

Department of Health Care Services CA-MMIS Governance Management Plan ENT.0004

Project Management Methodology

February 18, 2014
Version 4.0



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Preface

Revision History

Version	Date	Description	Author
1.0	06/02/2011	DHCS Approval	Rick Alfaro
1.01	11/20/2011	Conversion to SPARK-ITS template Transfer of key information from DHCS-approved A.2.a.08 <i>Governance Management Plan</i> Draft text based upon multiple working sessions	Daniel Green
1.02	12/02/2011	Update governance graphic per DHCS/Xerox discussions Remove details from IVV, IPO and CTA involvement (not governance actors)	Daniel Green Ward Becker
1.03	12/08/2011	Update governance graphic per DHCS/Xerox discussions Reflected visual changes through existing content Added Change Control Workgroup, CCB and Production Control content	Daniel Green Ward Becker
1.04	12/09/2011	Xerox edits/refinement	Daniel Green
1.05	12/15/2011	Consolidated Edits	Ward Becker
1.06	12/16/2011	Reconfiguration	Ward Becker
1.07	01/20/2012	Quality Management Review	Cris Campbell
2.0	02/09/2012	Approved by DHCS	Paris Moore
2.01	08/09/2012	Incorporation of approved recommendations from the 90-day process improvement activity	Terry Shows Marie McIntyre
2.02	08/21/2012	Incorporation of changes requested during 8/10/12 joint Xerox/DHCS collaboration session	Marie McIntyre
2.03	08/28/2012	Quality Management Review	Deirdre Smith
2.04	08/29/2012	Updates made per QM Review	Marie McIntyre
2.05	09/06/2012	Updates made per DHCS Walkthrough	Marie McIntyre
2.06	09/07/2012	EPMO Review	Corrine Housley
2.07	09/07/2012	QM Final Review	Deirdre Smith

Version	Date	Description	Author
2.08	09/09/2012	Updates made per QM Final Review	Marie McIntyre
2.09	09/09/2012	Final changes accepted for submission to DHCS	Marie McIntyre
3.0	09/26/2012	DHCS Approval	Paris Moore
3.01	12/16/2013	Updates from kick-off review	Jenny Clark
3.02	12/20/2013	Updates from Peer Review	Jenny Clark
3.03	12/27/2013	QM Pre-Walkthrough Review	Lina Innawalli
3.04	12/31/2013	Updates made per QM Pre-Walkthrough Review	Jenny Clark
3.05	01/08/2014	Updated plan to incorporate Key Inter-related PMM Processes Diagram	Paris Moore
3.06	01/08/2014	Updates from Walkthrough	Jenny Clark
3.07	1/10/2014	EPMO Review	Michael Katreeb
3.08	1/10/2014	QM Initial Review	Lina Innawalli
3.09	1/13/2014	Updates made per QM Initial Review	Jenny Clark
3.10	1/14/2014	QM Final Review	Lina Innawalli
3.11	1/14/2014	Updates made per QM Final Review	Jenny Clark
4.0	2/18/2014	DHCS Approval	Deirdre Smith

1. Introduction

Governance is the overall management approach implemented to validate that critical information reaching the executive management team is complete, accurate, and timely to enable appropriate decision making and conflict resolution. It is logical, robust, and repeatable, and governs the overall effort of projects. Further, it documents the delegation of authority and the responsibilities attendant to that authority.

This *Governance Management Plan* outlines the decision-making structure of the California Medicaid Management Information System (CA-MMIS) program related to legacy CA-MMIS projects and the CA-MMIS System Replacement Project (SRP). The CA-MMIS Program covers activities under the management direction of the Department of Health Care Services (DHCS) CA-MMIS Division. The CA-MMIS Program Governance spans the full Enterprise. While decisions are always expected to be made at the lowest level possible, the CA-MMIS Program Governance Model identifies the protocols and responsibilities for escalation of issues, risks, and change requests (CRs).

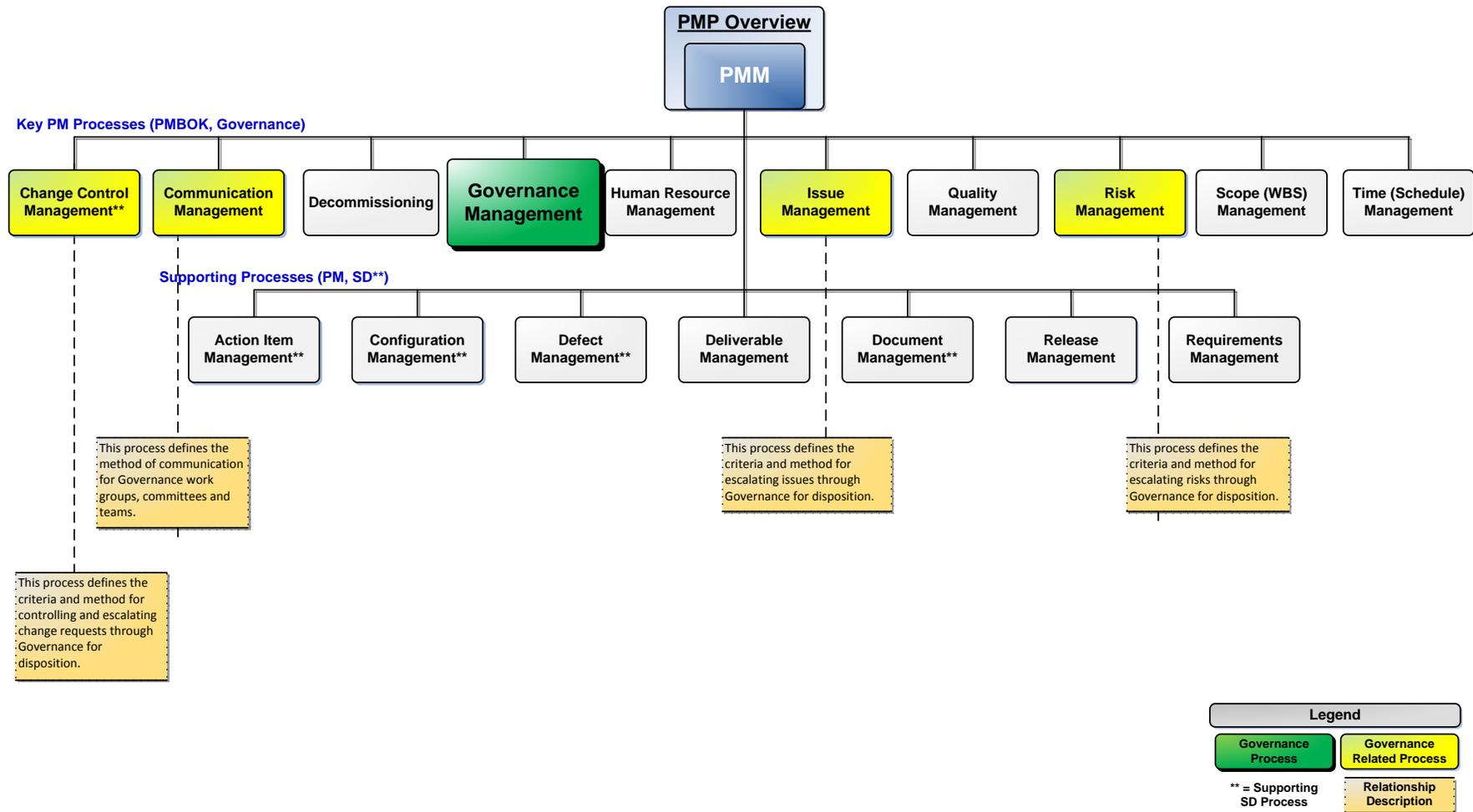


Figure 1: Key Inter-related PMM Processes

The *Governance Management Plan* closely integrates with other project management disciplines used on the CA-MMIS Project. Integration with the following plans is an important aspect of managing and controlling project activities and scope (see Figure 1):

- **Change Control Management**
This process defines the criteria and method for controlling and escalating change requests through Governance for disposition.
- **Communication Management**
This process defines the method of communication for Governance work groups, committees and teams.
- **Issue Management**
This process defines the criteria and method for escalating issues through Governance for disposition.
- **Risk Management**
This process defines the criteria and method for escalating risks through Governance for disposition.

1.1 Scope

The scope of the *Governance Management Plan* is the delineation of authority for decision-making in the CA-MMIS Program related to projects that modify or replace the legacy CA-MMIS. The *Governance Management Plan* also defines the CA-MMIS Governance roles and responsibilities of CA-MMIS stakeholders, participants, management, and sponsors. Stakeholder responsibilities related to Governance can be found in *Appendix A*, Table 4 or in the individual Workgroup, Committee or Board Charters. In addition, this plan outlines the mechanisms followed by projects within the CA-MMIS enterprise to confirm that strategies, plans, instructions, and processes are carried out in an effective and consistent manner during legacy operations and system replacement.

Governance, as defined in this management plan, is focused on projects, including System Development Notices (SDN). A “project” is defined as a discrete set of linked activities, performed in conformance with an approved project management and software development methodology, to produce a defined product. Governance, in this iteration, does not apply to operational governance (e.g., Telephone Service Center) beyond controlling and approving changes to legacy CA-MMIS.

1.2 Definitions

This section lists glossary terms and acronyms specifically applicable to this document.

Table 1: Definitions

Term/Acronym	Definition
BCP	Budget Change Proposal

Term/Acronym	Definition
BSA	Bureau of State Audits
CAG	CA-MMIS Advisory Group
CA-MMIS	California Medicaid Management Information System
CA-PMM	California Project Management Methodology
CCB	Change Control Board
CCW	Change Control Workgroup
CEOC	CA-MMIS Enterprise Oversight Committee
CFO	Chief Financial Officer
CIO	Chief Information Officer
CIRT	Contract Issue Resolution Team
CMMI	Capability Maturity Model Integration
CPMO	CA-MMIS Project Management Office (DHCS)
CR	Change Request
CRFP	Conformed Request for Proposal
DHCS	Department of Health Care Services
DRG	Diagnosis Related Groups (SDN 12005)
ELC	Executive Leadership Committee
EPMO	Enterprise Project Management Office
HCBE	Health Care Benefits and Eligibility
HIPAA	Health Insurance Portability and Accountability Act
IAP	Impact Analysis Package
ICD	International Classification of Diseases
IEEE	Institute of Electrical and Electronics Engineers
IPO	Independent Project Oversight
ITSD	Information Technology Services Division
IV&V	Independent Validation and Verification
IWG	Integration Workgroup
M&O	Maintenance and Operations
NTP	Narrative Technical Proposal
OCIO	Office of the Chief Information Officer
PAVE	Provider Application and Validation for Enrollment (SDN 13039)
PCRS	Project Control and Reporting System Takeover Deliverable A.2.a – the Conformed Request for Proposal (CRFP) identified A.2.a as one document. DHCS and Xerox agreed to split this larger deliverable into separate deliverables A.2.a.01 through A.2.a.20
PM	Project Manager
PMBOK®	Project Management Body of Knowledge
PMM	Project Management Methodology

Term/Acronym	Definition
PMO	Project Management Office
PMP	Project Management Plan
Program Management	According to the Project Management Body of Knowledge (PMBOK Guide) – Fourth Edition, Program management is defined as the centralized coordinated management of a program to achieve the programs strategic objectives and benefits. Projects within a program are related through the common outcome or collective capability.
QM	Quality Management
SDLC	System Development Life Cycle
SDN	System Development Notice
SID	State Integration Division
SLR	State Level Registry
SME	Subject Matter Expert
SPARK-ITS	Standardized Process and Resource Kit for Implementing Technology Solutions Xerox System Development Lifecycle Methodology
SPMC	Senior Project Management Committee
SPR	Special Project Report
SR	System Replacement
SRP	System Replacement Project
Takeover	Activities required in the CA-MMIS CRFP for Xerox to prepare and assume operations of the CA-MMIS system from incumbent HP operations
Xerox	Xerox State Healthcare, LLC

1.3 Referenced Documents

The following documents are referenced within the *Governance Management Plan*.

Table 2: Referenced Documents

Referenced Document	Document Location
<i>CA-MMIS Change (Control) Management Plan</i>	CA-MMIS Home > Deliverables > Deliverables Library > ENT.0009 Change Control Management Plan
<i>CA-MMIS Change Management Standard Operating Procedures</i>	CA-MMIS Home > SOPs > EPMO > Change Control Management > CCM SOP
<i>CA-MMIS Issue Management Plan</i>	CA-MMIS Home > Deliverables > Deliverables Library > ENT.0005 Issue Management Plan
<i>CA-MMIS Risk Management Plan</i>	CA-MMIS Home > Deliverables > Deliverables Library > ENT.0006 Risk Management Plan
<i>Integration Workgroup (IWG) Charter</i>	CA-MMIS Home > Governance > Integration Workgroup (IWG) > Charter

Referenced Document	Document Location
<i>Change Control Workgroup (CCW) Charter</i>	CA-MMIS Home > Governance > Change Control Workgroup (CCW) > CCW Charter
<i>Senior Project Management Committee (SPMC) Charter</i>	CA-MMIS Home > Governance > Senior Project Management Committee (SPMC) > Charter
<i>Change Control Board (CCB) Charter</i>	CA-MMIS Home > Governance > Change Control Board (CCB) > CCB Charter
<i>CA-MMIS Enterprise Oversight Committee (CEOC) Charter</i>	CA-MMIS Home > Governance > CA-MMIS Enterprise Oversight Committee (CEOC) > Charter
<i>Executive Leadership Council (ELC) Charter</i>	CA-MMIS Home > Governance > Executive Leadership Council (ELC) > Charter
<i>Communication Management Plan</i>	CA-MMIS Home > Deliverables > Deliverables Library > ENT.0012 Communication Management Plan
<i>Project Start-Up Plan</i>	CA-MMIS Home > Deliverables > Deliverables Library > DPP.0002 Project Start-Up Plan

1.4 Standards Mapping

DHCS and Xerox State Healthcare, LLC (Xerox) agree that this *Governance Management Plan* was developed to address specific, customized needs for the CA-MMIS Division Program Management function.

Table 3: Standards Applied in this Plan

Reference	Standards
CA-MMIS Contract #09-86210	<p>All Project Management Plans shall conform to Institute of Electrical and Electronics Engineers (IEEE) Standards # 1058-1998, best Practices for Project Management Office of the State Chief Information Officer (CIO), State Integration Division (SID), and/or other standards acceptable to the State.</p> <p>The Contractor will prepare plan templates for DHCS. The Contractor will work with DHCS to confirm the schedule and content for the respective plans. All Contractor plans completed and approved will be implemented and used throughout ongoing operations, replacement, and enhancement projects. The Contractor must receive written approval for all plans from DHCS prior to beginning any activities for the applicable task.</p>
PMBOK	<p>The <i>Project Management Body of Knowledge (PMBOK®) Guide</i>—The <i>PMBOK® Guide</i> includes standards and expectations for identification of issues and risks and corresponding escalation and resolution processes. This <i>Governance Management Plan</i> addresses standards and expectations across the Project Communication, Project Integration Management, and Project Risk Management Knowledge Areas.</p>
IEEE	<p>SPARK-ITS® has been developed to align with IEEE 12207, 829, and 1058 Standards for lifecycle activities and documentation.</p> <p>This <i>Governance Management Plan</i> aligns most closely with the following contents of the IEEE Standard 1058 for Software Project Management Plans: Project Summary, Project Organization, and Managerial Process Plans for Reporting, Risk Management, and Problem Resolution.</p>

Reference	Standards
CMMI	This <i>Governance Management Plan</i> is primarily aligned with the Capability Maturity Model Integration (CMMI) Project Planning, Project Monitoring and Control, Risk Management, Decision Analysis and Resolution, Integrated Project Management, and Organizational Process Definition areas.
CA-PMM	The Department of Technology in collaboration with the Center for Project Management and several state agencies developed the California Project Management Methodology (CA-PMM) using the Project Management Institute's PMBOK and state best practices. The CA-PMM fulfills the need for statewide standardization and continuity in IT project management and reporting. All California State IT projects must be managed using the CA-PMM, regardless of who is managing the project.

2. CA-MMIS Governance

The CA-MMIS Program Governance Model (see Figure 2) documents the delineation of authority for decision-making in the CA-MMIS Program related to projects that enhance or replace the legacy CA-MMIS. DHCS and Xerox emphasize that issue resolution, risk mitigation, and change control efforts occur at the lowest level of governance possible. If issues, risks, or changes cannot be resolved due to limits on decision-making authority or the inability to reach consensus, the Governance Model identifies the escalation path to higher levels of decision-making authority.

The approved Charters for the Governance Workgroups (CCW, IWG) and Committees (CCB, SPMC, CEOC, ELC) document the processes by which they will function in support of the CA-MMIS Program Governance Model. The Charters contain the following specific to each workgroup or committee:

- Workgroup/Committee Purpose
- Meeting Frequency
- Decision Authority
- Decision Process
- Membership
- Roles and Responsibilities
- Documentation
- Communication
- Escalation
- Continuous Process Improvement

The Charter locations are referenced in *section 1.3*, table 2. A more complete description of each of the Workgroups and Committees is found in *sections 2.2 to 2.5*.

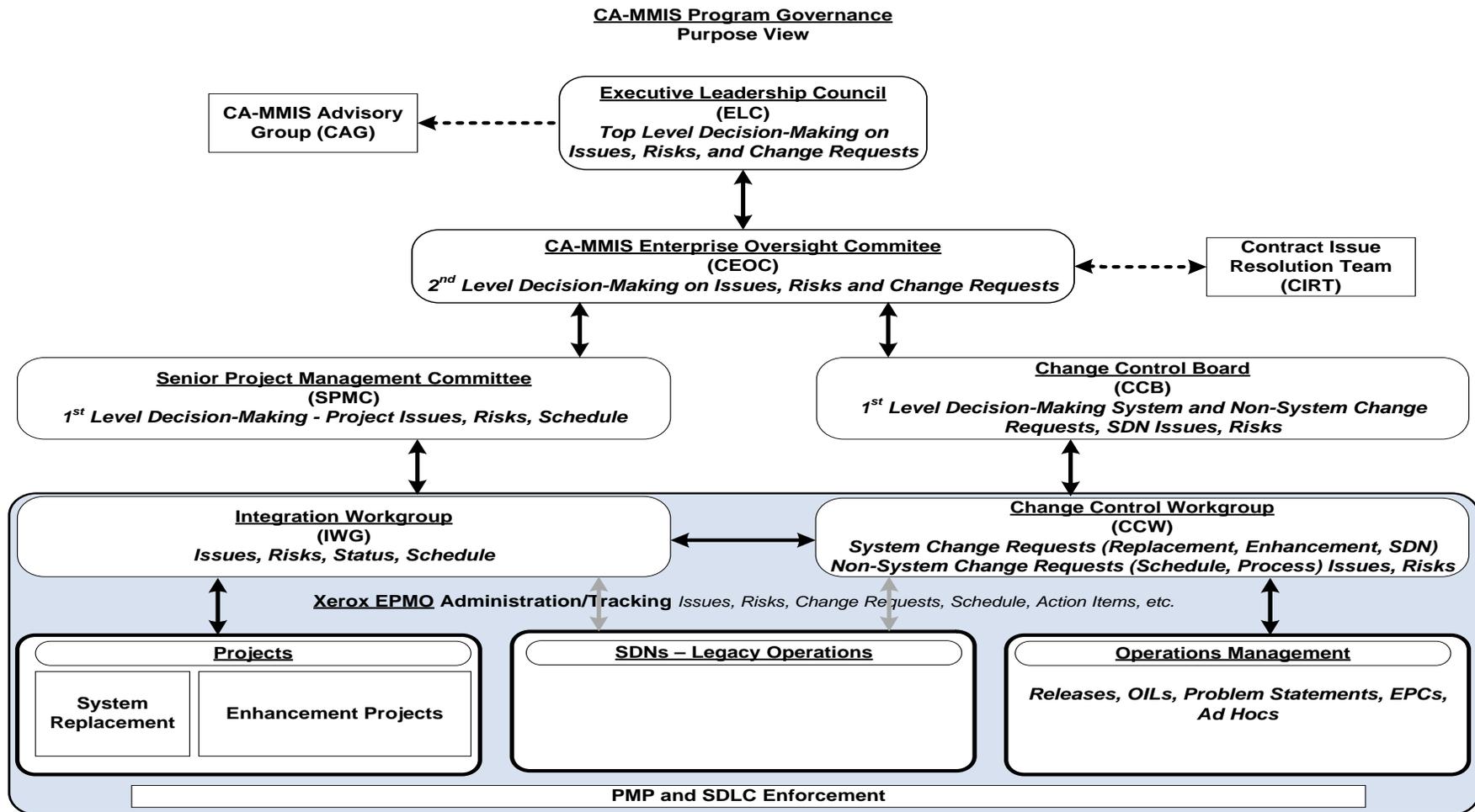


Figure 2: Summary CA-MMIS Program Governance

2.1 Governance Support Structures

Governance, as defined in this management plan, is focused on projects. A “project” is a discrete set of linked activities, performed with an approved project management and software development methodology, to produce a defined product. In Figure 2, Governance Support Structures are represented by the Enhancement and System Replacement Projects, Operations Management, and Xerox Enterprise Project Management Office (EPMO) boxes. These support structures are where the required work is accomplished and where issues, risks and CRs are introduced, analyzed, and managed. The EPMO specifically acts as a Governance support structure as noted in Figure 2. EPMO provides the administrative support for Governance, such as meeting materials preparation and dissemination, meeting facilitation and meeting minutes. EPMO also provides support and tracking of issues, risks, change requests, schedules, and action items. IWG provides support specifically to SPMC by reviewing issues and risks for adherence to documented standards prior to escalation to SPMC. CCW provides support specifically to CCB by reviewing issues, risks and change requests, and providing a recommendation to CCB.

2.1.1 System Enhancement and Replacement Projects

CA-MMIS projects are defined as System Replacement and Enhancements. The term enhancement is defined as a new feature or modification of an existing feature requiring a change to the automated portion of the CA-MMIS. International Classification of Diseases-10 (ICD-10) is an example of an enhancement project. Occasionally, larger SDNs such as Diagnosis Related Groups (DRG) or Provider Application and Validation for Enrollment (PAVE), will be deemed significantly large enough to warrant project level reporting at CEOC. These decisions are made by CEOC and are based on size and impact to CA-MMIS and its stakeholder community.

Chartered Projects in the CA-MMIS enterprise are responsible for defining and managing working level structures for the requirements, schedule, issues, risks, and status leading to their specified output.

Each project maintains responsibility for both the intended output and the internal project structures required to support delivery of the intended output (e.g., management meetings, workgroups, internal escalation flows). Projects identify issues and risks to schedule progress. Each project uses and adheres to the CA-MMIS EPMO processes and standards. Each project typically maintains two levels of management (e.g., Project Director/Project Manager and assigned Workgroup Leads); however, the definition, frequency, and structure of management and working teams are within the management control of the project.

2.1.2 Operations Management

Operations management generally covers day-to-day activities not characterized by the same size or duration of resource commitments as a project. Xerox Operations Management performs day-to-day Program activities, such as claims processing, provider phone calls, and system support and maintenance. DHCS Operations

Management administers the State Medi-Cal program and identifies required changes to Legacy CA-MMIS. These changes include SDNs, which are used by DHCS to formally communicate requests for changes to Xerox EPMO. For operations management, this *Governance Management Plan* applies only to legacy system change activities. Operations management typically does not have issues, risks or change requests in the same capacity/manner as Projects do, and while Operations is a component of CA-MMIS, Operations does not generally participate in Governance in the same capacity as Projects.

2.1.3 EPMO

The EPMO is responsible for the information flow across the Program. The EPMO is not a decision-making body, but is the central integration and control function in the CA-MMIS Program Governance Model and is charged with wide ranging process development and enforcement responsibilities, including:

- Project Management Plans (PMPs) – Develop and enforce standards and templates outlined in the PMPs, including alignment with requirements in the DHCS/Xerox Contract, and, where appropriate, best practices outlined in PMBOK®, IEEE, CMMI, and CA-PMM
- System Development Lifecycle (SDLC) – Develop, train, and enforce standards and templates outlined in the SDLC, including alignment with requirements in the DHCS/Xerox Contract, the SPARK-ITS methodology and, where appropriate, best practices across the accepted CA-MMIS methodologies and standards
- Project Issues and Risks – Facilitates the Integration Workgroup (IWG) and Senior Project Management Committee (SPMC) meetings and supporting processes to resolve, mitigate, and where appropriate, escalate CA-MMIS Program issues and risks
- System and Non-System Changes – Facilitates the Change Control Workgroup (CCW) and Change Control Board (CCB) meetings and supporting processes to verify the clarity and completeness of CRs for efficient review and approval. Participates in CCW and CCB to assist in the resolution and mitigation of escalated SDN specific issue and risk
- Program Oversight – Facilitates the CA-MMIS Enterprise Oversight Committee (CEOC) meetings and supporting processes to verify that DHCS, the CA-MMIS Division, and Xerox executives receive thorough and timely escalation of issues, risks, and CRs

2.2 Governance Workgroups

The Governance Workgroups (CCW and IWG) facilitate resolution of issues, risks, or CRs at the lowest level possible. These workgroups support the SPMC and CCB by enforcing standards of clarity and completeness before issues, risks, and CRs are escalated, and are involved in the CA-MMIS release planning process. In addition, the Governance Workgroups have the authority to request additional information in support of SPMC and CCB decision-making.

2.2.1 Escalations

Issues and Risks are escalated from the Project/Workgroup level to a higher Governance level to request a decision, or to request assistance in reaching resolution. This does not

negate the explicit desire for decision making at the lowest possible level. The Weekly Progress Report, as well as Project and Governance meetings are used to increase visibility of an Issue or Risk. In summary, escalation is used to secure decision-making; reporting is used for awareness.

The process and criteria for escalation of an Issue or Risk is defined in the Issue and Risk Management Plans (see *Section 1.3 - Referenced Documents*) for both Projects and SDNs. An escalation criteria example is as follows:

A Project or SDN resolution/mitigation plan, or the Issue/Risk description, cannot be agreed upon at the project level between the owner and the originator within 5 days of Issue/Risk creation.

Governance meetings are scheduled on a weekly cycle that supports escalation of an issue/risk/CR from IWG/CCW through SPMC/CCB and to CEOC within the same week for timely support and resolution (see Figure 3).

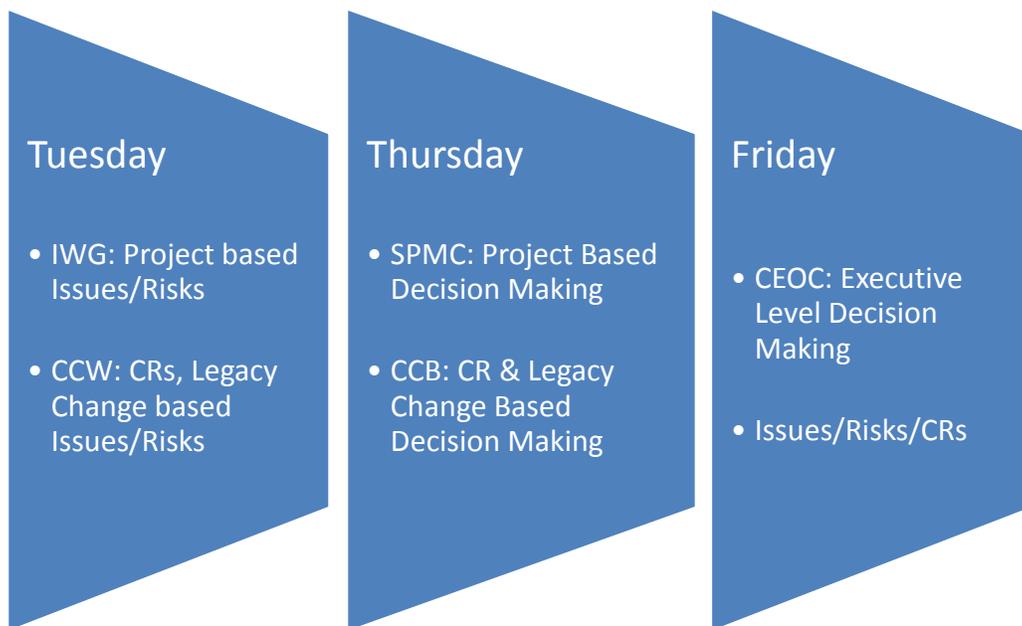


Figure 3: Summary CA-MMIS Program Governance Meetings

2.2.2 Integration Workgroup (IWG)

The IWG focuses on the analysis of project-specific issues, risks, status, and schedules, as well as the communication and analysis of cross-project considerations (e.g., contention for test environments between ICD-10 Enhancement and System Replacement Projects). Additionally, the IWG analyzes the impact of changes approved by the CCB.

The IWG is facilitated by the designated EPMO and DHCS Managers and consists of the following DHCS and Xerox staff in peer roles: Project Managers from each active project, a representative of the Replacement Transition Director function, and EPMO/CA-MMIS Project Management Office (CPMO) (DHCS) Process Leads. The IWG is an EPMO function and is charged with three (3) key responsibilities:

- Analysis Gateway – The IWG is the central gateway from the projects to the decision making levels of the CA-MMIS governance model described in Figure 2. The IWG is empowered to commission activities, such as working meetings, brainstorming sessions, or white paper development to further clarify, analyze, and recommend resolution and mitigation steps for issues and risks
- Issue/Risk Resolution - The EPMO and CPMO Managers are charged with identification of cross-project issues and risks; cross-project impact analysis; verifying that the structure and format of issues, risks, and status are consistent with approved standards, and include data and context necessary for quick understanding and action on escalated items; and issue/risk disposition as applicable
- Enterprise Communication – IWG participants are expected to communicate key status points and high-severity issues and risks in their area from the Weekly Progress Report to the membership of this workgroup. The EPMO and CPMO Managers are expected to facilitate coordination among IWG participants to prepare and maintain awareness with an enterprise-wide view of the health of CA-MMIS Contract activities including: Change Request Inventory (approved and/or pending); Project Key Milestones; Enterprise Release Schedule and Enterprise Environment Management activities

2.2.3 Change Control Workgroup (CCW)

The CCW's primary focus is the analysis and prioritization of CRs in support of the CCB and the review and disposition of SDN specific issues and risks. This includes CRs that may affect legacy operations, system replacement, or Legacy enhancement efforts.

This workgroup consolidates, tracks, prioritizes, and recommends the disposition of CRs and release plans to the CCB. Functions and processes of the Change (Control) Management process are contained in the *CA-MMIS Change (Control) Management Plan* and the *CA-MMIS Change Management Standard Operating Procedures*. The following describes the scope of the CCW:

- System Changes – The CCW is responsible for the tracking, analysis, prioritization, and forwarding of normal system changes to the CCB. Normal System CRs invoke the full change control process and are typically associated with SDNs
- Non-System Changes – These are requests for a modification to program processes and artifacts. The CCW is responsible for the tracking, analysis, prioritization, and forwarding of non-system CRs to the CCB
- Release Plans – Release plans are defined as packages of system changes to the Legacy CA-MMIS production environment. The CCW is responsible for the analysis and recommendation to the CCB on the timing and “packaging” of changes into a production release
- The CCW is the gateway to the CCB and is empowered to reject, defer, or approve further activities in the change process
- Issues and Risks – The CCW is responsible for the review, disposition, or escalation of SDN specific issues and risks in accordance with documented decision/escalation criteria

2.3 First Level Decision-Making

This CA-MMIS Governance level includes two entities: one with a focus on issues and risks, and one with a focus on CRs to either system functions or non-system processes:

- The SPMC is the first level of decision-making for issues and risks associated with Projects in the CA-MMIS Program (e.g., System Replacement, ICD-10 Enhancement). The SPMC reviews newly created issues and risks, and provides disposition for escalated issues and risks
- The CCB is the primary level of decision-making for change requests and SDN specific issues and risks. The CCB is responsible for disposition of CRs and the prioritization of legacy CA-MMIS changes as well as the review, disposition, or escalation of SDN specific issues and risks according to decision and escalation criteria. CRs generally fall into two categories: 1) System Changes – focus on functional modifications to the Legacy CA-MMIS (SDNs and ICD-10 Enhancements), or the System Replacement Project; and 2) Non-System Changes – focus on process modifications (schedule baselines, PMPs, SDLC, etc.)

2.4 Second Level Decision-Making

The CEOC is the second-highest level of decision-making for issues, risks, and CRs in the CA-MMIS Program. It is purposely structured as a direct interaction between the CA-MMIS Division Executive Management and Xerox Executive Management. While the CEOC is the second level of the governance model, it is the top level of decision-making at the project site. The CEOC outlines strategic direction for Projects and is the decision-making body for issues, risks, and CRs escalated from the SPMC and the CCB. CEOC also refers contract related issues to the Contract Issue Resolution Team (CIRT) for review and resolution recommendations.

2.4.1 Contract Issue Resolution Team (CIRT)

CIRT is established so essential Xerox and DHCS staff can discuss contract related issues using an informal resolution process and provide recommendations to the CEOC. During CIRT meetings, members are expected to participate in an open, honest assessment of the perspective of the two parties. The clarity resulting from the discussion will boost understanding of the issue so that the parties can commit to an agreeable path forward. CIRT is intended to help speed the processing of contract-related issues.

2.5 Final Level Decision-Making

The Executive Leadership Committee (ELC) is the final and highest level of the CA-MMIS governance model. This committee includes the top executives from the DHCS Director's Office, Xerox and CA-MMIS Information Technology Services Divisions (ITSD). The ELC is responsible for setting the strategic direction for the Program, coordination of communication with external stakeholders, and providing guidance, decisions, and direction on risks and issues escalated from the CEOC.

2.6 CA-MMIS Governance Decision Making Process

The CA-MMIS Governance Committees use a Consensus Decision Model for decision making, issue resolution, and risk mitigation plans (see Figure 4). As items that require decision are brought forth, they will be discussed in order to allow committee participants to voice their thoughts, reactions, and ideas. Following the discussion, the issue resolution or risk mitigation plan will be tested for consensus across the group. This involves determining who agrees, and who does not, with the resolution, as well as what the major objection points are. If consensus is reached, the decision can be made. If consensus is not reached, objectors may choose to stand aside, in which case the decision can be made at that time (agree to comply with decision). If concerns or objections are significant and a stand aside is not an option, consensus cannot be reached and the issue must then be escalated to the next decision making level within CA-MMIS Governance.

CA-MMIS Governance Consensus Decision Making Process

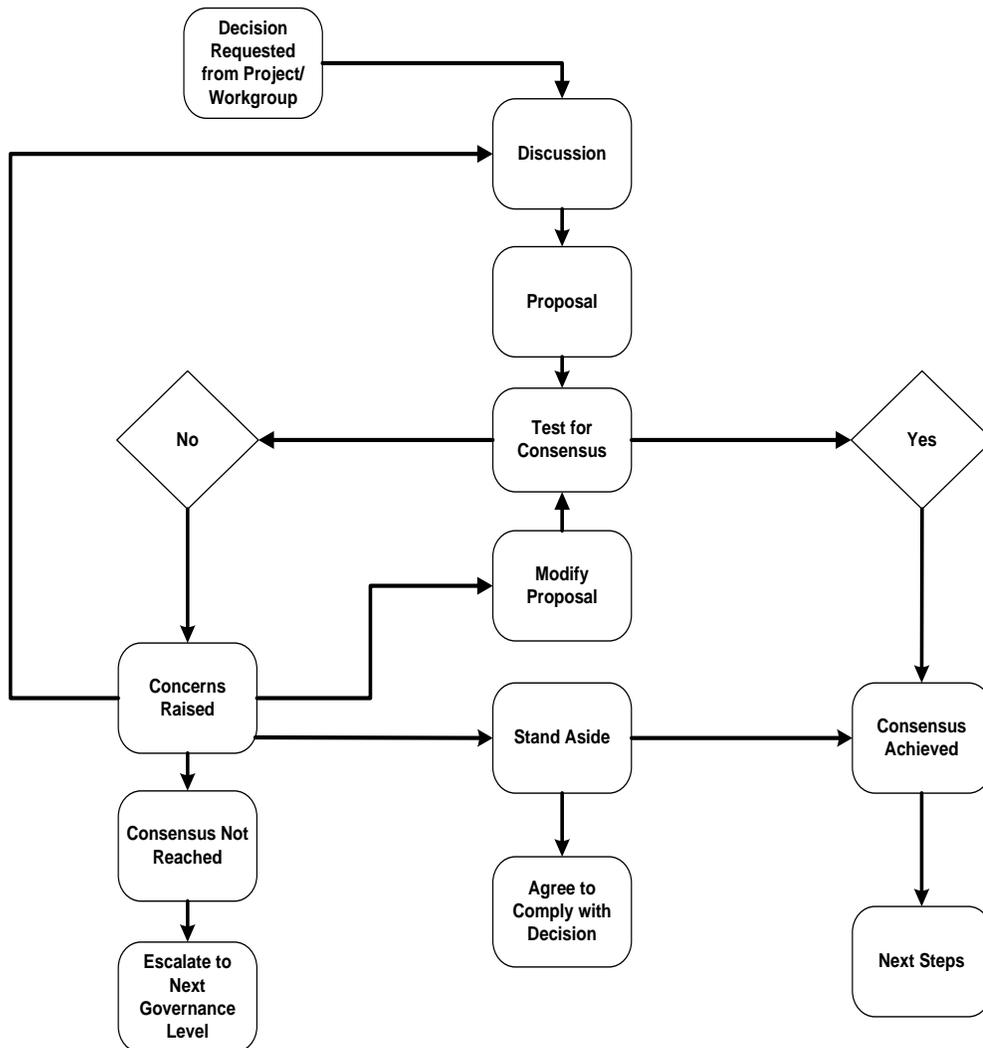
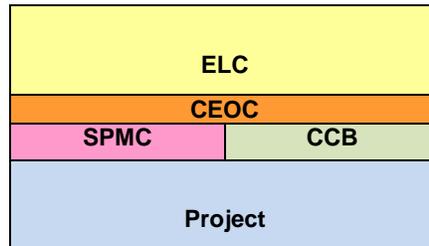


Figure 4: CA-MMIS Governance Consensus Decision Making Process

2.7 CA-MMIS Governance Decision Authority

Decisions on CRs, escalated Issues, and escalated Risks should be made at the lowest possible level. High level guidance for Project level, SPMC, CCB, CEOC, and ELC decision criteria is provided below (see Figure 5).



Scope	Schedule	Cost
Changes that reduce Project scope from approved Special Project Report (SPR)	N/A	Changes requiring Budget Change Proposal (BCP) or legislative notification
Changes to implementation approach for a Project (e.g. Phased approach/implementation dates)	N/A	N/A
Changes to Project phase scope, with recommendation to CEOC as needed (e.g., movement of functionality between phases)	Approval authority for CRs related to any change to baselined Key Milestones, with recommendation to CEOC as needed	Cost increases of >0 % for any fixed price project, with recommendation to CEOC as needed
Changes to baselined requirements	N/A	N/A
Approval of Issue resolution plans/Risk mitigation plans	Approval of Issue resolution plans/Risk mitigation plans	Approval of Issue resolution plans/Risk mitigation plans
Changes to Format/Content of Deliverables	Schedule Maintenance and decisions, up to changes to baselined Key Milestones	Resource allocation decisions, up to changes to baselined Key Milestones
N/A	Project schedule approval authority (1 st baseline) via Formal Deliverable Approval processes	N/A

Figure 5: CA-MMIS Governance Decision Authority

2.8 CA-MMIS Advisory Group (CAG)

The CAG supports the ELC with critical insight and feedback on the strategic direction of the Program, but is not a decision making group. The CAG is comprised of representatives from a variety of stakeholder organizations involved with the Program, such as the California Department of Technology, the Office of the Chief Information Officer (OCIO), and Bureau of State Audits (BSA). The CEOC and ELC are responsible for providing the CAG with regular, executive-level status updates on Program activities.

3. Training and Tools

3.1 Training

The EPMO structured a training rollout and maintenance plan for this document, including:

- Summary one-page document for executives
- PowerPoint summary of key elements
- Walkthrough of the *Governance Management Plan* with:
 - ELC, CEOC, SPMC, Senior Project Managers, CCB, IWG, and CCW
 - Other groups and individuals, as identified by the CEOC or SPMC
- Overview of Governance Management within the Project Control and Reporting System (PCRS) training materials
- Joint walkthrough of the *Governance Management Plan* with DHCS and Xerox managers and supervisors
- Joint walkthrough of the *Governance Management Plan* with the appropriate DHCS and Xerox staff
- Establishment of a feedback mechanism to collect comments and feedback from users of the *Governance Management Plan*
- Submission of updated Governance materials to the CA-MMIS Training Team for inclusion in the ongoing delivery of Governance Management training as part of the regularly scheduled Project Management training sessions

Ongoing training is available through the Medi-Cal Learning Portal at <http://learn.medi-cal.ca.gov>. Register and access the Operations Course Catalog for the Governance and Communication Management training.

3.2 Tools

The following tools and techniques are used in support of Governance meetings and management:

- Templates — Documents used to follow project standards
- Status Reporting — A process used to provide leadership with ongoing progress reporting covering major areas of CA-MMIS projects
- Microsoft Word — An application used to produce documentation related to an escalated topic
- SharePoint — A repository used to retain CA-MMIS artifacts. Stakeholders with authorized access to the project's web portal can review the content of the project's artifacts

3.3 Continuous Process Improvement

In keeping with the CA-MMIS Project mandate to continuously improve project processes, Required Members of Governance Workgroups/Committees will provide constructive input as to their Governance process and decision making effectiveness. Process Improvement opportunities will be scheduled as a meeting agenda topic on an annual recurring cycle. Feedback from Required Members will be provided to the Quality Management (QM) Improvement team who will conduct the review sessions per the following or similar process:

- Identify Key Stakeholders across DHCS and Xerox for the Process Improvement Teams and scope for potential improvements
- Conduct Process Improvement team meetings using Continuous Process Improvement process materials (**CA-MMIS Home > Workgroup > EPMO > Governance-Continuous Process Improvement**)
- Solicit process improvement input from each governance WG/Committee
- Document, review, track and dispose of improvement suggestions
- Update WG/Committee Charters as appropriate

Appendices

A. Governance Roles and Responsibilities

This Appendix provides additional detail on the CA-MMIS Program Governance Model organizations and participants except where details are available in the approved Charter for the specific Workgroup or Committee.

Table 4: Roles and Responsibilities of Governance Workgroups/Committees/Boards

Roles	Responsibilities
Meeting Facilitator/Chair	<ul style="list-style-type: none">• Collaborate with meeting attendees to create meeting agenda and post to SharePoint prior to meeting. Timing of meeting agenda posting must conform to the <i>Communication Management Plan</i> or to the individual Workgroup/Committee/Board Charter• Provide effective meeting management to facilitate coverage of agenda topics• Confirm incoming escalated issues, risks or change requests adhere to documented standards, general clarity and completeness criteria• Inform other Workgroups, Committees or Boards that are impacted by decisions made, including risk/issue/change request escalations
Co-Chair	<ul style="list-style-type: none">• Provide effective meeting management to facilitate coverage of agenda topics• Inform other Workgroups, Committees or Boards that are impacted by decisions made, including risk/issue/change request escalations

Roles	Responsibilities
Required Members	<ul style="list-style-type: none"> • In advance of each meeting, review the posted agenda and meeting artifacts (e.g., issues, risks, change requests, Weekly Progress Report, etc.) to analyze areas of concern and facilitate a decision where possible • Required Members must be prepared to participate in meetings and help formulate resolutions • Prepare to discuss issue/risk/change request background and resolution in detail (working discussions and analytics) • Analyze the implications of escalated issues, risks, or change requests, including concerns, recommendations and alternatives, to each respective Project • Required Members are expected to be physically present at each meeting • Required Members are expected to designate a delegate to attend in their absence • Review posted meeting minutes within one business day of materials being posted for review
Issue/Risk/Change Request Owners	<ul style="list-style-type: none"> • Owners of Issues/Risks/Change Requests to be reviewed by a Governance Workgroup/Committee/Board may be called to participate in meetings, and must be prepared to present current status and positions in session
Scribe	<ul style="list-style-type: none"> • Takes minutes to document key discussions, decisions, and action items that arise from the meeting and posts the minutes to SharePoint following the meeting. Timing of meeting minute posting must conform to the <i>Communication Management Plan</i> or to the individual Workgroup/Committee/Board Charter

Table 5: Roles and Responsibilities of Project Management

Participants	<ul style="list-style-type: none"> • CA-MMIS Division: Senior Project Manager, Project Manager • Xerox: Senior Project Manager, Project Manager
Frequency	<ul style="list-style-type: none"> • As determined by the Project
Meeting Facilitation	<ul style="list-style-type: none"> • Xerox Senior Project Manager or Project Manager • Xerox is responsible for agenda, meeting minutes, and materials
Responsibilities	<ul style="list-style-type: none"> • Develop, secure sponsor approval, and maintain the project charter • Develop and follow a <i>Project Start-up Plan</i> • Develop and maintain related project schedules • Receive and act on recommendations and guidance from the IWG • Receive status updates from their Project teams • Compile and present summary status, issues, risks, and change information to the IWG • Participate in the IWG • Manage schedule progress and confirm that issues or risks that impede progress are identified and analyzed, resolved, or mitigated • Commission further analysis or implement a resolution that requires the sharing and/or reconfiguration of resources within their Project that does not negatively impact the completion of their efforts • Identify and gain approval for changes to scope, process, duration, cost, or quality parameters • Verify project management and team adherence to PMP and SDLC standards
Decision Level	<ul style="list-style-type: none"> • Escalate Project-specific issues or risks to the IWG • Initiate and support CRs with the CCW • Schedule update, issue resolution, and risk mitigation with resources within their Project hierarchy • Define the structures (teams, sub-projects, work groups, work streams) for executing the Project Scope of Work

Table 6: Roles and Responsibilities of the CAG

Participants	<ul style="list-style-type: none"> • DHCS: Director, Chief Deputy Director, Chief Information Officer • CA-MMIS Division: Deputy Director, Assistant Deputy Director, System Replacement Branch Chief, Project Management Office (PMO) Director • Additional Optional/Anticipated: Senior staff from the California Department of Technology, BSA, OCIO, Independent Verification and Validation (IV&V), Independent Project Oversight (IPO) and other stakeholder organizations. The anticipated stakeholders may evolve over time • Xerox: Project Executive, Deputy Project Executive, CIO, Applications Manager, System Replacement Manager, EPMO Director
Frequency	<ul style="list-style-type: none"> • Monthly, or as needed
Facilitation	<ul style="list-style-type: none"> • Xerox Project Executive • Xerox is responsible for agenda, meeting minutes, and materials
Responsibilities	<ul style="list-style-type: none"> • Receive status, issue, risk, and change summary • Provide feedback on the potential integration points between CA-MMIS Enterprise activities and other efforts in the State
Decision Level	<ul style="list-style-type: none"> • Input to DHCS and Xerox only
Participant Expectations	<ul style="list-style-type: none"> • Review pertinent material before the meeting • Analyze the implications of the concerns, issues, risks, and the possible impact of recommendations and alternatives • Foster positive and open communication

Table 7: Roles and Responsibilities of the CIRT

Participants	<ul style="list-style-type: none"> • DHCS: Contract Policy and Management Manager • DHCS: Contract Integrity and Compliance Unit Manager • Xerox: Chief Financial Officer (CFO) • Xerox: Senior Contract Manager
Frequency	<ul style="list-style-type: none"> • As required
Meeting Facilitation	<ul style="list-style-type: none"> • Xerox CFO is responsible for facilitating the CIRT meeting
Responsibilities	<ul style="list-style-type: none"> • Attend and participate in regularly scheduled CIRT meetings • Review issues with an open, honest assessment of the perspective of both parties • Document status of assigned issues weekly for CEOC on the CIRT Issue Status Report • Document recommendations to CEOC on the CIRT Recommendation Form • Notify issue owner(s) of the decision outcome by CEOC • Complete required contract or financial related documentation/activities
Decision Authority	<p>CIRT will accept assigned issues from CEOC and:</p> <ul style="list-style-type: none"> • Verify the issue can be resolved by CIRT • Request any additional information from CEOC necessary to resolve the issue • Provide recommendation for resolution to CEOC
Participant Expectations	<ul style="list-style-type: none"> • Schedules and conducts CIRT meetings as needed • Reviews assigned issues and supporting artifacts for disposition • Works with issue owners or the EPMO Issue Analyst to document issue status and provides updates to CEOC during weekly CEOC meeting. A DHCS and Xerox representative of CIRT will attend each CEOC meeting. If no update is required, CIRT members will notify the CEOC facilitator prior to the meeting • Provides issue resolution recommendation to the CEOC