AMMP Plans, Guides, and Templates TOC

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

Prepared for:

Alabama Medicaid Agency

Version 2.2

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Revision History

Version	Effective Date	Description of Change
2.2	03/14/2023	Updated based on Agency comments
2.1	03/03/2023	Iteration Update
2.0	10/13/2022	Approved and Published
1.1	08/31/2022	Updated entire document based on related updates to deliverables and templates. Removed PMO-2-x-02: Contract Monitoring Report Card and EA-k-6: Database Design Document Template Added template OCM-2-c2-03: Module Training Plan Template
1.0	04/26/2022	Approved. Removed resolved comments and published
0.6	04/26/2022	Numerous updates to sync up with the Program Wide Deliverables site Added the following: OCM-2-c2-01: Module Transition Plan Template
0.5	03/17/2022	Added the following: TST-03: Test Phase Acceptance Metrics Template EA-d-b, EA-k-1, EA-k-2, EA-k-3, EA-k-5, EA-k-7, COM-17: Project Close-Out Plan COM-17-01:Project Close-Out Report Template PMO-2-k-02: Quality Management Template
0.4	02/18/2022	Added Module RTM Update Template
0.3	02/04/2022	Renamed document. Removed 'TST' deliverables and templates. Added AMA-01 and updated description for PMO-2-w-02
0.2	11/30/2021	Added Contract Discovery Template
0.1	09/30/2021	Initial Submission

TABLE OF CONTENTS

1 Introduction

This document contains a listing of and a brief description of the Program Wide Deliverables and Templates for the Alabama Medicaid Enterprise Systems (MES) Modernization Program (AMMP).

2 Deliverables

2.1 COM-3: Project Organization and Staffing

The purpose of this deliverable is to document the key and required positions for each contractor as part of the Modularity Program and share the processes and procedures used to determine and maintain the appropriate staffing for the project. The COM-3 plan supplements the overall Project Management Plan (PMP) and covers the staffing requirements for the program. The Project Organization and Staffing Plan is intended to be a living document. The COM-3-02: Project Organization and Staffing Details artifact contains the details of this area for each contractor. Each contractor will have their own artifact to maintain. The artifact is to be updated six (6) weeks after a new contractor starts or two (2) weeks after a contractor adds a team member or has other staff changes. The sections that require details to be completed in COM-3-02 will be indicated accordingly.

The AMMP (Modules: Modular Electronic Visit Verification (MEVV), System Integration (SI), Electronic Data Services (EDS), Provider Management, Claims Processing and Management Services (CPMS)) and the PMO Services Contractor will use this deliverable as a reference for Project Organization and Staffing.

2.1.1 Sections Included

The following sections are included in this deliverable:

1 Introduction
1.1 Referenced Deliverables and Artifacts
1.2 Purpose and Scope
1.3 Risk Management
2 Approach
2.1 Determine Project Objectives
2.2 Create Staffing Plan
2.3 Develop Effective Hiring and On-going Training
2.4 Review and Execute
2.5 Staffing Considerations
2.5.1 Backfill Current Positions or Staff New Position
3 Organizational Charts and Staff Requirements
3.1 Organization Chart
3.2 Staff Requirements
3.3 Project Staff Key Roles
3.4 Identify Staffing and People Needs
Appendix A. Acronyms/Glossary

2.2 COM-3-02: Project Organization and Staffing Details

Each Module Contractor needs to provide an overview of their module organization and staffing details. COM-3-02 will be completed by each vendor and will include all the tabs / worksheets identified in this document. This document is what the vendors will update when there are staffing changes or modifications so updates will be more real time as the expectation is to update this document within two weeks of the change in staff.

2.2.1 Sections Included

The following sections (tabs) are included in this spreadsheet:

People Needs
Staffing Plan
On-Going Training
Org Chart
Staff Requirements
Key Roles

2.3 COM-6-A: Responsibility Assignment Matrix

The Responsibility Assignment Matrix contains information by role who is responsible, approves, contributes, supports, and is informed for each process/activity for the program.

2.3.1 Sections Included

The following sections are included in this deliverable:

Phases
Processes / Activities
Accountable Party
For each role for each process indicate:
- *BLANK = no action for the activity*
- *A = To whom "R" is Accountable, who must Approve*
- *R = Responsible, owns/facilitates activity*
- *A/R = Has both A and R responsibilities*
- *C = To be Consulted or provides Contributions*
- *S = Provides Support for activity*
- *I = Informed of results, but need not be consulted*
- *N/A = Not Applicable*

2.4 COM-8: Meeting Protocol Reference Guide

This guide, COM-8: Meeting Protocols Reference Guide, addresses meeting processes and procedures. This deliverable will cover the necessary steps required to schedule, facilitate, scribe, create and distribute agendas/minutes, track action items, and obtain approval of meeting minutes. It will also provide guidance on the tools and templates used throughout the process. All Modules within the Alabama Medicaid Enterprise Systems (MES) Modernization Program (AMMP) will use this reference guide. The modules that make up the AMMP are as follows; Modular Electronic Visit Verification (MEVV), System Integration Platform (SIP), Electronic Data Services (EDS), Provider Management, and Claims Processing and Management Services (CPMS).

The purpose of a Meeting Protocols Reference Guide is to define guidelines for meeting facilitators, scribes, and attendees, so that meetings are efficient, have a clear purpose, meet objectives, and are productive.

2.4.1 Sections Included

The following sections are included in this deliverable:

2.5 COM-9: Corrective Action Plan

This deliverable, COM-9: Corrective Action Plan (CAP), addresses Corrective Action Plan processes and procedures. This deliverable covers the necessary steps to request, develop, submit, approve, monitor, report, close and/or determine if liquidated damages will be assessed for non-compliance. It also provides guidance on the tools and templates used throughout the process. All AMMP program vendors will use this deliverable as a reference in standardizing Corrective Action Plans.

The Corrective Action Plan defines the end-to-end process and procedures for documenting and defining MES program deficiencies. This includes, but is not limited to the Agency requesting CAPs, Vendor developing/submitting CAPs, monitoring, and reporting on CAPs and ultimately the resolution of the CAP either through closure or assessment of liquidated damages.

The scope of the COM-9: Corrective Action Plan is specific to the Alabama Medicaid Enterprise Systems (MES) Modernization Program (AMMP) for each Vendor.

2.5.1 Sections Included

The following sections are included in this deliverable:

2.6 COM-10: Scope Change Management Plan

The purpose of the Scope (Change) Management Plan is to define the standard processes for identifying, documenting, analyzing, approving/rejecting, and implementing changes to the baseline scope, schedule, contract, and if necessary, cost to the project. Scope management ensures:

- All scope changes are managed at the module level and coordinated across the entire AMMP
- Project Change Requests are well written with supporting material available for proper decision making
- All significant changes are reviewed and approved prior to implementation
- The Change Control Board (CCB) and the Executive Oversight Committee (EOC) provide a governance structure for approval or rejection
- The PMO, EOC, and other project stakeholders and governance structures are notified of changes through the Scope Change Management process
- Project-level and program-level change request meetings are conducted
- Verification of change implementation

2.6.1 Sections Included

The following sections are included in this deliverable:

2.7 COM-11: Communication Management Plan

Clear, timely and comprehensive communication throughout the AMMP is essential to the success of both design, development, and implementation (DDI) efforts and ongoing operations. This overarching Communication Management Plan (CMP) addresses challenges that are magnified in modular projects, including:

- Stakeholder turnover
- Larger numbers of stakeholders with varying communication needs
- Diverse terminologies used across modules
- Coordination of consistent communication across all stakeholders and Contractors
- Differing levels of government healthcare experience between Contractors
- The need for modular Contractors to protect their intellectual property from potential competitors working on the same modular solution

The Alabama Medicaid Enterprise System (MES) affects multiple departments and divisions within the Alabama Medicaid Agency (AMA), as well as diverse and varied groups external to the agency. These external organizations include other State agencies (e.g., Office of Information Technology (OIT), Alabama Department of Public Health (ADPH)) or Federal Agencies (e.g., Centers for Medicare & Medicaid Services (CMS)), special interest and advocacy groups, public advisory boards, commissions, councils, and interfacing vendors to the systems (e.g., Gainwell). Refer to the AMA Org Chart.

The CMP provides a framework that serves as a guide linking project staff, sponsors, and internal stakeholders via available communication methods. Communications with external stakeholders will be managed in coordination with the AMMP through the Organizational Change Management (OCM) process. The plan ensures that the correct individuals get the required information they need in a timely manner throughout the lifecycle of the AMMP and helps ensure the successful outcome of the AMMP.

The AMMP CMP is a living document and is expected to change throughout the course of the project, according to communication needs and the effectiveness of communication vehicles.

The plan defines the approach and methodology used to create a detailed communication process and appropriate measurements and feedback mechanisms. The activities in this plan are mapped against common events, AMMP milestones, and/or deliverables.

The CMP is intended to address the specific internal coordination challenges inherent in multi-vendor, multi-module projects. The plan lays the foundation for communications during subsequent phases of the AMMP and serves as a model or template for ongoing communication efforts.

2.7.1 Sections Included

The following sections are included in this deliverable:

Appendix A. Acronyms/Glossary
Appendix B. Alabama Medicaid Agency Organization Chart
Appendix C. AMMP Organization Responsibilities
Appendix D. Subsystem Function Process Owners

2.8 COM-11-01: Stakeholder Register

The Stakeholder Register is a lister of the various AMMP stakeholders.

2.8.1 Sections Included

The contractor is to include the following information in their documentation associated with this deliverable:

Name
Organization
Title/Department
Email
Office Phone Number
Location

2.9 COM-15: Cleanup and Conversion Management Plan

During AMMP contractor implementations, data will be migrated from the Legacy systems into new, modular systems. The migration of data will inherently involve cleanup and conversion activities to ensure data integrity, and transformation to the format native to the new system. This document provides information about how the Program Management Office (PMO) Services Contractor of the AMMP will oversee data cleanup and conversion to ensure a successful migration.

The following topics are covered in this document:

- Anticipated data sources
- Approach to data cleanup and conversion
- Data cleanup and conversion planning
- Process development and execution
- Test plans
- Roles and responsibilities

2.9.1 Sections Included

The following sections are included in this deliverable:

1 Introduction
1.1 Purpose and Scope
1.2 Referenced Deliverables and Artifacts
2 Data Cleanup and Conversion
2.1 Anticipated Data Sources
2.2 Approach
2.3 Planning
2.4 Process Development and Execution
2.5 Test Plans

2.6 Cleanup and Conversion Management Reporting
3 Roles and Responsibilities
Appendix A. Acronyms

2.10 COM-15-A: Cleanup and Conversion Reporting

Per the Program Management Office (PMO) Services Request for Proposal, COM-15 Cleanup and Conversion Management Plan includes the Plan, Templates, Management and execution of Data Cleanup and Conversion. The specific verbiage from the Request for Proposal is as follows, "The PMO Vendor shall develop a data Cleanup and Conversion Management Plan. The plan shall define how the PMO Vendor shall be actively involved in managing and providing guidance for all data cleanup and conversion activities. During the initial phase of the contract, the PMO Vendor shall be responsible for defining the requirements needed for data cleanup and conversion from the Medicaid Management Information System (MMIS) and all ancillary systems. The data cleanup and conversion requirements shall be included in the applicable Request for Proposal (RFP)/ Request for Bid (RFB) going forward. The PMO Vendor shall provide guidance and written recommendations regarding data sources, data modeling, data analysis, data cleanup, and data conversion plans. The PMO Vendor shall also address written recommendations regarding the process, scheduling, and timelines for data cleanup and conversion, as well as identify issues and obstacles with suggested solutions. Due to the critical nature of the MMIS data, the PMO Vendor shall have experience in projects involving the data clean up and conversion from large complex systems. The data conversion strategy and plans will be deliverables for future RFPs/RFBs. However, the PMO Vendor shall manage all business and vendor activities and schedules related to data cleanup and conversion plans. The plan shall include at the minimum, the objectives, strategy, standards, methods, procedures, roles, responsibilities, data requirements, data mapping and designs, exception handling, risks & mitigation strategies, data conversion procedures and controls, data cleansing, conversion rollout, reports for conversion results, accuracy rates, and statistics and data conversion schedule. In addition, the PMO Vendor shall monitor, track, confirm and report on all results from test and production conversion runs and validate those results are accurately reported including full and interim conversion runs. The format and content of the Data Clean-up Report and the Data Conversion report will be defined after the start of the contract and must be approved by the Agency. The PMO Vendor shall facilitate and oversee that the vendors maximize their capability to convert data without manual cleanup as much as possible."

2.10.1 Sections Included

The following sections are included in this deliverable:

1 Introduction
1.1 Referenced Deliverables and Artifacts
Appendix A. Acronyms/Glossary
Appendix B. Applicable Project, Federal, State, or Industry Standards

2.11 COM-16: Certification Support Management Plan

The Alabama Medicaid Enterprise Systems Modernization Program (AMMP) Certification Support Management Plan (CSMP) outlines the processes each project or module will use to manage its certification phases. This Program-Wide Certification Support Management Plan (COM-16) defines the activities and the schedule related to the certification of each module within the AMMP. Additionally, each module contractor will be required to complete a subsidiary Certification Support Management Plan specific to each module certification effort as prescribed by their individual contracts. The AMA seeks to certify its MES projects using the CMS Outcomes-Based Certification (OBC) or Streamlined Modular Certification (SMC) processes. The overall focus for certification is to determine outcomes, metrics, and criteria that successfully demonstrate support for the business needs. The process used will be determined and approved, for each module, by CMS and AMA.

The Program Management Office (PMO) Services Contractor will be responsible for tracking, monitoring, and validating the content submitted by the module contractors for the established certification process.

2.11.1 Sections Included

The following sections are included in this deliverable:

1 Introduction
1.1 Purpose
1.2 Scope
1.3 Referenced Deliverables and Artifacts
1.4 Roles and Responsibilities
1.5 Outcomes-Based Certification Overview
1.6 Standards
1.7 Program Certification Schedule
2 Planning - Structure of OBC/SMC Certifications
2.1 Metrics Indicators Report Schedule
2.2 Conditions for Enhanced Funding
3 Module Outcomes, Metrics, and Evaluation Criteria
3.1 Module 1 – MEVV Outcomes, Metrics, and Criteria
3.2 Module 2 - Enterprise Data Services (EDS) Outcomes
3.3 Module 3 - Provider Management Outcomes
3.4 Module 4 - CPMS Outcomes
4 Development
5 Implementation - Operational Readiness Review
6 Operations and Management - Certification Review
Appendix A. Acronyms/Glossary

2.12 COM-16-A: Post Implementation and Turnover Plan

The purpose of the Post Implementation and Turnover Plan is to define the specific PMO Services support for each project, during Post Implementation and up to Project Close-out. This Post Implementation support shall include, but not be limited to status reporting, communications, meeting coordination and set-up, issue tracking and coordination, and other project support as requested. As part of Post Implementation activities, the PMO Services PM will ensure the plan includes an updated Post Implementation schedule and Responsibility, Accountable, Supportive, Consulted, Informed (RASCI) chart of the processes and procedures needed by the Agency to assume operational responsibilities.

The Post Implementation and Turnover plan has been developed to align with, but not replicate, the Certification Support Management Plan (COM-16) and Project Close-Out Plan (COM-17). The AMMP Certification Support Management Plan (COM-16) defines the specific activities related to the certification for each contractor/module, while the Project Close-Out Plan (COM-17) defines how the PMO Services PM will oversee and manage all program and project close-out activities.

2.12.1 Sections Included

The following sections are included in this deliverable:

1 Introduction
1.1 Referenced Deliverables and Artifacts
1.2 Purpose
1.3 Scope

1.4 Approach
2 Post Implementation and Turnover
2.1 Post Implementation and Turnover Plan Coordination
2.2 Contractual Obligations / Requirements
2.3 Status Reports and Meetings
2.4 Operational Reports and Dashboard
2.5 Training
2.6 Plans and Artifacts
2.7 Financials (OAPDs/Invoicing)
2.8 Security
2.9 Disaster Recovery (DR) / Continuity of Operations (COOP)
2.10 Certification Management
2.11 Project Close-out
Appendix A. Acronyms/Glossary
Appendix B. Applicable Project, Federal, State, or Industry Standards

2.13 COM-17: Project Close-Out Plan

The purpose of the Project Close-Out Plan is to define how the PMO Contractor will oversee and manage all program and project close-out activities. The plan will clarify how close-out activities are to assess the project, ensure completion, and derive any lessons learned and best practices to be applied to future projects. The key benefits of effective Project Close-Outs are to ensure the project artifacts are properly archived, planned work is completed, outstanding activities are documented, and the team resources are released for new activities.

2.13.1 Sections Included

The following sections are included in this deliverable:

1 Introduction
1.1 Referenced Deliverables and Artifacts
1.2 Purpose
1.3 Scope
1.4 Approach
2 Project Close-out
2.1 Project Close-out Coordination
2.2 Requirements
2.3 Deliverables
2.4 Artifacts
2.5 Training and Knowledge Transfer
2.6 Financials
2.7 Operations
2.8 Outstanding Risks, Issues, Action Items, Change Requests and Defects
2.9 Lessons Learned
2.10 Project Close-out Report
Appendix A. Acronyms/Glossary
Appendix B. Applicable Project, Federal, State, or Industry Standards

2.14 COM-20-01: Executive Level Dashboard – User Guide

This user guide, COM-20-01: Executive Level Dashboard - User Guide, is to simplify and enhance the end user's experience when using the Executive Dashboard. It provides a written guide, associated images, with language used to match to the intended audience expectations. The user guide is to help end users by giving them the means to quickly understand the Dashboard and its high-level functionality.

The purpose of this dashboard is for executive level stakeholders to gain a high-level view of the overall health of their Program of Projects, with drill through capabilities to more specific data that represents the health of specific Projects within the Alabama MES Modernization Program (AMMP). This allows executives to review Key Performance Indicators (KPIs)/Metrics easily and seamlessly from the Program down to the individual Project level. It is not intended for use as a comprehensive project management tool.

2.14.1 Sections Included

The following sections are included in this deliverable:

1 Introduction
1.1 Purpose and Scope
1.2 Overview
1.3 Referenced Deliverables and Artifacts
2 Dashboard
2.1 Performance Dashboard
2.1.1 Key Performance Indicators (Summary)
2.1.2 Program/Project Health Indicators
2.1.3 Program View (Drill Through)
2.1.4 Invoice
2.1.5 Critical Issues
2.1.6 Leadership
2.1.7 Links
2.1.8 Project View – Performance Dashboard
3 Frequently Asked Questions
Appendix A. Acronyms/Glossary

2.15 COM-20-03: Executive Level Dashboard – Presentation

This PowerPoint presentation, COM-20-02: Executive Level Dashboard - Presentation, provides a Summary Overview of the Executive Level Dashboard, includes a video demonstration as well as helpful links.

2.15.1 Sections Included

The following sections are included in this deliverable:

Executive Dashboard – Summary Overview
Video Demonstration
Helpful Links

2.16 EA-d-c: MITA Business Services

Business Services represent services performed using software features. They provide the architectural link between Business Processes (Business Architecture) and the Systems (Technology Architecture) that support them.

The following sections in this document provide information about Business Services in the AS IS environment and related architectural objects.

The following Medicaid Information Technology Architecture (MITA) topics are considered during development of business service artifacts for this deliverable. While some of these topics are covered directly, other topics are traceable through relationships in the Medicaid Enterprise Architecture Framework (MEAF). Details about these topics can be found in MITA 3.0 Part III, Chapter 3 Business Services.

- **Service Name** – Captured as the “Name” in the Business Service Catalog in Section 2.1
- **Purpose** – Captured as the “Description” in the Business Service Catalog in Section 2.1
- **Service Contract** – Captured in the Data Exchange Catalog in Section 2.4. Additional details are available in the Enterprise Architecture (EA) Repository
- **Business Logic** – Available attribute of Business Services to be used while developing and refining the TO BE architecture
- **Constraints** – Available attribute of Business Services to be used while developing and refining the TO BE architecture
- **Use Cases** – Use Cases relate to Requirements, and Requirements relate to Business Services for traceability
- **Solution Set** – Available attribute of Business Services to be used while developing and refining the TO BE architecture
- **Structure Diagram** – Represented through MEAF diagrams outside of this deliverable such as Data Dissemination Diagrams and Sequence Diagrams. Additional details are available in the EA Repository
- **Performance Standards** – Performance Standards are captured in Requirements and Policies, which relate to Business Services. Additional details will be made available as the TO BE architecture is developed and refined
- **Test Scenarios and Test Cases** – Test Cases relate to Requirements, and Requirements relate to Business Services for traceability
- **Map to MITA Data Models** – Captured in the Business Service to Data Entity Matrix in Section 2.6

2.16.1 Sections Included

The following sections are included in this deliverable:

1 Introduction
1.1 Referenced Deliverables and Artifacts
2 Business Services
2.1 Business Service Catalog – With AS IS/TO BE Systems
2.2 Business Service Catalog – With Descriptions
2.3 System/Business Service Matrix
2.4 Business Service/Technology Service Matrix
2.5 Data Exchange Catalog – Service Interfaces
2.6 Business Service/Data Exchange Matrix
2.7 Business Service/Data Entity Matrix
Appendix A. Acronyms/Glossary

2.17 EA-d-b: MITA Technical Management Strategy

The Centers for Medicaid and Medicare Services (CMS) have created the Medicaid Information Technology Architecture (MITA) as the foundation for fostering the integrated business and information technology (IT) transformation across the Medicaid enterprise. MITA consists of three architectures: Business, Information, and Technical. The Technical Management Strategy (TMS) provides the overview and structure of the Technical Architecture (TA). The TMS addresses the business flow of information across the Medicaid Enterprise and the enabling technologies to support the business requirements. The TMS involves architecture, modeling, standards, data, management, interoperability, security, privacy, access methods, and performance standards. Some areas to be addressed by the TMS are:

- Technical Management Approach

- Technical Management Transition Plans
- Transformation Challenge
- Technical Services Governance
- Establish collaborative governance practices
- Technical principals
- Technical goals and objectives
- State-specific additions of new functionality to the MITA components

The CMS MITA Framework 3.0 recommends that the TMS address the following strategy components relative to the Alabama Medicaid Agency's (AMA) Executive Vision:

- Technical Governance
- Enterprise Architecture (EA) adoption
- Performance Management validation
- Customer Relationship Management
- Service Oriented Architecture (SOA) alignment
- Commercial Off-the-Shelf (COTS) usage
- Business Rules Management

The premise of the TMS is twofold:

1. Leverage the foundational properties of the MITA Framework, such as:
   a. MITA 3.0 Business, Data, and Technical Architectures and Services
   b. MITA Maturity models
2. Expand the framework structure to emphasize a larger, multi-department Medicaid Enterprise perspective

2.17.1 Sections Included

The following sections are included in this deliverable:

1 Introduction
1.1 Referenced Deliverables and Artifacts
2 TMS Overview
2.1 Alabama Medicaid Agency (AMA) Strategy
2.2 TMS Purpose
2.3 TMS Scope
3 AMA TMS Assessment
4 AMA Technical Management Strategy
4.1 Technical Management Approach
4.2 Technical Management Transition Plans
4.3 Transformation Challenges
4.4 Technical Service Governance
4.5 Enterprise Architecture Adoption
4.6 Customer Relationship Management
4.6.1 Electronic Health Record (EHR)
4.6.2 Health Information Exchange
4.7 Performance Management Validation
4.8 Service Oriented Architecture (SOA) Alignment
4.9 COTS Usage
4.10 Business Rules Management
4.11 Enterprise Security
5 Initiatives and Projects Impacting Technical Management Maturity
5.1 Electronic Visit Verification and Monitoring (EVVM)

5.2 Modular Electronic Visit Verification
5.3 Centralized Alabama Recipient Eligibility System (CARES)
5.3.1 CARES Project Goals
6 TMS Summary
Appendix A. Acronyms

2.18 EA-d-d: MITA Technical Services

Independence is an important characteristic of a technical service. A different service can easily replace an independent service, provided the new service meets the needs of the user. Services should also be location independent because, in today's IT environment, a service does not have to collocate with the users of that service.

Module contractors document how the service performs so other computers can use the service. The documentation includes the functions included in the service (e.g., expected output, error checking, accuracy, etc.) and describes how to obtain the service and how other systems may request the service. To achieve a high level of loose coupling, these services should not specify platform, binding protocols, programming models, operating systems, underlying infrastructure technologies, or other execution details to deploy the service.

2.18.1 Sections Included

The following sections are included in this deliverable:

1 Introduction
1.1 Scope
1.2 Referenced Deliverables
2 Technical Services
2.1 <Service Name>
2.2 Purpose
2.3 Business Logic
2.4 Constraints
2.5 Formal Interface Definition
2.6 Use Cases
2.7 Solution Set
2.8 Structure and Activity Diagrams
2.9 Performance Standards
2.10 Test Scenarios and Test Cases
2.11 Map to MITA Data Models
Appendix A. Acronyms
Appendix B. Applicable Project, Federal, State, or Industry Standards
Appendix C. MEA Glossary

2.19 EA-d-g: MITA Technical Capability Matrix

A technical capability describes a technical function at a specific Medicaid Information Technology (IT) Architecture (MITA) Maturity Level (MML). The Technical Architecture (TA) assigns technical capabilities to a maturity level based on the maturity level of the business usage they enable. Technical capabilities can affect multiple business processes in order to provide benefits to stakeholders. Whereas business capabilities define business services, the TA maps technical capabilities to technical services. Technical capabilities associate themselves with IT solutions or enablers.

The purpose of the TCM is to describe the boundaries and behavior of each MITA technical function in the context of the five (5) levels of MITA maturity. Business capabilities illustrate how a business process matures and improves over time. Information capabilities include data management strategies, data models, and data identified in the business capabilities that enable technical capabilities. Technical capabilities are enablers of business capabilities. Technical capabilities are enablers that support the business process at specific levels of maturity or technologies that promote MITA goals and objectives (e.g., flexibility, adaptability, and interoperability). There is no one-to-one match between business, information, and technical capabilities. The TCM is the primary tool for selecting the appropriate level of maturity for the TA.

The Agency plans to build the TCM in the iServer Enterprise Architecture Framework, and then use the TCM to track the MITA maturity of each MITA technical function through time. As the MITA maturity changes over time, the TCM will be updated to reflect those changes.

2.19.1 Sections Included]

The following sections are included in this deliverable:

1 Introduction
1.1 Purpose
1.2 Scope
1.3 Referenced Deliverables and Artifacts
2 Business Relationship Management
2.1 AS IS
2.2 TO BE
3 Care Management
3.1 AS IS
3.2 TO BE
4 Contractor Management
4.1 AS IS
4.2 TO BE
5 Eligibility & Enrollment Management
5.1 AS IS
5.2 TO BE
6 Financial Management
6.1 AS IS
6.2 TO BE
7 Operations Management
7.1 AS IS
7.2 TO BE
8 Performance Management
8.1 AS IS
8.2 TO BE
9 Plan Management
9.1 AS IS
9.2 TO BE
10 Provider Management
10.1 AS IS
10.2 TO BE
Appendix A. Acronyms

2.20 EA-e-b: MITA Data Management Strategy

The Alabama Medicaid Enterprise Systems (MES) Modernization Program (AMMP) will implement a modular architecture for the Medicaid Management Information System (MMIS) that replaces the existing monolithic system. The AMMP business outcome and goal will be to improve the efficiency of administering the Alabama Medicaid programs, using a combination of technology-based procurements, related services, and business process outsourcing. The Agency's vision for the future is that the improved MMIS will enable us to improve member health outcomes. To achieve this, the AMMP must have the capability to support informed and timely decision-making, both at the policy administration level and at point of care, while promoting service coordination, transparency, and accountability.

The AMMP will support the Agency in meeting the requirements for Federal Financial Participation (FFP) for the design, development, installation and enhancement of mechanized claims and encounter processing and information retrieval, as specified under 42 Code of Federal Regulations (CFR) 433.112, by implementing a modernized and modular system that meets the conditions specified by federal regulation.

The Alabama Medicaid Agency (Agency) will utilize the Centers for Medicare and Medicaid Services (CMS) Medicaid Information Technology Architecture Framework (MITA) 3.0 as supporting documentation for the AMMP.

As part of CMS MITA 3.0, a Data Management Strategy (DMS) is required under the Information Architecture section, and the DMS has become an artifact the Agency must produce as part of the MITA Self-Assessment. The purpose of the DMS is to document the data management processes, techniques, and products needed by the Medicaid Enterprise to achieve optimal sharing of Medicaid Enterprise information.

The DMS provides a structure to guide development of enhanced internal and external data sharing. Data sharing helps make information more readily available, which improves the State Medicaid Agency's overall performance of its mission. The implementation of the DMS will provide the techniques, processes, and products to meet the need for timely, accurate information. It will also provide a vehicle for the State Medicaid Enterprise to better understand its data and how that data fits into the total pool of Medicaid information. The DMS addresses fundamental aspects to enable information-sharing opportunities and to position the State Medicaid Agency to operate in an environment of global information.

2.20.1 Sections Included

The following sections are included in this deliverable:

1 Introduction
1.1 Referenced Deliverables and Artifacts
1.2 CMS Requirements and Purpose
1.3 Scope
2 Data Management Strategy
2.1 Data Governance and Stewardship
2.2 Enterprise Data Management
2.3 Document and Content Management
2.4 Data Warehousing
2.5 Data Architecture
2.6 Enterprise Data Models
2.6.1 Conceptual Data Model
2.6.2 Logical Data Model
2.7 Enterprise Metadata
2.8 Data Sharing Architecture

2.21 EA-e-c: MITA Conceptual Data Model (CDM)

The Medicaid Enterprise Architecture (MEA) team has developed the MEA Framework (MEAF) to support enterprise architecture (EA). The information in this deliverable presents the Conceptual Data Model (CDM) based on objects, attributes, relationships, and artifacts in the MEAF. Additional reference information of the MEAF is available in deliverable EA-a: Detailed Approach to MITA Enterprise Architecture.

The scope of the CDM is to provide an enterprise-level view of the data model used by the Agency in operations of providing benefits to Medicaid recipients.

The CDM is focused on business-recognizable groups of data as “Data Entities” and their relationships. This sets the foundation for understanding what data the Agency uses, who uses it, where it comes from, and how it moves throughout the enterprise.

The following objects from the MEAF are in scope for the CDM:

- **Data Entities** – Represents a “class” of data; a grouping of data elements by conceptual business use
- **Data Exchanges** (Service Interfaces) – Represents a passing of information/data between Business Services
- **Relationships** –
    - Relationship between Data Entities (Data Entity *relates to* Data Entity)
    - Which Data Standard(s) apply to a Data Entity (Data Standard *applies to* Data Entity)
    - Which Data Entities are used by a Data Exchange (Data Exchange *uses* Data Entity)
    - Which Data Standard(s) apply to a Data Exchange (Data Standard *applies to* Data Exchange)

2.21.1 Sections Included

The following sections are included in this deliverable:

2.3 Data Entity/Data Standard Matrix
2.4 Data Exchange Catalog
2.5 Data Exchange/Data Entity Matrix
2.6 Data Exchange/Data Standard Matrix
Appendix A. Acronyms

2.22 EA-e-d: MITA Logical Data Model

The Medicaid Enterprise Architecture (MEA) team has developed the MEA Framework (MEAF) to support Enterprise Architecture (EA). The information in this document presents the Logical Data Model (LDM) based on objects, attributes, relationships, and artifacts in the MEAF. Additional reference information of the MEAF is available in deliverable EA-a: Detailed Approach to MITA Enterprise Architecture.

The scope of the LDM is to provide an enterprise-level view of the detailed data model used by the Agency in operations of providing benefits to Medicaid recipients. This document focuses on the AS IS state of data. Future iterations of this document will expand scope into TO BE state of data.

The LDM should include the level of detail needed to ensure an accurate model of the data needed to support the Agency's business services and data exchanges.

The following items from the MEAF are in scope for the LDM:

- **Data Entities –** Represents a "class" of data; a grouping of data elements by conceptual business use
- **Data Elements –** A specific element of data that indicates what a data entity includes; e.g., Provider Demographics contains data element Provider Contact Information
- **Relationships –** Includes the following relationships:
    - Which Data Elements each Data Entity contains (Data Entity *contains* Data Element)
    - Relationship between Data Entities (Data Entity *relates to* Data Entity)

2.22.1 Sections Included

The following sections are included in this deliverable:

1 Introduction
1.1 Scope
1.2 Referenced Deliverables and Artifacts
2 Logical Data Model
2.1 Class Diagram
2.2 Data Entity Catalog
Appendix A. Acronyms

2.23 EA-e-f: MITA Information Capability Matrix

The Alabama Medicaid Agency (AMA) will utilize the Centers for Medicare and Medicaid Services (CMS) Medicaid Information Technology Architecture (MITA) Framework 3.0 as supporting documentation during the MES program to implement a modular MMIS.

As part of CMS MITA 3.0, an Information Capability Matrix (ICM) is required. The full details of the MITA ICM can be found in MITA 3.0, Part 2, Chapter 6, Information Capability Matrix.

The purpose of the ICM is to describe the boundaries and behavior of each MITA business area in the context of the five (5) levels of the MITA Maturity Model (MMM) as described in MITA 3.0, Part 1, Chapter

3, Maturity Model, and in the MITA principles, goals, and objects (Front Matter, Chapter 6, Introduction to the MITA Framework). The ICM is one of the principal building blocks of the MITA Framework. Business and Technical Services use information enabled by the Information Architecture (IA) capabilities (see MITA 3.0, Part 3, Chapter 4, Technical Services). It is important for readers to see the ICM as the middle link between the Business Architecture (BA) and the Technical Architecture (TA). The ICM supports enabling technologies that align with Medicaid business processes and technologies. The ICM relates in purpose and format to the Business Capability Matrix (BCM) and the Technical Capability Matrix (TCM).

The ICM defines the information capabilities used in a business process and informs the identification of technical capabilities. The ICM includes four (4) primary components: Data Management Strategy (DMS), Conceptual Data Model (CDM), Logical Data Model (LDM), and Data Standards.

The ICM discusses the data identified in the business process that enables technical capabilities. The BCM discusses the business capabilities associated with a business process and the TCM discusses technical capabilities that enable business capabilities. There is no one-to-one match among business, information, and technical capabilities. This document focuses exclusively on information capabilities as expressed in the ICM.

2.23.1 Sections Included

The following sections are included in this deliverable:

1 Introduction
1.1 Referenced Deliverables and Artifacts
1.2 Purpose
1.3 Scope
2 Information Capability Matrix
Appendix A. Acronyms

2.24 EA-f1: MITA Concept of Operations

The document is the Medicaid Information Technology Architect (MITA) Concept of Operations (ConOps). The ConOps is based on information found in the Agency's Medicaid State Self-Assessment 2019.

The Centers for Medicare and Medicaid Services (CMS) defines the Medicaid Information Technology Architecture (MITA) as both a framework and an initiative. The MITA framework provides State Medicaid Agencies (SMAs) with a common structure for describing their Medicaid operations and for defining future state processes and technical transformations within their Medicaid programs. The following Concept of Operations (COO) report can be used by the Alabama Medicaid Agency to organize their current (AS IS) operations and define future (TO BE) vision and describe the impact of planned improvements on stakeholders, information exchanges, Medicaid operations, and health care outcomes.

AMA's COO is organized into the following sections:

- Concept of Operations Introduction
- Mission, Vision, and Values of the Alabama State Medicaid Agency
- Alabama Medicaid Agency Stakeholders
- Medicaid Enterprise Information and Data
- MITA Drivers and Enablers
- Alabama Medicaid Agency AS IS Operations
- Alabama Medicaid Agency TO BE Environment
- Alabama Medicaid Agency MITA Business Improvements

2.24.1 Sections Included

The following sections are included in this deliverable:

1 Introduction
1.1 Referenced Deliverables and Artifacts
2 Report Overview
2.1 MITA Business Process Model
3 Concept of Operations Introduction
3.1 Medicaid Mission and Goals
3.2 MITA Mission, Goals and Objectives
4 Mission, Vision, and Values of the Alabama State Medicaid Agency
5 Alabama Medicaid Agency Stakeholders
5.1 Alabama Medicaid Agency Organizational Units
5.2 Alabama Medicaid Agency MITA Process AS IS and TO BE Responsibilities
5.3 Alabama Transformation of Stakeholder Roles
6 Medicaid Enterprise Information and Data
7 MITA Drivers and Enablers
7.1 Alabama Medicaid Drivers and Enablers
7.1.1 Alabama Coordinated Health Network (ACHN)
7.1.2 Integrated Care Networks (ICN)
7.1.3 Centralized Alabama Recipient Eligibility System (CARES)
8 Alabama Medicaid Agency AS IS Operations
8.1 Technical Aspects of the Alabama AS IS Environment
8.1.1 Eligibility is in Transition
8.1.2 No Enterprise Service Bus (ESB), Rules Engine, or Service-Oriented Architecture
8.1.3 Standards Management and Enterprise Architecture
8.1.4 Connectivity Model
8.1.5 Document Management and Workflow
8.1.6 Identity and Access Management
9 Alabama Medicaid Agency TO BE Environment
9.1 Technical Aspects of the Alabama TO BE Environment
9.1.1 Single System Eligibility
9.1.2 ESB, Rules Engine, and SOA
9.1.3 Connectivity Model
9.1.4 Document Management and Workflow
9.1.5 Identity and Access Management (IAM)
10 Alabama Medicaid Agency MITA Business Improvements
Appendix A. Acronyms/Glossary
Appendix B. Applicable Project, Federal, State, or Industry Standards
Appendix C. MEA Terminology

2.25 EA-j: Technical Requirements

The Technical Requirements deliverable contains a set of technical requirements to define the enterprise-wide infrastructure of Medicaid. The Program Management Office (PMO) Services Contractor shall oversee and evaluate the technical requirements during all phases of the program. The PMO Services Contractor shall work with the System Integration (SI) contractor and other contractors to develop, validate, and update technical requirements to ensure the Medicaid Enterprise Systems (MES) technical needs are met.

2.25.1 Sections Included

The following sections are included in this deliverable:

2.26 EA-k-1: MES Technical Reference Architecture

This document's purpose is to provide technical guidance and reference materials for the MEA team, MES Program Management Office (PMO), modular contractors and other stakeholders in the AMMP.

The key consumers of the TRA are:

- AMA change control and technical governance boards
- Future MES Module Contractors, Systems Integration (SI) Contractor, or other organizations interfacing with MES
- Development teams designing or implementing MES
- Teams operating or supporting MES
- AMA teams that may use these architecture standards in non-MES projects

MES Change Advisory and Technical Review Boards will utilize the TRA as compliance materials to govern the MES program.

2.26.1 Sections Included

The following sections are included in this deliverable:

2.27 OCM-2-b: OCM Kick-off Meeting

This is a PowerPoint presentation that contains the slides used during the Project Kick-off meeting.

2.28 OCM-2-c1: OCM Strategic Plan

The MES PMO Services Contractor responsibilities include supporting the effective execution of OCM activities with stakeholders and impacted Agency team. The PMO OCM team is responsible for developing an OCM approach and strategy to transition Alabama Medicaid Agency stakeholders from the current state to the 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 AMMP change initiative is large and complex and requires a significant OCM effort to fully realize the intended benefits.

The OCM strategy defines the OCM planning which will be used throughout AMMP. This strategy will be applied to AMMP, as well as all the projects and contractors which are contracted to provide modules for the system. This strategy provides the framework for how the PMO OCM team will prepare the business areas for upcoming changes and ensure that the system is adopted. The strategy defines how OCM will assist the program with delivering the project objectives and outcomes.

2.28.1 Sections Included

The following sections are included in this deliverable:

2.29 OCM-2-c2: OCM Templates

The expectations and requirements of OCM-2-c2: OCM Templates have been addressed by the following artifacts:

- OCM-2-e1: OCM Training Plan
- OCM-2-f1: OCM Implementation Plan Module – Template
- OCM-2-g1: OCM Implementation Tracking Matrix – Template
- OCM-2-g2: OCM Tracking Matrix

The following template, from the Requirements and Business Process Modeling (RBPM) team satisfies the business process roadmap and process flows:

- REQ-2-a3-5,6,7: [FA] AS IS and TO BE Business Process Models Template

These artifacts support the Alabama Medicaid Enterprise Systems (MES) Modernization Program (AMMP) and its sub-projects

2.30 OCM-2-d1: OCM Communication Plan

The Agency has a team of Medicaid business and technical professionals performing PMO activities in concert with Agency subject matter experts (SMEs). The PMO OCM Team is responsible for developing an OCM approach and strategy to transition Agency stakeholders from the current state to the new future state. Effective organizational change management must match the unique characteristics and attributes of the MES change and the people who are impacted by the change. The MES program change initiative is large and complex and that will require a significant OCM effort to fully realize the intended benefits. Some modules and projects will require more change management than others. The OCM-2-d1: OCM Communication Plan provides a framework for the OCM communications.

This document describes the OCM communications planning which will be used throughout AMMP. This plan will be applied to the AMMP, including all the other contractors which are contracted to provide modules for the system. This approach provides the framework for how the PMO OCM Team and Contractors' OCM Leader will prepare the business areas for upcoming changes and ensure that the modular system is adopted. The plan sets the stage for how PMO OCM Team will assist the program with delivering the program objectives and defines the methodology for achieving these outcomes via communications.

2.30.1 Sections Included

The following sections are included in this deliverable:

2.31 OCM-2-d2: OCM Communication Matrix

The OCM-2-d2: OCM Communication Matrix includes sample worksheets used to track the OCM communication activities, approvals, and the details of each area. The worksheets include:

- Media – This worksheet describes the Media for approved messages and the Vehicle for distribution
- AMMP Portal Updates – This worksheet is used to track the information posted, including the target date to be posted, approval status and the dates posted the AMMP Portal
- OCM Effectiveness Evaluation – This worksheet used to track the Change Management Effectiveness Evaluations approvals as they are compiled until sending/posting
- Module Communications Plan – This worksheet is used to track the overall summary, approval, and approver
- End User Outreach Communication – This worksheet is used to track the overall summary, approval, and approver
- FAQs – This worksheet is used to track the overall summary, approval, and approver
- Participant Evaluations – This worksheet used to track the OCM Kick-off participant survey approvals as they are compiled until sending/posting
- Newsletter – This worksheet is used to track newsletter development and approval status from inception until sending/posting
- Program Level Communication – The worksheet will show when each of the communications are needed, the audience/stakeholder for each, and the approval status
- Program or Project Reminders – This worksheet is used to track the overall summary, approval, and approver
- Contractor Support – This worksheet is used to track the overall summary, approval, and approver
- Lessons Learned – This worksheet provides a sample of the lessons learned for OCM communications

2.32 OCM-2-e1: OCM Training Plan

The MES PMO Services Contractor responsibilities include OCM. The PMO OCM team is responsible for developing an OCM approach and strategy to train and 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 AMMP 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 training and change management than others. The OCM-2-e1: OCM Training Plan provides a framework for the PMO OCM team's training planning.

This document describes the training plan which will be used throughout the AMMP. This strategy incorporates both enterprise-wide training opportunities and strategies that will be applied to each module of the system. This plan provides the framework for how the PMO OCM team will prepare the business areas for upcoming process changes and work with the contractors' system trainers to ensure identified users know how to do their work in the new system(s). The plan defines how PMO OCM will assist the program with meeting the training objectives and outcomes. The plan defines how PMO OCM will support the contractors with meeting the training objectives and outcomes.

2.32.1 Sections Included

The following sections are included in this deliverable:

1 Introduction
1.1 Referenced Deliverables and Artifacts
1.2 Purpose
1.3 Recurrence
2 Enterprise-wide Training Approach
3 OCM Process and Training Development Methodology
4 Change Management Support
5 End-user Training
Appendix A. Acronyms/Glossary

2.33 OCM-2-e2: OCM Training Matrix

The OCM-2-e2: OCM Training Matrix is used by the Organizational Change Management (OCM) team and Change Champions to track the preparation of the business areas for the modular implementation. A separate but similar tracking matrix will be developed for each module, as per OCM-2-f1: OCM Implementation or Module Implementation Plan. These matrices will be used for tracing and monitoring the OCM training needs analysis, design, development, implementation, and evaluation throughout the lifecycle of the program and projects, to ensure each identified need is addressed in training (formal or informal).

2.33.1 Sections Included

The following sections are included in this deliverable:

Training Needs Assessment
OCM Training Media
Change Management Support
Contractor Training Evaluation
Training Delivery
Contractor System Training Evaluation
Assumptions and Constraints
Training Evaluations

2.34 OCM-2-g2: OCM Master Tracking Matrix

The OCM-2-g2: OCM Master Tracking Matrix is used by the OCM team to track the preparation of the business areas for AMMP. A separate but similar tracking matrix will be developed for each module, as per OCM-2-g1: OCM Implementation or Vendor Tracking Matrix. These matrices will be used for tracing and monitoring the Organizational Change Management (OCM) significant differences throughout the lifecycle of the program and projects, to ensure each difference is addressed in training (formal or informal) and/or OCM communications.

2.34.1 Sections Included

The following sections are included in this deliverable:

Master ID
Module
Impacted Area
Impacted User
Number of Users in Group
Description of Difference
Difference Type
Impact Rating
Multiple Modules?
Multiple Functional Areas?
Documentation
Status
Comments
Estimated % Adoption without OCM
Creation Date
Modified Date

2.35 PMO-2-a: Detailed Initiation and Approach Plan

The scope of the PMO-2-a: Detailed Initiation and Approach Plan is specific to the Medicaid Enterprise Systems (MES) PMO Services vendor contract with Alabama Medicaid Agency. The purpose of this deliverable is to develop a detailed initiation and approach for the Program Management Office with a focus on multi-vendor projects. It defines the approach to be used by the Program Management Office to guide program activities, project execution, and program and project control across multiple vendors.

2.35.1 Sections Included

The following sections are included in this deliverable:

1 Introduction
1.1 Referenced Deliverables and Artifacts
1.2 Purpose and Scope
1.3 Intended Audience
2 Program Description Overview
2.1 Justification for Establishing the Program
2.2 Vision and Strategic Alignment
2.3 Authority
2.4 Program Scope
2.4.1 Scope Statement
2.4.2 Scope Assumptions and Constraints
2.4.3 Constraint Recommendations

2.36 PMO-2-b: Onboarding / Offboarding Plan

The PMO-2-b: Onboarding/Off boarding Plan describes the procedures performed to assist new project team members that are joining the Alabama Medicaid Enterprise Systems (MES) Modernization Program (AMMP) program. It includes general information for security, network sign-on, office logistics, Medicaid email, training, and SharePoint, as well as an onboarding checklist. New project team members should be fully productive within three business days of the start date whenever the Onboarding Coordinator (Appendix C) is given a one-week notice of the start date.

This information is applicable for every new contractor project team member but does not cover their specific contractor processes and tools. New team members that are also new to their contractor company should use this Onboarding Plan to supplement their company-specific onboarding activities.

2.36.1 Sections Included

The following sections are included in this deliverable:

2.1.2 Parking
2.1.3 Onsite
2.1.4 Building Access and Security Information
2.1.5 Dress Code
2.1.6 Wi-Fi and Internet Access
2.1.7 Office Equipment
2.1.8 Office Printer
2.1.9 Office Supplies
2.1.10 Alabama Medicaid Help Desk
2.1.11 Welcome to Montgomery
2.1.12 Emergency Procedures
2.1.13 Working Off-Site
2.1.14 Out of Office Notifications
2.1.15 Lost and Found
2.1.16 COVID-19
2.2 Alabama Medicaid Account Requirements
2.2.1 Medicaid Email
2.2.2 Online Meetings and Instant Messaging
2.2.3 On-Site Meeting Room Reservations
2.2.4 Alabama Medicaid Agency Password
2.2.5 Alabama Medicaid Agency Required Training
2.2.6 Network Storage
2.2.7 SharePoint Site
3 AMMP Program Organization
3.1 AMMP Organization Chart
3.2 AMMP PMO Organization Chart
4 AMMP Team Member Checklist
4.1 Onboarding - Coordinator
4.2 Onboarding - Team Member
5 Offboarding
5.1 Team Member Transition Plan
5.2 Offboarding - Team Member
5.3 Offboarding - Coordinator
Appendix A. Acronyms/Glossary
Appendix B. Applicable Project, Federal, State, or Industry Standards
Appendix C. Onboarding Roles

2.37 PMO-2-b-01: Onboarding / Offboarding Checklist

This onboarding and offboarding checklist template will be created for each new team member when they join the AMMP Project by the Onboarding Coordinator. It will be added to the Project Repository on the AMMP Program Wide site. The new team member will use this list to guide them through onboarding by reviewing the documents and reaching out to their buddy if they have questions and indicating their completion date of the onboarding activities in tab 4.2.

This checklist also serves as a transition plan should a team member leave the AMMP project. When a team member announces their departure, they will need to create their transition plan (Tab 5.1) and review it with the person taking over their work and the Agency PM and PMO Contractor PM to review and ask any questions.

2.37.1 Sections Included

The following checklists (tabs) are included:

4.1a Agency-Initial Onboarding
4.1b Contractor-Initial Onboard
4.2 Onboarding – Team Member
5.1 Team Member Transition Plan
5.2 Offboarding – Team Member
5.3 Offboarding – Coordinator

2.38 PMO-2-c: Kick-off Meetings Protocol Guide

The Program Management Office (PMO) Services Contractor is responsible for scheduling, developing, and coordinating all Kick-off meetings for the Alabama Medicaid Enterprise System (MES) Modularity Program (AMMP). The PMO Services Contractor is responsible for an initial kick-off for each module of AMMP. A Kick-off meeting is a meeting between the project team and the project stakeholders, who can either be internal or external. The PMO Services Project Manager for the module will schedule the Kick-off, in collaboration with the module contractor. The purpose of a Kick-off meeting is to lay the foundation for a successful project. The meeting is an opportunity to get the right people together, introduced to each other, and discuss everything that will guide the project to success. The Organizational Change Management (OCM) Team will provide support and help develop the Kick-off presentations for each phase of the program and various projects.

The purpose of the Phase Level Kick-off will be to inform the business area of the phase, timeline, project contact list, tasks, and the actions required of the project's impact business areas. The PMO Services Contractor and the Alabama Medicaid Agency shall work together to define the Kick-off schedule and the contents. It should be noted Project and AMMP management may conduct Lessoned Learned sessions at any time during the project/program life cycle. Lessons Learned, though important tools as the agency moves between project phases, can and should be conducted as often as deemed appropriate.

2.38.1 Sections Included

The following sections are included in this deliverable:

1 Introduction
1.1 Referenced Deliverables and Artifacts
2 Kick-off Meeting Workflow and Expectations
2.1 Kick-off Assessment Process
2.2 Kick-off Meeting Expectation Sessions
2.3 Development and Approval of Agenda and Supporting Materials
2.4 Kick-off Meeting Preparation Recommendation
2.5 Kick-off Meeting Dry Run
3 Project Phases that Require a Kick-off
3.1 Procurement Kick-off
3.2 Beginning of Contract Kick-off
3.3 Requirements Kick-off
3.4 Design and Development Kick-off
3.5 Conversion Kick-off
3.6 Testing Kick-off
3.7 OCM Kick-off
3.8 Implementation Kick-off
3.9 Go-live Kick-off
3.10 Operations Kick-off
3.11 CMS Certification Kick-off
3.12 Lessons Learned Kick-off
3.13 Kick-off Meeting Outline
4 Tips and Best Practices

2.39 PMO-2-i: Risk Management Plan

The Alabama Medicaid Agency (AMA) established a Program Management Office (PMO) to provide Program Management, Requirements and Business Process Management (RBPM), Enterprise Architecture (EA) and Organizational Change Management (OCM) services for the modular Medicaid Management Information System (MMIS) implementation project.

The PMO developed a Program Management Plan that provides an overview of the Alabama Medicaid Enterprise Systems (MES) Modernization Program (AMMP) and contains the templates, tools, and processes the PMO uses to manage the project schedule, budget, and quality. This Risk Management Plan is one component of the Project Management Plan (PMP).

The purpose of Risk Management is to systematically identify, analyze, monitor, and respond to risk. This Risk Management Plan introduces the concepts of risk management, describes the components of the PMO's methodology and explains why the program team manages risks this way. The plan also lists roles and responsibilities in administering the various risk management processes. Finally, it provides a detailed description of the risk management processes that the PMO uses during the AMMP phases. There are six projects in the AMMP: Modular Electronic Visit Verification (MEVV); System Integration (SI); Enterprise Data Services (EDS); Claims Processing and Management Services (CPMS) and Provider Management (PM). All AMMP modules (MEVV, SI, EDS, CPMS, PM) as well as the Testing Center of Excellence (TCoE), a service contract added to oversee testing of the above-mentioned projects, will use this deliverable as a reference in standardizing Risk Management.

2.39.1 Sections Included

The following sections are included in this deliverable:

2.40 PMO-2-i-02: Risk Questionnaire

The Risk Assessment Questionnaire is used to help identify the risks as checkpoint milestones. This questionnaire does not take away from risks being identified at any time, this just allows for a more focused effort on identifying risks. The Risk Questionnaire is meant to be a starting point for the Risk Manager, Project Manager and Contract Owner to work together to determine how they want to proceed with the Risk Questionnaire and the process of identifying Top 10 Risks.

Risk Categories align with what you will find in the Risk Management Plan, along with the risk ratings of: Very Low; Low; Moderate; High; Very High.

To complete the questionnaire, for each characteristic, choose the phrase that best depicts your project at the time of assessment. The completed questionnaire will identify the project's risk factors. The results from the completed questionnaire should be used as guidelines. There may be other factors that will lower or raise the risk level. For instance, a large project carries with it an inherently higher risk. This risk may be reduced if an experienced project manager leads the project. Having many high-risk characteristics does not necessarily mean the project will fail. However, it does mean that a plan must be put into place to address each potential high-risk factor.

2.40.1 Sections Included

The following sections are included in this deliverable:

1. *General Information*
2. *Purpose*
3. *Rating Scale*
4. *Risk Categories and Assessment Questionnaire*
5. *High Risk and Very High – Risk Response or Mitigation Actions by Category*
6. *Initial Risks Identified*

2.41 PMO-2-j: Issue Management Plan

The PMO developed a Program Management Plan that provides an overview of the MES Program and contains the templates, tools, and processes the PMO uses to manage the project schedule, budget, and quality. This Issue Management Plan is one component of the Project Management Plan (PMP).

The purpose of Issue Management is to outline the issue management approach, methodology, and tools used to identify, analyze, escalate, communicate, resolve, monitor, control, and report the issues that could impact the MES Program. The Issue Management Plan ensures a defined, documented, repeatable and measurable process exists for successful issue management. There are five modules in the MES Program: Modular Electronic Visit Verification (MEVV); System Integration (SI); Enterprise Data Services (EDS); Claims Processing and Management Services (CPMS); and Project Management Office (PMO). All of the MES program modules (MEVV, SI, EDS, CPMS, PMO) will use this deliverable as a reference in standardizing Issue Management.

2.41.1 Sections Included

The following sections are included in this deliverable:

1 Introduction
1.1 Referenced Deliverables and Artifacts
1.2 Purpose
1.3 Goals and Objectives
2 Issues Management Scope
3 Definition of Issue
3.1 Categories
3.2 Roles and Responsibilities
4 Issue Management Methodology
4.1 Issue Identification
4.2 Issue Analysis and Assessment
4.2.1 Impact Assessment
4.2.2 Issue Score-Criticality
4.3 Issue Monitoring and Tracking
4.3.1 Issue Categories
4.3.2 Module
4.3.3 Pillar
4.3.4 Enterprise Impact
4.3.5 Date Identified and Assigned Date
4.3.6 Due Date
4.3.7 Issue Status
4.3.8 Issue Owner
4.4 Issue Escalation
4.5 Issue Resolution
4.6 Issue Reporting
Appendix A. Acronyms/Glossary
Appendix B. Applicable Project, Federal, State and or Industry Standards
Appendix C. Meeting Participants
Appendix D. Risks and Issues Submission Form

2.42 PMO-2-k: Quality Management Plan

Quality Management (QM) is critical to the success of MES. It must support all the program's participants including the various module vendors. One person is not responsible for quality. Quality is realized only when everyone in the organization is committed to delivering quality for the Program. The term "quality" refers to process, activity, product, and governance. The Quality Management Plan describes the methodologies, tools, standards, tasks/activities, reports, templates, deliverables, and schedule for conducting the QA assessments/reviews.

The Quality Assurance Quality Control (QAQC) effort is driven to prudently apply quality checks and balances with the understanding that poor quality directly relates to increased costs associated with rework and non-standardized processes. With this understanding, the QAQC effort is committed to supporting MES by advancing the key indicators in the Medicaid Information Technology Architecture (MITA) categories including, but not limited to:

- Timeliness of Process
- Data Access and Accuracy
- Effort to Perform, Efficiency
- Cost Effectiveness
- Utility or Value to Stakeholders

The plan provides the approach and processes the AMMP PMO uses or plans to use within the AMMP to proactively monitor, measure, and report on the following areas:

- Quality of work being performed as it relates to requirements and deliverables
- Compliance to approved policy, process(es), and/or procedure(s)
- Status of corrective actions

The AMMP QMP is built around Continual Improvement (CI). A well-established and disciplined quality management framework:

- Drastically reduces the risk of failure or unacceptable implementation delays
- Implements effective processes to support arrangements for good governance and accountability
- Reduces issues and risks
- Promotes understanding of the root cause of a defect or issue
- Supports end-to-end requirements traceability as detailed in REQ-2-c: Requirements Management Plan
- Provides thorough documented evidence throughout the life of the project

2.42.1 Sections Included

The following sections are included in this deliverable:

1 Introduction
1.1 Referenced Deliverables and Artifacts
1.2 Overview
1.3 Purpose
2 Scope
2.1 Overall Quality Objectives
3 Roles and Responsibilities
4 Quality Strategy
4.1 Quality Assurance
4.2 Quality Control
4.3 Integrating Quality-Continuous Improvement
4.4 Quality Management Activities
4.5 Quality Key Performance Indicators (KPI)
4.6 Lessons Learned
4.7 Tools
4.8 Quality Schedule
Appendix A. Acronyms/Glossary
Appendix B. Applicable Project, Federal, State and or Industry Standards

2.43 PMO-2-k-01: Quality Control (QC) Checklist

The purpose of this artifact is to provide guidelines and checklist for Meeting Minutes, Deliverables, and Schedules to ensure each passes the QC quality checks.

2.43.1 Sections Included

The checklists included:

Meeting Minutes Checklist
Deliverable-Artifact Checklist
Schedule Checklist
Business Process Diagram Checklist

2.44 PMO-2-k-03: AMMP Style Guide

The style guidelines shown in this document should be used by authors when creating deliverables and artifacts for the Alabama Medicaid Enterprise Systems (MES) Modernization Program (AMMP). Likewise, peer reviewers and Quality Control (QC) reviewers should refer to these guidelines as well. The goal is to standardize language and formatting to improve the overall level of consistency. In addition, applying these standards will reduce peer and QC review cycle times.

2.44.1 Sections Included

The following sections are included in this document:

1 Introduction
1.1 Headings and Styles
1.1.1 Titles and heading levels
1.2 Headers
1.3 Footers
1.4 Proper References, Abbreviations and other Conventions
1.4.1 References to time
1.4.2 References to Government
1.4.3 Citations and References
1.5 Sentences
1.6 Numbers and Rounding
1.6.1 Numerals or Words
1.6.2 Millions and billions
1.6.3 Numbers that cannot have a value greater than 1
1.6.4 Decades
1.7 Bullets
1.8 Commas
1.9 Active Voice
1.10 Pronouns
1.11 Trademarks, Logos and Seals
1.12 Dangling/Misplaced Modifiers
1.13 Possessives
1.13.1 Special cases
Appendix A. Acronyms/Glossary

2.45 PMO-2-n-02: Action Items Protocol Reference Guide

This guide, Action Items Protocol Reference Guide, addresses processes and procedures for Identifying, Classifying, Monitoring, Controlling, Execution, Closure, and Reporting, of Action Items. This guide will also provide details on the tools and metrics used throughout the process. All of the AMMP responsible areas and contractors will use this guide as a reference in standardizing action item protocols.

The purpose of this guide is to define a consistent process for the end-to-end life cycle of all Action Items.

2.45.1 Sections Included

The following sections are included in this deliverable:

2.46 PMO-2-n-03: Decisions Protocol Reference Guide

The purpose of this guide is to define a consistent process for the end-to-end life cycle of all Decisions. The scope of the Decisions Protocol Reference Guide is specific to AMMP and its projects.

The goal and objectives for the Decisions Protocol Reference Guide are as follows:

- Clearly define what a Decision is and what it is not
- Set high-level and detailed expectations for Decision processes/procedures
- Define the processes for Identifying, Classifying, Monitoring/Controlling, and Approval/Rejection of Decisions
- Provide details of the metrics to be gathered
- Clarify the reporting expectations for all Decisions

2.46.1 Sections Included

The following sections are included in this deliverable:

2.47 PMO-2-n-04: Invoice Protocols Reference Guide

Module Contractor invoices are bound by contractual agreements and therefore must be in alignment with the contract parameters. This Invoice Protocols Reference Guide outlines the steps used to identify, review, approve, and submit an invoice for payment to Medicaid.

This Invoice Protocols Reference Guide promotes an understanding of the Agency's invoice payment processes as they relate to organizational financial planning, payment, and reporting.

This document provides clear step-by-step procedures to ensure that deliverables, services, and activities are invoiced and paid, per contract. The scope of the Alabama Medicaid Enterprise Systems (MES) Modernization Program (AMMP) encompasses the following projects: Program Management Office (PMO), Modular Electronic Visit Verification (MEVV), System Integration (SI), Enterprise Data Services (EDS), Provider Management, Claims Processing Management Services (CPMS). Each of these projects will use this guide as a reference in standardizing the AMMP invoicing process.

2.47.1 Sections Included

The following sections are included in this deliverable:

2.48 PMO-2-n-05: Lessons Learned Protocol Reference Guide

Lessons Learned (LL) provide an opportunity to adjust project strategies and practices early so that known benefits can be applied and known pitfalls can be avoided. This Lessons Learned Protocol Reference Guide outlines the activities used to review previously identified Lessons Learned, discover new Lessons Learned, apply corrective action early and document and disseminate the information.

This guide promotes an understanding of the importance of Lessons Learned and how they can be uncovered, analyzed, documented, and used to support current and future project activities. Lessons Learned discovery and application is not a one-time activity. Effective Project Managers (PM) understand the importance of discovering and integrating Lessons Learned into the entire project life cycle.

This document provides a common understanding of the benefits Lessons Learned provide. These benefits include:

- Improved integrated project team productivity and performance
- Reproduced efficiencies that improve product quality or project processes
- Enhanced deliverable quality
- Elimination of deficient practices
- Completed tasks on or ahead of schedule, and within or under budget
- Continuous process improvement
- Improved group understanding and application of the Lessons Learned

2.48.1 Sections Included

The following sections are included in this deliverable:

2.49 PMO-2-o: Vendor Start-up Guide

The PMO-2-o: Vendor Start Up Guide describes the Program Management Office processes and procedures required by the new vendors brought on-board the AMMP program. This includes the program structure as well as descriptions and locations of various documentation, templates, and any other information needed by a new vendor starting with the AMMP program. If additional information is needed, that is not within this document, please reach out to your PMO Services Contractor – Project PM. This PM can be found within COM-6-A: Responsibility Assignment Matrix, Project Stakeholder Registry sheet.

2.49.1 Sections Included

The following sections are included in this deliverable:

1 Introduction
1.1 Referenced Deliverables and Artifacts
1.2 History
1.3 Overview of State's Current System Environment
1.4 Summary Justification of Replacing the System
2 Program Structure
2.1 Program Governance
2.2 Program Pillars
2.3 Program Sponsor
2.4 Program Stakeholders
2.4.1 Centers for Medicare & Medicaid Services
2.4.2 State of Alabama – Legislature
2.4.3 Social Security Administration (SSA)
2.4.4 Internal Revenue Service (IRS)
2.5 Modularity Roadmap
3 Vendor Start Up Guide
4 Program Documentation
4.1 Program Management Plans
4.1.1 Onboarding Individuals and/or Vendors
4.1.2 Meeting Protocols and Reference Guide
4.1.3 Communication Management Plan
4.1.4 Organizational Change Management Plan
4.1.5 Schedule Management Plan
4.1.6 Risk and Issue Management Plan
4.1.7 Configuration and Document Validation Plan
4.1.8 Requirements Management Plan
4.1.9 Contract Monitoring Plan
4.1.10 Invoice Protocols Reference Guide
4.1.11 Quality Management Plan
4.1.12 Data Governance Office (DGO) Data Governance Framework
4.1.13 Information Security Office (ISO) – Medicaid Enterprise Security Policy
4.2 Vendor Templates
5 Vendor Tools
5.1 SharePoint Toolkit
5.2 SharePoint Repository
5.3 Requirements, Business Process Modeling and Enterprise Architecture Tool
5.4 Data Governance Office Tools
5.5 Information Security Office Tools
Appendix A. Acronyms/Glossary
Appendix B. Applicable Project, Federal, State and or Industry Standards

2.50 PMO-2-o-01: Vendor Template Catalog

PMO-2-o-o1 Vendor Template Catalog is established to ensure all required contractor templates are created for each of the AMMP Program procurements. The Comprehensive Deliverable List tab contains a list of all PMO deliverables. For each procurement, the Comprehensive Deliverable list will be updated to include any additional required contractor templates. Also, for each procurement, a new tab will be created for the contractor and the required templates will be listed in the individual contractor's tab. The tab for each contractor will also have the deliverable # and name specified in the Comprehensive Deliverable List.

2.51 PMO-2-o-02: Vendor Start-up Checklist

This document contains the Vendor Startup Checklist for the Onboarding Coordinator.

2.51.1 Sections Included

The checklist contains the following areas:

Action
Guidance for each Action
When each Action should be performed
Who is responsible for the Action

2.52 PMO-2-q: Integrated Master Schedule Management Plan

This Integrated Master Schedule Management Plan is a component of the overall AMMP Program Management Plan. This document contains the details for Project Schedule Management, Integrated Master Project Schedule Management, and the Program/Integrated Schedule Specifications.

The purpose of this document is to define the schedule development and management approach and establish the process for collecting, using, and communicating schedule information (e.g., schedule status, forecasts, upcoming activities) at both the project and program level. It will also define the specifications required to incorporate a detailed module schedule into the Integrated Master Schedule.

The AMMP PMO Master Scheduler will review the Integrated Master Schedule Management Plan every six months or as needed to address project conditions, client input or contract changes.

This document will be subject to formal change control after approval by the Agency. Subsequent changes to this document will be requested, approved, and implemented in accordance with the change management processes defined in the COM-10: Scope Change Management Plan. Changes to this document will be recorded in the Revision History table.

2.52.1 Sections Included

The following sections are included in this deliverable:

1 Introduction
1.1 Referenced deliverables
1.2 Purpose
1.3 Scope
1.4 Roles and Responsibilities
2 Schedule Management Plan
2.1 Schedule Development

2.2 The Work Breakdown Structure
3 Integrated Master Plan
3.1 Master, Intermediate and Detailed Schedules
3.2 Default View
3.3 External Dependencies
3.4 Baseline Execution Index
3.5 Schedule Performance Index
3.6 Task Naming Standards
3.7 Task Owner
3.8 Key Milestones, Executive Dashboard, and Deliverables
3.8.1 Key Milestones
3.8.2 Executive Dashboard
3.8.3 Deliverables
3.9 File Name and Versioning
3.10 Schedule Development
3.11 Schedule Checklist
3.12 Schedule Baseline
3.13 Schedule Status Updates
3.14 Schedule Performance Assessment Methodology
3.15 Collecting Status via Status Sheet
3.16 Rescheduling Uncompleted Work
3.17 Schedule Metrics
3.18 Schedule Dashboard
3.19 Schedule Risk Assessment
3.20 Critical Path Analysis
4 Schedule Specifications and Integrated Master Schedule Specifications
4.1 Decentralized Master Project
4.2 Master Project Analysis
4.3 Subproject Management
4.4 Integrated Master Schedule Management
Appendix A. Acronyms/Glossary
Appendix B. Applicable Project, Federal, State, or Industry Standards
Appendix C. AMMP Schedule Template

2.53 PMO-2-r: Configuration Management and Document Validation

The PMO-2-r: Configuration Management and Document Validation document describes the processes required to ensure that documentation configuration changes occur within an identifiable and controlled environment.

The artifacts described in this deliverable (DEL), PMO-2-r: Configuration Management and Document Validation; support the modular nature of the AMMP and its multi-contractor participation. The PMO must receipt and track deliverables and artifacts from each contractor and provide traceability throughout the review-and-approval process. The PMO-2-r Configuration Management and Document Validation document works in concert with the quality processes to ensure that each contractor's submissions meet the Agency's expectations and needs.

2.53.1 Sections Included

The following sections are included in this deliverable:

1 Introduction
1.1 Referenced Deliverables and Artifacts
1.2 Roles and Responsibilities

1.3 Plan Maintenance
1.4 Storage and Updates
2 Deliverable Process
2.1 Deliverable Workflow
2.1.1 Review Process
2.2 Deliverable Storage
2.3 Iteration Updates
2.3.1 Deliverable Future Request Log
2.4 Meeting Documents
2.5 Access and Security
3 Document Backup, Retention, Archiving, and Audits
3.1 Backups
3.2 Retention, Archiving, Audits, and Transference
4 Standards and Conventions
4.1 Naming Standards
4.2 Versioning Standards
5 Deliverable and Artifact Change Management
6 Multi-Contractor Considerations
7 Corrective Action
Appendix A. Acronyms/Glossary
Appendix B. Applicable Project, Federal, State, or Industry Standards

2.54 PMO-2-x: Contract Monitoring Plan

The purpose of the Contract Monitoring Plan is to detail the approach, methodology and evaluation techniques the project uses to monitor vendor contract performance throughout the life of a Contractor's contract/project. The contract monitoring plan establishes approved practices and reporting mechanisms to compare project progress in defined focus areas to their planned trajectory. The contract monitoring plan identifies specific activities required for decomposition of the project's expectations. Decomposition of the project expectations is done in order to align each contractor contract to Agency goals to define obtainable measurements. Each measure is further decomposed into specific performance metrics.

The PMO Services Contractor recommends methodologies for measurement, metric standards, and measures for the project. With this foundation, the PMO Services Contractor works closely with the Agency MES team to identify the measures that best represent the status of the project based on desired outcomes. Continuous monitoring, evaluation, and feedback provides transparency to critical performance information that will assist the PMO Services Contractor and the MES management team in creating action plans to address deficiencies. By identifying expected outcomes and translating them into realistic, understandable statistical models, contract monitoring can be used to make frequent, minor adjustments to project processes to ensure adherence to approved project plans and constraints, while tracking progress to successful execution of the project.

The benefit of a contract monitoring plan is to find insight into what is working well (or not) and find potential areas for focus to improve. The plan supports the flexibility to meet specific and changing project needs and communicates performance to stakeholders with increased transparency.

2.54.1 Sections Included

The following sections are included in this deliverable:

1 Introduction
1.1 Referenced Deliverables and Artifacts
1.2 Purpose
1.3 Scope
2 Contract Monitoring Approach

2.55 PMO-2-y: OCM Effectiveness Evaluation Plan

The MES PMO Services Contractor responsibilities include OCM. The OCM team is responsible for developing an OCM approach and strategy to transition Alabama Medicaid 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 AMMP change initiative is large and complex and requires a significant OCM effort to fully realize the intended benefits. It is critical to assess OCM effectiveness regularly so any needed adjustments can be made as they are identified.

This OCM Effectiveness Evaluation Plan defines the plan for assessing OCM efficacy throughout the program and individual projects' lifecycle, to ensure the business areas and stakeholders are prepared for upcoming changes. Specifically, this plan will outline the methods for assessing, gathering, reporting, and when deficiencies are uncovered, how we will improve our level of Organizational Change Management through specific corrective actions.

2.55.1 Sections Included

The following sections are included in this deliverable:

2.56 PMO-2-y-01: OCM Effectiveness Evaluation Plan Artifact

This artifact contains the questions included for surveys of various stakeholders.

2.56.1 Sections Included

Currently, the following are included in this artifact:

Functional Process Owner (FPO) Managers Survey
Stakeholder User
Project Change Triangle (PCT) Survey

2.57 REQ-2-a1: Detailed Approach to Requirements Gathering

This document describes the approach to gathering requirements for the Alabama Medicaid Enterprise Systems (MES) Modernization Program (AMMP). The goal is to develop program requirements that are accurate, clear, consistent, complete, traceable, and conform to the business needs of the Alabama Medicaid Agency (AMA) enterprise. This will be accomplished by evaluating the current system, which is referred to in this document as the Alabama Medicaid Management Information System (AMMIS) or the AS IS system. Then the future state environment will be determined and documented, which is referred to as the TO BE system. The Requirements and Business Process Management (RBPM) team will collaborate with the Agency stakeholders for each functional area in the requirements gathering processes.

2.57.1 Sections Included

The following sections are included in this deliverable:

2.58 REQ-2-a3: Define Requirements Templates

The expectations and requirements of REQ-2-a3, are addressed by the following artifacts:

- REQ-2-a3-1,2,3: AS IS and TO BE Requirements Template
- REQ-2-a3-4: Requirements Traceability and Verification Matrix Template
- REQ-2-a3-5,6,7: AS IS and TO BE Business Process Models Template
- REQ-2-a3-8: Define Requirements Templates Business Requirement Document

2.59 REQ-2-b: Business Process Management Plan

The Business Process Management (BPM) Plan will contain methods, processes, and tools for documenting, analyzing, and improving Alabama Medicaid Management Information System (AMMIS) business processes.

The Business Process Management (BPM) Plan is used to define the BPM process, methodology, and tools that will be utilized to meet the program goals of managing business processes and maintaining and reviewing the business process models.

The purpose of the BPM plan is to provide insight into the process to be used to define the AS IS state, determine the TO BE state, and transition from the AS IS to the TO BE state. The BPM Plan defines procedures for gathering, documenting, and examining AMMIS business processes. It will include methodology and tools used to establish, analyze, measure, and improve business processes as AMMP evolves. This plan will also include business process modelling framework and standards to ensure that process models are streamlined.

The scope of the BPM plan is to define the approach to be used to transition the Agency from the current (AS IS) to the future (TO BE) state, with the objective of moving the enterprise to a higher Medicaid Information Technology Architecture (MITA) maturity level.

2.59.1 Sections Included

The following sections are included in this deliverable:

2.60 REQ-2-c: Requirements Management Plan

The Requirements Management Plan (RMP) is a sub-plan of the PMO-2-n: Project Management Plan (PMP). A successful requirements management process is essential to ensure an effective Alabama Medicaid Modernization Project (AMMP) effort. The RMP defines expectations for managing requirements for a fully functional Alabama modular system. The RMP will document activities that ensure timely and appropriate development, generation, collection, and dissemination of the requirements. The RMP defines requirement sources, baselining, additions, changes, and deletions, as well as prioritizations.

The RMP is a critical component of ensuring that the product developed or modernized provides the functionality and capabilities required to support the organization's operations activities. The plan documents the management processes for the business and technical aspects of managing requirements.

2.60.1 Sections Included

The following sections are included in this deliverable:

3 Templates

3.1 AMA-01: AMA Attestation and Agreement Document Template

The Attestation and Agreement Document is intended to document the understanding and compliance by the provided accountable parties, in regard to the requirements set forth within each artifact. AMA considers this attestation and agreement document to be the attestation for the submission of each of the artifacts listed.

3.2 COM-8a: Meeting Agenda and Minutes Template

This is the template used for meeting agendas and minutes.

3.3 COM-9-1: Corrective Action Plan Template

Corrective Action Plans are used by Alabama Medicaid to formally identify, and correct issues related to Design, Develop, Implement (DDI) or Operations. The MES PMO (Program Management Office) closely monitors the timely and adequate performance of all contractors during each phase of their Statement of Work. The MES PMO uses Corrective Action Plans (CAPs) for performance deficiencies. The Agency will monitor all CAPs from all Module contractors. CAP requests must be finalized and submitted to the Agency within five (5) days of a request for the plan and approved within five (5) days of the initial submission. The CAP shall be discussed in depth during status meetings. If the Module Contractor fails to produce the CAP or to successfully execute the CAP, liquidated damages shall be assessed as defined in each module contractors Request for Bid (RFB) / Request for Proposal (RFP).

This purpose of this template is to provide all Alabama Medicaid Enterprise Systems (MES) Modernization Program (AMMP) contractors a consistent method for developing Corrective Action Plans.

3.3.1 Sections Included

The following sections are included in this template:

1 Introduction
1.1 Purpose
1.2 Scope
1.3 Referenced Deliverables and Artifacts
1.4 Roles and Responsibilities
2 Corrective Action Plan Overview
2.1 Overview
2.2 CAP Team
3 Root Cause Analysis
3.1 Identification and Description
3.2 Chronology
3.3 Impact
4 Correct Action Plan
4.1 Schedule of Events
4.2 Risk Mitigation
4.3 Preventative Action
4.4 Contingency Plan
4.5 Measures of Success
4.6 Closure Criteria
4.7 Communication
4.8 Monitoring and Reporting
Appendix A. Acronyms/Glossary

3.4 COM-10-01: Project Change Request Template

This template contains the Project Change Request Form.

3.5 COM-11-02: Stakeholder Register Template

The Stakeholder Register is a lister of the various AMMP stakeholders.

3.5.1 Sections Included

The contractor is to include the following information in their documentation associated with this deliverable:

Name
Title
Role
Priority/Influence
Email
Office Number
Location

3.6 COM-11-03: Communication Management Plan Template

The Module Contractor's Communication Plan will document the detailed communication activities during the Module Contractor's implementation. The Agency's expectation is that each Module Contractor include the specific details for their own plan as defined in the Module Contractor's Request for

Bid/Request for Proposal (RFB/RFP). The plan will also need to follow the guidelines established in the Medicaid Enterprise Systems (MES) Program COM-11: Communication Management Plan.

3.6.1 Sections Included

The following sections are included in this template:

1 Introduction
1.1 Purpose
1.2 Scope
1.3 Referenced Deliverables and Artifacts
1.4 Roles and Responsibilities
2 Communications
Appendix A. Acronyms/Glossary
Appendix B. Applicable Project, Federal, State, or Industry Standards

3.7 COM-12-1: Status Reporting Template Module

This is the template for the Module Contractor's Project Status Report.

3.7.1 Sections Included

The following sections are included in this template:

1 AMMP – Module Project Status Report
1.1 Overall Project Health
1.2 Project Highlights
1.3 Project Schedule
1.4 Corrective Action Plans
1.5 Issues
1.6 Risks
1.7 Scope
1.8 Decisions
1.9 Deliverables
1.9.1 Deliverables Summary
1.9.2 Deliverables In-Progress
1.10 Tools
1.11 Human Resources
1.12 Communications
1.13 Action Items
Appendix A. Acronyms/Glossary
Appendix B. Project Health Color Coding Definitions

3.8 COM-15-01: Cleanup and Conversion Management Reporting Template

This Cleanup and Conversion Management Reporting document provides the template for documentation of the results from each cleanup and conversion process execution. The information to populate this report is provided by the contractor responsible for the process.

3.8.1 Sections Included

The following sections are included in this template:

1 Introduction
2 Process Results Report
2.1 Process Information
2.2 Statistics
2.3 Exceptions
2.4 Exception Remediation Approach
2.4.1 [Exception Type]
2.5 Gap Analysis
2.6 Lessons Learned
Appendix A. Acronyms

3.9 COM-15-02: Cleanup and Conversion Management Plan Template

The Module Contractor's Data Conversion Plan will document the detailed data cleanup and conversion activities during the Module Contractor's implementation. The Agency's expectation is that each Module Vendor include the specific details for their own plan as defined in the Module Vendor's Request for Bid/Request for Proposal (RFB/RFP). The plan will also need to follow the guidelines established in the Medicaid Enterprise Systems (MES) Program COM-15: Cleanup and Conversion Management Plan.

3.9.1 Sections Included

The following sections are included in this template:

1 Introduction
1.1 Purpose
1.2 Scope
1.3 Referenced Deliverables and Artifacts
1.4 Roles and Responsibilities
2 Data Cleanup and Conversion
Appendix A. Acronyms/Glossary
Appendix B. Applicable Project, Federal, State, or Industry Standards

3.10 COM-16-01: Certification Support and Turnover Plan Template

The Module Contractors Certification Support & Turnover Plan will document the detailed certification activities during the Module Contractor's implementation. The Agency's expectation is that each Module Contractor includes the specific details for their own plan as defined in the Module Contractor's Request for Bid and Request for Proposal (RFB/RFP). The plan will also need to follow the guidelines established in the MES Program COM-16: Certification Support Management Plan.

3.10.1 Sections Included

The following sections are included in this template:

1 Introduction
1.1 Purpose
1.2 Scope
1.3 Referenced Deliverables and Artifacts

1.4 Roles and Responsibilities
2 Certification Management and Turnover
Appendix A. Acronyms/Glossary
Appendix B. Applicable Project, Federal, State, or Industry Standards

3.11 COM-17-01: Project Close-Out Report Template

The purpose of this report is to provide an assessment of the Project Close-out execution, for the *[Module]* project, based on the expectations defined within the AMMP COM-17 Project Close-out Plan. The Project Close-out Report is provided after the module receives CMS certification and it shall include finalizing activities across PMO processes to formally complete the project. If a project does not participate in CMS Certification, then the Close-out will occur after the Contract's Warranty period.

3.11.1 Sections Included

The following sections are included in this template:

1 Introduction
1.1 Project Information
1.2 Referenced Deliverables and Artifacts
1.3 Purpose
2 Project Close-out Report
2.1 Requirements
2.2 Deliverables
2.3 Artifacts
2.4 Training and Knowledge Transfer
2.5 Financials
2.6 Operations
2.7 Outstanding Risks, Issues, Action Items, Change Requests and Defects
2.8 Lessons Learned
Appendix A. Acronyms/Glossary
Appendix B. Applicable Project, Federal, State, or Industry Standards

3.12 EA-k-2: Incident Management Plan Template

This deliverable is the template for Incident Management Plan. It should detail the processes and procedures needed to manage incidents.

Incident Management is a process to restore normal service operation as quickly as possible due to unplanned interruptions or reductions in quality of Information Technology (IT) services. Normal service operation is defined as an operational state where services and Configuration Items (CIs) are performing within their agreed Service Level Agreements (SLAs) and Operational Level Agreements (OLAs).

3.12.1 Sections Included

The following sections are included in this template:

1 Introduction
1.1 Purpose
1.2 Referenced Deliverables & Artifacts
2 Incident Management
2.1 Process Description
2.1.1 Process Owner
2.1.2 Process Entities

2.2 Sub-Processes, Associated Process Objectives and Process Tasks
2.2.1 Incident Management Support
2.2.2 Incident Logging and Categorization
2.2.3 Immediate Incident Resolution by Level 1 Support
2.2.4 Incident Resolution by Level 2 Support
2.2.5 Handling of Major Incidents
2.2.6 Incident Identification
2.2.7 Incident Monitoring and Escalation
2.2.8 Incident Closure and Evaluation
2.2.9 Incident Management Reporting
2.3 Definitions
2.4 Roles and Responsibilities
2.4.1 Incident Manager
2.4.2 Level 1 Support
2.4.3 Level 2 Support
2.4.4 Major Incident Team
2.4.5 Incident Management Responsibility Matrix
2.5 Key Performance Indicators (KPIs)
2.5.1 Incident Management KPIs
2.6 Incident Management Triggers, Inputs, Outputs, and Interfaces
2.6.1 Triggers
2.6.2 Inputs
2.6.3 Outputs
Appendix A. Acronyms/Glossary
Appendix B. Incident and Problem Process Contact List
Appendix C. Incident Management Process Flow – Information Technology Infrastructure Library (ITIL)
Appendix D. Incident Management Checklists
Appendix E. Incident Classification Table

3.13 EA-k-3: Continuity of Operations Plan Template

The purpose of the Continuity of Operations Plan (COOP) is to provide business continuity processes and procedures for the business functions provided by module contractors as part of Alabama MES. This plan:

- Defines the recovery process developed to restore critical functions that support Alabama MES
- Provides guidance on the assessment of a disruptive incident and the subsequent resumption of project systems and processes
- Serves as a partner document to the Disaster Recovery Plan (DRP). These documents should be used in conjunction with each other in consideration of the impacts of a disruptive incident

3.13.1 Sections Included

The following sections are included in this template:

1 Introduction
1.1 Referenced Deliverables
2 Overview
2.1 Purpose
2.2 Objectives
2.3 Scope
2.4 Recovery Requirements
2.5 Regulatory Alignment
2.6 Plan Management

2.7 Staff Training and Plan Tests
3 Service Requirements
4 Roles and Responsibilities
5 Incident Response Process
5.1 Process
5.2 Procedures
5.3 Assumptions
5.4 Dependencies
Appendix A. Acronyms/Glossary
Appendix B. References
Appendix C. Response and Return to Normal Checklists

3.14 EA-k-5: Disaster Recovery Plan Template

This deliverable is the Disaster Recovery Plan (DRP) for module contractors. This document provides details regarding the tools, policies, and procedures associated to the recovery of vendor operations in the event of a disaster.

3.14.1 Sections Included

The following sections are included in this template:

1 Introduction
1.1 Referenced Deliverables and Artifacts
2 Overview
2.1 Purpose
2.2 Scope
2.3 Recovery Requirements
2.4 Regulatory Alignment
2.5 Plan Management
2.6 Staff Training and Plan Tests
3 Notification and Activation Procedures
3.1 MES Program Team Contact Information
3.2 External Communications
3.3 Recovery Status
4 Disaster Recovery Site
4.1 Site Description
4.2 Site Location
5 Event Response and Recovery
5.1 Process
5.2 Procedures
5.3 Assumptions
5.4 Dependencies
6 Return to Normal
6.1 Process
6.2 Procedures
6.3 Assumptions
6.4 Dependencies
7 Systems in Scope
7.1 <System>
7.1.1 Data Source Types
7.1.2 Backup Information
7.1.3 Database(s)
7.1.4 Services
7.1.5 System Response and Recovery Strategy

3.15 EA-k-7: Interface Control Document Template

The Interface Control Document (ICD) describes the relationship between the *Source System* and the *Target System.*

This ICD specifies the interface requirements the participating systems must meet. It describes the concept of operations for the interface, defines the message structure and protocols that govern the interchange of data, and identifies the communication paths along which the project team expects data to flow.

For each interface, the ICD provides the following information:

- A description of the data exchange format and protocol for exchange
- A general description of the interface
- Assumptions where appropriate
- Estimated size and frequency of data exchange

3.15.1 Sections Included

The following sections are included in this template:

9 Interface Control Document Approvals
Appendix A. Acronyms/Glossary

3.16 OCM-2-c2-01: Module Transition Plan Template

The Module Contractor's Transition Plan will document the detailed transition activities during the Module Contractor's implementation. The Agency's expectation is that each Module Contractor include the specific details for their own plan as defined in the Module Contractor's Request for Bid and Request for Proposal (RFB/RFP).

3.16.1 Sections Included

The following sections are included in this template:

1 Introduction
1.1 Purpose
1.2 Scope
1.3 Referenced Deliverables and Artifacts
1.4 Roles and Responsibilities
2 Transition Plan and Turnover
2.1 Transition Schedule, Tasks and Activities
2.2 Exit Criteria
Appendix A. Acronyms/Glossary
Appendix B. Applicable Project, Federal, State, or Industry Standards

3.17 OCM-2-c2-02: Business Process Roadmap Template

This spreadsheet lists the summary and detailed OCM tasks on the roadmap appropriate for each module for the following high-level phases:

Planning for the Change
Managing the Change
Reinforcing the Change

3.18 OCM-2-c2-04: Production Turnover Document Template

The Alabama Medicaid Enterprise Systems (MES) Modernization Program (AMMP) Production Turnover Plan will document the detailed transition activities during the Module Vendor's implementation. The Agency's expectation is that each Module Vendor include the specific details for their own plan as defined in the Module Vendor's Request for Bid and Request for Proposal (RFB/RFP).

3.18.1 Sections Included

The following sections are included in this template:

1 Introduction
1.1 Purpose
1.2 Scope
1.3 Referenced Deliverables and Artifacts
2 Operation Management
2.1 Operations Management Approach
2.2 Business Production Roles Responsibilities
2.3 Production Personnel Requirements

2.3.1 New Positions
2.3.2 New Skills Inventories
2.3.3 Transitioned Positions
2.3.4 Transitioned Skills
3 System Monitoring and Performance Management
3.1 Production Reporting Metrics
3.2 Production Monitoring Metrics
4 Operational Processes
4.1 Updated Business Processes
4.2 Business Process Flow
Appendix A. Acronyms/Glossary
Appendix B. Applicable Project, Federal, State, or Industry Standards

3.19 OCM-2-f1: OCM Implementation Plan Template

The Alabama Medicaid Agency (AMA) is updating their Medicaid Enterprise Systems (MES). The updated MES is modular and the name for the program is 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 the 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) for reporting. A Program Management Office (PMO) was established and a PMO Services Contractor was brought on to provide Program Management, Requirements and Business Process Management (RBPM), Enterprise Architecture (EA) and Organizational Change Management (OCM) services for the AMMP. The AMA has a team of Medicaid business and technical professionals performing PMO activities in concert with Agency subject matter experts (SMEs).

The PMO Services Contractor responsibilities include OCM. The OCM team is responsible for developing an OCM approach and strategy to transition the <insert applicable module> stakeholders from the current state to the modular future state. The <module> solution will be implemented and operated by a contractor.

The <module> change initiative is large and complex and requires a significant OCM effort to fully realize the intended benefits. Effective change management must match the unique characteristics and attributes of the <module> change and the people who are impacted by the change.

This OCM <module> Implementation Plan defines the OCM planning which will be used throughout the <module> implementation. This plan provides the framework for how the OCM team will prepare the stakeholders for the upcoming changes and ensure that the new <module> system is adopted. The plan defines how OCM will assist with delivering the <module> project objectives and outcomes.

3.19.1 Sections Included

The following sections are included in this template:

1 Introduction
1.1 Referenced Deliverables and Artifacts
1.2 OCM Definition and Scope
1.3 OCM Vision
1.4 OCM Process
2 Stakeholder and Impact Identification and Tools
2.1 Stakeholder Identification and Interviews
2.2 Roles and Responsibilities

2.3 Stakeholder Responsibility Assignment Matrix (RACSI Chart)
2.4 OCM Team and Stakeholder Resource Utilization Estimates and Actuals
3 Governance and Reporting Framework
3.1 Governance
3.2 OCM Organization
3.3 OCM Team Responsibility Assignment Matrix (RASCI)
3.4 Reporting Framework
3.5 Change Champions
4 OCM Impact Identification
5 Business Transition Plan and Artifacts
5.1 Updated Business Processes and Flows Approach
5.2 Transition Plan
5.3 Current State
5.4 Future State
5.5 Transition Roadmap of Business Processes
5.6 Impacts with Severity Rating
5.7 Training Plan
5.7.1 Training Schedule
5.7.2 Documentation Updates or Creation
5.7.3 Knowledge Transfer Plan
5.8 Communication Plan
5.9 Production Turnover Documents
5.9.1 Policy Standards and Regulation Updates
5.9.2 Service Level Agreements
5.9.3 Business Production Responsibility Assignment Matrix
5.9.4 Production Monitoring Metrics
5.9.5 Updated Business Processes
5.9.6 Business Process Flow
6 OCM Effectiveness
Appendix A. Acronyms/Glossary
Appendix B. Applicable Project, Federal, State, or Industry Standards

3.20 OCM-2-f2: OCM Implementation Checklist Template

The checklist / roadmap in this artifact tracks the major activities needed for successful adoption of the module.

The tasks are split among the phases of Organizational Change Management (Prepare, Manage, Reinforce).

3.21 OCM-2-g1: OCM Implementation Tracking Matrix Template

The OCM-2-g2: OCM Master Tracking Matrix is used by the OCM team to track the preparation of the business areas for the modular implementation. These matrices will be used for tracking and monitoring the Organizational Change Management (OCM) significant differences throughout the lifecycle of the program and projects to ensure each difference is addressed in training (formal or informal) and/or OCM communications.

This matrix is completed by the OCM team in consultation with the stakeholders from each Medicaid Enterprise Systems (MES) functional business area. The impacts are validated with the Change Champions. Progress on this tracking matrix is reported and discussed in OCM status meetings.

3.21.1 Sections Included

The following fields are included in this template:

Master ID
Impacted Stakeholder Group
Number of Users in Group
Description of Difference
Difference Type
Impact Rating
KPI (Yes / No)
Contractor Name(s)
Multiple Modules
Documentation
OCM Communication Method(s)
Dates of Communication
Name(s) User Material Updated
Change Champion Reviewer/Approval
Status
Agency Approver/Approved Date
Comments
Estimated % Adoption Without OCM
Creation Date
Modified Date

3.22 PMO-2-a-01: Detailed Project Initiation and Approach Template

The Detailed Project Initiation and Approach Plan provides the activities that will occur during the start of the project and the approach or methods that will be used for managing (i.e., planning, monitoring, and controlling) the project. The Agency's expectation is that each Module Contractor includes the specific details for their own plan as defined in the Module Contractor's Request for Bid/Request for Proposal (RFB/RFP). The plan will also need to follow the guidelines established in the Medicaid Enterprise Systems (MES) Program PMO-2-a: Detailed Initiation and Approach Plan.

During MES program contractor implementations, the Module Contractor's Detailed Project Initiation and Approach Plan should reflect the approach and strategies the contractor team will use to achieve the desired objectives throughout the Module Contractor's implementation.

3.22.1 Sections Included

The following fields are included in this template:

1 Introduction
1.1 Purpose
1.2 Scope
1.3 Referenced Deliverables and Artifacts
1.4 Roles and Responsibilities
2 Detailed Project Initiation and Approach
Appendix A. Acronyms/Glossary
Appendix B. Applicable Project, Federal, State, or Industry Standards

3.23 PMO-2-c-01: Kickoff Presentation Template

PowerPoint template of slides to be used for kickoff meetings.

3.24 PMO-2-i-01: Risk and Issues Submission Form Template

Template to be completed when submitting Risks or Issues.

3.25 PMO-2-k-02: Quality Management Template

During MES program vendor implementations, the Quality Assurance/Quality Management (QA/QM) plan's purpose should focus on the importance of quality systems, service, artifacts, and documentation. The Module Vendor's QA/QM plan should explain how the vendor will plan, implement, endorse, and improve their quality assurance program.

3.25.1 Sections Included

The following sections are included in this template:

1 Introduction
1.1 Purpose
1.2 Scope
1.3 Referenced Deliverables and Artifacts
1.4 Roles and Responsibilities
2 Quality Assurance / Quality Management
Appendix A. Acronyms/Glossary
Appendix B. Applicable Project, Federal, State, or Industry Standards

3.26 PMO-2-n-04-01: Module Vendor Invoice Tracker Template

During the Module Contractor on-boarding activities, it is the responsibility of the PMO Contractor to create an invoice tracker specific for each contractor. The tracker will include all invoiceable items through the life of the project. Once the Module Contractor is on-boarded and their invoice tracker populated with the deliverables / services / activities, by the PMO Contractor, the PMO Contractor will review each line item in the Module Contractor invoice tracker with the Module Contractor and MES Invoice Coordinator for concurrence and approval. The invoice tracker will be used as the mechanism to track and monitor the invoiceable items.

3.27 PMO-2-n-04-02: Deliverable Verification File Template

To support end to end Invoice protocols, the Contractor will create a "Deliverable Verification file" to document the evidence for the PMO and Agency "Verification and Validation" activities. The "Deliverable Verification file" template (PMO-2-n-04-02), contains two spreadsheets: one for "Deliverables" and another for "Activities". Not all contractors will use both but are available for contractors as needed.

3.28 PMO-2-n-04-03: Deliverable Acceptance File Template

After the Agency's Validation Review has validated the "Deliverable Verification file", the Contractor will create a "Deliverable Acceptance Form" and load to the Module Contractor SharePoint. The DAF is then provided to the Agency, specifically the MES Associated Director, for approval and signature. If the Agency agrees with the DAF, they will provide back a signed DAF to the Module Contractor Invoice coordinator. The Module Contractor Invoice coordinator will store the signed DAF in SharePoint, with the "Deliverable Verification file", for historical tracking purposes.

3.29 PMO-2-q-02: Integrated Master Schedule Template

The MES PMO has developed an MES Schedule Template that each module will use for their DDI. The MES PMO will provide the Module contractor with the template as well as facilitate a review of the template and Integrated Master Schedule Management Plan.

3.30 PMO-2-r-01: Configuration Management Plan Template

Configuration Management is the process for systematically handling changes to a system in a way that it maintains integrity over time. The Module Contractor’s Configuration Management Plan (CMP) will address configuration activities and adequate configuration management throughout the Module Contractor’s implementation. The Agency’s expectation is that each Module Contractor includes the specific details for their own plan as defined in the Module Contractor’s Request For Bid/Request For Proposal (RFB/RFP). The plan will also need to follow the guidelines established in the MES Program PMO-2-r: Configuration Management and Document Validation Plan.

3.30.1 Sections Included

The following sections are included in this template:

1 Introduction
1.1 Purpose
1.2 Scope
1.3 Referenced Deliverables and Artifacts
1.4 Roles and Responsibilities
2 Configuration Management
Appendix A. Acronyms/Glossary
Appendix B. Applicable Project, Federal, State, or Industry Standards

3.31 PMO-2-w-01: Deliverable Template

The purpose of this template is to provide a standard format for all contractor deliverables created in MS Word.

3.31.1 Sections Included

The following sections are included in this template:

1 Introduction
1.1 Purpose
1.2 Scope
1.3 Referenced Deliverables and Artifacts
1.4 Roles and Responsibilities
2 Section 2
2.1 Heading 2 Title Here
2.1.1 Heading 3 Title Here
2.1.1.1 Heading 4 Title Here
3 Section 3
Appendix A. Acronyms/Glossary
Appendix B. Applicable Project, Federal, State, or Industry Standards

3.32 PMO-2-w-02: Contract Discovery Template

The Contractor will participate in Contract Discovery sessions to ensure the project team clearly understands the scope of the project, including the Contractor's underlying drivers and proposed solutions. The focus is to increase the likelihood of project success by ensuring the project team understands the objectives of the project. The focus is to increase the likelihood of project success by ensuring the project team understands the objectives of the project. A discovery phase provides a context for the many decisions that happen daily during the project.

The Contractor must use the Contract Discovery Template, which is located in the Procurement Library, to document any questions or concerns related to the contract. The Agency must receive the Contractor's version of the Contract Discovery document five (5) business days before the first contract discovery session. The Agency will also develop a Contract Discovery document that contains the questions and concerns identified by the MES team. The Agency will provide their contract discovery document to the Contractor five (5) business days before the first contract discovery session. The Contractor document and the MES document will be merged to provide the agenda for the Contract Discovery sessions. This process will ensure everyone on the project understands the contract and identifies concerns/blockers/risk that need to be addressed.

These sessions will be used to discuss differences between the solicitation documents and the proposal submitted by the Contractor. The sessions will walk through each area of the contract to ensure both sides have the same understanding of what is required for the contract to be a success. During the sessions, all relevant stakeholders will review AMMP plans and guides, deliverable templates, invoicing process, and other topics critical to the success of the project.

3.33 PMO-2-x-01: Contract Monitoring Report Card Template

The PMO Services Contractor has created a program wide Contract Monitoring plan (PMO-2-x), which will be used for each contractor/module. The Contract Monitoring Plan contains the processes and procedures that are used by the PMO Services Contractor and Agency to monitor each contractor's contract that is part of the MES Program. The PMO Services Contractor works with the Agency to identify the performance metrics, within each Module Contract Monitoring Matrix, and defines the method that shall be used to verify that each contractor's performance meets the requirements defined in the RFP/RFB. After the PMO Services Contractor defines the performance metrics, they work with the Agency to develop a set of report cards (PMO-2-x1). There will be one report cards for each contractor/contract and a report card that consolidates the information from all contractor/contracts (Program Wide). This Contract Monitoring Matrix is developed ~4 months before each Contractor is onboarded. We will leverage existing Contract Monitoring Matrix for consistency, but also tailor it for the Contractor as they will have differing SLA/KPIs. As part of the Contractor Start-up activities, the Module specific Contract Monitoring Matrix is reviewed with the Contractor during startup.

3.33.1 Sections Included

The following sections are included in this template:

Introduction *- Overview of the Contract Monitoring Plan, processes, and Table of Contents*
Review History *- History of changes implemented for document*
Deliverable Comment Log *- Comments documented by reviewers and how they were addressed*
Report Card *- Visual representation of Contract Monitoring Metrics, represented in Health Indicator fashion*
Metric Matrix *- Definition of all Contract Monitoring metrics to be gathered for the modules (Updated as needed)*
NNN-# *- Individual excel sheet of the actual metrics gathered and their visual representation*

3.34 REQ-2-a3-1,2,3: [FA] AS IS and TO BE Requirements Template

This template details the AS IS and TO BE requirements, gap analysis, and roadmap for the requirements identified for the [functional area (FA)] business area in the [module name] module.

3.34.1 Sections Included

The following sections are included in this template:

1 Introduction
1.1 Referenced Deliverables
2 Business Area Overview
3 Requirements
3.1 Business Rules
3.2 AS IS Requirements
3.3 TO BE Requirements
4 Gap Analysis Goals and Objectives
4.1 Requirement Gap Descriptions
5 Requirements Roadmap
Appendix A. Acronyms/Glossary

3.35 REQ-2-a3-4: Requirements Traceability and Verification Matrix Template

This template is meant to trace requirements to ensure that all requirements are met and verified.

3.35.1 Sections Included

The matrix includes the following information:

Master ID
Requirement ID
Requirement Description
AS IS Requirement?
Link to AS IS ID
Date Written
Requirement Type
Requirement Category
Sub-Category
Requirement Status
Requirement Source
Requirement Priority
Rank
Transitional Requirement?
Transitional Linking ID
Training?
BPM
Legacy System Change?
Functional Area
Secondary Functional Area(s)
Functional Process Owner
Functional Process Co-Owner
Functional Process Owner Role/Description

Approved Date - Functional Process Owner
Functional Process Owner Name
Formal Date Approved
Date Updated
Requirement Comments
Change Request ID
Issue ID
Risk ID
Vendor ID
Vendor Name(s)
Primary Vendor
Vendor Status
Multiple Modules?
Module Change?
EVV
EVV Solution Indicator
EVV Status
EDS
EDS Solution Indicator
EDS Status
CPMS
CPMS Solution Indicator
CPMS Status
PROV
PROV Solution Indicator
PROV Status
SI
SI Solution Indicator
SI Status
Requirement Attribute
EVV Change Order #
EDS Change Order #
CPMS Change Order #
PROV Change Order #
SI Change Order #
EVV Defect #
EDS Defect #
CPMS Defect #
PROV Defect #
SI Defect #
EVV - Test Case ID
EVV - No TC Reason
EDS - Test Case ID
EDS - No TC Reason
CPMS - Test Case ID
CPMS - No TC Reason
PROV - Test Case ID
PROV - No TC Reason
SI - Test Case ID
SI - No TC Reason
Phase
Use Case(s)
EVV Procurement?
EDS Procurement?
CPMS Procurement?
PROV Procurement?

SI Procurement?
EVV Implementation Date
EDS Implementation Date
CPMS Implementation Date
PROV Implementation Date
SI Implementation Date
CMS State Plan
AIMS Rule
MECT ID
MITA BA
MITA BP
KPI
SLA
Performance Penalty
Certification Status - EVV
Certification Status - EDS
Certification Status - CPMS
Certification Status - PROV
Certification Status - SI
Date Certified - EVV
Date Certified - EDS
Date Certified - CPMS
Date Certified - PROV
Date Certified - SI
Date Archived
Procurement Library
Artifact for Procurement Library
RFP Section

3.36 REQ-2-a3-4-01: Module RTM Update Template

This template is meant to trace the weekly update to requirements in iServer.

3.36.1 Sections Included

The matrix includes the following information:

Requirement ID
Requirement Status
Change Order(s)
Defect(s)
Test Case ID
No Test Case Reason
Solution Indicator

3.37 REQ-2-a3-5,6,7: [FA] AS IS and TO BE Business Process Models Template

This document details the AS IS and TO BE business process model diagrams, gap analysis, and roadmap for the business processes identified for the [functional area (FA)] business process in the [module name] module.

3.37.1 Sections Included

The following sections are included in this template:

1 Introduction
1.1 Referenced Deliverables
2 Business Area Overview
3 AS IS Diagrams
4 TO BE Diagrams
5 Business Process Goals and Objectives
6 Business Process Overview
6.1 Process 1 [update with process name]
6.1.1 AS IS
6.1.2 TO BE
6.2 Process 2 [update with process name]
6.2.1 AS IS
6.2.2 TO BE
7 Business Process Gaps
8 Business Process Roadmap
9 Business Process Architecture Profile MITA 3.0
Appendix A. Acronyms/Glossary

3.38 REQ-2-a3-8: Define Requirements Templates Business Requirements Document

As part of the Alabama Medicaid Enterprise Systems Modernization Program (AMMP), the Program Management Office (PMO) shall create and deliver a Business Requirements Document for each module. The purpose of this document is to provide the template which will be used by the MES Business Analysts (BAs) to produce the Business Requirements Document (BRD). The template will also be used as a guide for future vendors on the project. The template describes the layout and contents of each section that should be included in the BRD.

3.38.1 Sections Included

The following sections are included in this template:

Purpose
1 Introduction
2 Project Scope
3 Project Stakeholders
4 Testing
5 Training
6 [Module] Business Summary
6.1 [Module] Business Goals
6.2 [Module] Business Objectives
6.3 [Module] Business Problem Statement
6.4 [Module] Business Project Description
6.5 [Module] Data Flow Diagram
7 [Functional Area 1] Business Summary
7.1 [Functional Area 1] Business Owners
7.2 [Functional Area 1] Business Goals
7.3 [Functional Area 1] Business Objectives
7.4 [Functional Area 1] Business Problem Statement

7.5 [Functional Area 1] Business Project Description
7.6 [Functional Area 1] Business Assumptions and Dependencies
7.6.1 Assumptions
7.6.2 Dependencies
7.7 [Functional Area 1] Business Rules
7.8 [Functional Area 1] AS IS and TO BE Business Processes Flow Charting and Diagrams
7.8.1 [Functional Area 1] AS IS
7.8.2 [Functional Area 1] TO BE
7.9 [Functional Area 1] Deliverable Requirements
7.10 [Functional Area 1] External Impact
7.11 [Functional Area 1] Critical Success Factors
Appendix A. Acronyms/Glossary
Appendix B. Applicable Project, Federal, State, or Industry Standards
Appendix C. Use Case
Appendix D. Data Model
Appendix E. Data Dictionary

3.39 TST-03: Test Phase Acceptance Metrics Template

The SI Contractor is expected to produce a Test Phase Acceptance (TPA) package that summarizes and provides the details of each Test Phase. The objective of the Test Phase Acceptance package is to ensure clear visibility to the effectiveness of each test Phase. The package, should provide but not be limited to the following:

1) RTM Coverage – provided weekly

2) Test Case Analysis – provided weekly

3) Defect Analysis – provided weekly

4) Required Workaround – provided with final TPA package

5) Corrective Action Plan – provided with final TPA package

6) Acceptance Criteria Assessment – provided with final TPA package

The SI Contractor is expected to provide a weekly TPA package that includes but is not limited to RTM Coverage, Test Case development/execution status, and defect release schedule. The final TPA package will require the specific details for any approved required workarounds, corrective action plans, and acceptance criteria assessment. The TPA package is required at the end of the Test Phase and shall be approved by the Agency prior to go-live. The TPA must be provided at least two weeks prior to the Operational Review Checklist milestone.

3.39.1 Sections Included

The metrics includes the following information:

Test Detail

Test Case ID
Test Case Short Title
Associated Requirement
Associated Use Case
Type of Test Case

Scheduled Execution
Actual Execution
Status
Associated Defect ID
Associated Defect Release
Defect Status
Tester ID
Test Phase
Test Type
Environment
# of Retest

Defect Detail

Defect ID
Severity
Priority
Status
Status Date
Defect Open Date
Defect Close Date
Defect time to Resolution
Associated Test Case Count
Scheduled execution
Defect Opened by
Defect Owner

Total Metrics by Test Phase

Test Cases by status count & %
Test execution variance count & %
Pass/Fail rate to date counts & %
Defects Opened
Defects Closed
Defects by status
 # Test cases blocked by Defects

