with the change. Not addressing personal impact can cause fear and resistance
- Put emphasis on face-to-face communication and high involvement of stakeholders at all levels to cascade information through the organization
- Clearly define and communicate benefits and expectations, but do not "over sell"
- Ensure AMMP milestones (such as contract awards, start of UAT, and Go Live) and target audience (such as Medicaid staff or providers) drive communication
- Use simple feedback mechanisms to assess user understanding of messages and provide an opportunity for two-way communication
- Define metrics or mechanisms to measure communication effectiveness

7 Definitions and Measurements

This section will define and describe the method for managing:

- Assumptions
- Dependencies
- Constraints
- Risks
- Controls
- Metrics

7.1 Assumptions

The following assumptions must be understood by Project or Program leadership and acted upon for the OCM efforts to be successful:

- Each module implementation requires OCM assessments and planning
- The PMO OCM Manager is responsible to manage the OCM strategy, but due to the size and complexity of the AMMP initiative, support (in the form of Change Champions) will be required from various roles across the Agency to carry out the Agency vision of transitioning stakeholders to the future state
- Change Champions will be empowered by the FPOs to make recommendations about impacts to staff roles and responsibilities, communication, and training needs, educate on inner-agency culture, identify, and mitigate areas of resistance. Change Champions will advocate for the project, helping to ensure effective OCM communication and help refine the OCM approach

7.2 Dependencies

The following dependencies must be understood by Project or Program leadership and acted upon for the OCM efforts to be successful:

- The key internal business stakeholder identification performed by the RBPM team will be needed for the OCM stakeholder assessments (FPOs and their designees)

- The AS IS and TO BE business processes, gap analysis, and business requirements documents created by the RBPM team are needed by the PMO OCM Team in order to perform analysis of roles and responsibilities, communication and training planning and development, and transition planning
- The active participation of internal and external stakeholders is required throughout the OCM process

7.3 Constraints

The following constraints must be understood by Project or Program leadership and acted upon for the OCM efforts to be successful:

- Time will be needed from each of the business areas to review and provide feedback on OCM work, for example the OCM Training Needs Assessment, and OCM Training Materials. These reviews will also require the assistance of Change Champions. All the tasks that require collaboration from business area are resourced in OCM-2-h: OCM Project Schedule so the functional process areas will be able to plan their time commitments

7.4 Risks

The following risks must be understood by Project or Program leadership and acted upon for the OCM efforts to be successful:

- If the project sponsors do not show active and engaged support of OCM, there will not be buy-in from the business areas
- If the functional process areas do not have time to participate in the review of OCM products, as listed in section 7.3, then the OCM materials may miss the target or may be incomplete

7.5 Controls

The following project controls will be provided:

- Monthly status reporting and attendance at status meetings
- Risk, Action Items, and Decisions (RAID) updates and approvals to close
- OCM Effectiveness Evaluations (performed by the PMO Services Contractor) and follow-up on identified actions
- Executive Dashboard
- OCM Project Schedule approval and weekly updates
- OCM team meetings and the approval of the Meeting Agenda / Minutes (MAM)
- OCM training material approval by project managers
- OCM communication approval process and workflow

7.6 Metrics

OCM project health metrics are reported in the PMO Services monthly project report. These include project schedule adherence, presence of Corrective Action Plans, Issues, Risks, Scope adherence and Human Resource issues. These metrics are summarized into an overall project health metric as well as trending. Survey results, such as OCM training, are reported upon in the monthly project report as well.

The PMO Services Contractor will formally evaluate and report on OCM effectiveness, at least twice annually, or as deemed necessary by the Agency. The assessment of readiness will determine the effectiveness of OCM. It will allow the PMO OCM Team and the Agency to identify areas in need of correction. Any needed corrections that are identified will be tracked until resolution.

The Contractor shall collaborate with the Agency and PMO OCM team to provide training metrics and results captured from post-training surveys/evaluations that can be integrated with PMO tools and processes to support OCM reporting to the Agency.

8 OCM Training Approach

The OCM team uses the Analysis, Design, Development, Implementation and Evaluation (ADDIE) instructional design model to develop training. The model is outlined as follows:

- Analysis – Complete a training needs assessment prior to training development
- Design – Design OCM training with input from results of the needs assessment
- Development – Develop OCM training in multiple media formats to best meet the needs of the training audience
- Implement – Implement OCM training using a managed training plan
- Evaluate – Evaluate OCM training for effectiveness and use feedback to update the OCM training plan, as appropriate

The same ADDIE approach will be used by the PMO OCM Team in reviewing and recommending updates to contractor-supplied system training materials.

The key areas to be defined in training planning are:

- Agency, MES PMO Team, PMO OCM Team, Functional Process Owners (FPOs), and Module Contractor roles and responsibilities
- Strategic approach used to develop training
- Standard and specialized training courses (with course durations to be determined after each module's Design, Development, and Implementation (DDI) phase begins)
- Training rollout schedule, including locations, enrollment process, pre-training instructions and communication to all entities impacted by the training to be determined after each module's DDI begins
- Training delivery methods and strategy, including format and a curriculum map of training materials
- Evaluation of training development, review process, submission process, approval process and delivery of training materials
- Quality assurance process and the integration of improvements determined through training evaluations as well as OCM Effectiveness Evaluations

The Contractor shall work with the OCM team and the Agency, in accordance with the Training and Knowledge Plan, to analyze, define, and tailor training to the Alabama-specific user roles provided within the Contractor's module solution.

The Contractor shall provide a Training Curriculum that will be developed in collaboration with the OCM team, finalized, and submitted to the Agency for review and approval a minimum of sixty (60) days before any scheduled training delivery. Documentation provided shall include, but not be limited to:

1. Training Outline, identifying the learning objectives and target audience for each course
2. Systems Operations Manual, Instructor guides, participant guides
3. User task-based job aids, fact sheets
4. Program policy requiring system updates/modifications
5. Online user tools or sites
6. Role based FAQs and troubleshooting steps
7. A knowledge check with answer key and noted pass/fail requirements

The PMO OCM Team will participate in review of contractor-supplied system training plans and documents, offering feedback on items that need to be stressed heavily in training because they are key differences from current Alabama Medicaid business processes. The PMO OCM Team will actively support all training to help respond to any business process questions.

The Contractor shall work in collaboration with the PMO OCM Team, Agency, PMO, and other MES Contractors to update training materials, schedules, and plans based upon module integrations. The Contractor shall evaluate training and training materials based on learners' feedback and repeated errors in the module on a quarterly basis. The Contractor shall implement any additional documentation in the appropriate training or training material to address learners' feedback and/or repeated errors based upon Agency review and approval. The Contractor shall provide the Agency (on a quarterly basis):

1. Validation that trainings and training materials provide the correct information for learners (e.g., the training is not creating unnecessary errors)
2. Proof of incorporating learners' feedback into the appropriate training

The Contractor shall prepare and deliver pre-planned refresher trainings (live, instructor-led), post solution implementation, to help facilitate knowledge gains by end-users from solution use. This training should be delivered upon Agency request, no later than eight (8) weeks after system go-live.

9 Business Transition Artifacts

This section will provide an overview of the following artifacts:

- Transition Roadmap – this includes the major activities needed for implementation. It is documented within OCM-2-g1: OCM Implementation Tracking Matrix – Template
- Business Process Flow – the business processes are documented within the RBPM Business Requirement Documents
- Business Production Responsible, Accountable, Consulted, Support, Informed (RACSI) chart – this will be developed in consultation with the Module Contractor and the Fiscal Agent Policy and System Management manager prior to implementation
- Business Reporting and Monitoring – this will be developed in consultation with the Module Contractor and the Fiscal Agent Policy and System Management manager, using information documented in the Business Requirement Documents

The PMO OCM Team's ability to support the Agency in effective transition planning is dependent upon outputs from the RBPM team, including AS IS / TO BE processes, gap analysis, and roadmaps.

Additionally, it is dependent upon module selection and contractor deliverables. This section will be updated as the modular strategy is implemented, and procurements begin.

Appendix A. Acronyms/Glossary

For a complete list of Acronyms and Glossary of Terms, please reference the AMMP Acronyms and Glossary.

