Department of Health Care Services
CA-MMIS

Issue Management Plan
ENT.0005

CA-MMIS System Replacement, Enhancements, and Legacy Systems Operations Phases

February 3, 2015
Version 7.0

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Revision History

Version	Date	Description	Author
0.1	06/30/2009	RFP Draft	Medi-Cal Business Partnership
0.2	04/28/2010	Input material from RFP and Proposal Draft PMP into SPARK-ITS Template	Nicole Tressler
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Versio n	Date	Description	Author
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Executive Summary

The Department of Health Care Services (DHCS) has contracted with Xerox State Healthcare, LLC (Xerox) to deliver the California Medicaid Management Information System (CA-MMIS) Project. The Enterprise Project Management Office (EPMO) has been established to implement a Project Management Methodology (PMM) for the CA-MMIS Contract (as described in the *Project Management Plan Overview*). As part of the PMM, the EPMO Team implements and maintains Project Management processes and tools that allow Xerox to effectively manage project staff and activities across CA-MMIS Contract phases.

The *Issue Management Plan* is one component of the CA-MMIS Contract's overall PMM that describes the project management processes and tools used to effectively manage the project. Issue Management is the process used to identify, assess, and manage project Issues throughout the project life cycle from inception to closure.

An Issue is a presently occurring problem or question that, if not resolved, has an adverse impact on the project. The *Issue Management Plan* provides direction on identifying Issues, assessing them by identifying their ownership and severity, and managing them via resolution plans. The Plan describes the roles, responsibilities, tools, and control measures used to identify and manage Issues.

This plan covers Issue Management for the releases of the System Replacement (SR) Project, Enhancement projects such as International Classification of Diseases-10 (ICD-10), State Level Registry (SLR); and System Development Notice (SDN) changes.

Issue Management interacts with Risk, Action Item, Communication, Quality, and Governance management activities.

The *Issue Management Plan* defines the approach that the CA-MMIS Enterprise takes to identify, assess, and manage project Issues from inception through closure. This plan includes the following sections:

- Section 1 — Scope and Objectives
- Section 2 — Issue Management Process, which defines the approach this plan takes, inputs to the process, process steps, and outputs from the process
- Section 3 — Roles and responsibilities along with the training needed and tools used
- Section 4 — Quality assurance along with milestones and verification steps
- Section 5 — Definitions
- Section 6 — Risks and Mitigation Strategies
- Section 7 — Process Changes

The target audience for the *Issue Management Plan* includes CA-MMIS Project Managers and staff.

The methodology used in this plan closely follows the Project Management Body of Knowledge (PMBOK® Guide) — fifth Edition and maps to Capability Maturity Model® Integration (CMMI®) Level 2.

1. Introduction

The CA-MMIS Contract comprises a body of work documented in the form of project schedules and Agile sprints. The CA-MMIS Contract schedules are complex and comprise thousands of tasks; project progress is achieved by completing tasks in the project schedules. Each task in the project schedules contains information such as start date, end date, staff resources assigned, and task dependencies. The objective is to complete each task according to the timeframes, with the assigned staff resources set forth in the project schedules. Agile sprint progress is achieved by completing tasks or hours assigned in each sprint and signing it as completed when done.

During the System Replacement releases, as well as in the performance of enhancements such as ICD-10 and SLR, and Legacy Systems Operations change activities such as SDNs, staff use the project schedules as the primary management tool. System Replacement uses VersionOne to manage activities within each sprint or release. As staff perform, or prepare to perform project tasks, situations are encountered that may potentially impact the ability to complete the tasks as planned and to achieve planned progress. To address these impediments, a standardized set of processes is necessary to identify, manage, control, and report these items in order to minimize disruption to project success. These situations can be classified as Action Items, Issues, and Risks.

The Issue Management process is centralized and regulated by a governing body called the Enterprise Risk and Issue Committee (ERIC) which is the first level of decision-making and escalation for Issues associated with projects subject to the CA-MMIS Governance structure. ERIC's primary focus is reviewing and rendering decisions for enterprise Issues. ERIC also escalates issues to the CA-MMIS Enterprise Oversight Committee (CEOC), with recommendations, for items that cannot be resolved at the ERIC level. Please refer to the Referenced Document Table in Appendix A to review the approved ERIC charter. The need may arise to forgo the normal Issue Management Process and timeframes to expedite Issues. If that occurs, then project staff would use the Expedited Issue Process, which is referenced in the Referenced Document Table in Appendix A.

The EPMO Project Management Plans are a group of plans, processes, procedures, and tools used to effectively and efficiently manage projects. Key relationships between the various plans and processes support the execution of project tasks and activities in a structured and repeatable manner. The *Issue Management Plan* is one of the components of the EPMO Project Management Plan set and as such maintains integral support relations with other project management processes. The essential relationships of the *Issue Management Plan* are illustrated in Figure 1 below and are discussed further following the graphic. Project Management and Software Development Life Cycle (SDLC)-supporting processes are included in the graphic.

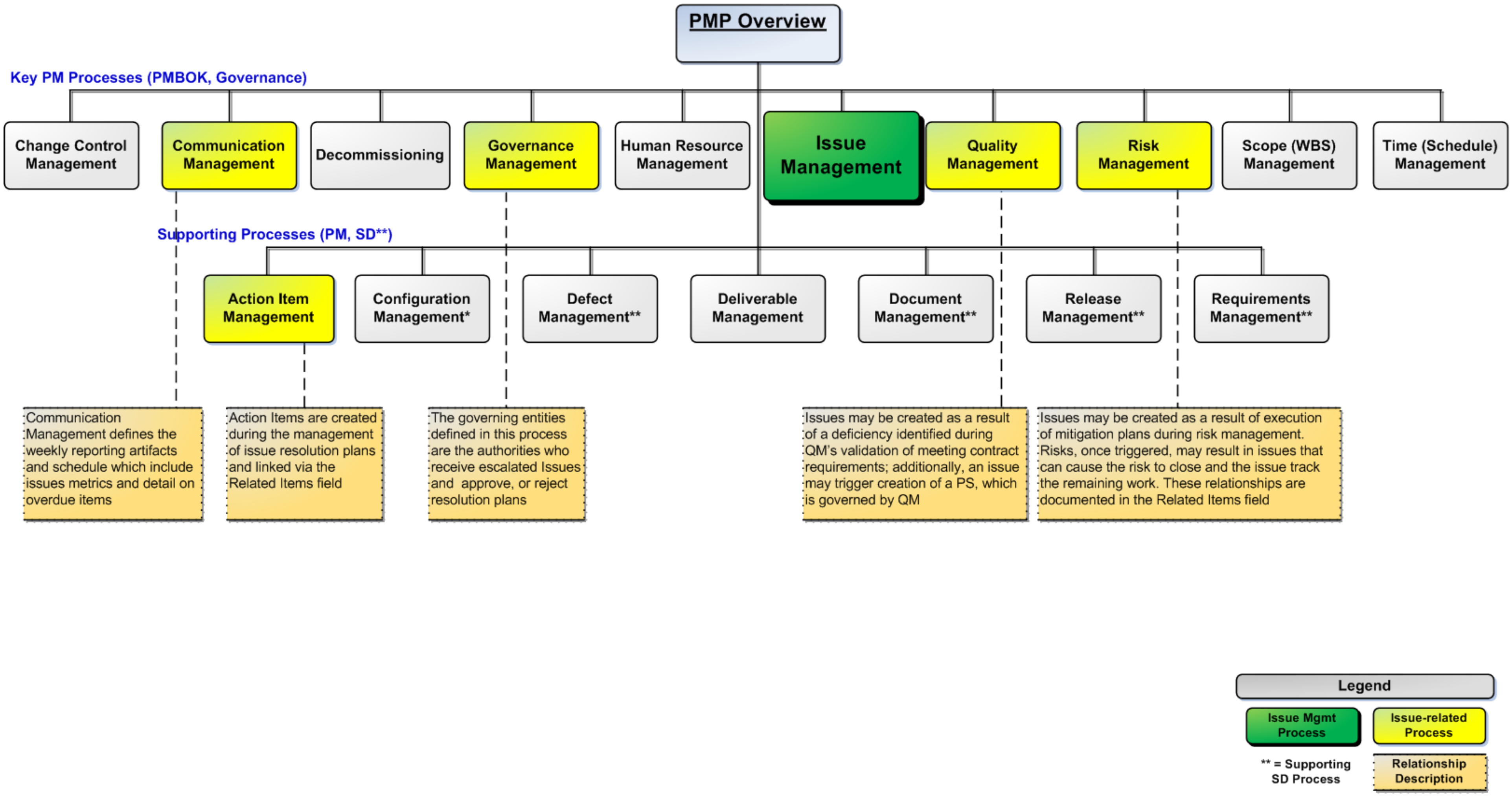

Figure 1: Key Inter-related PM Processes

Issue Management is integrated with other project management processes, including Risk Management, Action Item Management, Governance Management, Quality Management, and Communication Management. This integration is an important aspect of managing and controlling project schedule and scope.

- Risk Management

  The *Issue Management Plan* is related to the *Risk Management Plan* in terms of the related Issues that may be raised as a routine part of Risk Management. In addition, Risks may be identified during the execution of Issue resolution activities.

- Action Item Management

  The *Issue Management Plan* is related to the *Action Item Management Plan* because Action Items may be raised during the execution of Issue resolution plans. In addition, upon assessment, proposed Issues may be identified as Action Items.

- Governance Management

  The *Issue Management Plan* is related to the *Governance Management Plan* because the governing entities defined in that plan are the authorities who approve or reject Issue resolution plans. Issues are escalated per the structure identified in the *Governance Management Plan.*

- Quality Management

  Issues may be created as a result of a deficiency identified during Quality Management's validation of meeting contract requirements; additionally, an Issue may trigger creation of a Problem Statement, which is governed by Quality Management.

- Communication Management

  The *Issue Management Plan* is related to the *Communication Management Plan* because processes for reporting on Issue status and metrics are identified in the *Communication Management Plan*.

Issues and Action Items both track questions or problems that must be answered, but Action Items are generally discrete items to be resolved within the team, where Issues require action/decision from management or an area outside of the team. Table 1 shows the differences between Action Items and Issues.

Table 1: Difference between Action Item and Issue

	Action Item	Issue
Definition	Problem or question that must be resolved by a team member within a week.	Problem or question that must be escalated to management and resolved by the due date.
Visibility	Not presented on status reports	Presented on status reports
Source	May come out of a meeting or a discussion	May come out of a meeting, discussion, Action Item that has not been resolved, barrier to schedule task completion, or Risk that has occurred
Status Values	Open, Closed	Proposed, Open, Resolved, Closed, Cancelled

Action Items are a management tool to track short-term, discrete, 'follow-up' items to completion to verify that something does not 'fall through the cracks'.

Issues and Risks should be linked to a specific schedule task or sprint that are in jeopardy. Issues are used as a management tool to enable the identification of situations where a specific decision, authorization, or action is needed and cannot be accomplished by the Issue Owner for reasons outside of their control. Issues are likely to require escalation to senior management at a higher governance authority for resolution and this process establishes the escalation path to enable managers to achieve resolution as quickly as possible.

Risks are used as a management tool to identify potential threats to the project and to support the planning efforts to mitigate the Risk and plan for contingencies should the Risk occur. The amount of mitigation and contingency planning to be performed is based upon the likelihood of the Risk occurring and the impact to the project if the Risk does occur. Table 2 shows the different definitions and characteristics of Action Items, Issues, and Risks.

Table 2: Action Item, Issue, and Risk Definition

Term	Definition and Characteristics
Action Item	• An Action Item is a question, problem, or condition that requires a follow-up activity to resolve the question, problem, or condition • Specific action is required to maintain progress on a particular aspect of the project • Short-term and discrete—as a guideline, usually resolved within one (1) week and does not require significant resource expenditure to resolve • A single task with a single resolution
Issue	• A presently occurring problem or question that, if not resolved, has an adverse impact on the project • Resolution requires structured analysis of alternative solutions, followed by an explicit decision or action • Resolution can frequently require escalation beyond the project area's level of control • An SR impediment that has met escalation criteria set forth by the SR Project Team to become a project issue
Risk	• An uncertain event or condition in the future, that if it occurs, has a positive or negative effect on a project's objectives • Potential impacts on project success targets that are out of the project area's domain of control • A Risk is described by the event or condition, the uncertainty and the consequences • Requires active management and oversight throughout the life of the project—until it is closed

1.1 Scope

While Issue Management is conducted throughout the phases of the CA-MMIS Contract, this plan is specific to the System Replacement releases and Legacy Systems Operations phases. Enhancement projects such as ICD-10 and SLR, and System Change projects such as SDNs also follow these processes. CA-MMIS Project Managers and staff have a responsibility to identify project Issues and comply with the Issue Management Process defined in this plan.

1.2 Objectives

The EPMO has defined standard processes, with a supporting toolset, to address Issues, Risks, and Action Items. The following sections define the approach the CA-MMIS Enterprise is taking to manage Issues during the System Replacement, Enhancements Projects, and Legacy Systems Operations phases. This includes establishing a structured, repeatable Issue Management Process to continuously identify and resolve Issues in a timely manner and avoid negative impacts to the project. Issue Management includes identifying and assessing Issues, reviewing Issues, developing Issue Resolution Plans and monitoring and managing Issues through closure.

Issues exist in a project when there is a possibility the project is not meeting defined goals and objectives. In such a large and complex project as CA-MMIS, Issues of varying degrees of severity are encountered during the System Replacement releases, Enhancements Projects, and Legacy Systems Operations phases. Since Issues may impact quality, scope, cost, and/or schedule, an integrated approach is used to manage Issues from identification through closure. The documentation of Issue resolutions is also a critical aspect of this process given the lessons such resolutions can provide for future project releases or phases.

2. Process

2.1 Approach

Issue Management is the disciplined process of identifying, tracking, and bringing to resolution Issues that affect the project's progress and direction. Issues are generally an outcome of active schedule management. During the execution of tasks identified in the System Replacement Agile stories, Enhancements, or SDN project schedules, Issues are identified. Issues are problems or questions that may require a decision or action by the project's management.

The *Issue Management Plan* establishes an iterative process for identifying an Issue, managing it through resolution and its closure. It is imperative that Issues are identified and resolved in a timely manner to verify project progress and to identify where impacts may cross boundaries between projects. Issue tracking and reporting allows Project Management staff to have an accurate understanding of the status of the CA-MMIS contract in order to make timely and informed management decisions. An effective Issue Management process can be evident by the identification of Issues as soon as they are known, clearly stating the action or decision that is needed for resolution, who needs to take the action or make the decision, and that Issues that require escalation for resolution are escalated as early as possible to eliminate or reduce overall project impacts.

During the System Replacement releases, Enhancements Projects, and Legacy Systems Operations phases, Issues are continually identified, managed, and closed. The Issue Management approach described in this plan consists of four high-level steps, which are supported by several underlying activities:

- Step 1: Identify and Assess Issues
- Step 2: Clarify Issue, Create Resolution Plan, Review, and Verify Issue
- Step 3: Continuous Issue Response Monitoring and Control
- Step 4: Confirm and Close Issue

2.2 Inputs

The inputs to this process are as follows:

- Project Commitments — Conformed Request for Proposal (CRFP), Narrative Technical Proposal (NTP), Requirements Specification Document
- Project Documentation — System Development Methodology (SDM), Agile Software Development Approach (ASDA), EPMO Schedule (also known as "work plan")
- Project Environment — Awareness of the technical, political and administrative trends within the project environment
- Project Management Body of Knowledge (PMBOK) Version 5
- Institute of Electrical & Electronics Engineers (IEEE) 1058-1998 IEEE Standard for Software Project Management Plans

- IEEE 16085:2006 Systems and Software Engineering - Life Cycle Processes - Issue Management

2.3 Process Steps

The following figure represents the Issue Management Process flow:

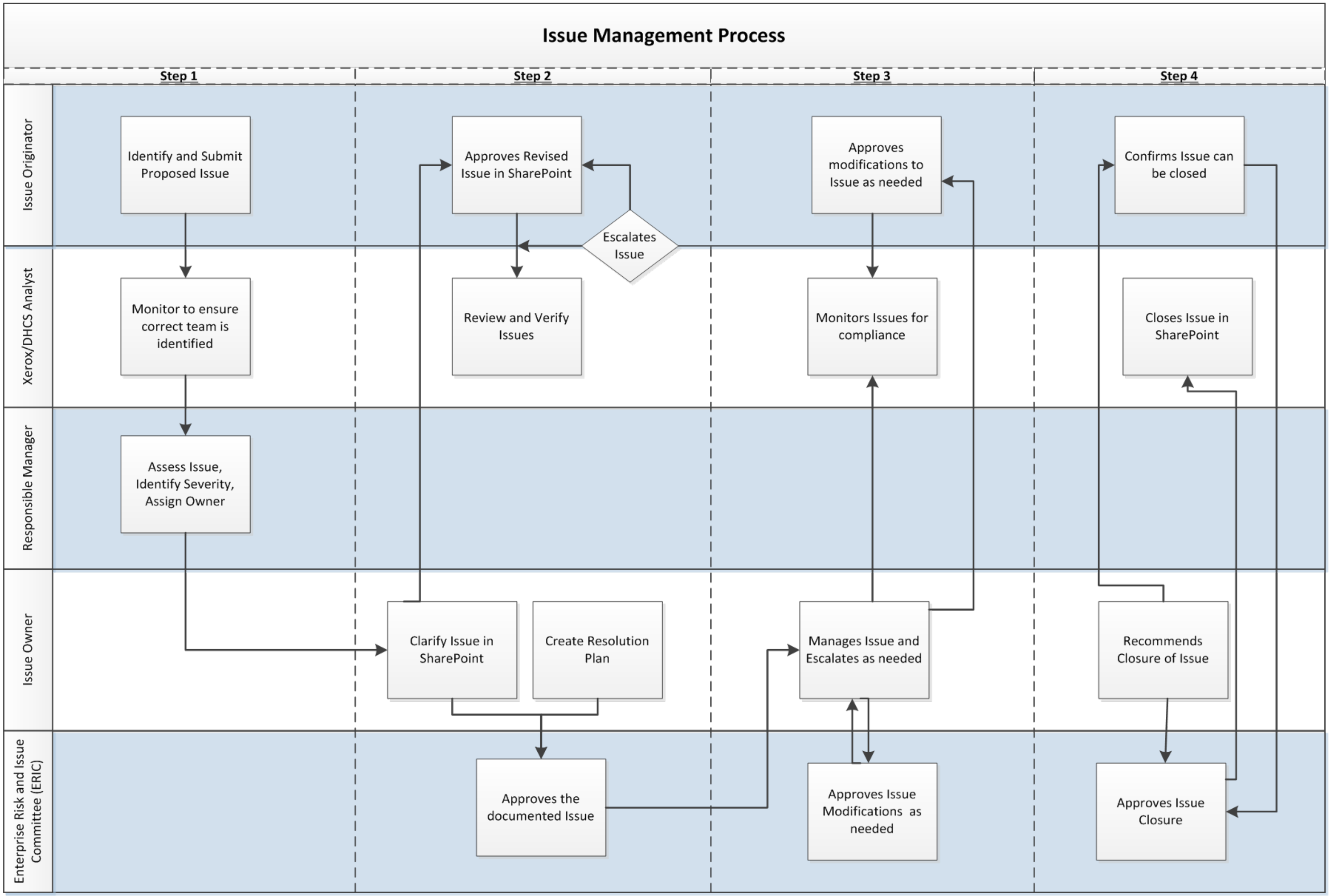

Figure 2: Issue Process Flow

The following table outlines the four steps of the Issue Management process.

Table 3: Issue Management Workflow and Procedures

Step	Activity	Primary Role	Frequency	Description	Tool	Expected Output
Step 1: Identify and Assess Issues	*Section 2.3.1.1 Identify and Submit Proposed Issue*	Issue Originator	Ongoing	- Discuss creating Issue with manager and DHCS CA-MMIS Counterpart - Provide a concise statement of the Issue, including what resolution is desired and the due date. Document affected schedule tasks or SR impediment - Originator to document draft Issue for review/discussion with the Responsible Manager, Team and CA-MMIS Counterpart	Xerox SharePoint	Draft Issue is entered in Xerox SharePoint. Status is defaulted to Proposed
	Section 2.3.1.2 Identify Team and Responsible Manager	DHCS/Xerox Issue Analysts	Ongoing by monitoring new items	- Identify Team and Responsible Manager - Identify impact across projects and recommend escalation	Xerox SharePoint E-Mail Meetings	Team, Responsible Manager, and CA-MMIS Counterparts are identified Issues are escalated if warranted
	Section 2.3.1.3 Assess Issue and Assign Owner	Responsible Manager	To be completed within ten (10) business days from Issue entry	- Assess the draft version of the Issue - Verify the question/action is an Issue and not a Risk or Action Item, or is not already tracked in a defect or schedule management tool - Verify Issue statement is clear - Identify Issue Owner	E-mail or verbal notification	Revise and update Issue in Xerox SharePoint with notification to Originator or Request ERIC to cancel Issue
Step 2: Clarify Issue, Create Resolution Plan, Review, and Verify Issue	*Section 2.3.2.1 Clarify Issue in Xerox SharePoint*	Issue Owner	Within ten (10) business days of Issue entry	- Clarify the Issue and complete the Issue Log. The Resolution Plan does not need to be developed at this time if not known, however document Step 1 as "Develop Resolution Plan". The date for developing the Resolution Plan should not be longer than ten (10) business days from Issue entry date.	Xerox SharePoint	Issue Log

Step	Activity	Primary Role	Frequency	Description	Tool	Expected Output
	Section 2.3.2.2 EPMO Continuous Issue Review *Setting the Status of an Issue to Open*	DHCS/Xerox Issue Analysts	As Notified by e-mail for Issues and as notified by Xerox SharePoint alerts	- Confirm Issue information conforms to standards, contains adequate information, and Issue is not duplicative	Xerox SharePoint E-mail notification ERIC Charter	Issue is added to the weekly ERIC meeting for review
	Section 2.3.2.3 Create Issue Resolution Plan	Issue Owner	Within ten (10) business days of Issue entry. Recommended to be sooner than ten (10) days.	- Analysis conducted and Issue Resolution Plan developed that includes a series of specific resolution steps (what/who/when), including escalation recommendation if needed	Xerox SharePoint E-mail notification ERIC Charter	Issue is added to the weekly ERIC meeting for review/approval of plan
Step 3: Continuous Issue Response Monitoring and Control	*Section 2.3.3.1 Monitor and Manage Issues through Resolution*	Issue Owner Team	As Required to resolve Issue	- Follow-through of actions required to close Issue and report progress towards meeting due date	Xerox SharePoint Meetings E-mail or Verbal Notification	Updated Issue Log (to include final resolution outcome). Issue status changed to "Resolved" Notification is sent to Issue Originator and CA-MMIS Counterparts
	Section 2.3.3.2 Escalate Unresolved Issues	Issue Owner Team	Weekly	- Reviews status of progress on the Issue Resolution Plan and engages project stakeholders as necessary to resolve the Issue - Escalate Issue to higher Governance level, as determined by the *Governance Management Plan*	Xerox SharePoint Meetings E-mail or Verbal Notification	Meeting Minutes Updated Issue Log
	Section 2.3.3.3 Criteria for Issue Closure	Issue Owner CA-MMIS Counterparts	As required	- The Issue Owner may recommend closure of Issue if requirements are met and if approved by CA-MMIS Counterparts. Final Resolution of the Issue needs to be documented in the discussion field prior to closure	Xerox SharePoint Email ERIC Charter	Updated issue log Issue is added to weekly ERIC meeting for review/approval to close issue

Step	Activity	Primary Role	Frequency	Description	Tool	Expected Output
Step 4: Confirm and Close	*Section 2.3.4 Step 4: Confirm* and Close	Issue Originator Issue Owner DHCS/Xerox Analyst	As Notified	- Confirm Issue is resolved and can be closed and that final resolution is clearly documented in Discussion section - Close Issue after actions are completed, recording effectiveness, lessons learned	Xerox SharePoint	Issue status is “Closed” after ERIC approval or Issue is rerouted to Owner for additional action

2.3.1 Step 1: Identify and Assess Issues

Issues are generally the result of an identified barrier to completing project activities from the project schedule or releases. It is the responsibility of each team member to be vigilant in identifying and assessing Issues to verify that decisions can be made in a timely manner to reduce potentially negative impacts to project completion and program objectives. The identification of Issues by team members and stakeholders is also the avenue to highlight and escalate items that require decision-making by a higher level in the governance structure. If EPMO review of project and portfolio impact reveals Issues, EPMO may document Issues related to the project or the cross-project portfolio.

Communication to the CA-MMIS Counterpart is required with regard to any changes to an issue including Issue content changes, Due Date, Target Date, Resolution steps prior to the Issue being reviewed by ERIC.

2.3.1.1 Identify and Submit Proposed Issue

An Issue can be created whenever a project team member identifies a question, problem, or condition needing to be tracked to resolution. An Issue has the potential to affect project components, including, but not limited to the components listed below:

- Schedule
- Deliverables
- Budget
- Resources
- Quality Assurance
- Sprint Releases

For the System Replacement Project, impediments or blockers of stories are logged internally within the SR project before becoming project level Issues that will be documented formally in Xerox SharePoint. The impediments that meet the selective criteria below will be proposed as project Issues:

- The Impediment cannot be resolved at the Scrum Team level within three days
- The Impediment impacts areas outside of System Replacement
- Action(s) required to overcome the Impediment involve increases to cost or scope. This may require a Change Request (CR) rather than an Issue
- Action(s) required to overcome the Impediment will materially impact sprint commitment/schedule

When Issues are created, consider the following options for responding to the Issue:

- Add staff resources according to the processes in the CA-MMIS *Human Resource Management Plan*
- Revise the effort estimate or other scheduling specifications according to the processes in the CA-MMIS *Time Schedule Management Plan*
- Adjust project or release scope or requirements using the CA-MMIS *Change Control Management Plan* processes
- Add or modify project Risks as described in the CA-MMIS *Risk Management Plan*

To help determine whether to open an Issue, the Issue Originator should follow the guidelines in *Figure 3: When Should I Open an Issue*? Additional guidance can be found in Table 2*: Action Item, Issue, and Risk* Definition that provides definitions of Action Items, Issues, and Risks.

- When a decision, support, or action is needed from another project area, project management, executive management, or stakeholder
- When an answer to one question is needed that, if not resolved, will have an adverse impact to the project. When problem resolution is within control of the project
- Issues are something we can do something about. Risks require actions out of our control, but Issues are in our control

Figure 3: When Should I Open an Issue?

When an Issue is identified, the Issue Originator should enter the Issue in Xerox SharePoint and keep it in proposed form by leaving the Status field set to the initial default "Proposed" value.

For those Issues that require expedited processing once identified, please refer to the Expedited Issue Process listed in the referenced documents table of this document. Those Issues upon first review must meet the following criteria to be considered for expedited escalation:

- High Severity Issue
- Creates a work stoppage
- Cannot wait for disposition as outlined in the normal Issue process

2.3.1.2 Identify Team and Responsible Manager

The proposed Issue should be reviewed with the appropriate Responsible Manager for assessment to determine whether the question, problem, or condition is an Action Item, Issue, or Risk. For questions about the correct Responsible Manager, Issue Originators should consult with the DHCS or Xerox Issue Analysts for assistance. In addition, the DHCS and Xerox Issue Analysts monitor new Issues to identify items that affect multiple project areas or that affect both operational and project groups and recommend escalation for these items.

If the Issue Originator is not an attendee at the team level where the Issue is managed, or otherwise wants to track changes to the Issue, they can set an alert in Xerox SharePoint to be notified by e-mail when changes to the Issue are made. Staff are trained in setting alerts via training referenced in the *SharePoint Electronic Document Library (EDL) Education and Training Plan* and the *Operations Training Plan*.

2.3.1.3 Assess Issue and Assign Owner

When a new Issue is identified, the Issue Originator works with the Responsible Manager and CA-MMIS counterpart to determine if the Issue is valid and that the Issue is within a project area's domain of control. If the initial assessment reveals that the Issue should belong to a different team or project area, the Manager routes the Issue to the appropriate Manager. This routing should be in the form of an e-mail and/or verbal notice that an Issue has been identified and routed to the appropriate Responsible Manager for their assessment. The DHCS and Xerox Issue Analysts should be notified of potential changes involving Managers. If the new manager agrees that the Issue is properly assigned to them, then the DHCS or Xerox Issue Analyst updates the Issue to reflect the new Responsible Manager in Xerox SharePoint.

If the Responsible Manager finds that the Issue is duplicative or should be entered as a Risk or Action Item, they should notify the Issue Originator and the DHCS/Xerox Issue Analysts. A discussion entry noting the reason for cancellation should be entered in the Discussion Field before the item is added to the ERIC agenda.

The Responsible Manager works with the Issue Owner and Project Management Team to assess the impact each Issue has on the project. Assessment analysis includes the following activities:

- Assessing the consequences of a delayed Issue resolution on quality, project cost, 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

The result of the Responsible Manager’s initial assessment must include a concise statement that identifies the decision or action needed as populated in the “Decision/Action Requested” field, the due date by which the decision or action is needed, and the impact if the decision or action is not completed by the due date. The Due Date should be determined in relation to tasks or milestone dates in the schedule that are affected by the decision/action requested. As determined by a schedule event, the unique ID associated to that milestone task should be entered in the “Impact” field where it applies to the relevant schedule.

2.3.2 Step 2: Clarify Issue, Create Resolution Plan, Review, and Verify Issue

Within ten (10) business days of the Issue’s entry into the system, the Issue Owner clarifies the Issue and updates the Issue Log accordingly. As long as the Issue is determined valid between the involved CA-MMIS Counterparts and has been approved by ERIC, the Issue can be opened.

2.3.2.1 Clarify Issue in Xerox SharePoint

Upon completion of the initial Issue assessment, the Issue Owner is responsible for revising the Issue to validate the following fields are correctly populated:

- The Decision/Action Requested field clearly identifies the decision/action being requested
- The Impact field describes the effect if the decision/action is not achieved by the Due Date
- The Impact field identifies the schedule unique ID milestone or task that drives the Due Date selection
- The Description field contains background or supplemental information needed to understand the Issue

As a key part of this step, the Issue Owner should collaborate with the Issue Originator and CA-MMIS Counterparts, to obtain a mutually satisfactory description of the Issue, (e.g., the action or decision requested) its Resolution Plan steps to date (if known), and Due Date. If an agreement cannot be reached, the Issue, in proposed status, should be escalated to a higher Governance entity per the *Governance Management Plan.* The Issue Owner should notify the DHCS and Xerox Issue Analysts the Issue is ready for review and escalation.

For Issues assigned to Legacy Operations, where the Issue originator and owner are the same, the CA-MMIS counterpart is required to be contacted regarding agreement on Issue content and changes where needed. The CA-MMIS counterpart includes but is not limited to the DHCS Manager or DHCS Analyst.

Proposed Issues are reviewed weekly at the ERIC meeting and Governance meetings as determined by management and Governance charters. During the ERIC meeting, the committee reviews the proposed Issue and provides approvals on opening or cancelling a proposed Issue and provides feedback as needed. The Issue Log is located on Xerox SharePoint and depicted in *Table 5: Issue Log*. The Issue Owner is responsible for ensuring the guidelines identified in *Figure 4: Guidelines for Entering an Issue* are followed when entering and revising the Issue.

- The Title must clearly convey the Issue decision/action being requested
- The Decision/Action Requested must be a clear concise question, a description of the decision/action needed
- The Impact should identify the impact if the Issue is not resolved before the Due Date and recommend a solution. If the Due Date is derived from a schedule event, the schedule Work Breakdown Structure (WBS) milestone or task date should be identified; or, where the Due Date is derived from an operational deadline, the schedule event, the schedule WBS milestone or task date should be identified in the Impact field
- The Description field should include background or supporting information to help define the Issue. When the supporting information is longer than three (3) paragraphs, a document can be attached to the Issue and the Description field can reference it

Figure 4: Guidelines for Entering an Issue

2.3.2.2 EPMO Continuous Issue Review

The Xerox Issue Analyst is responsible for confirming that the quality of Issues comply with EPMO standards. To be aware of new items, the Xerox Issue Analyst receives notification via Xerox SharePoint alerts on new and updated Issues. Review priority is given to high severity and escalated Issues. Medium and low severity Issues are reviewed on a spot check basis, as the Xerox Issue Analyst works with Owners, Originators, and Responsible Managers to verify items meet EPMO standards. Where Issues affect multiple projects, or affect both operations and projects DHCS and Xerox Issue Analysts work together to confirm ownership and team assignment.

2.3.2.2.1 Setting the Status of an Issue to Open

Once the Issue Owner, Issue Originator, and CA-MMIS Counterparts obtain a mutually satisfactory description of the Issue (e.g., the action or decision requested), its Resolution Plan steps to date (if known), and Due Date; the Issue can be added to the next week's ERIC meeting agenda and once approved by the committee, the Issue can be opened. . The Resolution Plan does not need to contain all of the steps upon opening an Issue if the steps are not known but should include the first step to develop a Resolution Plan. As long as the Issue is determined valid between the involved CA-MMIS Counterparts and ERIC, the Issue can be opened. Opening of an Issue is done when the DHCS/Xerox Issue Analyst changes the status from Proposed to Open when items meet EPMO standards and when an agreement on the content of the Issue has been agreed to by the CA-MMIS Counterparts and ERIC.

2.3.2.3 Create Issue Resolution Plan

The Issue Owner is responsible for drafting the Issue Resolution Plan steps that are located in the Resolution Plan field of the Issue Log. The Resolution Plan must be fully documented by the 10th business day of the Issue entry into the system. Once the resolution plan is completed, the Issue is brought back to ERIC for committee approval of the resolution plan. If by the 10th business day, no resolution plan is documented with assigned target dates, the Issue is reviewed at ERIC to determine the delay or determine if the Issue requires senior management decision.

On Issue creation, the initial step should always be “1. Create Resolution Plan” with a target date of ten (10) business days from Issue creation/entry (e.g., 1. Create Resolution Plan Target Date: 7/31/13). With input from the team and affected project area, the Issue Owner documents the Resolution Plan steps necessary to drive the Issue to closure. Resolution Plan steps are constructed to use the “what/who/when” construct: they identify the action; the person assigned to perform the action; and the action due date.

Resolution Plan steps should be sequential discrete tasks with a single assignee and a single target date listed in red font. Avoid an ambiguous task like “hold meeting” in place of a concrete and demonstrable task like “secure agreement on design.” Avoid combining tasks that require multiple assignees. For example, “procure and install router” might be broken into “procure router”, “configure router”, and “test connectivity” with different assignments and sequential due dates.

Resolution Plans are in the form of sequential, numbered steps that identify the steps and sequence that will be taken to bring the Issue to closure. Although some steps may be assigned to persons outside of the team, it is the responsibility of the Issue Owner to track the Issue to completion. It is the responsibility of the Issue Owner to collaborate with the Issue Originator and CA-MMIS Counterparts to validate the Resolution Plan fully addresses the Issue and effectively leads to closure. The Issue Owner should request additional information and input from the team, affected project area, and other stakeholders, as necessary, to understand the complexity of the Issue so an effective Issue Resolution Plan can be developed.

Resolution Plan steps may refer to tasks contained in the project schedule or Version One. These tasks are referenced in the Resolution Plan by citing the task unique identifier and task name. The Resolution Plan steps could point to the section of the schedule where the work is performed, with the end date for the resolution plan step being the same as the end date for the concluding schedule task.

If the initial analysis of the Issue reveals that it requires decision or action by a higher governance level, the Issue Owner, with concurrence from the team, sets the Governance Level to a higher level than Team as per the *Governance Management Plan*. Issues that affect multiple projects or that affect both operational and project groups should also be escalated. The Issue Owner notifies the Xerox Issue Analyst that an Issue is ready for review and escalation per the *Governance Management Plan*. Once the Resolution Plan has been outlined, the plan is then added to the next ERIC agenda for review and approval of the plan. If approval is granted then the team works the Issue as outlined in the Resolution Plan, otherwise the owner will be asked to go back and modify the plan and to bring it back to ERIC the following week for approval.

2.3.3 Step 3: Continuous Issue Response Monitoring and Control

Active Issue Management is necessary to verify that identified Issues are resolved in a timely manner to reduce potentially negative impacts to the project or operational activity. Project Management, both DHCS and Xerox, are responsible for verifying Issue Resolution steps are performed by the due dates assigned and that the identified resolution steps actually result in a resolution to the Issue. If additional Resolution Steps need to be added, changed, or deleted, the Issue Originator, and CA-MMIS Counterparts should be notified and provide approval prior to the Issue being modified. The Issue Owner is primarily responsible for verifying that the escalation occurs if the Issue Resolution steps are not achieving the necessary progress and if critical path tasks or key deliverables are being adversely affected. If the modification of the resolution steps affects the overall due date of the Issue, the issue must be added to the following week's ERIC agenda for approval to extend the overall due date of the Issue. Before approval can be given, the owner must include a statement in the discussion field indicating the reason or need to extend the due date of the issue (e.g., the schedule date changed, additional resolutions steps were added, the work is more than expected, etc.)

2.3.3.1 Monitor and Manage Issues through Resolution

The Issue Owner is responsible for actively managing and controlling the execution of the Issue Resolution Plan as well as taking the steps necessary to achieve the Due Date. Management and control activities include:

- Tracking and updating the Issue in Xerox SharePoint on a weekly, or more frequent, basis by updating the status of Resolution Steps and inserting Discussion entries in Xerox SharePoint to document changes, updates and current status.
- Updating due dates and Resolution Plan step target dates. When a target date for a Resolution Plan step changes or the Issue Due Date changes, it should be documented in a Discussion entry that says, "date changed from <> to <>"; and a comment that gives the reason for the date change. A new target date should be added next to the existing date in red text. Changes to the Issues must be logged in the Discussion field. Individual resolution step target dates can be modified as long as there is counterpart agreement and they do not extend the overall due date. Due Dates can only be changed by the Xerox and DHCS Issue Analyst after ERIC approval.
- Once a step is completed place the word "Complete" in green font next to the existing target date and add the date it was completed if different than the existing target date
- Working directly with Issue Resolution Step assignees, as necessary, to achieve the Due Date
- Preparing timely input for project progress reports, as required by standards set forth in this Plan
- Monitoring performance to verify timely notification of delays in the Issue Resolution Plan steps
- Combining or separating Issues into other Issues
- Updating the Issue's status to program and project management teams
- Monitoring performance to verify timely notification of delays in responding to Issues
- Communicating status of Issues to team members and stakeholders
- Monitoring and evaluating metrics to help verify adequate notice of changes is provided
- Analyzing the results of the resolution for effectiveness and lessons learned

The Issue Owner, in weekly reviews with DHCS and Xerox project management, determines whether specific direction, decision, or action is required from senior management to complete Resolution Plan steps. Where Resolution Plan steps are required from persons outside the affected project area, the Issue Owner is responsible for coordinating the tasks with other affected project area leads. However, when direction, decision, or action is required from senior management, the Issue may be escalated per the Project Governance structure. For Issues escalated to higher Governance levels, an Issue white paper may be included and attached to the Issue in Xerox SharePoint. The white paper template includes sections to identify relevant CRFP and NTP sections, identify and analyze alternative solutions and recommend a solution. The white paper template is included as *Appendix C.*

As long as steps in the Issue Resolution Plan are outstanding, the Issue Owner is expected to continue to manage and monitor the Issue, unless the Issue is transferred to another owner. If the Issue is reassigned, it is the responsibility of the previous Issue Owner to alert the new owner and provide additional documentation necessary to execute the Issue Resolution Plan. If an Issue is reassigned, it also requires mutual approval by the affected team or CA-MMIS counterpart before the item is reassigned.

On a weekly basis, the team or Project Management Team, with key stakeholders including the DHCS members, assesses the impact each Issue has on the project. Assessment analysis includes the following activities:

- Assessing the consequences of a delayed Issue resolution on quality, project cost, 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 a possible response to resolve an outstanding Issue
- Providing a current status update during review of the Issues assigned to that particular team or Project Management Team

2.3.3.2 Escalate Unresolved Issues

If the Issue Owner, Team, Responsible Manager, and CA-MMIS Counterpart determine the Issue requires escalation based on the criteria identified in *Table 4: Issue Escalation Criteria,* the Issue should be escalated per the *Governance Management Plan.*

Table 4: Issue Escalation Criteria

Criteria	Measure
An Issue description cannot be agreed upon at the project level between the owner and the originator or there has been no response or update to the Issue. Issues with no outlined Resolution Plan within ten (10) business days of Issue entry	Issue has been in Proposed status for longer than ten (10) business days without mutually agreed update to Decision/Action Requested, Impact, Description, and Resolution Plan or there has been no response or update to the Issue Issues with no outlined Resolution Plan within ten (10) business days of Issue entry
An Issue has steps in the Resolution Plan that are past due and they affect the critical path or key milestone delivery dates.	Key milestone or critical path tasks are affected by at least one (1) day.
Approval of the Resolution Plan requires a decision from a higher Governance level.	Decision/Action requested is beyond the authority of the Team.
Where Issues affect multiple projects or affect both operations and projects.	Tasks on the schedules for more than one (1) SDN or Project are affected.

Upon escalation, the Issue Owner or project manager should work with Xerox and the DHCS stakeholders to perform these tasks to be updated in the Issue in Xerox SharePoint:

- Review the resolution strategies and results to date
- Document revised Resolution Plan steps and revise the Due Date
- Track the revised Resolution Plan steps until resolution
- Notify the project team of the Issue's resolution

Tracking of Issues that are escalated are maintained on the Due Date Reporting tool by the Xerox Issue Analyst. After stakeholders perform their tasks as listed above, the originator contacts the Xerox Issue Analyst to close the Issue.

For escalated items, the Xerox Issue Analyst receives notification from the owner that an escalated Issue is ready for EPMO review. The Xerox Issue Analyst confirms the Issue does not duplicate an existing Issue, or inappropriately re-opens an already closed Issue, that it adheres to EPMO standards as identified in this plan, and that it contains adequate information for escalation. If deficiencies are identified, the Xerox Issue Analyst works with the owner to resolve them. Once verified, the status is changed by the Xerox Issue Analyst to “Open”.

Issues may be escalated to the Contract Issue Resolution Team (CIRT) if the decision requested involves a contract question. CIRT’s primary focus is the development of recommendations for resolution of identified contract-related Issues. These Issues are referred to CIRT by the CEOC. CIRT accepts the assigned Issue and:

- Verify the Issue can be resolved by CIRT
- Request additional information from CEOC necessary to resolve the Issue
- Provide recommendation for resolution to CEOC

Issue resolution is prioritized by CIRT members based upon the following characterizations:

- Highest priority – Project Issues identified as directly impacting project implementation dates or key milestone dates
- Medium priority – Project Issues identified as having a strategic impact upon the Fiscal Intermediary (FI) contract
- Low priority – Administrative only Issues

For Issues escalated to CIRT, the DHCS and Xerox Issue Analysts will work with owners to create white papers (template is included as *Appendix C)* which can be attached to the item in Xerox SharePoint if applicable. If an owner or white paper creator deems the content to be confidential, the white paper may be located in a secured folder in Xerox SharePoint and the owner should create a hyperlink to the folder location in the “Resolution Plan” field of the Issue.

2.3.3.3. Criteria for Issue Closure

Issues can be closed when the steps in the Resolution Plan are complete and the Owner, Originator, and CA-MMIS Counterparts agree that the Issue no longer exists. The Issue Owner may recommend closure based on the following criteria:

- Resolution Plan steps are complete and the Issue no longer exists
- Resolution of the Issue is tracked via another Issue, Action Item, or Risk
- The Issue is closed by one project and a new Issue is created by another project
- A system change artifact such as an SDN tracks the remaining work to resolve an Issue

To initiate the closure process, the Owner updates the related items with the SDN, Issue, Action Item, or Risk that is causing the Issue to close. Final Resolution of the Issue is documented in the Discussion Field. The Owner then forwards the Issue to the Originator to confirm it is resolved and can be closed.

If the Issue Originator disagrees, they route the Issue back to the Issue Owner for additional actions required to complete the Issue resolution.

2.3.4 Step 4: Confirm and Close Issue

As notified by the Issue Owner, Team, or Responsible Manager, the Issue Originator reviews the resolved Issue and verifies it can be closed. The Issue Owner (upon approval from CA-MMIS Counterparts) contacts the DHCS or Xerox Issue Analyst and requests to close the Issue on their behalf. Once agreement is reached on closure by the CA-MMIS Counterparts, the Issue is added to the next ERIC meeting agenda for formal approval to close. Once approval is given, the analyst sets the Issue status to “Close”, enters a “Closed” date, and notifies the Team, Responsible Manager, Issue Owner, and CA-MMIS Counterparts.

The Issue Owner works with the DHCS and/or Xerox Issue Analyst to record information as follows:

- Document the results of the Issue and how it was resolved
- Analyze the results of the Issue Resolution Steps for effectiveness
- Document the results of the analysis in the Resolution Plan field, or in a document attached to the Issue
- Document follow on Issues, Risks, or Action Items in the Related Items field
- Notify Issue originator and other affected team or operational leads of Issue closure or modification of status

At the completion of the System Replacement, Enhancement, and Legacy Systems Operations phases, Issue resolutions are compiled and reviewed for a lessons learned session by Xerox and the stakeholder.

2.4 Outputs

The outputs and reports created by this process are as follows:

2.4.1 Issue Log

The Issue Log is created, maintained, and stored on Xerox SharePoint. It serves as a complete listing of Issues identified during the System Replacement, Enhancements, and Legacy Systems Operations phases. Project team members may access the Issue Log by clicking the Issues link from the Xerox SharePoint CA-MMIS home page.

Table 5: Issue Log shows the fields and descriptions in the Issue Log that are filled in over time. Fields denoted with an asterisk (*) next to the field name are required for Issue creation.

Table 5: Issue Log

Field Name	Description
Title *	The Title for the Issue. The Title should be brief, specific, and identify the decision/action requested.
Decision/Action Requested *	A concise statement of the decision or action requested from management or another party outside of the affected project area that will close the Issue. This defines what the “ask“ is for the Issue or senior management.

Field Name	Description
Impact *	A description of the impact if the decision/action is not accomplished by the Due Date, and a rationale of why the Due Date is selected. In cases where the Due Date is derived by a schedule event, the unique ID and description of the schedule task/milestone should be added. In cases where the Due Date is derived from an operational deadline, the description and date of the deadline should be added.
Description*	Background or supplemental information necessary to understand and define the Issue. When longer than about three (3) paragraphs, the users can attach an optional document in Xerox SharePoint and make a reference to the document in the Description field.
Status *	The Status is determined using the following guidelines: • Proposed — The default value when creating a new Issue. Used when an Issue has been created but not yet reviewed by the EPMO for conformance to standards. Issues should not stay in Proposed status longer than ten (10) business days • Open — Used when the Issue has been verified by the Issue Analyst and approved by ERIC and is being managed toward closure • Resolved — Used when an Issue Resolution Plan has been completed and the Issue is awaiting approval of closure • Cancelled — Used when an Issue has been entered in error, is duplicative, or its entry is otherwise to be disregarded. The “Cancelled” status can only be used on those Issues that were previously in “Proposed” status for reporting purposes • Closed — Used if the Issue Resolution Plan has been executed and the Issue is resolved and approved by ERIC (Note: The Date Closed field should be updated at the time the Issue is set to this status). Once an Issue is opened, the Issue can only be set to closed for reporting purposes. Issue statuses are updated on an ongoing basis.
Resolution* Resolution Plan Steps	Text field where the Issue Owner documents the final resolution of the Issue including analysis on effectiveness of the resolution plan. Documentation of steps not completed/skipped and the reason should also be included here. A set of inserted steps, numbered sequentially, with the following sub-fields: • Number • Description • Assigned To • Target Date • Status
Responsible Manager *	Responsible Manager is responsible for performing the initial assessment and escalating the Issue as needed with the concurrence of the team or project team.

Field Name	Description
Issue Owner *	The Issue Owner assigned to execute or supervise the execution of Resolution Plan steps. The Issue Owner is responsible for ongoing management of the Issue through closure. This is true even if some Resolution Plan Steps are assigned to persons outside of the team or operational group.
CA-MMIS Counterpart*	DHCS and Xerox stakeholders who have a vested interest in the Issue. Stakeholders must be notified and approve changes/updates to the Issue.
Governance Level*	The Governance Level flag is used to indicate at what management level the item is reported. For details, see the *Governance Management Plan*.
Severity *	The degree to which the Issue negatively impacts the System Replacement, Enhancements, and Legacy Systems Operations phases. Assignments are: 1 = High – Impact is direct: Impact directly affects critical path tasks or otherwise directly affects project schedule, scope, cost, or quality 2 = Medium – Impact is less direct: Does not yet impact critical path tasks or otherwise does not directly affect project schedule, scope, cost, or quality 3 = Low – Impact is minimal: Does not impact critical path tasks or does not have a significant impact on project schedule, scope, cost or quality
Priority*	The priority of the Issue in relation to other Issues where contention for resources may exist. This should be established by project management through regular review meetings. High — Priority is highest due to effect on project scope, schedule, quality, or critical path Medium — Priority can be delayed behind high priority items. May have some effect on schedule, scope, or quality Low — Priority is lowest based on lower effect on schedule, scope, quality. Does not affect critical path
Initial Due Date*	The first Initial due date by which the Issue must be resolved—specifically that the steps in the Resolution Plan Steps are completed. This field will always contain the first due date that was listed for this Issue and will not change.
New Due Date *	The current date by which the Issue must now be resolved—specifically that the steps in the Resolution Plan Steps are completed. The New Due Date is a result of extending past the Initial Due Date.
Portfolio *	The Portfolio that identifies the area or project the issue is assigned to in the CA-MMIS Contract.
Project *	The Project to which this Issue is assigned for management.
Team *	The team to which this Issue is assigned for management.
Phase*	The Phase of the project that is impacted by the Issue
Product Area*	The Product or Business affected area

Field Name	Description
Related Item	Free-form text field used to identify related Issues, Risks, Action Items, or FI letters. Include Issue, Risk, Action ID, or FI letter identifier to enable readers to locate the referenced item.
Date Closed*	Date the Issue was closed. This must be populated when the Status is changed to Closed or Cancelled
Discussion	Free-form text field allowing for ongoing tracking of status updates for reporting purposes. When a date changes in the Resolution Plan or Issue Due Date, a Discussion entry should record the prior date and new date (i.e., “Resolution Plan step 1 date changed from x to y.”) When an Issue closes, a Discussion entry should describe the reason for closure and final resolution.

2.4.2 Reporting

The Xerox Issue Analyst supports the various status reporting needs of the project by generating the following reports:

- **Team Issue Reports**: The Xerox Issue Analyst provides a list of Issues assigned to a particular team for discussion at their weekly meeting. Alternatively, the team may produce the report using Xerox SharePoint. Refer to the *Communication Management Plan* for additional information
- **Issue Due Date Report**: The Xerox Analyst provides list of issues with team assignment, owners, status, and due date on a weekly basis.
- **Issue Ad-Hoc Reports:** Issue ad-hoc reports are available upon request and if agreed upon by DHCS may be added to weekly standardized reporting.

2.5 Metrics

Metrics are defined, collected, and analyzed to facilitate the monitoring of project objectives.

The Xerox Issue Analyst supports ad-hoc requests and Weekly Progress Reports by generating Issue metrics used for current standardized reporting. This metrics report may be added at request, if agreed upon by DHCS, and may change as reporting changes to better meets the needs of executive management.

Table 6: Issue Metrics

Severity	# Opened during Period	Total # Open	Total Closed During Period	# Closed Early/On Time	# Closed Late	# Past Due
High Severity						
Medium Severity						
Low Severity						

3. Roles and Tools

This section identifies the roles, responsibilities, tools, and training necessary to execute this topic effectively in support of the project.

3.1 Roles and Responsibilities (Contractor and State)

This section identifies the roles and responsibilities, training, and tools necessary to support the Issue Management process.

The roles and responsibilities necessary to execute this plan are outlined in the following table:

Table 7: Roles and Responsibilities

Role	Role Description and Actions
Issue Originator	• Identify Issues • Enter Proposed Issue in Xerox SharePoint • Participate in initial Issue assessment
Xerox Issue Analyst	• For high severity escalated Issues, validate Issue information is complete in Xerox SharePoint and complies with plan requirements • Identify and assess Issues • Monitor and report on progress of resolving Issues • Provide Issue information in support of status reporting
DHCS Issue Analyst	• Validate Issue information for DHCS-originated Issues is complete in Xerox SharePoint and complies with plan requirements • Assists to identify and assess Issues • Monitor and report on progress of resolving Issues
Team or project area	• Assess Issues and help develop and refine resolution steps • Approve Issue Resolution Plan steps and modify as needed • Escalate Issues to higher Governance level as needed
Responsible Manager	• Conduct initial Issue assessment • Assign Issue Owner

Role	Role Description and Actions
Issue Owner	• Refine Issue in Xerox SharePoint and notify Issue Analyst when complete • Identify Issue Resolution Plan steps • Monitor execution of Issue Resolution Plan steps • Re-Plan Issue Resolution Plan steps as information changes • Analyze effectiveness of Issue Resolution Plan • Document, at least weekly, status of owned Issues in Xerox SharePoint
CA-MMIS Counterpart	• DHCS and Xerox stakeholders who have a vested interest in the Issue. Stakeholders must be notified and approve changes/updates to the Issue
CA-MMIS System Replacement Director	• Review and assess project status using Issue reports • Report Issues at higher Governance Level • ERIC voting member
Xerox EPMO Director	• Validate team members are trained on Issue Management Process • Review and assess quality of Issue Management Processes and Reports • Review and assess Issue resolution status • Receive Xerox-originated Issues where non-compliant and escalated for action • ERIC voting member
DHCS PMO Director	• Approve *Issue Management Plan* • Review and assess quality of Issue Management Processes and Reports • Receive DHCS-originated Issues where non-compliant and escalated for action • ERIC voting member

3.2 Training

By inclusion in the EPMO project schedule, the EPMO supports the CA-MMIS Training Team to structure a training rollout and maintenance plan, which may include:

- PowerPoint summary of key workflows
- Walkthrough of the *Issue Management Plan* with Xerox Team Responsible Managers, EPMO Project Managers and other designees
- Walkthrough of the *Issue Management Plan*, as requested, for the DHCS representatives
- Distinct module of Project Control and Reporting System (PCRS) training to be provided by the CA-MMIS Training Team

- Weekly reviews with Xerox Leads and Issue Owners via e-mail correspondence

Additionally, the EPMO Team may provide supplemental training via Brown Bag or one-on-one training sessions if needed.

3.3 Tools

The Issue Log in the project's Microsoft® Office SharePoint® site allows team members to control the following tasks:

- Verify Issue assessments address the pertinent aspects of the project
- Provide specific means of overcoming the underlying basis for the Issues
- Track and monitor Issues
- Assist in the assessment of Issues

The tools used to support the Issue Management Process include the following:

1) **Microsoft Office Project Professional 2007** — Establishes Issue Management activities in the project work plan.
2) **Microsoft Windows SharePoint Portal Server** — A repository used to retain the project's artifacts including the Issue Log, Issue Reports, and meeting minutes from Team meetings and Committee meetings. Stakeholders with authorized access to the project's Web portal can review the content of the project's artifacts.
3) **Microsoft Office Excel** — Used to collect and report metrics as noted above.
4) **Microsoft Office Access** — Used as an interface tool to the Xerox SharePoint server to meet the various status reporting needs as noted.

4. Quality Assurance

As part of the weekly process, the Xerox Issue Analyst reviews open Issues to verify on-going compliance with EPMO standards as identified in this plan. For example, the Xerox Issue Analyst verifies that a Resolution Plan does not have tasks with due dates that are past due; that Issues that have been proposed for more than ten (10) business days have a Resolution Plan documented, etc. The Xerox Issue Analyst works with the Team Responsible Manager and Issue Owner to correct deficiencies.

The Xerox Issue Analyst monitors compliance as noted above, and where deficiencies persist, recommends process improvements, such as process training, etc. For Issues with deficiencies not resolved within one (1) reporting period, the Xerox Issue Analyst escalates compliance Issues to the EPMO Process Lead and appropriate project directors. For DHCS originated Issues with deficiencies not resolved within one (1) reporting period, the Xerox Issue Analyst escalates compliance Issues to the DHCS PMO Director and DHCS Issue Analyst for discussion, review, and additional escalation to the appropriate governance meeting per the *Governance Management Plan*.

Ongoing improvements to this plan can be suggested by both DHCS and Xerox. The Xerox Issue Analyst collects suggestions for improvement and may recommend periodic modification of the plan outside of the regular updates referenced in the *Document Management Plan.* These updates are to be jointly approved by DHCS and Xerox.

4.1 Milestones

This section identifies project milestones related to the approval, training, and monitoring of this topic. The milestones listed below are included in the project schedule:

- The *Issue Management Plan* is reviewed by the Xerox EPMO
- The *Issue Management Plan* is reviewed by QM
- The *Issue Management Plan* is approved by the DHCS
- The Project team is oriented and trained on the topic and process via the PCRS training referenced in *Section 3.2 Training*

4.2 Verification Steps

As part of the weekly process, the Xerox Issue Analyst reviews open Issues to verify on-going compliance with EPMO standards as identified in this plan. For example, the Xerox Issue Analyst verifies that a Resolution Plan does not have tasks with due dates that are past due; that Issues that have been proposed for more than ten (10) business days have a Resolution Plan documented, etc. The Xerox Issue Analyst works with the Team Responsible Manager and/or Issue Owner to correct deficiencies.

Table 8: Verification Steps

Verification Steps	Frequency
Document Quality Assurance (QA) review of the work products and other outputs associated with this topic.	Occurs at project start-up
Process QA review of the execution of this topic.	Annually
Review new Issues for adherence to standards.	Daily
Publish agreed to metrics for: Issues with Due Dates pushed out, and Issues remaining in "Proposed" status ten (10) days after creation.	Weekly

5. Definitions

This section lists glossary terms specifically applicable to this document.

Table 9: Definitions

Term/Acronym	Definition
ASDA	Agile Software Development Approach
Agile	A group of software development methods based in iterative and incremental development.
CA-MMIS	California Medicaid Management Information System
CEOC	CA-MMIS Enterprise Oversight Committee
CIRT	Contract Issue Resolution Team
CMMI	Capability Maturity Model® Integration
CR	Change Request
CRFP	Conformed Request for Proposal
DHCS	Department of Health Care Services
EDL	Electronic Document Library
ENH	Enhancements
EPMO	Enterprise Project Management Office
ERIC	Enterprise Risk and Issue Committee
FI	Fiscal Intermediary
ICD-10	International Classification of Diseases-10
IEEE	Institute of Electrical & Electronics Engineers
Impediment	Something that impedes; is a hindrance or obstruction, blocking the team from performing
Issue	An occurring question, problem, or condition that requires a decision, support, direction or other resolution activity from project management, stakeholders, or other elements outside the originating project area.
Issue Assessment	The determination of the decision, direction, support, or other action that resolves the question, problem, or condition, and includes identification of the severity, due date, and appropriate governance level for escalation.

Term/Acronym	Definition
Issue Identification	The process of identifying and documenting an Issue.
Issue Log	Located in the project’s central repository, Xerox SharePoint, where Issues are documented, updated, tracked, and reported through closure.
Issue Management	The process used to identify, analyze, and resolve Issues.
Issue Resolution	The series of actions needed to reduce or eliminate the negative impacts of the question, problem, or condition. Each action needs to state what is to be done, who is responsible for doing it, and by when it must be done.
NTP	Narrative Technical Proposal
OSI	Office of Systems Integration
PCRS	Project Control and Reporting System
PMBOK	Project Management Body of Knowledge
PMM	Project Management Methodology
PMO	Project Management Office
QA	Quality Assurance
Scrum Team	A team that defines tasks and assignments as it relates to the System Replacement Project
SDLC	System Development Life Cycle
SDM	System Development Methodology
SDN	System Development Notice for development changes to the Legacy Systems
SLR	State Level Registry
Sprint	A set period of time during which specific work has to be completed and made ready for review
SR	System Replacement
WBS	Work Breakdown Structure
Xerox	Xerox State Healthcare, LLC,

6. Risks and Mitigation Strategies

During the Initiate phase of each project, Project Managers should perform a Risk assessment of their functional areas and document identified Risks as described in the *Risk Management Plan*. Please refer to the *Risk Management Plan* deliverable for Risk management and documentation of mitigation strategies.

The *Issue Management Plan* assumes that EPMO role for the Xerox Issue Analyst are filled throughout the project duration. If this role is vacant for periods of time, conformance to the identified processes is impacted. Mitigation is to cross train the EPMO staff on these positions.

7. Process Changes

7.1 Business Changes

The *Issue Management Plan* introduces a role for a DHCS Issue Analyst to review items for conformance to standards and recommend team assignment and escalation.

Management of business changes is documented in the *Business Change Management Plan* deliverable. Please refer to that deliverable for more information related to how business changes are managed and implemented.

7.2 Technical Changes

Management of and changes to configuration items are documented in the *Change Control Management Plan* deliverable. Management of and changes to non-configuration items are documented in the *Deliverables Management Plan*. Please refer to the applicable deliverable for more information related to how technical changes are managed and implemented.

Appendices

A. Referenced Documents

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

Table 10: Referenced Documents

Referenced Document	Document Location
A.4.e Operations Training Plan	**CA-MMIS Project Portal** > **Library** > **Deliverables Library**
DPP.0011 Business Change Management Plan	**CA-MMIS Project Portal** > **Library** > **Deliverables Library**
ENT.0003 Project Management Plan Overview	**CA-MMIS Project Portal** > **Library** > **Deliverables Library**
ENT.0004 Governance Management Plan	**CA-MMIS Project Portal** > **Library** > **Deliverables Library**
ENT.0006 Risk Management Plan	**CA-MMIS Project Portal** > **Library** > **Deliverables Library**
ENT.0007 Action Item Management Plan	**CA-MMIS Project Portal** > **Library** > **Deliverables Library**
ENT.0009 Change Control Management Plan	**CA-MMIS Project Portal** > **Library** > **Deliverables Library**
ENT.0012 Communication Management Plan	**CA-MMIS Project Portal** > **Library** > **Deliverables Library**
ENT.0011 Deliverables Management Plan	**CA-MMIS Project Portal** > **Library** > **Deliverables Library**
ENT.0020 Human Resources Management Plan	**CA-MMIS Project Portal** > **Library** > **Deliverables Library**
Schedule Management Plan	**CA-MMIS Project Portal** > **Library** > **Deliverables Library**
SharePoint EDL Education and Training Plan	**CA-MMIS Project Portal** > **Library** > **Deliverables Library**
Enterprise Risk and Issue Committee Charter(ERIC)	**CA-MMIS Project Portal** > **Governance** > **SPMC** > **ERIC** > **Charter**
Issue Management Job Aide	**CA-MMIS Project Portal** > **Workgroup** > **EPMO** > **Issue Management**

Referenced Document	Document Location
Expedited Issue Process	**CA-MMIS Project Portal** > **Workgroup** > **EPMO** > **Issue Management**

B. Applicable Standards

As mandated by the CRFP, including Exhibit E, Provision 57, the *Issue Management Plan* meets or exceeds the industry standards and guidelines noted in the table below. Additionally, the PMM maps to CMMI Level 2.

Table 11: Applicable Standards

Industry Standard / Guideline
Project Management Body of Knowledge (PMBOK) Version 5
IEEE 1058-1998 IEEE Standard for Software Project Management Plans
IEEE 16085:2006 Systems and Software Engineering - Life Cycle Processes - Issue Management (Note: IEEE 16085:2006 replaces IEEE 1540:2001 IEEE Standard for Software Life Cycle Processes - Issue Management)
Best Practices for the Project Management Office of the Office of Systems Integration (OSI) located at: www.bestpractices.osi.ca.gov/sysacq/projectoffice.aspx

C. Issue White Paper Template

C.1 Issue Decision/Action Requested

The Issue Decision/Action Requested section should identify the decision/action requested and the person or governance body empowered to make the decision or take the action. Use the Issue Description field as a basis for filling out the following bullets:

- Decision/Action Requested
- Due Date
- Person/Governance Body Empowered to Take Action
- Impact if not Accomplished by Due Date

This section describes the adverse impact on scope/schedule/cost/quality that is encountered if the decision/action is not accomplished by the Due Date. If possible, quantify the impact in terms of schedule days slipped; added cost incurred, etc.

C.2 Recommended Decision/Action

Identify the recommended decision/action from the alternatives considered in Section 2.

Table 12: Recommended Decision/Action

Alternative Number, Description	Reason for Recommendation
Alternative (x) Description of recommended decision/action	Most fully meets requirements Least cost/effort Most quickly accomplished Etc.

C.3 Alternatives Considered

Describe the alternatives considered. Identify each alternative in a separate section.

C.4 Alternatives 1, 2, 3…

Describe the decision/action alternative in the following format:

- Description of Decision/Action
- Describe the decision/action. Use a “What/When/Who” construct

- Completeness of Solution
- How well does this alternative solve the Issue problem? How well does it address CRFP and NTP sections if appropriate
- Feasibility of Solution
- How easily can this alternative be accomplished in terms of cost/resources/schedule? Does this alternative require additional approval outside of the CA-MMIS Governance authority

C.5 Related CRFP, NTP Sections

The following CRFP sections are related to this Issue:

Table 13: Related CRFP Section

CRFP Section Number	CRFP Section Description
ID number	Description

The following NTP sections are related to this Issue:

Table 14: Related NTP Section

NTP Section Number	NTP Section Description
ID number	Description