

Alaska Medicaid Management Information System (MMIS) Corrective Action Plan (CAP) Appendices

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Appendix A – Acronyms and Abbreviations

Acronyms and abbreviations are defined the first time they are used in this document. The entire acronym/abbreviation is described first, and then the acronym/abbreviation is enclosed in parentheses. The consolidated list of acronyms and abbreviations is listed below.

Acronym/Abbreviation	Description
AK	Alaska
CAP	Corrective Action Plan
CCB	Change control board
COA	Commissioner of the Department of Administration
CMP	Change management process
CMS	Centers for Medicare and Medicaid
CQ	Clear Quest™
CR	Change request
DDI	Design, Develop and Implement
DHSS	Department of Health and Social Services
DSD	Design Specifications Document
ESC	Executive Steering Committee
FA	Fiscal Agent
IMS	Integrated Master Schedule
O&M	Operations and Maintenance
MMIS	Medicaid Management Information System
PMBOK	Project Management Body of Knowledge
PMM	Project Management Methodology
QRB	Quality Review Board
RFP	Request for Proposal
SDLC	System Development Life Cycle
SDM	Software development methodology
SME	Subject Matter Experts (SME)
SOA	State of Alaska
WBS	Work Breakdown Structure

Appendix B – CAP Schedule

In order to build the CAP schedule, the following work plans have been developed.

- AK MMIS CAP CR-Defects
- AK MMIS DDI Deliverables
- AK MMIS Post CAP CR
- AK MMIS CAP Operational Plan
- AK MMIS CAP Process Hardening

Following describes the assumptions that were used for developing the above schedules. .

1. Assumptions for AK MMIS CAP CR-Defects Schedule and Post CAP Plan for CRs

1. During the first 2 weeks of the CAP project execution, Xerox and the State will work together to identify the key State resources that will be required to engage with Xerox on client owned activities. Xerox will update the work plans to include the named State resources in a text field in MS Project.
2. Given that the State resources will be working closely with Xerox resources during the elaboration process, the project plans assume that email approval will be given at the completion of the joint requirement/elaboration activities .
3. The project plan assumes that, after the State is notified that test results are available for review, email approval from the State will occur within 10 business days.
4. Project plan assumes that the state will approve CR requirement changes within 10 business days.
5. During the course of development if team needs the State to clarify requirements, the State should respond within two business days.
6. Any issue not responded to within two business days will be escalated to management the next business day for follow up.
7. All parties will commit staff as described in the CAP and project plan to meet the project plan deadlines.
8. The schedule reflected in the project plan represents the time required for Xerox to fulfill CAP obligations. However, until the CR requirements are jointly elaborated, Xerox does not have certainty on the time required to implement a change.
9. The project plan reflects the work being done in the sequence determined in the CR prioritization meetings. Xerox and the State will focus on the CRs for each release and work through completion (requirements through release to Production) of those CRs before starting work scheduled for future releases.
10. The project plan assumes that the Xerox FA/SM/BA team meet their deadlines prescribed in the project plan for their respective work packages
11. If there are defects (Sev1 and Sev2) at the end of UAT testing a decision will be made by the State whether to proceed or reschedule the CR.
12. The scope for the project plan includes only the “in-scope” defects and CRs agreed upon by the State and Xerox. These defects and CRs are from period prior to 10/1.
13. In the CAP project plan, 85 CRs are included in the scope and can be found in the CAP appendix.
14. In the CAP project plan 345 defects are currently in scope and can be found in the appendix. Defects may be added as a result of the activities of this CAP. However, any additional CAP defects can only be added upon approval of the Joint CCB.

15. Any changes to CAP scope will be managed via the Change Management Process.
16. If anything causes a change to the release date, a schedule CR will be executed. This will be officially communicated to all the stakeholders. In the Post CAP work plan 49 CRs are included in the scope and can be found in the Post CAP appendix.
17. In the Post CAP work plan 49 CRs are included in the scope and can be found in the Post CAP appendix.
18. Any changes to Post CAP scope will be managed via the Change Management Process and Section C.6 of the contract.

2. Assumptions for AK MMIS DDI Deliverables

1. DHSS resources will be available to review and provide feedback on Operational Policy and Procedure Manuals when required by the project plan.
2. DHSS will review and provide written feedback on items within 10 business days as required by the plan.
3. Fiscal Agent resources will be available to review procedures and provide input related to current and future processes.
4. Prior to delivery to DHSS, deliverables will be internally reviewed to assure they meet fiscal agent quality requirements.
5. RFP required informal and formal deliverables pending for DDI. List is provided below for 13 deliverables and 1 Business Transformation CBT.
 - i. Informal deliverable: Task Analyses to DHSS - Fraud, Waste and Abuse
 - ii. Formal deliverable: Revised Task Analyses to DHSS - Fraud, Waste and Abuse
 - iii. Informal deliverable: Task Analyses to DHSS - Finance
 - iv. Formal deliverable: Revised Task Analyses to DHSS - Finance
 - v. Formal deliverable: Revised Task Analyses to DHSS - Reporting and Monitoring
 - vi. Formal deliverable: Revised Task Analyses to DHSS - Claims Processing
 - vii. Formal deliverable: Revised Task Analyses to DHSS - Claims Payment
 - viii. Formal deliverable: Revised Task Analyses to DHSS - Quality Improvement
 - ix. Formal deliverable: Provider Billing Manual Addendum (v-1.0) to DHSS
 - x. Informal deliverable: Test results along with the updated scorecard V2.01 with SQL queries
 - xi. Informal deliverable: Group3 - Deliver Test Results for Updated Queries to SME for Same Time Period
 - xii. Informal deliverable: Group4 - Deliver Test Results to State SME
 - xiii. Formal deliverable: Ad Hoc Packages v2.01 - Learning Management (v2.0 rejected; DHSS waiting on redelivery of v2.01)
 - xiv. Business Transformation Targeted REOMBs CBT posted on the LMS.

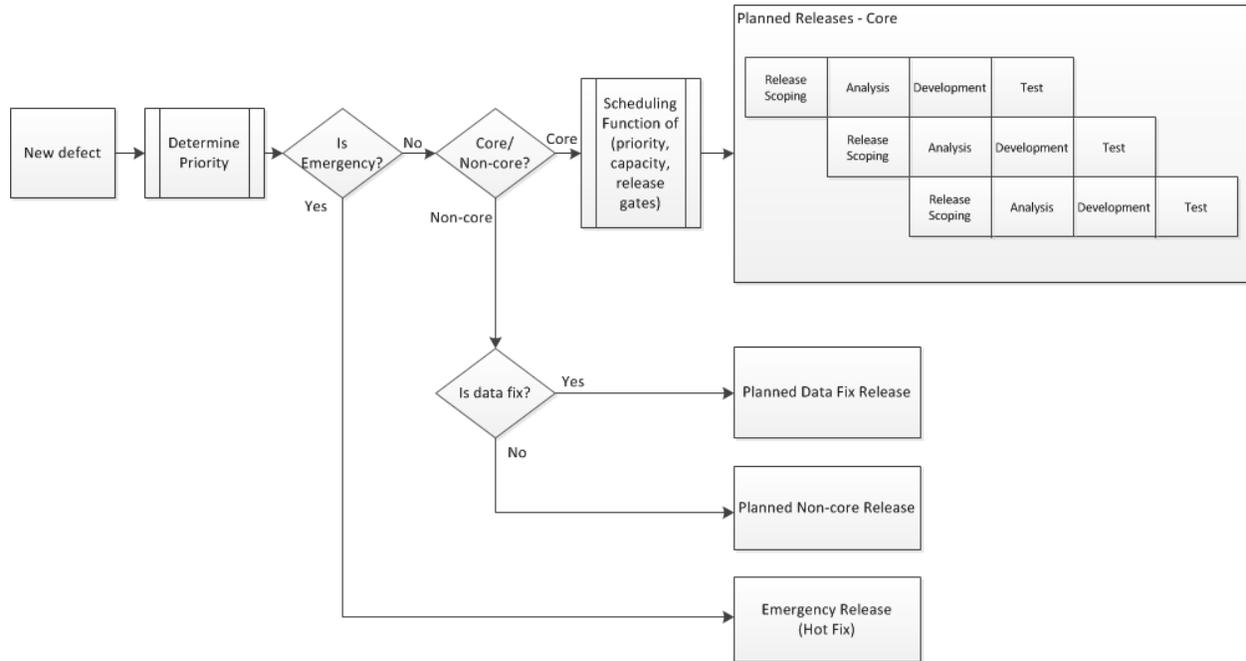
3. Assumptions for AK MMIS Operational Plan

1. Claims team will be utilized for technical, functional, & testing requirements
2. Xerox fiscal agent staff will review claims adjustment deliverables after acceptance by the State and will execute Adjustments in production if there are errors or inaccuracies. They will also work with the State for review of claims if needed to ensure adjustment accuracy.
3. For claims adjustments, all defects associated with a release within a given month will be grouped together, e.g., those defects that originated due to a release in November 2013, will be evaluated together. All defects found after October 1, 2014 will follow the CCB and defect resolution process as agreed with the State.

4. Pre-production testing will be conducted in a non-production environment with production data prior to any adjustments and nothing will be released to production without prior State approval.
5. Adjusted claim data will be delivered to the FA team on a claim-by-claim basis.
6. Reporting on progress across all backlog channels will be governed by the individual work plan.
7. If any new critical defects are encountered which would prevent the ability to process backlog reduction, they will be prioritized and handled via the change management process. (A Work Order will be needed for the implementation of any new requirements or design changes; that were not previously documented in approved DSDs.)
8. For claims adjustments, FA will have UAT responsibility for appropriateness of claims adjusted
9. Suspended claims will be worked on a First in First out basis to address the oldest claims first, unless as otherwise directed by the State.
10. Appeals may be dispositioned uniquely if they are associated with a known defect that is already under corrective action. In this case it would be processed outside of the appeals team and closed upon resolution.
11. For Reporting, the in-scope lists of reports for the CAP are included in the work plan. Any additional reporting requirements to be part of the CAP will be managed via the change control process

Appendix C – CR and Defect Management Process

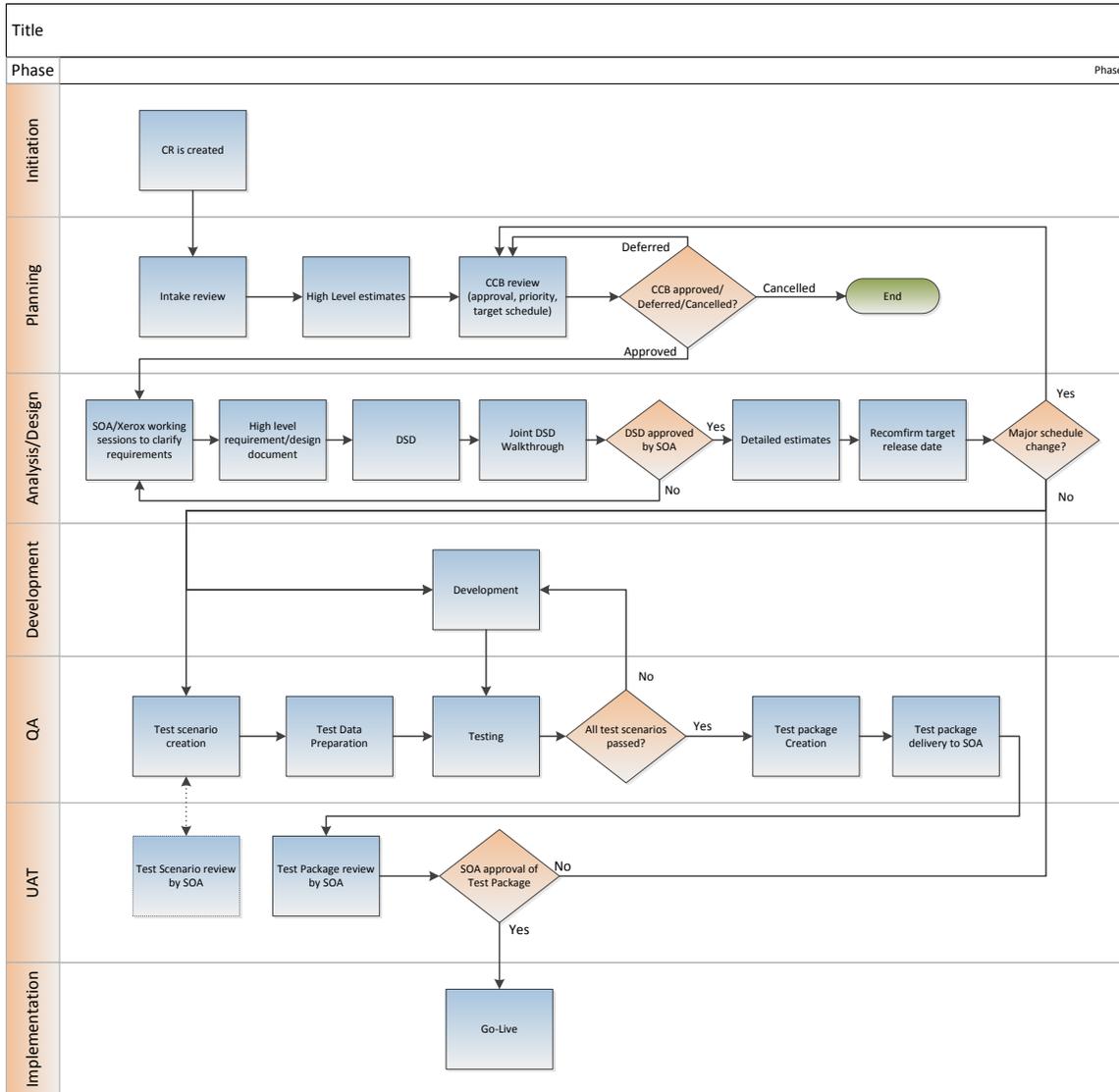
The defect management process flow is provided below:



The release gating process flow is outlined below

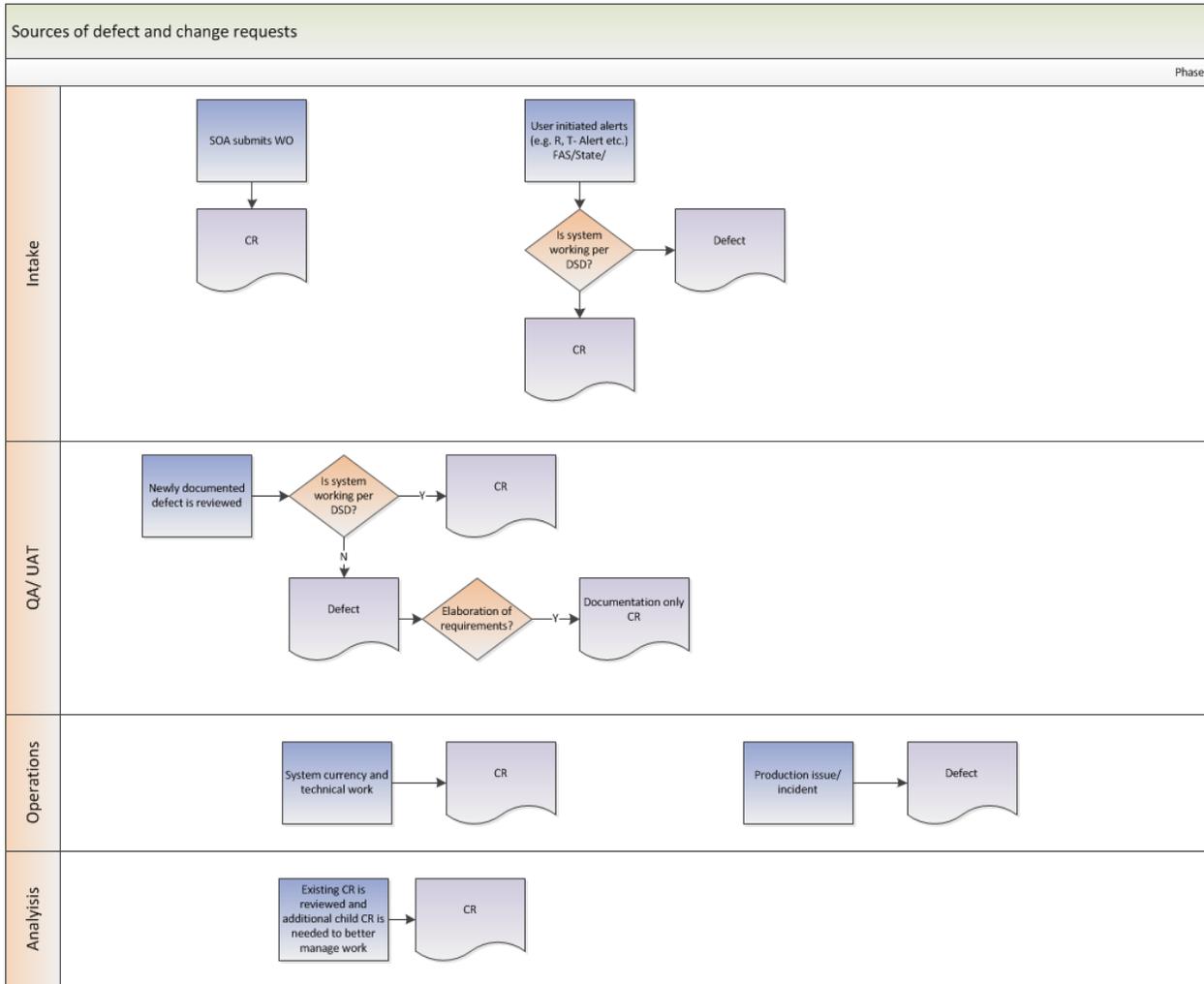
Release Gating process									
Phase	Analysis Start Gate	Analysis Phase	Development Start Gate	Development	QA Start Gate	QA	UAT	Release Go-no Go	Implementation
	Determine Business Impact	Defects: Determine UC, BRs used in the defect	Are Defects and CRs ready for development?	DEV: Develop	Are Defects and CRs ready for testing?	QA: Testing	FAS/UAT testing	Review release results	Implementation
	Plan Release scope based on the Prioritization, Capacity, Risks and Issues	CRs: Write Design Documentation	Walkthrough of defects	DEV: Unit Test	Are all special instructions for deployment documented for each CR and defects – start adding them in the release notes	QA: Regression		Review new defects found	Business Checkout
	Assign SME, DEV and QA resources per defect and per CR	CRs: SME/DEV/QA walkthrough of the Design document		QA: writing JIT CTCs for defects and CRs		RM: Release notes with business impact,		Review implementation plan	Post-implementation Monitoring
		Joint DSD Walkthrough (for State Approval)		QA: Pre-testing		Handover start: training for FAS and Production support			Release leakage analysis (post-mortem)
RELEASE CONTROLLING (SCHEDULING, DE_SCHEDULING, ESCALATION, ISSUES, RISKS, STATUS)									

The CR process flow is outlined below



NOTE: For UAT, State of Alaska only reviews the Test Results, but does not do the testing themselves.

The sources for defects and CRs is as follows



Appendix D – CRs in Scope for the CAP

ID	Title
ESPRD01091469	Claims being paid to podiatrist when member does not have Medicare primary
ESPRD01008088	Non-CORE EDIFICS HIPAA EDI compliance database and CodeSet upgrade (EDIFICS code)
ESPRD01055107	Report OPR-ADJ-007 & OPR-ADJ-007W Claims Processing Adjudication Summary: limit based on adjudication date
ESPRD01077513	S14H0737 - News Mapset for Legacy Edit 013
ESPRD01093195	Remittance Advice Pay Mode *CHILD* - UC Updates
ESPRD01091255	Remittance Advice Pay Mode *PARENT*
ESPRD01004718	S13-H2049 Pull Member Data for Legislative Audit
ESPRD01004711	S13-H2049 Pull Provider Data for Legislative Audit
ESPRD01018291	Child CR - New waiver regulations effective 7/1/2013
ESPRD01093090	Claims Payment RA Redesign - Add financial recoupments by FCN to the RA - Letters OPR-PAY-L127
ESPRD01093089	Claims Payment RA Redesign - Add financial recoupments by FCN to the RA - UC-OPR-PAY-008.1
ESPRD01091456	Claims Payment RA Redesign to add Disallowed amount
ESPRD01091391	Claims Payment RA Redesign: Add 'PayMode' to the RA for for inpatient, long term care, and outpatient claims
ESPRD01091457	Claims Payment RA Redesign: Institutional, Dental - Need Procedure Modifier field UC-OPR-PAY-008.1 & OPR-PAY-L127
ESPRD01047604	EPSDT last screening date is not being populated and Report RPT-AK-RP-MEM-01G-0014 not being produced
ESPRD01093210	Exception 4580 posted incorrectly - Procedure Requires Attachment
ESPRD01093466	Exception 4916 is posting incorrectly for Professional Components when there is a G4 and a P2 rate.
ESPRD01093856	Exception 5051/SA Matching and Update Logic
ESPRD01092434	FQHC and Tribal Claims Paying for Non-Covered Codes - 99386 & 99396
ESPRD01091471	Provider required to have TP for 835 delivery if RA delivery method is 835
ESPRD01055786	S14H0653 - Pharmacy License End Date Defect - AK-IN-PRV-02I-0011 - CR
ESPRD00948669	WA physician claims for certain procedure codes
ESPRD00991040	Child CR - New waiver regulations effective 7/1/2013 - New exceptions/UR - Phase 2
ESPRD01052061	Phase 2 Waiver Reference EOB text
ESPRD01005670	RVU Updates for 2014 CPT Codes
ESPRD01009156	S14-H0037: Update RA Sort Indicator (Data / Configuration Change)
ESPRD01097316	Claims Payment RA : Claims history on the voids are not included the Part B Crossover history void in either total.
ESPRD01098170	Claims Payment RA: Billed amount for Voided and History only voided claims are not populating correctly
ESPRD01097313	Claims Payment RA: History only adjustments and voids are missing in Remittance advice summary OPR-PAY-L127
ESPRD01034159	Visibility to affiliation types to allow setting of Indiv to Indiv relationships - Phase 1
ESPRD01079548	Claims Inpatient SA processing
ESPRD01089987	CHILD: Hospital Presumptive Eligibility - Benefit Plan
ESPRD01089982	CHILD: Hospital Presumptive Eligibility (HPE) - Member

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ESPRD01089964	PARENT: Hospital Presumptive Eligibility (HPE)
ESPRD00804752	AK Legacy work order S12H0986 - Parent CR - Implement CMS TBQ processing - AI4710
ESPRD00896578	AKFH legacy work order requires a BR for a new claims exception for outpatient observation exceeding 24 hrs
ESPRD01056681	Claims Financial - AK-IN-ACT-08I-0001 - AKSAS outbound interface file - apply modifications per SOA
ESPRD01091458	Claims Payment RA Redesign: Report total lines vs total claims - UC-OPR-PAY-008.1 & opr-pay-L127
ESPRD01056682	Claims Financial Reporting AK-RP-ACT-08I-0007 - AKSAS Journal file report - apply modifications per SOA
ESPRD01087200	Cost of Care:Patient Paid Amount is not being deducted from Final Reimbursement
ESPRD01093499	External Provider Service Auth Search Inquiry
ESPRD01077512	I2014007 -Remove Tricare Batch Type
ESPRD01093072	L/C/P/G Rendering/Billing BR Updates
ESPRD01077569	R-Alert R2014030/ ESPRD01077569 (ESPRD01057937/ESPRD01076315) - Waiver OOS Pricing/Independent Lab
ESPRD01078124	R-Alert R2014046 (ESPRD01063524) - LTC Claim Issue
ESPRD01004182	S13H2126 - Quarterly NCCI code set updates
ESPRD01029332	S14H0274 - NCCI 2nd Quarter Files
ESPRD01045859	S14H0410: Bypass SA & DX Match for Auth Type 3, 17, & 24
ESPRD01045862	S14H0432 - SA & Claim Surgical Procedure Match
ESPRD01069666	S14H0646 - NPI/Tax ID Match
ESPRD01094259	SA letters content update
ESPRD01001257	Parent - S13H2023 Update MMIS for ADA Claim Changes
ESPRD00804754	AK Legacy work order S12H0986 - Child CR - Implement CMS TBQ processing - AI4711
ESPRD01104064	Child CR for S13H2023 Update MMIS for ADA Claim Changes - MMIS Changes
ESPRD01104077	Child CR for S13H2023 Update MMIS for ADA Claim Changes - OCR Changes
ESPRD00991458	AK CR: Pharmacy Adjustments
ESPRD00991456	AK CR: Pharmacy Crossovers
ESPRD00933578	Create new CMS64.21E: Enrollment for Medicaid expansion CHIPs, Title XXI-funded Medicaid coverage and CMS-64EC
ESPRD01079992	Create new user friendly lite Member Ad Hoc package
ESPRD01033224	S14H0261 - Child - DBH Procedure Code 90834 Effective 1/1/2013 - Service Authorization
ESPRD01007708	Child CR: S13H1664 - Pharmacy Collocation Code Corrections
ESPRD01032736	Child CR: S13H1664 - Pharmacy Collocation Code Corrections System List Update (R1-1048)
ESPRD00989397	Parent CR S13H1664 - Pharmacy Collocation Code Corrections
ESPRD00989388	S13H1557 - Enterprise Prescriber NPI - Magellan
ESPRD01004112	S13H2052 New Edit NH Vs Part B of A

Appendix E – CRs Out of Scope for the CAP

ID	Title
ESPRD01000081	Claim Type Assignment Updates for TOB 0221/TOB 0121
ESPRD00444090	AK Back End Reports Artifact Modifications
ESPRD01047358	Case owner spans overlap -associated with defect ESPRD01037952
ESPRD00705939	RPM change to allow certain people with defined privileges to update the notes on a claim.
ESPRD01047576	Add Screening provider Type to EPSDT - Child Health Screening Clinical Data screen - related to ESPRD01028124
ESPRD00741639	UC-OPR-PAY-012.2 - Correct Core/Baseline Business Rules (BRs) in error - Targeted EOMB
ESPRD00787888	Child CR: Targeted EOMB Reactivate Archive History Request - Entry - UC-OPR-CLM-014.1 / UIS-OPR-CLM-016.5,A, B,C
ESPRD00787918	Child CR: Targeted EOMB Reactivate Archive History Request - Update- UC-OPR-CLM-015.1
ESPRD00787952	Child CR: Targeted EOMB Reactivate Archive History Request - Entry - UC-OPR-CLM-016.1
ESPRD00788004	Child CR: Modify Targeted EOMB On Request Processing - UC-OPR-PAY-012.2
ESPRD00788023	Parent CR: Analysis of Targeted EOMB Artifact Concerns - UC-OPR-CLM-014.1
ESPRD00804754	AK Legacy work order S12H0986 - Child CR - Implement CMS TBQ processing - AI4711
ESPRD00835199	Contact Management - Add a Targeted EOMB Case Type/Category - AI 4379 - Child CR
ESPRD00837613	AK Data Defect - Claims Processing - Impact Analytics Data
ESPRD00837959	UC-OPR-PAY-012.2 - DHSS to revise Targeted EOMB letter OPRPAY-L002
ESPRD00843668	AKFH WO S12H0882 DME Certification Requirement Change-PARENT
ESPRD01047670	Auto update the buyin process date b1-3033, b1-3035 on R_param_dtl_tb
ESPRD00899677	AK Enhancement: Add Provider Lookups Functionality to Enterprise
ESPRD00903291	UC-OPR-PAY-012.2 - Targeted EOMB Correct Business Rules (BRs) and Report
ESPRD00911327	AKFH New Legacy Work Order S11H0566 - New Medicaid Enrollment Requirement for Referring, Ordering, and Prescribing Providers
ESPRD00920426	EPSDT Ad Hoc Package changes
ESPRD00922383	Financial Ad Hoc Package Changes
ESPRD00923400	EDI Ad Hoc Package Changes
ESPRD00933600	Provider Ad Hoc Package Changes
ESPRD01051657	T2014004: Dispensing/ Hospital Based Eff. Date
ESPRD01063294	Member address: overlapping spans, duplicate CH records
ESPRD00940463	AK CDM Database Changes
ESPRD01063716	Service Authorization Fatal Flaws Parent CR
ESPRD01064641	Re-enrollment Previous Medicaid Message - Previous Medicaid # already Used for other provider/location
ESPRD01064651	Manage Provider Contact Name for Electronic Transmission
ESPRD01064656	PrvMaint: Dispensing Provider date span overlap
ESPRD00961435	Cognos Standard Configurations for AK Environments with Cognos - Defect
ESPRD00962084	AK-FH remittance advice and check modifications AI 5080
ESPRD01064657	Billing /RA screen address field name corrections
ESPRD00975835	Create a bit map index on table R_DT_DIM_TB on column R_CURR_DT_IND and propagate

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	the index through all environments
ESPRD00980969	Create new DB Index on C_HDR_LI_SUBM_PROV_ID_TB
ESPRD00981007	Create new DB Index on A_HDR_TB
ESPRD00981009	Create new DB Index on C_HDR_PARENT_TB
ESPRD00981012	Create new DB Index on A_HDR_TB
ESPRD00981015	Create new DB Index on C_HDR_CURRENT_TB
ESPRD00981321	AK Enterprise OLAP Claim Data Mart / AK Enterprise OLAP Summary Tables Data Models Publications (Share with Alaska Client)
ESPRD01087181	PrvEnr: Multi-User update in provider application maintenance and Enrollment
ESPRD00995497	DB index Modification: desc condition needs to be removed from C_HDR_PARENT_UX2, C_HDR_PARENT_UX3
ESPRD00951333	AK CR: Implementation of LTC interface from DSDS
ESPRD01051037	S14H0426: Pay 100% RBRVS to Mid-level Provs for well-child EPSDT codes
ESPRD01008726	Parent CR - S14H0026 - Update Adult dental procs list 3037 & 3422 for 2014 HCPCS new codes
ESPRD01009398	T2014001 - Allow Providers to Adjust All of their claims via Web Portal
ESPRD01009806	Child CR - S14H0026 - Update Adult dental procs list 3037 - C-3 for 2014 HCPCS new codes
ESPRD00437029	TPL Automate HIPP Re-Eval Letter
ESPRD01013700	Internal WO ESPRD01013690 - Incorporate core solution for system lists
ESPRD01015741	Child CR - S13H2127 - Create New TPL map to Pay & Chase for Claim type N
ESPRD01009936	S14H0037- RA sort order by member last name
ESPRD01021944	Query Optimization -- B_COE_BP_XREF_TB index creation
ESPRD01016543	S14H0099 - AK-RP-CRV-08F-0009 Claims Adjustment by Type Additional Changes 01/14
ESPRD01029313	S14H0251 - Correct Tribal Dental Pricing
ESPRD01020482	S14H0090 - Report corrections for AK-RP-ADJ-04B-0054
ESPRD01034496	Create Performance Index for G_AUD_LOG_TB.G_TS
ESPRD01034519	Patient Liability is not being deducted on some LTC claims
ESPRD01038339	CHILD: Automate process to create Part X spans for ESRD
ESPRD01040635	S14H0258 -Immunization Procedure Codes - Indicators Changes
ESPRD01041493	S14-H0286 - Deactivate Auto MA from LTC Updates on Retro Elig Changes. Child of ESPRD01031798
ESPRD01027299	S14H0006 Inquiry Only Access to Manage Users (Super user)
ESPRD01027519	S14H0218 - Correct 5010 AAA Segment Responses for Future Date 270 Inquiry
ESPRD01046786	Change UC-OPR-CLM-021.1.cmj to edit all input fields, produce error report and save error XML's to separate file.
ESPRD01046808	Populating Case Head with Payee Data from EIS update records
ESPRD01047713	Develop New HIPP Letter Requested by DHSS - HIPP Payment Letter
ESPRD01047766	Complete operational process document for Targeted REOMB
ESPRD01056658	R2014004 - Increase file size limitation for document uploads/downloads via Attachments and EDMS
ESPRD01055299	Complete Trading Partner BT, Training and Ops P&P DDI Deliverables After TPL 270/271 Functionality Is Implemented
ESPRD01055519	S14H0640: Add history-only mass adjustment claims to Journal Entry (JE) file
ESPRD01056956	R2014006 Contact Mgmt. Enhancement Extend the Hearing Date limitation specified in BR AK.02.CON0024.0001.01 / EM AK-02-9-3210-

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ESPRD01064654	AppMaint: Duplicate data display for mult-service locations
ESPRD01056931	SA - new table for reason code change ***child
ESPRD01064763	When to display Provider Specialty fieldset and taxonomy required
ESPRD01057880	Behavioral Rehab Services (BRS) - JE file changes - AK-RP-ACT-08I-0007 - bypass RSA claims
ESPRD01063719	Claims Correction - Correction Search Location Tab
ESPRD01063720	Claim Entry & Correction Screens - Tab Order Corrections
ESPRD01063723	Claim Entry & Correction Screens - Screen Scrolling
ESPRD01063727	Claims Inquiry & Claims Correction - Add TPL details on Correction and Inquiry
ESPRD01063729	Claims Inquiry & Claims Correction - Populate Member & Provider IDs when we enter the TCN number
ESPRD01063731	Claims Correction Screen - Floating pod / Exception window
ESPRD01063732	Claims Inquiry & Claims - Add Provider information in the Provider section
ESPRD01063733	Claims Correction - Claim Lines - 'Apply All' option when Provider ID is changed
ESPRD01063735	Claims Correction - Add Notes navigation
ESPRD01064610	Screen scrolling in SA Add & Edit screens
ESPRD01070872	Claims Payment RA Redesign - Parent CR
ESPRD01072798	S14-H0742 Provider Enrollment Updates- Ownership
ESPRD01074825	Paying incorrect billing provider. Reference system in legacy system controlled by billing provider. Enterprise is control
ESPRD01076364	Create the ability for members to be added via UI
ESPRD01064777	Handle submission of group application and individual application require affiliation at same time
ESPRD01077882	AK CR - Shell for Waiver changes
ESPRD01078481	R-Alert R2014039 (ESPRD01061954) - Paying incorrect billing provider
ESPRD01070312	S14H0769 - Missing HCPCS 2014
ESPRD01075840	Edit 1922 New BR for txn type 3
ESPRD01080005	Create new user friendly lite Provider Ad Hoc package
ESPRD01077052	B_BP_ENROL_TB Indexing for UC-MEM-ENR-067 updates
ESPRD01080006	Create a user-friendly lite Claims/CDM Ad Hoc package for DSS users to be able to create ad hoc reports easily.
ESPRD01083741	Need a new report on the Qualis interface for providers without P_SYS_IDs
ESPRD01086181	New Qualis Interface
ESPRD01078164	DB update for view definition needed for AK-LTR-ADJ-04B-0002 letter
ESPRD01078834	MR-O-14 zero calculated line values for inpatient claims
ESPRD01087187	EPSDT letters redux
ESPRD01084332	UoM Data fix
ESPRD01085011	System CR: Modify mapset logic to assess criteria for CLM_HDR_MEMBER_ALT_ID
ESPRD01085089	Member Weekly Reconciliation Slow Batch Performance
ESPRD01091004	SA LI Status can not be changed to Pended if the Header status is Approved, Denied, or Voided - BR Change
ESPRD01086330	R-Alert R2014194 (ESPRD01085099) - Mass Adjustments for Rate Reprocessing
ESPRD01086953	S14H0684 - Weekly Error Analysis Run Date Adjudication
ESPRD01091274	S14H0957 - New Qualis SA Interface
ESPRD01091487	Change the wording on: Letter AK-LTR-MEM-01E-0001

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ESPRD01093110	Providers Unable to Change NPI on web submitted claims
ESPRD01093529	BR Modification Needed in TPL Outbound Medical Claims Interface
ESPRD01092169	Member lock retry logic for SR run
ESPRD01092340	Update All Dates - Begin date needs to be protected when claim has paid against a line
ESPRD01095314	R2014160 : (ESPRD01079057) - DHSS has requested several new for-payment adjustment reason codes
ESPRD00680898	SA - SmartPA Interfaces for NEMT (Non Emergent Transportation) *PARENT*
ESPRD00707983	Doc Only change to UC-MEM-ELG-002.1, UC-MEM-ELG-012 and several member BRs
ESPRD00847764	COBA Post 12/2011 Code Merge: Claims Processing ES2 CR ESPRD00772148
ESPRD00934420	AK CR: Smart PA - Member - Create Member extract file for Smart PA system
ESPRD00935112	Provider - New Interface for SmartPA Transportation
ESPRD00940713	AK CR: SmartPA Service Authorization Interfaces- Post Go-Live
ESPRD00953685	DSS: Weekly MMIS prior authorization data extract for USTravel - SmartPA
ESPRD01094554	Creation of an application to clean up production docfinity folders - Internal CR
ESPRD00962107	Deferred CR - Confirm terminated provider rates are end-dated
ESPRD01092628	Changes required to update BR per defect ESPRD01055284
ESPRD01093093	MEM-ELG-014 report (DOC ONLY)
ESPRD01093781	DOC ONLY: Merge rules in EIS are not working

Appendix F – CRs in Scope for the Post-CAP CR Plan

ID	Title
ESPRD00543592	Create additional fields to Contact Management Artifacts as were identified in the conversion effort.
ESPRD00555482	AK CR Rel 7 EDI B2B review-triggered changes for Interfaces 270/271
ESPRD00570495	Create patient liability used/balance report
ESPRD00600540	Create two new BRs for UC-OPR-ADJ-016.3 to post exceptions for pay and chase medicare prenatal procs and diags
ESPRD00680961	AK CR - Need table change for R_TEXT ADJ_RSN_TB/TN and R_TEXT_RMK_CD_TB/TN to add primary key
ESPRD00759046	AK 5010 Phase 2 ES2 Sync Updates - UC-PGM-EDI-007 Switch Vendor eligibility
ESPRD00795262	Provider Reverification Frequency-PARENT
ESPRD00810363	AKFH Legacy Work Order S10H1829 Suppression of Member Records - UC-OPR-PAY-017.1 - Associated Pharmacy CR
ESPRD00810367	AKFH Legacy Work Order S10H1829 Suppression of Member Records - AK-UC-OPR-PAY-018.2 - Associated Pharmacy CR
ESPRD00847735	AK Deferred: Add Fraud and Abuse Reporting to the Contact Us Page
ESPRD00855794	Post 12/2011 Code Merge: Provider - Database ES2 CR ESPRD00851582 - P_LANG_CD
ESPRD00931043	Parent CR: AK-FH legacy WO# S12H0305 requests validation of origin and destination against valid airport codes
ESPRD00941307	Benefit Plan MCC700 and MCC710 Updates to Claims
ESPRD00950588	AK-FH S13-B0032 Update RPTC provider type online questionnaire - PARENT
ESPRD00950613	AK-FH S13-B0032 Update RPTC provider type online questionnaire - AK-UC-PRV-MNT-04.1
ESPRD00950616	AK-FH S13-B0032 Update RPTC provider type online questionnaire - AK-UC-PRV-MNT-04.2
ESPRD00955392	Parent CR - New waiver regulations effective 7/1/2013
ESPRD00997489	Behavioral Rehab Services (BRS) - JE file changes - AK-IN-ACT-08I-0001 - Deferred to BRS Phase 2
ESPRD00997750	Pharmacy - index file needs to be created to load Pharmacy reports to EDMS
ESPRD00951327	AK CR: Implementation of Case Management Inbound interface from Qualis
ESPRD00986767	TPL Outgoing 270 & Incoming 271 - Parent CR
ESPRD01004139	Behavioral Rehab Services (BRS) - reporting requirement OPTUM (non claims payment) - Phase II
ESPRD01015076	S14H0070 - Revenue Code 270 Oxygen NH
ESPRD01021960	Behavioral Rehab Services (BRS) - Service Authorization-Phase 2a Manual System Updates
ESPRD01023819	Behavioral Rehab Services (BRS) - Provider- Phase 2
ESPRD01015811	Create Correspondence record in Contact Management for Fraud and Abuse
ESPRD01033151	Pharmacy - new reports AI5283 - Magellan
ESPRD01037469	Behavioral Rehab Services (BRS) - Service Authorization Phase 2b User Interface and associated development work
ESPRD01033268	AI 5002- AK-FH legacy work order has potential impact on SA auth type
ESPRD01043014	AI5218 - Deferred CR request - Updated TPL HIPPA Letter artifacts from Legacy - PARENT
ESPRD01047728	S14H0426 - Pay 100% RBRVS to Mid-Level Providers for well-child codes EPSDT
ESPRD01069672	NPI Lookup utility - Narrowing logic based on procedure code

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ESPRD01069675	NPI Lookup utility - Elimination logic based on provider type
ESPRD01078492	Allowing more than one Specialty codes on a claim
ESPRD01086993	S14H0858 - correct edit 1510 (mismatch of calculated days based on from & thru DOS to the submitted covered and non-covered d
ESPRD01086995	S14H0859 - correct edit 1470 (admit date is after statement from date)
ESPRD01091272	Change BR AK.02.SRA0011.001.01 to prevent letters for Waiver and PCA from being generated
ESPRD01092859	Retro Rate Reprocessing
ESPRD01093906	R-Alert R2014161 (ESPRD01079059) Claim type B with zero pay
ESPRD01095067	Modify/Revise NPI crosswalk
ESPRD01095105	Updates for exception 4702
ESPRD01001255	S13H2049 - Parent - Quarterly Leg Audit Extract Files

Appendix G – Defects In scope for the CAP

Defect ID	Headline	Functional Component	Functional Subcomponent	Severity	Priority
ESPRD00940100	System is displaying the erroneous Message though we give the valid date	Program	RefData	3-Moderate	7 - Future Release
ESPRD00941592	ENV 37:Alaska Section 508: Paragraph (m) issues	Non Functional Requirements	Section508	3-Moderate	3 - Moderate
ESPRD01079538	Correct denied lines allowed and reimb units for inpatient line pricing.	Operations	ClaimsAdjud	1-Critical	1 - Critical
ESPRD01093263	CDM: Data fix to collocation code criteria, COS, Therapeutic Class, Benefit Plan and CAMA benefit plan collocation code	Operations	Pharmacy	2-High	2 - High
ESPRD00946286	5010 Companion Guides Copyright Violations	Program	EDI	3-Moderate	3 - Moderate
ESPRD01092180	Edit 4680 posting in Error (Data Defect)	Operations	ClaimsAdjud	2-High	2 - High
ESPRD01087233	Member eligibility and cases are suspending causing laps in coverage	Member	Support	1-Critical	1 - Critical
ESPRD00975960	Incident # 93: Missing Converted Legacy Records via the Case UI	Program	ContactMgmt	2-High	1 - Critical
ESPRD00976563	Incident # 94: Unable to access Converted Legacy Records via the Correspondence UI	Program	ContactMgmt	2-High	1 - Critical
ESPRD00982614	Incident #4076 - Data fix to collocation code criteria, COS, Therapeutic Class, Benefit Plan	Operations	Pharmacy	2-High	2 - High
ESPRD00989962	Adhoc Defect - new provider conversion crosswalk needed for Magellan	Operations	Pharmacy	2-High	2 - High
ESPRD01006797	DATAFIX-AK Defect - IN-ID-PAY-34-017.1 - CAMA benefit plan collocation code data fix	Operations	Pharmacy	2-High	2 - High
ESPRD01023733	AK Defect - IN-ID-PAY-34-017.1 - C_RX_ADJ_VOID_TB conversion issue	Operations	Pharmacy	3-Moderate	3 - Moderate
ESPRD01051667	Claims Payment - Data Fix - Update status as 'to be denied' for certain fiscal pended claims w/ id = 9993, WO S14 - H0778	Operations	ClaimsSupport	3-Moderate	3 - Moderate
ESPRD01053823	Incentive Amount Submitted is indicated as the total billed amount (Magellan)	Operations	Pharmacy	1-Critical	1 - Critical

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ESPRD01058479	State WO #R2014007 - Conversion defect: Incorrect values/status populated for allowed units on CT O, I with noncovered rev co	Data/Database	Conversion	1-Critical	1 - Critical
ESPRD01064852	Claims Payment 835: SVC07 missing on 835 for denied Pharmacy Claims - Magellan	Operations	ClaimsPayment	2-High	2 - High
ESPRD01077291	Error when trying to close certain correspondence records created via the AVRS	Program	ContactMgmt	2-High	2 - High
ESPRD01077278	CDM Data Fix-Conversion defect: Incorrect values/status populated for allowed units on CT O, I with noncovered rev co	Program	Reports	3-Moderate	3 - Moderate
ESPRD01071195	Data Fix Requests to be completed after implementation of CR1009930	Operations	ServiceAuthorization	2-High	2 - High
ESPRD01075927	Claims fiscally pended due to no fund code	Operations	ClaimsAdjud	1-Critical	1 - Critical
ESPRD01094829	Fund code is not assigned to DME claims when assignment criteria is valid. Exception 9090 is posted	Operations	ClaimsAdjud	2-High	2 - High
ESPRD00940781	Claims Payment 835: EDI Compliance Remittance fails to balance BPR02 - Parent Defect, see Associated Tab for details defects	Operations	ClaimsPayment	3-Moderate	3 - Moderate
ESPRD00941580	ENV 37:Alaska Section 508: Paragraph (g) issues	Non Functional Requirements	Section508	3-Moderate	3 - Moderate
ESPRD01068971	Member Benefit Limit Used Amounts are out of balance	Operations	ClaimsAdjud	2-High	2 - High
ESPRD01056333	Data Fix - Billing Modifier Issue on Proc Code (Data Fix)	Program	RefData	3-Moderate	3 - Moderate
ESPRD00981504	Data fix - G_CMN_ENTY_REP_XREF_TB Incident # 5040 - User unable to void Case head Span	Member	Support	2-High	2 - High
ESPRD01084361	Edit 9379 -CWWBE0003E: A runtime fault was returned by the implementation of activity 'InvokeAdjudication'.	Operations	ClaimsAdjud	1-Critical	1 - Critical
ESPRD01047543	Claims Financial: 1099 Data Fixes for all Providers - 1099 total discrepancies.	Program	Financial	2-High	2 - High
ESPRD01076996	Data fix: G_ADR_USG_TB - Duplicate records.	Member	Support	3-Moderate	3 - Moderate

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ESPRD01093091	(DSD) Claims Adjudication 835 - Electronic remittance SVC missing for line priced claims denied at header	Operations	ClaimsAdjud	1-Critical	1 - Critical
ESPRD00940867	ENV 37:Alaska Section 508: Paragraph (a) issues	Non Functional Requirements	Section508	3-Moderate	3 - Moderate
ESPRD00941597	ENV 37:Alaska Section 508: Paragraph (n) issues	Non Functional Requirements	Section508	3-Moderate	3 - Moderate
ESPRD00994826	DSD: Unable to void Phone spans	Member	Maintenance	3-Moderate	3 - Moderate
ESPRD01037546	CODE FIX: G_ADR_USG_TB data missing in Env. 30 and Env. 37	Member	Support	3-Moderate	3 - Moderate
ESPRD01039884	Correct Collocation Code Assignment Criteria and Mapset Definitions	Operations	ClaimsAdjud	2-High	3 - Moderate
ESPRD01051988	EDI 835 Bal Remit TCN 14134300240000013 causes unbalanced Claim payment, due to missing CAS segments	Operations	ClaimsAdjud	2-High	2 - High
ESPRD01054100	LTC spans saved with incorrect P_sys_id	Member	Maintenance	2-High	2 - High
ESPRD01056941	AK Defect - UC-MEM-MNT-069 - Address rule correction for mailing/residential	Operations	Pharmacy	3-Moderate	3 - Moderate
ESPRD01057722	8040 Data Issue - Data Fix	Operations	ClaimsSupport	2-High	2 - High
ESPRD01063311	CDM - Transportation Claims with Line Num 0 are missing-Data Fix	Operations	Reports	3-Moderate	2 - High
ESPRD01077051	(DSD) Merge rules in EIS are not working	Member	Support	3-Moderate	2 - High
ESPRD01056410	AK Defect - UC-MEM-MNT-069 - IHS patient attribute converted begin date	Operations	Pharmacy	3-Moderate	3 - Moderate
ESPRD00941589	ENV 37:Alaska Section 508: Paragraph (i) issues	Non Functional Requirements	Section508	3-Moderate	3 - Moderate
ESPRD01086170	(DSD) ENV37: The system is not moving the end DOS on the claim to the C8_LI_LAST_DOS_DT on the C_LI_TB	Operations	ClaimsAdjud Edits	2-High	2 - High
ESPRD01085053	Claims Payment RA: RA Redesign: OPR-PAY-L127 Suspended TCN processed Pay Cycle not on XML	Operations	ClaimsPayment	4-Low	4 - Low Priority

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ESPRD00986127	env 30 G_AUD_TS time stamps on G_BATCH_SUM_TB G_BATCH_MTDI_TB are in different time zones	Program	EDI	3- Moderate	3 - Moderate
ESPRD01007820	ENV30: Enterprise Browser Issues - IE and Firefox	Program	CommonEntities	2-High	2 - High
ESPRD01009159	Claims Audit Logging	Operations	ClaimsSupport	1-Critical	1 - Critical
ESPRD01079556	Edit 4406 Procedure / Modifier 1 Exclude Conflicting not posting	Operations	ClaimsAdjud Edits	2-High	2 - High
ESPRD01037903	S13H2145 the RVU Error & Bypass Balancing Reports	Program	RefData	3- Moderate	7 - Future Release
ESPRD01040117	DSD update req- Medicare Part A Crossovers for LTC are cutting back covered days	Operations	ClaimsAdjud	1-Critical	1 - Critical
ESPRD01078843	Correct paid lines reimb units for inpatient line pricing.	Operations	ClaimsAdjud	1-Critical	1 - Critical
ESPRD01064278	AK-UC-MEM-01O-0020 Medicare begin dates and end dates updated incorrectly by batch interface	Member	Interfaces	2-High	2 - High
ESPRD01075017	Web Transportation Claims created and paid that were not submitted by the provider	Operations	ClaimsAdjud	1-Critical	1 - Critical
ESPRD01094793	Claims are posting 9090 only to all lines when the member has partial eligibility for the dates of service	Operations	ClaimsAdjud	2-High	2 - High
ESPRD01086176	Claim adjudication is changing line 1 to 0 on some claims	Operations	ClaimsAdjud	2-High	2 - High

Appendix I – Issue Management Plan

Alaska CAP Issue Management Plan

December 18, 2014
Version 1.09

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Revision History

Version Number	Date	Description	Author
0.01	12/11/2007	Draft Release to State	Greg Beachnau
0.02	1/07/2008	Revised following review meeting on 12/17/07 with DHSS.	Greg Beachnau
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Version Number	Date	Description	Author
		<p>Required Content – Fixed minor inconsistency items.</p> <p>Tailoring Guidelines – Updated content to replace references to PMM and ASG with SPARK-ITS.</p> <p>Applied ACSSC styles and corrected punctuation and capitalization as needed throughout the document and updated the TOC and document Properties.</p>	
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1.09	12/18/14	Updates made after discussion with the State	Jim Kuehn

Configuration of this Document

This document is under limited configuration management. See *Configuration Management Plan* for owner.

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1. Introduction

This *Issue Management Plan* documents the management strategy for identifying and managing project issues. This plan ensures that all issues are communicated to management and other project stakeholders as appropriate and in a timely manner. The *Issue Management Plan* includes:

1. **Section 1** — Executive Policy, Scope, Objectives, and Professional Responsibility
2. **Section 2** — Approach, Inputs, Process Steps, and Outputs
3. **Section 3** — Roles and Responsibilities, Training, and Tools and Techniques
4. **Section 4** — Milestones
5. **Section 5** — Verification Steps

1.1 Executive Policy

The Xerox State Healthcare, LLC (Xerox) Government Healthcare Solutions (GHS) policy related to this topic is located in the Alaska MMIS DDI Replacement Project Microsoft® Windows® SharePoint® Portal Server (SharePoint) site under **Methodology > Solutions_Center_Policies**.

This policy establishes objectives, expectations, and responsibilities for the *Issue Management Plan*. It follows the guidelines in *A Guide to the Project Management Body of Knowledge* (PMBOK® Guide) — Third Edition, where applicable.

This policy applies directly to the project and tasks that develop, maintain, convert, or reengineer computer software and services. In addition, this policy is to be made applicable to subcontractors by Xerox's including a requirement in the applicable contract, Statement of Work, or task order with each such subcontractor.

1.2 Scope

Issue management is conducted throughout the lifecycle of the project and includes all areas of the project. All Xerox and Department of Health and Social Services (DHSS or the State) project team members have the responsibility for identifying project issues to their management staff. Identified issues are managed according to the processes defined in the "Process" section.

1.3 Objectives

The objective of the *Issue Management Plan* is to establish a structured, repeatable issue management process to ensure timely resolution or completion of issues to avoid negative impact to the project. Through the issues management process we stimulate the continuous identification of issues. The objective of continuous identification of issues is to allow development of a more effective and timely strategy for resolving or completing the issues. The *Issue Management Plan* defines the strategy the project team follows to support a Continuous Issue Management Model.

1.4 Professional Responsibility

Every member of the Xerox project team has a responsibility to maintain ethical and professional conduct in the management of issues. This obligation includes identifying issues that may impact delivery of quality products or services within scope, schedule, and budget, and resolving or completing the issues to the satisfaction of all the stakeholders, accordingly to the Contract's terms.

Cooperation and good faith are the professional responsibility of all stakeholders, including Xerox.

2.Process

2.1 Approach

The approach used for issue management is based upon the PMBOK, as an aspect of project integration management. Using an integrated management approach, the project involves all stakeholders to identify, assess, respond to, monitor, resolve, and control project issues. The issue management activities are designed to effectively and efficiently resolve or complete issues and identify potential risks and scope changes to the project. Management is kept aware of the potential for schedule impact, throughout the lifecycle of the project.

2.2 Inputs

Some of the inputs to the issue management process include the following:

- Project Commitments
 - Request for Proposal and Amendments, Proposal, Project Definition Document, Contract, Requirements Analysis Document, Solution Analysis Report, Detailed System Design, change requests, other deliverables on the project, and final agreed upon scope of the Corrective Action Plan (CAP).
- Project Environment
 - Awareness of the technical, political, and administrative trends within the project environment

2.3 Process Steps

The ongoing approach to issue management consists of:

- Issue management planning
- Issue identification
- Issue assessment
- Attempts to resolve issues
- Issue response monitoring and control
- Escalation when issues cannot be resolved

The following diagram graphically depicts the project's issue management process. Each phase of the issue management process (plan, identify, assess, monitor, and control) comprises one or more steps that define the process and contribute to the successful management of issues. The process defines how an individual issue is managed and followed for the project.

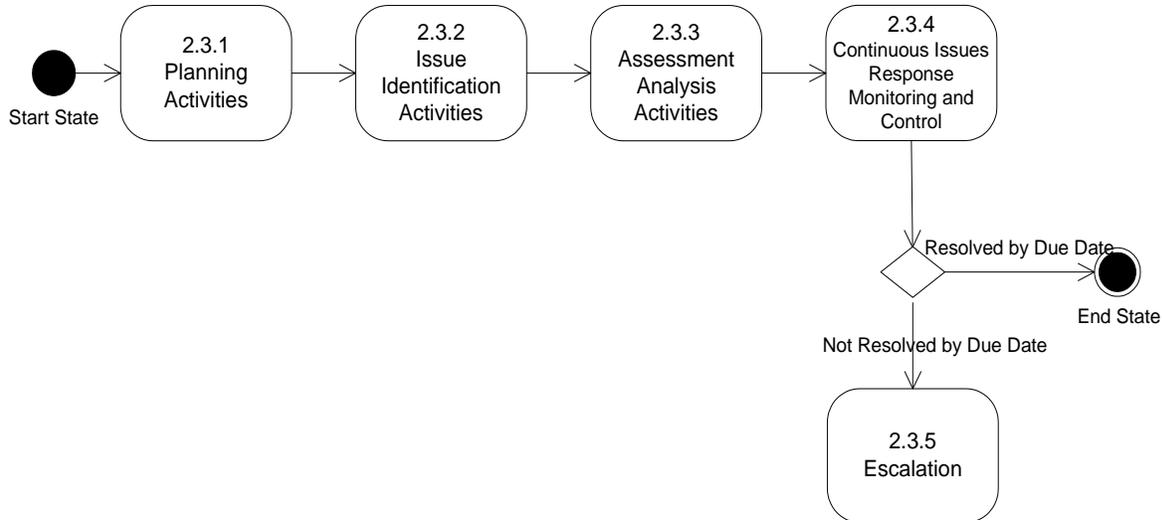


Figure 1. Issue Process

2.3.1 Planning Activities

Once the CAP is agreed upon by Xerox and the State, the Xerox PMO will schedule a meeting with the State DHSS PMO to review this plan to ensure there is mutual agreement on how issues will be managed during the CAP period and during the remainder of the project.

2.3.2 Issue Identification Activities

An issue is a question, problem, or condition that requires a decision and resolution by Xerox and/or the State DHSS Executive Team. State team members and Xerox team members are responsible for identifying issues about the project, and are to forward information about those issues to their immediate supervisor. Issue identifications need to be clear and unambiguous and need to identify those work plan activities that are affected by the issue.

Xerox will produce an initial list of all remaining non-closed issues. During the initial issue planning meeting after the CAP is approved, Xerox and the State will review the list of remaining issues to see if any can be closed, as some issues from the design, develop and implement (DDI) project may no longer be relevant. The goal of the meeting will be to clearly identify the remaining relevant issues.

It is important to note that, where action items are related to the normal day-to-day work of the project, issues reflect items that require management’s attention. It is very possible that an issue may begin as an action item with a specific due date. If that due date passes without the action item being completed, it is possible for the action item to become an issue, which requires escalation and the joint management team’s attention.

Xerox team members and authorized State team members enter information about issues into the SharePoint Issue Form. Typically, the meeting scribe is responsible for entering the new issue and issue updates.

An issue can be created whenever a project team member identifies a question, problem, or condition needing to be tracked to resolution. The following are examples for the conditions in which an issue needs to be created:

- A situation exists that will result in slippage to the CAP schedule if not addressed.
- An agreement cannot be reached on a decision being considered between the project team and the customer.

- The State determines that Xerox is failing to meet its obligations, such as by providing deliverables that do not comply with contract obligations or failing to timely perform its obligations

2.3.3 Assessment Analysis Activities

2.3.3.1 Evaluate Issues

All project stakeholders have a role in identifying issues and determining impacts, which includes:

- Assessing the consequences of a delayed resolution of an issue on quality, technical success, and schedule
- Assessing the impact of an outstanding issue on the overall project — not just the discrete issue
- Identifying potential risks associated with the issue
- Determining possible response to resolve an outstanding issue
- The joint management team reviews the Priority 0 and Priority 1 issue assessment information that is entered into the SharePoint Issue Form
- Xerox project Leaders, Xerox project managers, and State team leaders review the Priority 2 and Priority 3 issue assessment information entered into the SharePoint Issue Form
- Assessing the consequences to the CAP of a delayed resolution to the issue.

2.3.3.2 Assign Criticality and Owner – Set Priority and Severity

The criticality of an issue is based on the Priority and Severity values, as described below. **Priority** addresses the level of attention to be given to the issue, relative to other issues. **Severity** addresses the consequences and impact on the project related to the issue. Each characteristic of the issue is rated as Low, Medium, or High. The Joint Management Team reviews and may revise the priority and severity of each issue.

For purposes of the CAP, the draft Priority & Severity definitions for issues, but not software (which are defined in the CAP) are provided below, and will be discussed and confirmed with the State. Xerox and the State will mutually define and agree upon the below draft definitions, and also the criteria for when an Issue will be escalated from a lower priority or severity to a higher priority or severity, and will consider the overall CAP Governance structure when making the definitions. Once confirmed, existing issues will be reviewed and updated to align with the below priorities and severities.

Priorities

- Priority 0 (High – Executive Level) – Joint executive level attention is required to resolve the issue.
- Priority 1 (High – Joint Management Team Level) – Joint management team attention is needed to resolve the issue.
- Priority 2 (Medium) – Priority 2 issues will be worked by the issue owner and assignee, and will only be escalated to a higher priority if roadblocks surface that cannot be overcome.
- Priority 3 (Low) – Priority 3 issues will be worked by the issue owner and assignee, and will only be escalated to a higher priority if roadblocks surface that cannot be overcome

Severities

- Severity 0 (Critical) – Issue is critical to the CAP and must be resolved by target due date to ensure successful CAP Execution.
- Severity 1 (High) – Significant impact to timely CAP execution if issue is not resolved by due date.
- Severity 2 (Medium) – CAP not at risk if issue is not resolved by due date. However, significant operational issues will occur if issue is not resolved by due date.
- Severity 3 (Low) – CAP not at risk if issue is not resolved by due date. An acceptable operational work around is in place to mitigate impacts of the issue.

The joint management team designates the staff member who will act as the “issue owner” and updates the SharePoint Issue Form. This individual is the primary point of contact responsible for issue tracking and resolution. Responsibilities include the following:

- Status reporting.
- Tracking of the issue resolution activities and any follow-on planning activities, if necessary. This will establish and identify milestones by which to plan for escalation.
- The originator of the issue must determine, based on the issue's priority and severity, when issue resolution is required. A due date for issue resolution is assigned and the issue is tracked accordingly.

2.3.3.3 Assign “Assigned To”

The Xerox or DHSS project team member who enters the issue (typically the meeting scribe) also designates the team member who will resolve the issue as the “issue ‘Assigned To” and updates the SharePoint Issue Form. This "Assigned To" resource is responsible for issue resolution and typically reports to the issue owner. The owner of the issue may choose the “Assigned To” as him- or herself as well (so the owner and the “Assigned To” are the same resource). Responsibilities include the following:

- Timely resolution of the issue.
- Working with designated project team members and stakeholders to resolve the issue.
- Informing the issue owner of any issues preventing the resolution of the issue and informing that the issue has been resolved.
- The State has final approval on issue owner.

2.3.4 Continuous Issues Response Monitoring and Control

The Xerox and State project team members identify and log issues continuously for the life of the project. Continuous issue identification keeps the list of issues dynamic as the project changes and matures and provides constant vigilance to resolve issues as efficiently as possible.

2.3.4.1 Control Activities

Issue control activities are carried out in the bi-weekly joint project status meeting for Priority 0 and 1 issues. Priority 2 and 3 Issues are reviewed by the respective project teams in their respective meetings. **Also note that the Lifecycle field in SharePoint can continue to be used – if needed – to classify issues such as “Production Big Rock” issue**, regardless of the priority and severity levels assigned to an issue. Using this classification can enable effective production of issue lists to meet stakeholder needs.

Control activities include the following:

- Review previous weekly reports for existing issues and review sources of issues. Sources may include, but are not limited to:
 - Schedule slippage
 - Comments related to document reviews
 - Design errors or omissions
 - Staffing issues
- Identify and assess new issues and identify the planned steps to resolve the issue
- Track and update the status of the issue on a weekly basis
 - Change status from “Open” to “Closed” when the issue has been resolved and the resolution approved by the State; update the Date Resolved and Resolution fields
 - Change status from “Resolved” to “Closed” or “Open” to “Closed” when the issue has been resolved, and the status change has been approved as outlined below. Update the Date Closed field (and the Date Resolved field, if necessary)
 - If Priority = 0 or 1 , closure approval can be given by the joint management team
 - If Priority = 2 or 3, closure approval can be given by project leaders or Xerox lead analysts with mutual approval of Xerox and the State.

State approval can be given via email or in a joint meeting, where the meeting minutes will document the agreement to close the issue.

- The Priority 0 and 1 issues are reviewed and updated during the bi-weekly joint status meeting. The Priority 2 and 3 issues are reviewed and updated during the appropriate team status meetings or after appropriate email discussions. Issues are reviewed to determine if:
 - Changes to Priority or Severity are required
 - The Due Date needs to be changed
 - Ownership needs to be changed
- Updates to stakeholders on the status of the issues
- Implement escalation strategy (see escalation section below) when an issue extends beyond the due date and is deemed to be critical
- Monitor performance to ensure timely notification of delays in responding to issues
- Communicate status of late issue resolution to State project team members, Xerox project team members, and stakeholders via a weekly issue report
- Combine or separate issue(s) into other issues/action items
- Replan issue resolution approach based on new information as required
- The owner assigned to each issue is responsible for providing any updates to the issue. The “Assigned To” updates the issue as the status or work continues. The issue should be updated before the appropriate meetings. All Xerox project team members have issue update capability. The State project team members are granted update capability as approved by DHSS PMO.

2.3.5 Escalation

Escalation to Ensure Joint Executive Team Review - The joint executive team will review all Priority 0 issues during the bi-weekly executive review meeting. Issues should be escalated to this Priority according to the definition discussed previously if the joint management team determines that they are not able to resolve the issue without joint executive involvement.

Escalation to Ensure Joint Management Team Review - The joint management team will review all Priority 0 and 1 issues and all Severity 1 issues during the bi-weekly joint management meeting. Issues should be escalated to these Priorities and Severities according to their definitions discussed previously if the issue owner determines that he/she is not able to resolve the issue without joint management involvement.

Escalation of Issues that are Past Due – Once an issue due date has passed without resolution, all details relative to the issue are acquired by the Xerox PMO manager and will be reviewed with the appropriate stakeholders. Review activities include:

- Quantitative estimate of variables of the issue (schedule impact, etc.)
- Review of resolution strategies and results to date
- Identification of updated resolution activities with a new due date assigned.
- Escalation to the joint management team (Priority 1) will be done when the issue owner determines that the issue cannot be resolved by the target due date. Unresolved issues should be escalated to joint management team within five days of missing the due date. The Xerox PMO will monitor issue status and will remind issue owners and assignees of upcoming due dates. Past due issues will be reported to the joint management team for further review and action.

2.4 Outputs

2.4.1 Reporting

Periodic reports (issues past due, outstanding issue counts, etc.) are created and will be distributed to project stakeholders as required, but at the bi-weekly joint project status meeting at a minimum.

3. Tools

3.1 Roles and Responsibilities

The following are staff resources required by the *Issue Management Plan*.

Role	Responsibilities
Xerox and State team member	<ul style="list-style-type: none"> • Identify and communicate issues to Xerox Project Manager • Identify and discuss potential resolutions to Xerox Project Manager • Investigate/resolve issues assigned
Xerox and State Management	<ul style="list-style-type: none"> • Responsible for overall issue management and oversight • Assign resources to investigate/resolve issues • Review items on a weekly basis with Xerox and State project stakeholders • Determine if issues can be resolved within the Project Team or requires escalation • Present and support escalated issues to Xerox and State Executive Leadership
Xerox and State Executive Leadership	<ul style="list-style-type: none"> • Review issues that are escalated and provide recommendations and guidance for resolution.

3.2 Training

The Xerox PMO manager ensures that DHSS and Xerox project team members required to perform issue management and update tasks are trained by the Xerox PMO. Orientation in the purpose, activities, and responsibilities of issue management is provided to the project team.

3.3 Tools and Techniques

The SharePoint Issue Form is used for the following purposes:

- Assist in the assessment of issues
- Ensure that issue assessments address all pertinent aspects of the project
- Provide specific means of overcoming the underlying basis for the issues
- Track and monitor issues

- The tools used to support the issue management activities include the following:
- **Microsoft SharePoint** — Repository used to track identified project issues in the SharePoint Issue Form. All stakeholders with access to the project's web portal can review the contents of the SharePoint Issue Form.

4. Verification Steps

Verification steps are tasks or oversight processes that are executed to ensure the approach, as detailed in this document, is adhered to throughout the project.

Verification Steps	Frequency
QA process review against the processes and associated artifacts documented in this plan.	Monthly

Appendix J – Risk Management Plan

Alaska CAP Risk Management Plan

Project Management Methodology

December 18, 2014
Version 1.11

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Revision History

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Configuration of this Document

This document is under limited configuration management. See Configuration Management Plan for owner.

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1. Introduction

This *Risk Management Plan* documents the management strategy for identifying and managing project risks. This plan ensures that all risks are communicated to management and other project stakeholders as appropriate, and in a timely manner. This plan includes:

1. Section 1 — Executive Policy, Scope, Objectives, and Professional Responsibility
2. Section 2 — Approach, Inputs, Process Steps, Outputs, and Metrics
3. Section 3 — Roles and Responsibilities, Training, and Tools and Techniques
4. Section 4 — Milestones
5. Section 5 — Verification Steps
6. Section 6 — Definitions
7. Appendix(es) — Tailoring Guidelines

1.1 Executive Policy

The Xerox Government Healthcare Solutions (GHS) policy related to this topic is located in the project SharePoint site in the **Methodology > Solutions_Center_Policies** folder.

This policy establishes objectives, expectations, and responsibilities for the *Risk Management Plan*. It follows the guidelines in A Guide to the Project Management Body of Knowledge (PMBOK® Guide) — Third Edition, where applicable. Xerox provides certification of the *Risk Management Plan* upon completion of the Quality Assurance (QA) review to occur following an assessment of the event revisions or tailoring changes.

This policy applies directly to the project and tasks that develop, maintain, convert, or reengineer computer software and services. In addition, this policy is to be made applicable to subcontractors by including a requirement in the applicable contract, Statement of Work, or task order.

1.2 Scope

Risk management is conducted throughout the lifecycle of the project and includes all areas of the project. All team members have the responsibility for identifying project risks to their management staff. Identified risks are managed according to the processes defined in the “Process” section.

1.3 Objectives

The objective of the *Risk Management Plan* is to establish a structured, repeatable risk management process to minimize the negative impact of risks to a project. Through the risk management process, we stimulate the early identification of potential risks. By providing for the early identification of risks, we allow development of more effective risk response plans. The *Risk Management Plan* defines the strategy the project team follows to support a Continuous Risk Management Model.

1.4 Professional Responsibility

Every member of the Alaska MMIS DDI Replacement Project team has a responsibility to maintain ethical and professional conduct in the management of risks. This obligation includes identifying risks that may impact delivery of quality products or services within scope, schedule, and budget, and developing mitigation and contingency plans.

Cooperation and good faith are the professional responsibility of all stakeholders.

2. Process

2.1 Approach

The risk management approach defined in this document is based upon the PMBOK® Guide — Third Edition, which begins with risk management planning. Using an integrated management approach, the project involves all stakeholders to effectively identify, assess, respond to, and then monitor and control project risks. The risk management activities identified in this plan are designed to effectively identify and mitigate project risks throughout the lifecycle of the project.

2.2 Inputs

Following are inputs to the risk management process:

- Project Commitments
Request for Proposal (RFP), Proposal, Project Charter, Requirements Analysis Document (RAD), Solution Analysis Report, and Detailed System Design (DSD)
- Project Documentation
System Development Methodology (SDM), baseline Project Management Methodology (PMM), Software Development Plan, Work Plan, Scope Management Plan, and lessons learned
- Project Environment
Awareness of the technical, political, and administrative trends within the project environment

2.3 Process Steps

This ongoing approach to risk management consists of:

- Risk planning
- Risk identification
- Risk assessment
- Risk response planning
- Risk monitoring and control

The following diagram, at a high-level, graphically depicts the project's risk management process. Each phase of the risk management process (i.e., planning, identification, assessment, response planning, monitoring, and control) is supported by steps that define the process of risk management as stated in or referenced by this plan.



Figure 1: Risk Management Process Diagram

2.3.1 Planning Activities

The Alaska MMIS DDI replacement project team meets to review the tailored project *Risk Management Plan* and the *Risk Log* template. Attendees in the Risk Management Plan and Risk Log review meeting include the joint management team, Xerox project leaders, DHSS team leaders, and the technical assistance contractor (TAC). Modifications to the baseline project risk management plan and *Risk Log* template are identified based on specific project requirements. After the *Risk Management Plan* is approved by DHSS, modifications to the plan are documented and follow the defined change management process as appropriate. Refer to the *Change Management Plan* for further information.

Once the Corrective Action Plan (CAP) is agreed upon by Xerox and the State, the Xerox PMO will schedule a meeting with the State DHSS PMO to review this plan to ensure there is mutual agreement on how risks will be managed during the CAP period. Revisions will be made to this plan as required to ensure all stakeholders are comfortable with the risk management process. A separate joint risk management meeting may be scheduled if the State prefers to discuss risks separately from Action Items and Issues, as was done during the DDI project.

2.3.2 Risk Identification Activities

DHSS, TAC, and Xerox project team members are responsible for identifying potential risks to the project and for forwarding information to their appropriate Xerox lead analyst, DHSS team leader, Xerox project lead, or Joint Management Team member. Risk descriptions should be clear and concise, identify the area(s) impacted (including scope, schedule, and cost), identify the possible trigger event, identify the effect of the risk materializing, and offer suggestions for an appropriate risk response.

After the CAP is approved, Xerox will schedule a meeting with the State to review all remaining existing risks to determine applicability, and will identify new agreed upon risks that are applicable to the CAP. The Trigger Description is critical to monitoring the identified risk because it specifies the criteria used by the project to determine whether the risk has become a problem.

Initially, the joint management team performs structured reviews of the RFP, Proposal, baseline project methodology, staffing plan, and the project charter to identify risks, which may affect the project, and to document their characteristics. As other documents (e.g., the SDM, RAD, and DSD) are developed, they are reviewed and any additional risks identified are added to the *Risk Log* and the process of risk assessment and risk response planning takes place. Any new risks become part of the monitoring and control process.

Xerox also performs a brainstorming session with Xerox and DHSS project team members to obtain a comprehensive list of project risks.

Risk identification is an ongoing process. New risks may become known as the Alaska MMIS DDI Implementation Project progresses. For example, a risk may be identified by an attendee of the different requirements definition meetings. If a risk is identified, the risk is documented and the process of risk assessment and risk response planning ensues. The new risk becomes part of the monitoring and control process.

The joint management team assesses the identified risks and determines if the risks require a mitigation plan and monitoring. The joint management team enters information about risks into the *SharePoint Risk Form*. (Please see the *Risk Procedures* document located in the **Methodology > PMM > Risk_Mgmt** folder in SharePoint for step-by-step instructions.)

2.3.3 Assessment Analysis

2.3.3.1 Evaluate Risks

During brainstorming sessions or the weekly DHSS/Xerox project status meeting, the joint management team assesses the probability and impact risks have on the project. This assessment includes the following:

- Assessing the probability of a risk event occurring
- Assessing the consequences of a risk event on quality, project cost, technical success, and schedule
- Assessing the impact of risk events on the overall project, not just the discrete risk event
- Determining possible response: risk avoidance, risk transfer, risk mitigation, and risk acceptance
- The joint management team enters updates to the risk assessment information in the severity and impact fields of the *Risk Log*.

2.3.3.2 Classify Risks

Risks are classified by category. Classification areas include the following:

- Schedule — Impacts ability to deliver required products on time, as defined in the work plan.
- Operational — Impacts system operations or operational stakeholders such as providers and state end users.
- Staffing — Impacts resource or staff availability, personnel turnover, percentage of positions filled, and matrix staff.
- Technical — Impacts ability to deliver required products with expected functionality, positive customer perception, and adequate maintainability.
- Cost — Impacts project costs such as increase in staffing, software or hardware procurement, and travel.
- Quality — Impacts the quality of deliverables or services defined in the scope of work.

The descriptions of severity, probability, impact, and risk rank defined below are those associated with SharePoint.

2.3.3.3 Assign Risk Severity

Risk severity reflects the joint management team's assessment of the significance the identified risk has on the project. This is usually related to cost, quality, and schedule and defined by gathering project performance data as it relates to meeting the project requirements. The severity options include:

- High — Probable project failure
- Significant — Affecting all areas of the project including but not limited to cost, schedule, quality and project baselines
- Moderate — Affecting cost/schedule/performance
- Fair — Affecting project only slightly
- Low — Minimal effect

2.3.3.4 Assign Risk Probability

Risk probability represents the joint management team's assessment of the likelihood the identified risk will occur. In the event the risk occurs, the status is changed to "Occurring" and continues to be tracked until the risk response plan has been implemented, completed, and closed. The risk owner updates the probability in the *Risk Log*. An expiration date is updated in the *Risk Log*, after which the risk can no longer occur. The probability options include:

- High — Will occur (100%)
- Expected — Expect that risk could occur (74%)
- Very Likely — Could possibly occur (50%)
- Somewhat — Could happen (25%)
- Low — Probably will not happen (0%)

2.3.3.5 Assign Risk Impact

Risk impact represents the joint management team's assessment of the level of control that the project has over the risk. The project's ability to control the risk greatly increases its opportunity to better predict the results or outcomes of the performed activities. The risk impact options include:

- Uncontrollable
- Largely uncontrollable
- Moderately Controllable
- Highly Controllable
- Controllable at project level

2.3.3.6 Assign Risk Rank

Risk rank is a computation performed by SharePoint based on the relationship of the other risk characteristics. This computation establishes the threshold for when Xerox develops a mitigation and/or contingency plan.

2.3.4 Response Planning

2.3.4.1 Develop Risk Response Strategy

The category or type, impact, and likelihood a risk might occur could help drive the risk response strategy that is employed. Response strategies include the following:

- Avoidance — Requires the joint management team to change the project plan to eliminate the risk or condition, or to protect the project objectives from the risk's impact (e.g., reducing scope to avoid high-risk activities, adding resources or time, adopting a familiar approach instead of an innovative one, or avoiding an unfamiliar subcontractor).
- Transference — Seeks to shift the consequence of a risk to a third party, together with ownership of the response. Transferring the risk simply gives another party responsibility for its management; it does not eliminate it (e.g., using a reliable subcontractor).
- Mitigation — Seeks to reduce the probability or likelihood and/or consequences of an adverse risk event to an acceptable threshold (e.g., conducting more planning or modifying the schedule or scope of work planned).
- Acceptance — Means accepting the consequences of the risk. It can be active, such as developing a contingency plan should the risk occur. It can be passive, such as leaving the joint management team to deal with the risks as they occur.

2.3.4.2 Assign Owner, Probability Assessment, Severity, Impact, and Exposure

The joint management team assigns a Xerox or DHSS team member as the "risk owner" and the *Risk Log* is updated appropriately. The risk owner is responsible for risk monitoring and control of the risk, including the following:

- Status reporting.
- Critical path analysis of the risks identified to understand trigger information — This process facilitates tracking and any follow-on mitigation strategies and contingency planning activities, if necessary. This establishes and identifies thresholds and milestones by which to plan for contingencies.
 - Estimating the probability of the risk materializing.
 - Assessing the severity of the risk.
 - Assessing the impact of the risk.
 - Estimating exposure in dollars related to the risk.
 - Identifying work plan task(s) associated with the risk.
 - If appropriate, reassigning the risk to another Xerox or DHSS team member.
 - Escalation of the risk to the executive project management

2.3.4.3 Assign "Assigned To"

If a risk response plan is requested by the joint management team, the Xerox or DHSS team member who enters the risk item (typically the meeting scribe) also designates the team member who is responsible for participating in risk response planning as the "risk item 'assigned to'" and updates the SharePoint Risk Item Form. This assigned to resource is responsible for risk item activities and typically reports to the risk owner. The owner of the risk item may choose the "Assign To" as him/her as well (so the owner and the "Assign To" are the same resource). Responsibilities include the following:

- Active monitoring of the risk
- Working with designated project team members and stakeholders to mitigate the risk item
- Informing the risk item owner of any issues that may cause the risk to materialize or any problem with mitigation activities

2.3.5 Continuous Risk Response Monitoring and Control Activities

Continuous risk identification during the project keeps the list of risks dynamic as the project changes and matures. This provides constant vigilance to deal with risks at the earliest stages possible.

Risk items that carry a rank of nine or lower are reviewed at least once a month (sometimes every other week) in the Alaska DHSS/Xerox status meeting and the internal Xerox status review meeting, as described in the *Communication Event Schedule*. Risk items that carry a rank higher than 9 are evaluated with the risk owner and escalated to the Alaska DHSS/Xerox status meeting if the risk is occurring or requires management review.

Control activities include the following:

- Periodic review of existing risks and triggers. Sources may include, but are not limited to:
 - .1 Changes in requirements
 - .2 Design errors or omissions
 - .3 Staffing issues
 - .4 Project schedule (work plans)
- Identify and assess new risks and develop mitigation strategy
- Track and update the status of the risk

Change status from “Open” to “Occurring” when the risk has been triggered. A risk that is occurring will be addressed as an Issue. Once the issue is closed, the occurring risk is evaluated to either return to an open status or to be closed. An occurring risk with corresponding issue does not need to be reviewed each month.

Change status from “Open” to “Closed” if the risk has not occurred, the expiration date has passed, and the status change has been approved by the joint management team. Update the date closed.

Change status from “Occurring” to “Closed” if the issue addressing the risk has been closed, the risk is no longer possible, and the status change has been approved by the joint management team. If risk can still reoccur, the status is returned to “Open”.

- Review the *Risk Log* during the periodic status meeting. Risks are reviewed to determine the following:
 - If the risk is still valid
 - If the risk status is still accurate
 - If the likelihood of occurrence or severity has changed
 - If the trigger for the risk has occurred
 - If mitigation plans remain relevant and accurate
 - The contingency plan remains valid as the risk matures

Note: The Risk Rank value in the *Risk Log* may be helpful to identify risks exceeding the defined risk tolerance threshold for the project. Risks which exceed the threshold would represent those risks to be managed most aggressively and reviewed most often by the joint management team. The threshold

tolerance is determined after the initial project risks have been identified and the assessment completed. The *Communication Event Schedule* defines specific meetings to periodically address project risks.

- Implement contingency strategy when a risk trigger is executed
- Monitor performance to ensure timely notification of maturing risk events
- Communicate risks and their status to team members and stakeholders
- Monitor and evaluate metrics to help ensure adequate notice of changes is provided
- Replan risk response strategy, based on new information

2.3.6 Escalation

Once the risk owner determines the risk trigger event has occurred or determines the risk ranking may need to be increased, the risk is escalated to the joint management team. The joint management team determines if the risk needs to be escalated to the executive project management team.

The executive project management team reviews the risk documentation and actions to date, including the following:

- Quantitative estimate of variables of the risk (financial impact, schedule impact, etc.)
- Response strategies and results

After reviewing and assessing the risk, the executive project management team determines the appropriate action(s) to correct or resolve the situation. The following events occur as a result:

- Discussions and negotiations between DHSS and Xerox
- Implementation of the response plan for resolution
- Communication to the joint management team of the response plan
- Tracking of the response plan until resolution (this includes the generation of management exception reports)
- Change status of Risk to Closed

2.4 Outputs

2.4.1 Risk Log

The *Risk Log* is created and maintained as an output of the risk management process. See the list of information collected by reviewing the Risk Item Form as found in the Risk section on SharePoint.

2.4.2 Reporting

An every other week risk status log is created and provided to the joint management team. Please see the Communication Management Plan and Weekly Project Schedule Risk Management Process for details on reports and the *Communication Event Schedule* for frequency of delivery.

2.5 Metrics

Metrics are defined, collected, and analyzed to facilitate the monitoring of project objectives. For details on the metrics defined for this process, please see the project's Metrics Management Plan.

3. Roles, Training, and Tools

This section identifies the resources and tools necessary for this plan to support the project.

3.1 Roles and Responsibilities

The following are staff resources required by the *Risk Management Plan*.

Role/Description	Responsibilities for This Plan
Executive Project Management Xerox Solutions Center Deployment Director Xerox Account Manager State Deputy Commissioner	Responsible for receiving and reviewing status reports of project performance and for resolving any escalated issues.
Joint Management Team Xerox Account Manager Xerox Functional Manager Xerox PMO Manager Xerox Testing Manager Xerox Data Manager Xerox QA Manager Xerox Architecture Manager DHSS Project Manager DHSS Deputy Project Manager DHSS MMIS Business Analyst Team Manager DHSS Business Manager	Overall responsibility for ensuring that project risks are resolved throughout the project. Regularly monitors risks and provides oversight across the project to ensure timely resolution of risks. The joint management team is responsible for ensuring the following occurs: <ul style="list-style-type: none"> • The risk management function is in place to identify and analyze project risks. • Risk management activities are conducted according to the procedure referenced in this plan. • Management and other stakeholders are informed of the responsibilities of the joint management team. • The joint management team participates in the identification, assessment, and response monitoring and control of risks.
Technical Assistance Contractor	Risk identification, review of risk reports, identification of changes to risk characteristics, and participation in management risk review and assessment meetings.
Xerox Account Manager	Overall responsibility for the organization, implementation, and oversight of all risks assigned to the project. Responsible for facilitating any meetings between stakeholders and controlling entities in order to resolve or mitigate outstanding risks that may impact the project.
Xerox Project Management Team Xerox Project Manager	Responsible for communicating identified risks to senior level officials within the project via the project weekly status report. The Xerox project manager provides input and feedback on risks that may have an impact on the project to the Xerox account manager.

Role/Description	Responsibilities for This Plan
Xerox Functional Manager Xerox PMO Manager Xerox Testing Manager Xerox Data Manager Xerox Architecture Manager Xerox QA Manager	Escalates any risks that cannot be resolved to the joint management team. The Xerox PMO manager is response for ensuring the following: <ul style="list-style-type: none"> • Adequate awareness of the <i>Risk Management Plan</i> for all project staff • Availability of training on the risk procedures for all project staff
DHSS Executive Team DHSS Project Manager DHSS Deputy Project Manager DHSS MMIS Business Analyst Team Manager DHSS Business Manager	Responsible for overall risk oversight and approval to close items. Reviews items on a weekly basis with Xerox project managers.
Xerox Project Coordinator	Provides administrative support to the project.
Xerox Project Leaders	Responsible for monitoring and tracking of risks and communicating risk status to their respective Xerox project managers. Responsible for the discussion of risks in the weekly team meetings.
Xerox Lead Analysts	Responsible for reviewing and collecting any risks from their Xerox project team members and communicating those risks to their respective Xerox project leaders. Provides status of risks in the weekly status report for which a member of the team has been assigned as the owner of the risks.
DHSS Team Leaders	Responsible for monitoring and tracking of risks and communicating risk status to their respective DHSS project managers. Responsible for the discussion of risks in the weekly team meetings.
Xerox Project Team Members	Responsible for execution and reporting of risks assigned to them and for identifying potential risks.
DHSS Project Team Members	Responsible for execution and reporting of risks assigned to them and for identifying potential risks.
Meeting Scribe	Responsible for creating risks identified during meetings.
Risk Item Owner	Responsible for tracking and resolution of the risks where the person is assigned as owner.
"Assigned to" Resource	Responsible for risk execution and status reporting to the risk owner.

3.2 Training

The Xerox implementation manager ensures project resources are trained to perform risk management tasks. Orientation in the purpose, activities, and responsibilities of risk management is provided to the project team. The training tasks are defined in the detailed project work plan and are scheduled near the beginning of the project.

3.3 Tools and Techniques

The *Risk Log* is used to complete the following tasks:

- Assist in the assessment of risks
- Ensure that risk assessments address all pertinent aspects of the project
- Provide specific means of overcoming the underlying basis for the risks
- Track and monitor risks

The following tools maintain the *Risk Log*:

- Microsoft Project — Establish risk management activities in the project work plan.
- Microsoft SharePoint — Repository used to track identified project risks in the *Risk Log*. The *Risk Log* has a template for adding new items. All stakeholders with access to the project's web portal can review the contents of the *Risk Log*.

4. Milestones

The following table identifies project milestones related to risk management. The Xerox PMO manager and State of Alaska project manager will determine which project milestones to include in the schedule (work plan), or if other milestones are appropriate.

Risk Management Milestones
<i>Risk Management Plan</i> approved by Xerox QA Team.
<i>Risk Management Plan</i> approved by DHSS.
Weekly status meeting attendees trained on risk management responsibilities.
Project team members oriented on risk management process.
<i>Risk Log</i> established.
Risk management reporting process is established and is included in the <i>Communication Event Schedule</i> .
The QA Team reviews the implemented risk management process.

5. Verification Steps

Verification steps are tasks or oversight processes that are executed to ensure the approach, as detailed in this *Risk Management Plan*, is adhered to throughout the project.

Verification Steps	Frequency
Formal QA document review against the tailored plan.	Once
QA Team process review against the processes and associated artifacts documented in this plan.	Quarterly
Workflow closure activities are executed.	End of each workflow

6. Definitions

See the project-wide glossary, located in the project's SharePoint under **Document Library > Project Reference Material**, for a project-wide list of acronyms, terms, and definitions. Below is a list of terms/acronyms specific to this plan.

Term/Acronym	Explanation/Expansion
Continuous Risk Management Model	Model for risk management that supports an ongoing or continuous approach to risk identification, response planning, monitoring, and control.
Risk	An uncertain event that, if it occurs, has a positive or negative effect on the scope, schedule, or cost of the project.
Risk Acceptance	Risk response strategy that indicates that the project team has decided not to change the project plan to deal with a risk or is unable to identify any other suitable response strategy. Active acceptance may include developing a contingency plan to execute, should a risk occur. Passive acceptance requires no action, leaving the project team to deal with the risks as they occur.
Risk Avoidance	Risk response strategy that requires the project team to change the project plan to eliminate the risk or condition, or to protect the project objectives from the risk's impact.
Risk Contingency	Actions taken to address the impact of a risk should it occur.
Risk Management	The process to increase the probability and impact of positive events and to decrease the probability and impact of events adverse to the project.
Risk Mitigation	Risk response strategy that seeks to reduce the probability or likelihood and/or consequences of an adverse risk event to an acceptable threshold.
Risk Transference	Risk response strategy that seeks to shift the consequence of a risk to a third party, together with ownership of the response. Transferring the risk simply gives another party responsibility for its management; it does not eliminate it.

Appendix

A. Tailoring Guidelines

Once the document has been created from the SPARK-ITS® baseline, project tailoring may occur as specified in the *Methodology Tailoring Procedure* located in the project's SharePoint site under **Methodology > Initiation > Methodology Tailoring**. To maintain alignment with Capability Maturity Model® Integration (CMMI®), Project Management Body of Knowledge (PMBOK), and SPARK-ITS guidelines, specific content or processes must remain in every plan (see the "Required Content" section). The tailored document establishes the project baseline for this plan. All subsequent maintenance of this plan is recorded in the "Review and Revision History" at the front of the plan document.

A.1 Required Content

The following items in the content of this plan may not be changed without approval from the Change Control Board. There must be a significant reason to remove the content identified below and an alternate practice identified to replace the baseline content in order to satisfy CMMI, PMBOK and SPARK-ITS Quality Management System requirements.

Content Requirement	Plan Reference
Establish and maintain the strategy to be used for risk management (CMMI Risk Management (RSKM) SP1.3).	2.1 Approach
Identify and document the risks (CMMI RSKM SP 2.1).	2.3.2 Risk Identification Activities
Define the parameters used to analyze and categorize risks, and the parameters used to control the risk management effort (CMMI RSKM SP 1.2).	2.3.3.1 Evaluate Risks
Determine risk sources and categories (CMMI RSKM SP 1.1).	2.3.2 Risk Identification Activities 2.3.3.2 Classify Risks
Evaluate and categorize each identified risk using the defined risk categories and parameters, and determine its relative priority (CMMI RSKM SP 2.2).	2.3.3 Assessment Analysis
Develop a risk mitigation plan for the most important risks to the project, as defined by the risk management strategy (CMMI RSKM SP 3.1).	2.3.4 Response Planning
Monitor the status of each risk periodically and implement the risk mitigation plan as appropriate (CMMI RSKM SP 3.2).	2.3.5 Continuous Risk Response Monitoring and Control Activities
Establish and maintain an organizational policy for planning and performing the risk management process (CMMI RSKM GP 2.1). The policy may not be modified without approval of the Change Control Board.	1.1 Executive Policy

Content Requirement	Plan Reference
Provide adequate resources for performing the risk management process, developing the work products, and providing the services of the process (CMMI RSKM GP 2.3).	3.1 Roles and Responsibilities 3.3 Tools and Techniques
Assign responsibility and authority for performing the process, developing the work products, and providing the services of the risk management process (CMMI RSKM GP 2.4).	3.1 Roles and Responsibilities 2.3.4.2 Assign Owner, Probability Assessment, Severity, Impact, and Exposure
Train the people performing or supporting the risk management process as needed (CMMI RSKM GP 2.5).	3.2 Training
Establish and maintain the plan for performing the risk management process (CMMI RSKM GP 2.2).	2.3.1 Planning Activities 4 Milestones
Risk Methodology — Defines approach, tools, and data sources used to perform risk management on project. (<i>PMBOK® Guide — Third Edition</i>)	3.3 Tools and Techniques
Roles and Responsibilities. (<i>PMBOK® Guide — Third Edition</i>)	3.1 Roles and Responsibilities
Budgeting — Assign resources and estimate cost needed for risk management, in cost baseline. (<i>PMBOK® Guide — Third Edition</i>)	2.3.3 Assessment Analysis
Timing — Defines when and how often risk management process will be performed throughout life cycle. (<i>PMBOK® Guide — Third Edition</i>)	1.2 Scope 2.3 Process Steps
Risk Categories — Structure that ensures comprehensive process of identifying risk to a consistent level of detail. Have a method for identifying risks, such as a Risk Breakdown Structure. (<i>PMBOK® Guide — Third Edition</i>)	2.3 Process Steps
Definition of Risk Probability and Impact — Definition of probability levels and impact levels; relative scale of “very unlikely” or use general scale (numerical, or calibrating probability). (<i>PMBOK® Guide — Third Edition</i>)	2.3 Process Steps 2.3.4.2 Assign Owner, Probability Assessment, Severity, Impact, and Exposure
Probability and Impact Matrix. (<i>PMBOK® Guide — Third Edition</i>)	2.3 Process Steps 2.3.4.2 Assign Owner, Probability Assessment, Severity, Impact, and Exposure
Revised Stakeholders' Tolerances. (<i>PMBOK® Guide — Third Edition</i>)	2.3 Process Steps 2.3.3.1 Evaluate Risks

A.2 Plan Tailoring for the Alaska MMIS DDI Replacement Project

Section	Project Baseline Plan Change	Justification
1	Eliminated paragraphs following the road map.	Client request.
1.3	Worded differently.	Client request.
1.4	Removed last paragraph.	Client request.
2.1	All narrative and diagram following first paragraph moved to section 2.3.	Client request.
2.3	Added narrative and diagram from section 2.1.	Client request.
2.3.1	Changed wording.	Client request.
2.3.2	Added more detailed information.	Client request.
2.3.3	Removed narrative and list of SharePoint fields.	Client request that the information be included in the Risk Management Procedures rather than the plan.
2.3.3.1	Changed wording.	Client request.
2.3.3.2	Changed wording.	Client request.
2.3.4	Changed heading from "Plan Risk Response" to "Response Planning."	Client request.
2.3.4.1	Used the strategy terms used in PMBOK® Guide — Third Edition.	Client request.
2.3.4.2	Changed heading to "Assign Owner Probability."	Client request.
2.3.4.3	This section added.	Client request.
2.3.5	Changed heading to Continuous "Risk Response Monitoring and Control Activities."	Client request.
2.3.5.1	Removed since there is no 2.3.5.2.	Client request.
2.3.6	Section added. Moved section 2.5 to this section to follow process diagram.	Client request.
2.4.2	Changed wording.	Client request.

Section	Project Baseline Plan Change	Justification
2.5	This section moved to section 2.3.6.	Client request.
2.6	This section is now 2.5 since section 2.5 was moved to section 2.3.6. Wording was changed.	Client request.
3.1	Table added with different roles and what positions make up the roles. Changed the responsibilities according to the roles.	Client request.
4	Adjusted milestones.	Client request.
5	Changed section to be "Verification Steps."	Client request.
6	Section 5 changed to section 6 with insertion of new section 5. Added and changed definitions.	Client request.
A.1	Adjusted plan reference to match tailored document.	Required to match adjusted section numbers and titles.
2.3.2	Added more Trigger Description information	Required baseline document update

Appendix K – Schedule Management Plan

Alaska MMIS DDI Replacement Project Schedule Management Plan

Project Management Methodology

December 18, 2014
Version: 1.25

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Revision History

Version Number	Date	Description	Author
0.01	02/06/2008	Initial document	Greg Beachnau
0.02	04/15/2008	Review Roles and Responsibilities – Replace "Implementation" with "DDI" in the role "Xerox Implementation Manager" Tools and Techniques – Correct spelling mistake	Ali Yallah
1.0	05/06/2008	DHSS Delivery	Ali Yallah
1.1	11/07/2008	Update based on CSE document standard changes Global – Replace <i>Xerox Schedule Development Guide</i> with <i>Work Plan Development Procedure</i> Project Documentation – Removed WBS bullet Implement Schedule Change Control – Replace <i>Schedule Monitoring and Control Procedure</i> with <i>Work Plan Monitoring and Control Procedure</i> Plan Tailoring for the Alaska MMIS DDI Replacement Project – Added three new entries	Dawn Anneshensley/Karen Norman
1.2	12/11/2009	Updated based upon schedule monitoring and control discussion and agreements reached with Paul Cartland on 11/9/2009 as documented in 20091030 Schedule-Development-and-Control-Minutes v1.3 Monitor the Project Schedule – added correct name of procedure; changed Implement Schedule Change Control – included reference to updated Work Plan Monitoring and Control Procedures to identify when change requests are required for changes to baseline start and finish dates and how the change requests will be submitted to DHSS. Configuration of this Document – changed configuration from full to limited	Jim Kuehn
1.21	01/12/2010	Title Page - Corrected versioning of document to comply with the	Valerie Law

Version Number	Date	Description	Author
		Documentation Standards Plan Global – accepted all tracked changes in v1.2; cleared DHSS peer review comments; updated headers and footers; Prepared for final release notes	
1.22	01/04/2011	Updated to reflect Xerox branding	Michael Mini
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1.24	10/05/2014	Key updates relevant to Corrective Action Plan (CAP) applied.	Jim Kuehn
1.25	12/18/2014	Key updates relevant to Corrective Action Plan (CAP) applied.	Jim Kuehn

Configuration of this Document

This document is under limited configuration management. See *Configuration Management Plan* for owner.

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1. Introduction

Note: *This plan used during the MMIS Design, Develop and Implement (DDI) project will be leveraged during the CAP. Because the AK MMIS is now in live operations, not all provisions in this plan may be executed, and not all roles in this plan may be applicable, as this plan was specifically built for the DDI project.*

The Schedule Management Plan defines how the project ensures schedule adherence, i.e., timely completion of the project work that is required and defined in the project charter and/or Statement of Work (SOW). The Schedule Management Plan includes:

1. **Section 1** — Executive Policy, Scope, Objectives, and Professional Responsibility
2. **Section 2** — Approach, Inputs, Process Steps, Outputs, and Metrics
3. **Section 3** — Roles and Responsibilities, Training, and Tools and Techniques
4. **Section 4** — Milestones
5. **Section 5** — Definitions
6. **Appendices** — Tailoring Guidelines

1.1 Executive Policy

The policy related to this topic is located in the project SharePoint site in the **Methodology > Solutions_Center_Policies** folder.

This policy establishes objectives, expectations, and responsibilities for *Schedule Management Plan*. It follows the guidelines of the *Project Management Body of Knowledge (PMBOK) 3rd Edition*, where applicable. Xerox provides certification of this plan upon completion of the Quality Assurance (QA) review to occur following an assessment of the event revisions or tailoring changes.

This policy applies directly to the project and tasks that develop, maintain, convert, or reengineer computer software and services. In addition, this policy is to be made applicable to subcontractors by including a requirement in the applicable contract, SOW, or task order.

1.2 Scope

Schedule management is conducted throughout the lifecycle of the project and includes all areas of the project. All team members have the responsibility of understanding tasks assigned to them, tracking and reporting actual work to planned work, identifying deviations from planned progress, and taking necessary action to remedy the deviation. Identified requirements are managed according to the processes defined in the “Process” section of this document.

1.3 Objectives

The objectives of the Alaska MMIS DDI Replacement Project *Schedule Management Plan* are to establish a structured, repeatable schedule management process to ensure that project progress is tracked against planned progress and that corrective action is taken if the project deviates significantly from the plan. The *Schedule Management Plan* helps to ensure the project follows the planned schedule and that any new commitments or changes to planned work follow the change management process. The *Schedule Management Plan* ensures ownership and accountability at all requirement levels and that the project adheres to schedule and budget.

1.4 Professional Responsibility

Xerox has a responsibility to maintain ethical and professional conduct in the management of projects. This obligation includes producing quality products or services within the project's scope, with consideration to time and cost.

Cooperation and good faith are the professional responsibility of all stakeholders.

Xerox emphasizes the importance and priority of the ethical behavior of Xerox employees and Xerox as a corporation. Our Ethics and Compliance organizations employ industry-leading practices to inform and train our employees as well as incorporating our ethics and compliance policies and practices in the way we do business. Our Code of Conduct, to which all Xerox employees certify compliance every year, states that we will conduct ourselves in compliance with Xerox applicable rules and policies.

2. Process

2.1 Approach

The approach used for schedule management is based upon the *Project Management Body of Knowledge (PMBOK) 3rd Edition*, as an aspect of project time management. Using an integrated management approach, the project involves all stakeholders to monitor progress against planned milestones, identify and respond to schedule slippage, and to utilize change control processes to minimize scheduling impacts due to new requirements or objectives. The joint management team is kept aware of any deviations to planned work throughout the lifecycle of the project. Note: All active DDI work plans will be retired upon approval of the CAP. The new work plans delivered with the CAP contain all remaining DDI deliverables previously contained in the DDI work plans, and will be used to track progress during the CAP.

2.2 Inputs

2.2.1 Project Commitments

The following Project Commitments are key inputs to the Schedule Management Plan:

- Request for Proposal (RFP)
- Proposal
- Requirements Analysis Document (RAD)
- Solution Analysis Report (SAR)
- Detail System Design (DSD)

2.2.2 Project Documentation

The following Project Documents are key inputs to the *Schedule Management Plan*:

- Service/System Development Methodology (SDM)
- Project Management Methodology (PMM)
- Software Development Plan (SDP)
- Work Plan and Assumptions
- Schedule Development Guide
- *Scope Management Plan*
- Procurement Library
- Lessons Learned documents

2.2.3 Project Environment

The following Project Environment factors are key inputs to the *Schedule Management Plan*:

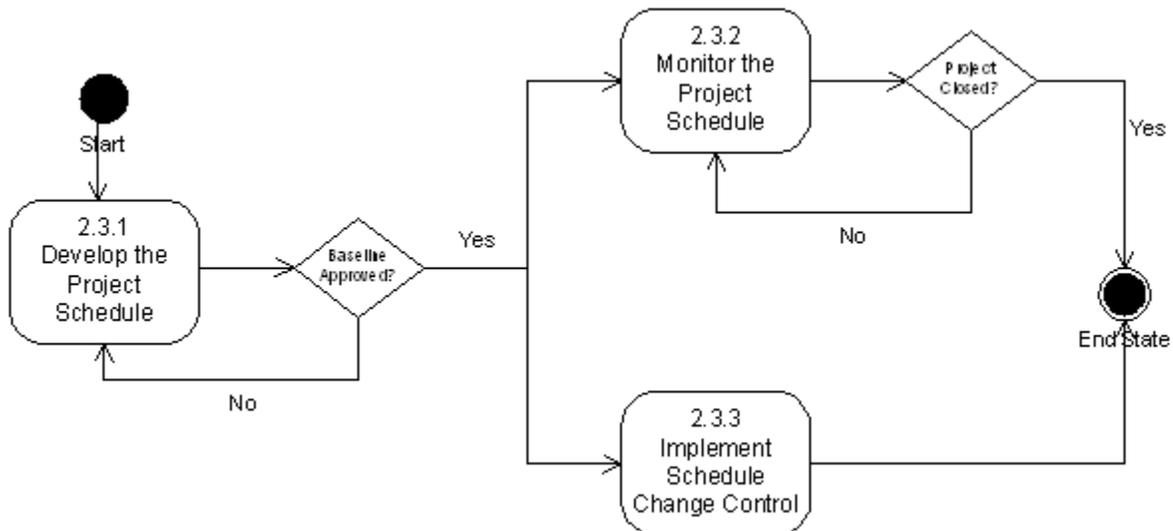
Awareness of the technical, political, and administrative trends within the project environment.

2.3 Process Steps

The ongoing approach to schedule management consists of the following items:

- **Schedule Development** — Analyzing activity sequences, durations, and resource requirements to create the project schedule.
- **Schedule Monitoring** — Monitoring progress against planned schedule and taking action to resolve scheduling issues.
- **Schedule Control** — Controlling changes to the project schedule.

Below is a high-level process flow for managing the project schedule:



2.3.1 Develop the Project Schedule

The project schedule should be developed using the standards and best practices defined in the *Work Plan Development Procedure*. This document provides guidelines for task creation, resource assignment and resource leveling. Samples of the guidelines outlined in this document include:

- All tasks should use approved naming conventions
- All tasks should have a predecessor and successor
- Hard date constraints should be avoided on any tasks
- All tasks should have a defined resource
- Resource based dependencies should be avoided
- Resources should be leveled and allocated within the resource’s availability to the project
- Key milestones must be defined for major events or deliverables in the project schedule
- Activities and deliverables that are conducted and prepared at the customer location include “onsite” in the task description

2.3.2 Monitor the Project Schedule

The project schedule is monitored by tracking of actual work to planned work and generation of key analysis and project reports. Continual monitoring of progress against planned completion is critical to keeping a project on schedule and necessary to allow rapid adjustments to correct schedule slippage. Any deviations from planned completion for key milestones are reported to project stakeholders using procedures outlined in the *Communication Management Plan*. This plan is located in the Alaska MMIS DDI Replacement Project SharePoint site under **Methodology > PMM > Communication_Mgmt.**

The *Work Plan Monitoring and Control Procedure* provides the detail of activities for monitoring project progress. These activities include, but are not limited to:

- Reporting actual hours worked for assigned tasks
- Reporting requested changes to remaining work on assigned tasks
- Approval of hours reported
- Approval of changes to remaining work
- Updating the schedule with actual hours and changes to remaining work
- Review of the schedule to determine impact of updates to actual/remaining work
- Reporting of any slippage in Milestone completion dates to project stakeholders
- Generation of all required schedule analysis and project reports
- Delivery of all required schedule analysis and project reports to project stakeholders. Reports to DHHS include:
 - Dashboard Report – Provided weekly.
 - Executive Status Report – Provided monthly.
 - Key Tasks Analysis Report (KTAR) – Provided bi-weekly. Key end-to-end project level critical path tasks, milestones and deliverables will be included on the KTAR report. Current planned dates will be compared to baseline dates to identify any areas of slippage. *(While the KTAR is being developed, Xerox will identify the critical path for the design phase of the project and will track key design phase tasks in relation to the critical path.)*

2.3.3 Implement Schedule Change Control

Any change to the project schedule can affect the overall completion dates for the project, so change control for the project schedule is critical. Schedule change control ensures that only approved changes are applied to the schedule and that the resulting schedule impacts are known and accounted for in the schedule. In all cases, a guiding principle of schedule control is that any changes that impact State work (i.e., addition of new State owned tasks, removal of State owned tasks, changes to baseline start or finish dates of State owned tasks, addition of new tasks that impact downstream State owned tasks) must be communicated to and approved by DHSS.

Reasons for implementing change control for the project schedule include:

- Adjusting the project schedule in reaction to slippage or tasks completing ahead of schedule
- Adjusting the project schedule to react to inaccurate estimates for planned work
- Addition of new tasks not originally accounted for in the plan.
- Addition or reduction in available resources necessary to complete planned work

The project schedule is heavily dependent upon estimates and some deficit to plan is inevitable. Individuals responsible for managing the work plan must have the latitude necessary to make minor corrections to the planned schedule to accommodate minor schedule deficits.

However, any changes to the project schedule that will affect the completion date for key deliverable milestones require a change request and will need to go through the change control process. Reference the *Change Management Plan* and Sections C.6 to C.9 of the contract for additional detail on the project change control process. The plan is located in the Alaska MMIS DDI replacement Project SharePoint site

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under **Methodology > PMM > Change_Mgmt.** The Schedule change control, which is a subset of the overall change control process, is defined in the **Work Plan Monitoring and Control Procedure.** This guide is located in the Alaska MMID DDI Replacement Project SharePoint site under **Methodology > PMM > Schedule_Mgmt.** The *Work Plan Monitoring and Control Procedure* has been updated to include more detailed information with regard to 1) when change requests are required to be submitted to DHSS for changes to baseline start and baseline finish dates, and 2) how these change requests will be submitted to DHSS. In summary, the following tables summarize **when** and **how** changes to previously approved baseline start and dates will be controlled:

6. Changes to Baseline Start or Baseline Finish Dates – When is DHSS approval required?

DHSS approval of changes to baseline start or baseline finish dates is required depending upon the status of the impacted work plan(s), as indicated in the table below:

Work plan Status	DHSS Approval Required before Xerox Changes Baseline Start / Finish Dates?	Notes
Under Development by Xerox	Yes	Xerox cannot change baseline dates without approval of DHSS, subject to referencing C.10. Xerox cannot change material baseline dates.
Baselined & Reporting Status	Yes	<p>Exception #1: Xerox can change baseline start & finish dates for bucket tasks for administrative or general support activities.</p> <p>Exception #2: Xerox can add and baseline new tasks to add more detail within the project plan provided that the additional tasks do not impact State work. If the additional tasks impact State work DHSS must approve the change (i.e. an additional task must be completed by the State, or baseline due dates for existing State tasks are modified). <i>(i.e. the PM is given latitude to add tasks at a more detailed level to manage the work.)</i></p>
Submitted to DHSS for Approval	Yes	<p>Exception #1: Xerox can change baseline start & finish dates for bucket tasks for administrative or general support activities.</p> <p>Exception #2: Xerox can add and baseline new tasks to add more detail within a submitted project plan provided that the additional tasks do not impact State work. If the additional tasks impact State work DHSS must approve the change (i.e. an additional task must be completed by the State, or baseline due dates for existing State tasks are modified). <i>(i.e. the PM is given latitude to add tasks at a more detailed level to manage the work.)</i></p>
Approved by DHSS	Yes	<p>Exception #1: Xerox can change baseline start & finish dates for bucket tasks for administrative or general support activities.</p> <p>Exception #2: Xerox can add and baseline new tasks to add more detail within an approved project plan provided that the additional tasks do not impact State work. If the additional tasks impact State work DHSS must approve the change (i.e. an additional task must be completed by the State, or baseline due dates for existing State tasks are modified). <i>(i.e. the PM is given latitude to add tasks at a more detailed level to manage the work.)</i></p>

7. Changes to Baseline Start or Baseline Finish Dates – How is DHSS approval requested?

Changes to baseline start or finish dates will be made via Schedule Rebaseline Change Requests as follows:

- Schedule Rebaseline Change Requests – Overall Policy: Requested when there are changes to a project plan
- Schedule Rebaseline Change Requests will continue to be sent via email, but will include information regarding a) the status of the affected work plan, and b) the impact of the change with the concurrence of the Xerox Project Manager so DHSS can make an informed decision.
- Schedule Rebaseline Change Requests will continue to be channeled thru the PMO and will be sent to DHSS as required.

The addition of new tasks to the schedule may indicate a change in project scope. As such, the *Scope Management Plan* dictates that these changes would also require a change request and would need to go through the change control process. This plan is located in the Alaska MMIS DDI Replacement Project SharePoint site under **Methodology > PMM > Scope_Mgmt.**

2.4 Outputs

2.4.1 Project Schedule

The project schedule (work plan) is both an input and output of this process, as this process essentially outlines the maintenance and support of the schedule itself.

2.4.2 Schedule Analysis and Reports

Schedule analysis and reports are required to keep stakeholders apprised of the project's performance against planned schedule and to justify any schedule adjustments necessary in reaction to key milestone slippage. The Executive Dashboard Summary provides a weekly report for the purpose of analyzing key project scheduling metrics.

2.5 Metrics

The following items may be used in tracking schedule management metrics:

- Executive Dashboard Summary
- Earned Value Analysis
- Tracking of Key Milestones and Deliverables
- Tracking Progress to Baseline Schedule
- Resource Utilization
- Client Tasks and Milestones
- Exception Trends (Risks, Issues, Change Requests, Action Items)
- Life Cycle Metrics (Object Counts, Use Cases, Lines of Code, Test Cases, Defects)

3. Roles and Tools

This section identifies the resources and tools necessary for this plan to support the project.

3.1 Roles and Responsibilities

The following project resources are required to successfully execute the *Schedule Management Plan*.

Role/Description	Responsibilities for this Plan
<p>Executive Project Management</p> <ul style="list-style-type: none"> • Xerox Solutions Center Deployment Director • Xerox Service Delivery Account Manager • State Deputy Commissioner 	<p>Responsible for receiving and reviewing status reports of project performance and resolving any escalated issues, including scheduling.</p>
<p>Joint Management Team (JMT)</p> <ul style="list-style-type: none"> • Xerox Account Manager • Xerox DDI Manager • Xerox Functional Manager • Xerox PMO Manager • Xerox Testing Manager • Xerox Data Manager • Xerox QA Manager • Xerox Architecture Manager • Sierra Project Manager • SOA Project Manager • SOA Deputy Project Manager • SOA MMIS Business Analyst Team Manager • SOA Business Manager 	<p>Responsible for providing schedule oversight for the project by regularly reviewing the schedule and resolving any scheduling issues. This team meets and/or converses on a regular basis, including a weekly status meeting for review of schedule status, dashboard reports, and other project oversight topics. Accountable for final approval of all deliverables and changes to the project scope of work, cost, or schedule. Reviews and approve the project schedule. Review schedule analysis and project reports. Recommends corrective action to correct schedule slippage.</p>
<p>Xerox DDI Manager</p>	<p>Ensures the schedule management function is in place to provide visibility into actual progress so that the joint management team can take effective actions when the project’s performance deviates significantly from the work plan. Ensures activities are conducted according to the process steps documented in this plan and Xerox meets the schedule. Ensures commitment to the schedule</p>

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Role/Description	Responsibilities for this Plan
	requirements for the project and manages the impact of schedule and requirements changes on the project plans and work documents. Ensures executive project management periodically reviews schedule management activities, metrics, and results.
<ul style="list-style-type: none"> • Xerox Project Managers • Xerox DDI Manager • Xerox Functional Manager • Xerox PMO Manager • Xerox Testing Manager • Xerox Data Manager • Xerox Architecture Manager • Xerox QA Manager • Sierra Project Manager 	Responsible for managing the project schedule for their respective areas of the project, and coordinating activities with the joint management team as needed to carry out the project schedule..
DHSS Executive Team <ul style="list-style-type: none"> • SOA Project Manager • SOA Deputy Project Manager • SOA MMIS Business Analyst Team Manager • SOA Business Manager 	Responsible for receiving, reviewing project status reports, resolving any issues, and scheduling problems. This team meets and/or converses on a regular basis, including a weekly status meeting for review of schedule status, dashboard reports, and other project oversight topics.
Xerox PMO Manager	Responsible for developing and managing the <i>Schedule Management Plan</i> , the project detailed work plan (DWP), and assisting in the coordination of project scheduling activities and reporting. Ensures the project repository is maintained and project schedule documentation is retained throughout the life of the project.
Xerox Project Coordinator	Provides administrative support to the project in preparing meeting agendas, meeting minutes, and other scheduling support activities.
Xerox Project Scheduler	Primary owner of the project schedule. Responsible for the initial creation of the work plan, as well as the day-to-day, ongoing maintenance of the schedule. Works with the Xerox project managers to determine corrective action for schedule slippage to CAP milestones. These responsibilities require that this role comprehends the project scope and deliverables.
Xerox Project Leaders	Responsible for monitoring and tracking of the project schedule and ensuring Xerox team members are carrying out the schedule as planned.

Role/Description	Responsibilities for this Plan
DHSS Team Leaders	Responsible for monitoring and tracking of the project schedule and ensuring DHSS team members are carrying out the schedule as planned.
Xerox Team Members • Xerox Project Team Members	Responsible for carrying out assigned tasks in the project schedule, as scheduled, and maintaining awareness of their assigned tasks. Includes accurate tracking and reporting of time spent on assigned tasks.
DHSS Team Members • DHSS Project Team Members	Responsible for carrying out assigned tasks in the project schedule, as scheduled, and maintaining awareness of their assigned tasks. Includes accurate tracking and reporting of time spent on assigned tasks.

3.2 Training

Training will be delivered based upon the roles and responsibilities assigned to each resource.

- Xerox Team Members:
 - Tracking individual task assignments
 - Reporting actual work and remaining work adjustments for assigned tasks
- Xerox Project Scheduler:
 - Xerox Team Member Training
 - Schedule Development Training
 - EPM Training
 - SharePoint Training
 - Dynamic Scheduling

Training activities are defined in the project work plan. Xerox PMO staff completes work plan and reporting assessments to help tailor specific training. Guidance is also provided in the Schedule Development Guide, which contains reference and instructional information that guides the reader through aspects of scheduling.

3.3 Tools and Techniques

The tools used to manage the schedule are as follows:

- **EPM** — The EPM Tool is a suite of Microsoft Applications used in the management of the project.
- **Microsoft SharePoint** — A repository used to retain project artifacts. Project participants with authorized access to SharePoint can review the content of the project’s documents and schedules, etc.
- **EPM Support Tools** — These applications include custom Xerox tools to create offline master plans for analysis and to perform schedule quality assurance.

4. Milestones

The following table identifies project milestones related to schedule management. Determination is made by project management and the Project Management Office (PMO) as to which are to be included in the schedule (work plan) or if other milestones are appropriate.

Schedule Management Milestones
Schedule Management Plan approved by Xerox QA Team.
Schedule Management Plan acceptance by DHSS.
Xerox project team members trained on their schedule management responsibilities.
Xerox and DHSS project team members oriented on schedule management process.
Weekly Status Meeting(s) where schedule management is addressed.
QA Team review of schedule management process.

5. Definitions

This section lists any glossary terms specifically applicable to this document. Retain the reference to the global project glossary, and keep that glossary updated and aligned with any specific terms listed below. The global glossary applies to both Project Management Methodology (PMM) and System Development Methodology (SDM) and comes from the SDM Web Page glossary.

See the project-wide glossary, located in the project's SharePoint site under **Methodology > Shared** for a project-wide list of acronyms, terms, and definitions.

Term/Acronym	Explanation/Expansion
CMMI	Capability Maturity Model Integration
DSD	Detailed System Design
DWP	Detailed Work Plan (sometimes referred to as WBS)
EPM	Enterprise Project Management — The EPM Tool is a suite of Microsoft Applications used in the management of the project
PCM	Project Sizing and Complexity Matrix
PMBOK	Project Management Body of Knowledge
Proposal	Response to RFP issued by Xerox
RAD	Requirements Analysis Document
RFP	Request for Proposal, issued by the client to procure bids
SAR	Solution Analysis Report
Scope	The body of work for a particular project or contract
SOW	Statement of Work
KTAR	Key Tasks Analysis Report

Appendices

B. Tailoring Guidelines

Once the plan has been created from the Project Management Methodology (PMM) baseline, project tailoring may occur. In order to maintain alignment with CMMI, PMBOK, and Applications Services Group (ASG) guidelines, there is specific content or processes that must remain in every plan see the “Required Content” section. All tailoring of the PMM baseline plan is documented in the table in the “Plan Tailoring for the Alaska MMIS DDI Replacement Project.” The tailored plan establishes the project baseline for this plan. All subsequent maintenance of this plan is recorded in the “Review and Revision History” at the front of the plan document.

B.1 Required Content

The following items in the content of this plan may not be changed without approval from the Xerox Change Control Board (CCB). There must be a significant reason to remove the content identified below and an alternate practice identified to replace the baseline content in order to satisfy CMMI, PMBOK, and the Project Management Methodology.

Content Requirement	Plan Reference
Monitor project commitments (CMMI PMC SP 1.2)	Error! Reference source not found. Error! Reference source not found.
Establish the budget and schedule (CMMI PP SP 2.1)	Error! Reference source not found. Error! Reference source not found.
Manage configurations (CMMI GP 2.6)	Error! Reference source not found. Error! Reference source not found.
Monitor project planning parameters (CMMI PMC SP 2.1)	Error! Reference source not found. Error! Reference source not found.
Sets format and establishes criteria for developing and controlling schedule (<i>PMBOK Third Edition</i>)	Error! Reference source not found. Error! Reference source not found. Error! Reference source not found. Error! Reference source not found. Error! Reference source not found. Error! Reference source not found.
Sets format and establishes criteria for developing and controlling schedule (<i>PMBOK Third Edition</i>)	Error! Reference source not found. Error! Reference source not found. Error! Reference source not found. Error! Reference source not found. Error! Reference source not found. Error! Reference source not found.

B.2 Plan Tailoring for the Alaska MMIS DDI Replacement Project

Section	Project Baseline Plan Change	Justification
1.1	Change in wording or section title change	Clarification for State
1.4	Change in wording or section title change	Clarification for State
2.1	Change in wording or section title change	Clarification for State
2.3.1	Change in wording or section title change	Clarification for State
2.3.2	Change in wording or section title change	Clarification for State
2.4.2	Change in wording or section title change	Clarification for State
3.1	Replaced roles and responsibilities text with roles and responsibilities table.	Provides a consistent view of roles throughout the project management methodology.
3.2	Change in wording or section title change	Clarification for State
3.3	Change in wording or section title change	Clarification for State
Appendices A.1	Change in wording or section title change	Clarification for State
2.3.1	Document reference updated to CSE standards	CSE standard documentation revised
2.3.2	Document reference updated to CSE standards	CSE standard documentation revised
2.3.3	Document reference updated to CSE standards	CSE standard documentation revised

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