Organizational Change Management (OCM) Approach

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

Contract Number: C20000000080
OCM-2-a

Prepared for:

Alabama Medicaid Agency

Version 5.0

January 26, 2023

Revision History

Version	Effective Date	Description of Change
5.0	1/26/2023	Approved and published
4.1	12/20/2022	Iteration update
4.0	10/13/2022	Approved and published
3.2	06/29/2022	Response to Comments
3.1	05/31/2022	Iteration update
3.0	10/22/2021	Approved. Removed resolved comments and published
2.2	09/29/2021	Response to Comments
2.1	09/02/2021	Updated for iteration 2.
2.0	04/09/2021	Approved. Removed resolved comments and published
1.3	02/26/2021	Response to Rejected Comments
1.2	02/12/2021	Response to Comments
1.1	1/19/2021	Iteration 1. Completed a review of the whole document. Updated all sections to reflect updates in the OCM approach and processes being followed.
1.0	07/29/2020	Approved. Removed resolved comments and published
0.3	07/10/2020	Response to Comments
0.2	06/12/2020	Response to Comments
0.1	05/13/2020	Initial Submission

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1. Introduction / Overview

The Alabama Medicaid Agency (AMA), which will be further recognized as “the Agency,” is updating their Medicaid Enterprise Systems (MES). The name for the program is the Alabama MES Modernization Program (AMMP). In support of this transformation, the Agency 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 implementation. The Agency has a team of Medicaid business and technical professionals who support all PMO activities, in concert with Agency subject matter experts (SMEs).

The MES PMO Services Contractor responsibilities include OCM, which will be further recognized as the “PMO OCM Team.” The PMO OCM Team will develop an OCM approach and strategy to transition Agency stakeholders from the current state to the new future state. Effective change management must match the unique characteristics and attributes of the modularity change and the people who are impacted by the change. The 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 change management than others. To this end, this will require a collaborative effort between the (Agency) MES PMO Team, PMO OCM Team and module contractors. To achieve successful change, leaders must articulate a consistent, achievable, inspiring, and easily understood vision that guides the organization to measurable achievement of expected benefits. Instead of a single event, change is a transitional process with multiple and varied events supporting the objective of moving an organization and its stakeholders from the current state to a future state. The vision of the Agency is to play a key leadership role in ensuring availability and access to appropriate health care for all Alabamians. The Agency celebrated its 50^{th} anniversary in 2020, providing health care financing for eligible Alabamians, serving them with respect, integrity, excellence, teamwork, and innovation. It is this last value, innovation (“We willingly embrace new ideas and new ways of doing things to effectively meet a changing health care environment.”), which led the Agency to implementation of modularity.

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

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

1.1 Referenced Deliverables and Artifacts

The following deliverables and artifacts are cited in this document:

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

- OCM-2-h: OCM Project Schedule (RFP deliverable name) / MES_NTT_OCM.mpp (SharePoint Project Repository file name)
- OCM-2-i: OCM Executive Level Dashboard
- PMO-2-y: OCM Effectiveness Evaluation Plan

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

1.2 Introduction to OCM

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

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

- Sponsorship
- Communication
- Learning
- Reinforcement

Exhibit 1: OCM Key Principles

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

Principle	Description
Learning – Provide ongoing, targeted, and timely OCM learning activities and events	Learning activities and events provide those AMMP team members leading the change, and those directly impacted by change with the knowledge needed to function effectively through the transition and after the implementation. OCM learning activities could include demonstrations, User Acceptance Testing participation, lessons learned, Medicaid Information Technology Architecture (MITA) sessions, and Brown Bag sessions designed to support staff development.
Reinforcement – Provide ongoing, targeted, and timely reinforcement	Recognizing milestones achieved and efforts made as the Agency moves toward the change, both builds acceptance, as well as promotes ownership of the change among the stakeholders and functional business areas. Post-implementation evaluations of change adoption will help to reinforce the change.

1.3 OCM Scope

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

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

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

1.4 OCM Goals

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

The Agency has elected to follow the OCM approach defined by Prosci®, a leader in OCM research, training, and consulting[1]. Prosci® lists five main tenets of OCM, with the questions that we must answer

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

to succeed in meeting the program goals. The principles, the questions that must be answered, and the goals are defined in Exhibit 2.

Exhibit 2: Five Tenets of OCM

Tenet	Question	Goals
We for a reason.	Why are we changing?	Define what the organization gains and what the program achieves. For Alabama Medicaid, the impetus for the change is to comply with Centers for Medicare & Medicaid Services (CMS) mandate. More importantly, the program's success will improve business processes as well as support the Agency's goal of improving healthcare outcomes.
Organizational change requires individual change.	Who must do their job differently (and how)?	Organizations don't change; individuals do. We tend to focus change on the organization level, but the true unit of change is the individual. Along with the Requirements Business Process Management (RBPM) team, the AMMP OCM Team must help identify the impacted groups, review their current operations, processes, and roles, to document the critical behaviors that will need to change as a part of each module implementation. The PMO OCM Team will work with the RBPM team to identify changes to individual roles necessary within each stakeholder group. These changes will be validated with the Change Champions (described later in this document in Section 2.3).
Organizational outcomes are the collective result of individual change.	How much of our outcomes depend on adoption and usage?	An organizational move to a future state requires individuals to move from their own current to their own future state. OCM closes the process gaps identified by the RBPM team and assesses the needed business process changes. OCM supports effective change management, from outputs to outcomes, from specifications to sustainment, from solutions to benefits. For AMMP, the AS IS and TO BE business process changes and the gaps will be tracked. The effectiveness of OCM in assisting individual and organizational change will be tracked and reported in PMO-2-y: OCM Effectiveness Evaluation Plan, and OCM-2-i: OCM Executive-Level Dashboard.
Change management is an enabling framework for managing the people side of change.	What will we do to support adoption and usage?	OCM prepares, equips, and supports those in people-facing roles to mobilize their teams to deliver results. For instance, the outcome desired is that an individual who needs to do their job differently adopts and uses the new system efficiently. The PMO OCM Team will support each Contractor to perform the activities required to get to successful adoption of new systems and processes. These activities are broken down into activities within the Preparing for Change, Managing Change, and Reinforcing Change phases. The PMO OCM Team will support the MES PMO Team and Contractor to address resistance management. These efforts will be in concert with the Change Champions suggesting ways to reduce resistance and define measures to track adoption.

Tenet	Question	Goals
We apply change management to realize the benefits and desired outcomes of change.	How will driving adoption and usage improve results?	The ability to successfully deliver organizational benefits and program objectives is directly impacted by how effectively the people side of change is managed. The Agency objectives include, reduced manual actions for both users and agency staff, reduced processing times, increased transparency, improved efficacy in data management, the ability to leverage available technology. OCM strategies are applied to improve the likelihood of change outcomes, meet or exceed objectives, minimize risks, capture people-dependent Return on Investment (ROI), and deliver results. For AMMP, benefits realization will be using the OCM-2-i: OCM Executive Level Dashboard and PMO-2-y: OCM Effectiveness Evaluation Plan.

1.5 Definition of OCM Success

As stated in the fifth tenet, above, if OCM is effective, the program will meet program objectives on time and on budget, minimize negative consequences, mitigate risks, reduce costs, and capture people-dependent ROI.

OCM success consists of the following objectives:

- Document and apply the OCM strategy and plans required for the Agency to successfully transition the organization and stakeholders to the future state
- Develop mechanisms for the project team to identify, measure and track metrics for benefits realization (namely: monthly status reports, OCM-2-i: OCM Executive-Level Dashboard, and PMO-2-y: OCM Effectiveness Evaluation Plan)
- Educate stakeholders at all levels to understand the reason for the change
- Encourage sponsors and managers to be actively visible and understand their roles in leading people through change
- Implement a feedback loop to capture areas of resistance and areas where coaching and additional support can be provided to the Change Champions and people leaders
- Identify stakeholders who are impacted by the change, how the change impacts them and strategies to support them
- Ensure contractor-provided training is tailored so that end users understand what is changing and are prepared to do their jobs differently
- Create a resource repository that stores all Agency-level communication, training material, Quick Reference Guides, Job Aids, crosswalks, and other user resource materials and provides ease of access for stakeholders

- Create a strategy for the Agency to implement enterprise-wide change competency and capability that allows the organization to apply change management practices successfully and routinely. The growth in change competency will be measured in the Stakeholder Assessments which will be performed and documented as part of PMO-2-y: OCM Effectiveness Evaluation Plan as captured in the OCM-2-c2: OCM Templates

1.6 OCM Process

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

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

Exhibit 3: ADKAR® Model of Individual Change

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

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

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

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

Exhibit 4: OCM Process and Phases

Phase	Tasks
Preparing for Change – Occurs during Project Planning	
Assess Organizational Change Readiness	• Identify potential impacts for each stakeholder group • Prepare for and conduct stakeholder interviews • Prepare and administer baseline surveys • Compile and analyze survey data • Review organizational change history • Review organizational culture • Prepare change readiness assessments • Identify critical change management risks and define how they will be managed
Prepare OCM Resources	• Identify OCM team resources, including Change Champions embedded in the transitioning teams • Train the OCM team and Change Champions • Conduct OCM team meetings
Prepare Sponsors (Occurs at the Program-level only)	• Identify sponsors • Assess sponsor change support needs • Develop, schedule, and deliver change sponsor OCM learning events, as needed • Provide one-to-one sponsor coaching and assistance
Managing Change – Occurs throughout Design, Development, and Implementation of each module and until the desired future state is achieved	
Develop Implementation Plan	• Identify impacted stakeholder populations • Analyze change impact and change assistance needs by user group • Develop/update resistance prevention/mitigation strategies using the change systems of: ▪ Communication ▪ Root cause analysis of encountered resistance/ suggested mitigations ▪ Learning / Capability development ▪ Reinforcements / Recognitions • Identify special tactics necessary to deal with high-risk areas

Phase	Tasks
Implement OCM Strategies	• Assist Change Champions and Functional Process Owners (FPOs) to implement resistance prevention/mitigation strategies (communication, learning, reinforcements/recognitions)
Reinforcing Change – Occurs throughout program and into future state for each module	
Collect and Analyze Feedback	• Conduct internal stakeholder interviews • Conduct internal stakeholder focus groups, as needed • Analyze stakeholder feedback and determine resistance mitigation strategies and identify/correct gaps in OCM • Update Implementation Plan, OCM Master Tracking Matrix, OCM Communication Matrix, and OCM Training Matrix
Manage Resistance	• Implement resistance mitigation strategies defined in the Implementation Plan • Evaluate need for refresher training • Celebrate successes

2 Governance

Change Practitioners work with and through others in the organization. Before outlining the OCM Governance, it is necessary to discuss the core roles within OCM. Prosci's research on best practices in change management shows that by far, staff prefer to hear messages about organizational change from their agency's director, in the case of AMMP, this would be the Deputy Commissioners, including the Chief Information Officer, who is the sponsor for AMMP. For messages that have a personal impact, staff prefer to hear directly from their supervisor, the business area FPOs. For this reason, the whole organization needs to be engaged in OCM, with the OCM team performing a change-enabling role. In fact, 75% of staff prefer to hear about organizational changes from senior managers, compared to 3% from an OCM team member. For personal impact messages, 70% of staff prefer to hear the message from their supervisor, compared to 3% from an OCM team member.

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

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

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

2.1 PMO OCM Team

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

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

2.2 Program Governance

The program governance of the PMO Services team is provided by the Agency MES core team, which is led by the Director of MES. An OCM Communications Committee approves all communications, both internal and external. More information about this can be found in Section 6 OCM Communication.

2.3 Program Sponsor Coalition

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

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

The OCM Sponsor and Functional Business Owners select the Change Champions, who are SMEs and dedicated full-time staff assigned to assist with AMMP. The Change Champions will serve as the eyes, ears, and feet on the ground to help support the Agency through the needed organizational changes. They support change by engaging stakeholders as they work towards individual change. It is expected that the Change Champions will be empowered to perform analysis and review of the TO BE staff roles and responsibilities, OCM training, and OCM Communication.

2.4 OCM Oversight

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

Exhibit 5: OCM Oversight

Role	Representing
Associate Director	MES
MES Director	MES
MES Program Manager	MES
MES Business Analysts	MES
PPMO / PQA Specialist	Medicaid IT Project Portfolio Management Office (PPMO) and Program Quality Assurance (PQA)
FPOs	Division Directors who oversee Agency Business Units

Role	Representing
Change Champions	Agency Business Units designees, assigned to support organizational change management
Chief Data Officer	Reporting on behalf of the Data Governance Council
Director of Communications	Agency office tasked with internal and external communication
PMO Project Manager	Oversees program and project procurement and implementation

3 OCM Templates, Processes and Procedures

This section identifies the templates, processes, and procedures that will be used in support of the OCM strategy (OCM-2-c1: OCM Strategic Plan) and the implementation plan (OCM-2-f1: OCM Implementation Plan Template). While the strategy and implementation plan document how OCM will be performed, the templates listed in this section detail the actual execution of the strategy/implementation plan. Each template, process, and procedure identified in this document can be scaled appropriately for each implementation or each module, as needed, based on the amount of associated change. The Agency has elected to use the Prosci® methodology. Prosci® provides sponsor, stakeholder, and organizational readiness assessments for measuring change readiness. These assessments take the form of spreadsheets which can be customized for AMMP. The PMO OCM Team builds the OCM-2-g2: OCM Master Tracking Matrix which will trace all the significant differences/impacts to the OCM materials in which the impact has been documented. Additionally, the OCM team uses spreadsheets to track OCM communication and OCM training.

3.1 OCM-2-g2: OCM Master Tracking Matrix

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

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

The list below outlines what will be tracked. Each of the differences will be categorized in the matrix as being new or changed:

- External outputs
- External inputs
- Process steps
- Internal inputs

- Internal outputs
- Organizational roles

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

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

3.2 OCM-2-d2: OCM Communication Matrix

The identification of key messages and the review and approval process for OCM communication messages are detailed and tracked, including the timing, media method and responsibility in this spreadsheet. OCM Communication will be monitored for effectiveness and messages will be updated regularly over the lifetime of the program. More details about the methodology follow in Section 6 OCM Communication.

3.3 OCM-2-e2: OCM Training Matrix

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

- Training Needs Assessment
- OCM Training Media
- Contractor Training Evaluation
- Training Delivery
- Contractor System Training Evaluation
- Training Evaluations

4 Phases of Change

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

4.1 Phase 1 – Preparing for Change

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

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

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

Exhibit 6: OCM Change Readiness Assessments

Assessment	Purpose	Audience	Frequency
• Sponsor Assessments • Deputy Commissioner Assessments • Dept of Information & Systems Technology leaders (separate questions)	To assess and analyze the primary sponsors to determine if they are at the right level and have the capacity to lead the program to success Goal is to: • Assess the sponsor coalition • Understand their business goals • Enable their support of the change process	• Agency Commissioner • Chief Information Officer • Chief Financial Officer • Deputy Commissioners • Department of Information & Systems Technology leaders	Initially – during the Preparing for Change phase Repeated – as needed if any of the periodic assessments indicate that leadership engagement has waned
Prosci® Project Change Triangle© (PCT) Assessment	For overall project health diagnostics, using concise but purposeful questions about leadership, project management and change management Goal is to assess the strengths of: • The sponsor coalition • Project/Program	PMO OCM Team performs assessment of the project leadership, project management, and change management in consultation with the MES Core team	Initially – before the Managing Change phase to provide definition and context, both as a diagnostic and to drive next steps Repeated – at each OCM Effectiveness Evaluation to track

Assessment	Purpose	Audience	Frequency
	management • Change management team		progress, and refocus actions
Change Impact Assessment and Organizational Attributes	To understand how each group is impacted, including unique challenges and risks by group, in order to prioritize and customize the OCM to drive adoption for each group Goal is to assesses the impact of the change and the readiness of the organization, including: • What is the value-system and background of the impacted groups? • How much change is already going on? • What type of resistance can be expected?	PMO OCM Team performs the assessment, based on responses from the sponsor, Deputy Commissioner, and FPO assessments, in collaboration with the MES Core team. The assessment is validated with the Change Champions, especially the resistance expected	Once – at the start of the Managing Change phase. Validated with the Change Champions when they are identified
End User Assessment	To understand where the end users are in their change journey along the five building blocks of successful change (ADKAR) Goal is to understand: • User perceptions of the organization's readiness • User personal readiness for change • User understanding of the change and how they perceive the personal impact of that change	End users within the functional areas designated by the FPO to participate in OCM assessments	Initially – before the Managing Change phase Repeated – via SurveyMonkey at each OCM Effectiveness Evaluation to track individual / group progress and refocus actions
FPO Managers Assessment	To gauge the change management competency of supervisors, managers, and Change Champions; appraising their ability to manage employees through their change process	FPOs, Change Champions, and any people managers designated by the FPO	Initially – before the Managing Change phase Repeated – via SurveyMonkey at each OCM Effectiveness Evaluation

4.1.1 Sponsor Coalition Change Readiness Assessments

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

Exhibit 7: Sponsor Coalition Interviews

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

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

4.1.2 Prosci® Project Change Triangle (PCT™) Assessment

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

4.1.3 Prosci® Change Impact Index

The Prosci® Change Impact Index spreadsheet is used to assess and analyze the size of the change, consider the number of stakeholders impacted and determine how they are impacted. During the FPO interviews, the PMO OCM Manager will ask participating stakeholders to rate a series of questions on a scale of 1-5. Answers rated a 4 or 5 indicate a high need for organizational change management; answers of 1 to 2 indicate a low area of concern for organizational change. The assessment areas will be based on the following change characteristics:

- Scope of change
- Number of impacted employees
- Variation in groups that are impacted
- Type of change
- Degree of process change
- Degree of system and tool change

- Degree of job role change
- Amount of shift in mindset/attitudes/beliefs
- Degree of organization restructuring
- Amount of change overall
- Impact on expectations made of staff on their oversight of vendor
- Increase in job duties
- Timeframe for change

4.1.4 Prosci® Organizational Attributes Assessment

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

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

4.1.5 Prosci® End User Change Readiness Assessment

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

- Awareness
    - Awareness that the Agency is implementing a modular program
    - Understanding the business reasons for implementing a modular program

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

4.1.6 Prosci® FPO Managers Assessment

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

- Adapting to change
    - Seeking information to better understand 'why' the change is occurring
    - Asking questions to determine how the change will impact one's group
    - Providing feedback, including any objections, in a clear, non-confrontational manner to managers and the project team
    - For those resistant to the change, identifying the root cause of the resistance and working with managers to find solutions to objections
    - Making a personal choice to support and participate in the changes before introducing them to employees
- Introducing change to employees

- Share with employees the nature of the change in context with the broader vision and direction of the Agency
- Explaining 'why' the change is happening, including the risk of not changing
- Formally encouraging dialogue with employees by asking them to provide feedback and to raise their questions and concerns about the change
- Correcting misinformation that may be circulating about the change
- Visibly demonstrating personal support and enthusiasm for the change (seen as an advocate or sponsor for the change)

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

4.2 Phase 2 – Managing Change

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

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

their current system to the new modules. It also contains a tracking matrix (OCM-2-e2: OCM Training Matrix) which identifies the training required for stakeholder groups. The items captured on the matrix are built into the OCM-2-h: OCM Project Schedule. A specialized training plan will be developed for each module and documented in OCM-2-f1: OCM Implementation Plan – Template

- Resistance Management – this is a section of the OCM-2-f1: OCM Implementation Plan – Template that provides information about anticipated resistance, identifying root causes of the resistance, and tactics to address the resistance. It also provides information on engaging the individuals identified by the FPO Managers as Change Champions. These individuals will assist the Module Contractor with improving adoption
- OCM Effectiveness Evaluation Plan (PMO-2-y) – This is a plan that defines the methods to measure the effectiveness of OCM, the effectiveness areas to be evaluated, the desired level of effectiveness (including unacceptable levels), and the dashboard reporting for OCM effectiveness.

4.3 Phase 3 – Reinforcing Change

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

- Collecting and analyzing feedback – this involves getting feedback from the Change Champions as well as the stakeholder users. This feedback will be obtained using the OCM change readiness assessments. The assessments will be tracked and analyzed with the PMO-2-y: OCM Effectiveness Evaluation Plan and its activities
- Diagnosing gaps and managing resistance – this involves reviewing the OCM training provided by the Module Contractor and the system training provided by module vendors. Any gaps will be identified and addressed, either by updating training materials and user guides, or providing refresher training, or both. Resistance will be managed using the feedback of the Change Champions, with special tactics to address the resistance applied
- Evaluating adoption – this will also be measured using the OCM change readiness assessments and PMO-2-y: OCM Effectiveness Evaluation Plan activities in consultation with the Change Champions
- Implementing corrective action, including coaching and refresher training – this will involve engaging the Change Champions in assisting with developing refresher training, reaching out to FPO managers to assist with coaching, if needed
- Celebrating successes – successes will be celebrated using the Agency Newsletter. FPO managers and project leaders will also be encouraged to celebrate the successes of their teams as well as individuals
- Documenting lessons learned – OCM lessons learned will be documented at the conclusion of each Key Milestone. The key milestones are documented in the OCM-2-h: OCM Project Schedule. The OCM Project Schedule also has a task within each section of the schedule for identifying the lessons learned in that activity. The OCM-specific lessons learned will be tracked in the OCM-2-g2: OCM Master Tracking Matrix. Any lessons learned which have a program-wide impact will also be documented in the program or module toolkit.
- Delivering the closing report – this involves the delivery of the production turn-over documents. It is documented in the Transition Plan section of the OCM-2-c1: OCM Strategic Plan. Module closing reports are delivered in the OCM-2-f1: OCM Implementation Plan – Template.

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

5 OCM Responsibility Assignment Matrix

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

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

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

Exhibit 8: OCM Roles and Responsibilities

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

Role Name	Description
	• Resolve escalated issues • Participate in OCM Communication Committee and other OCM meetings • Review and approve OCM deliverables • Provide input and approval of priority and timing of OCM activities • Provide input and approval of stakeholder outreach • Identify gaps and/or risks that may impact program success • Remove resistance or other types of barriers impacting OCM work
MES Business Analysts	• Identify gaps and/or risks that may impact program success • Remove resistance or other types of barriers impacting OCM work • Provide input into stakeholder outreach • Provide guidance to the OCM team and Change Champions • Participate in OCM Communication Committee meetings • Communicate importance of OCM related activities • Identify success criteria and performance metrics and measurements • Provide input into priority and timing of OCM activities • Approve OCM deliverables • Review and approve OCM training • Review and approve vendor system training plans and products • Review and approve vendor communication plans
Change Champions	• Be the eyes, ears, and feet on the ground to support the success of AMMP • When issues arise, assist in problem resolution, and OCM strategy development • Provide input into OCM activities, communication, and training • Provide input into vendor system training products • Motivate others to want to become engaged and share in the experience • Confirm business unit needs with the OCM team • Share functional business area updates that directly impact the program with the OCM team • Keep the OCM team and leadership informed about areas of resistance requiring attention
PMO Services RBPM team	• The Stakeholder Identification performed by the RBPM team will be needed for the OCM stakeholder assessments • The AS IS and TO BE business processes, gap analysis, and business requirements documents created by the RBPM team are needed by OCM in order to perform analysis of roles and responsibilities, communication and training planning and development, and transition planning
OCM Manager	• Create OCM Approach • Create and execute OCM Strategy • Enable and equip change network • Identify tactics for resistance management

Role Name	Description
	• Recommend mechanisms for measuring OCM effectiveness and change readiness • Guide MES in leading people through change • Draft and coordinate OCM Communication through the approval process • Create and manage transition plans to move stakeholders to the future state • Report status monthly
OCM Training Lead	• Plan for OCM training needs • Coordinate with Change Champions to confirm training needs assessment, training gaps and coverage • Draft, coordinate, and deliver training in collaboration with the Module Contractor and training team • Track evaluations of training and updates to materials • Evaluate the need for refresher training and support Change Champions with identifying appropriate training methods
OCM Communication Lead	• Assist in stakeholder assessments • Assist in OCM deliverable updates • Provide support with staffing analysis and transition planning • Assist in OCM training needs assessments, training development and delivery • Draft OCM Communication messages and coordinate their approval • Draft and peer review OCM communication and training materials
System Integration (SI) and Module Contractor Shared Resources	• Provide the PMO and MES team Agency approved, module specific communication, training, and implementation plans • Provide in-depth, role-based, system training and user-support materials for training delivery • Provide assistance to the OCM team, as needed

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

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

6 OCM Communication

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

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

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

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

Exhibit 9: Communication Methodology

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

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

- Follow the methodology outlined in this document for all OCM communication
- Ensure the Agency’s Communications Department is involved in the review and approval of OCM communication, both internal and external to the Agency

- Designate the Agency Program Director and Agency Communications Department as providing final approval of all OCM communication (for more details on the approval process, refer to OCM-2-d1: OCM Communication Plan)
- Speak with “one voice” – facilitate easy delivery of a consistent message through appropriate media and delivery sources
- Keep messages simple – provide relevant, accurate, timely, appropriate, transparent, and consistent communication
- Review every message from the viewpoint of the receiver – answer the question “What’s in it for me?” Messages that address the personal impact to the receiver lead to greater desire to engage with the change. Not addressing personal impact can cause fear and resistance
- Put emphasis on face-to-face communication and high involvement of stakeholders at all levels to cascade information through the organization
- Clearly define and communicate benefits and expectations, but do not “over sell”
- Ensure AMMP milestones (such as contract awards, start of UAT, and Go Live) and target audience (such as Medicaid staff or providers) drive communication
- Use simple feedback mechanisms to assess user understanding of messages and provide an opportunity for two-way communication
- Define metrics or mechanisms to measure communication effectiveness

7 Definitions and Measurements

This section will define and describe the method for managing:

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

7.1 Assumptions

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

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

7.2 Dependencies

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

- The key internal business stakeholder identification performed by the RBPM team will be needed for the OCM stakeholder assessments (FPOs and their designees)
- The AS IS and TO BE business processes, gap analysis, and business requirements documents created by the RBPM team are needed by the PMO OCM Team in order to perform analysis of roles and responsibilities, communication and training planning and development, and transition planning
- The active participation of internal and external stakeholders is required throughout the OCM process

7.3 Constraints

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

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

7.4 Risks

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

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

7.5 Controls

The following project controls will be provided:

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

7.6 Metrics

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

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

Planning for the evaluations will include the following:

- The method used to measure the effectiveness
- The templates (with samples)
- The schedule for conducting the evaluations
- The areas to be evaluated
- The industry standard levels of effectiveness
- Acceptable and unacceptable levels of effectiveness

The effectiveness evaluations will be performed by individuals on the PMO Services Contractor team and MES partners. Results of the evaluations will be documented and summarized and provided to the Agency within three business days of the evaluation. For additional details about the OCM Effectiveness Evaluations, please see PMO-2-y: OCM Effectiveness Evaluation Plan.

8 OCM Training Approach

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

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

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

The key areas to be defined in training planning are:

- Agency, MES PMO Team, PMO OCM Team, Change Champions, and Module Contractor roles and responsibilities

- Strategic approach used to develop training
- Standard and specialized training courses (with course durations to be determined after each module's Design, Configure, Build (DCB) begins)
- Training rollout schedule, including locations, enrollment process, pre-training instructions and communication to all entities impacted by the training to be determined after each module's DDI begins
- Training delivery methods and strategy, including format and a curriculum map of training materials
- Evaluation of training development, review process, submission process, approval process and delivery of training materials
- Quality assurance process and the integration of improvements determined through training evaluations as well as OCM Effectiveness Evaluations

The development of training materials occurs in conjunction with the module contractors so that the contractor's existing training materials require as little modification as possible yet reflect the unique business needs of the Agency. The development schedule for training materials is designed to allow for an appropriate review period to ensure the update of the materials prior to training. Some training may require additional documentation for the trainee's benefit. Additional documents include job aids and quick reference guides. The need for additional documentation is identified during the development of the course. Reasons for providing additional documentation include, but may not be limited to, the following:

- A significant change in process
- Differences in terminology not defined in the help features of the module
- A complicated, multi-step process

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

After Go Live, the PMO OCM Team will analyze training survey results and OCM Effectiveness Evaluation reports and coordinate with the Change Champions to identify refresher training that is needed and conduct training and/or assist with train-the-trainer efforts for refresher training.

9 Business Transition Artifacts

This section will provide an overview of the following artifacts:

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

The PMO OCM Team's ability to support the Agency in effective transition planning is dependent upon outputs from the RBPM team, including AS IS / TO BE processes, gap analysis, and roadmaps. Additionally, it is dependent upon module selection and contractor deliverables. This section will be updated as the modular strategy is implemented, and procurements begin.