



**Medicaid Management Information System
Replacement (MMISR) Project
MMIS Project Change Control Management
Plan (PMO10)**

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1.0 Introduction

The Change Control Management Plan (CCMP) is used for all changes to the Health and Human Services (HHS) 2020's Medicaid Management Information System Replacement (MMISR) project. The CCMP describes the approach, methods, and tools used to manage Project Change Requests (PCRs) and to communicate the approved changes to project staff and appropriate stakeholders. The Enterprise Project Management Office (EPMO) and the State of New Mexico (NM) Human Services Department (HSD) have collaborated to document this management plan.

This CCMP documents the current change management process that is in place for both program and technical change requests. This CCMP is updated on an annual basis, at minimum, and will be updated as Configuration Management for MMISR and HSD matures through the use of tools.

2.0 Approach

The MMISR project utilizes this management process for governance, advisory, and decision-making for all changes such as in scope, schedule, technical configurations, deliverables, and cost. The EPMO manages the change process, interacting with submitters, stakeholders, governance councils, the MMISR Change Control Board (CCB), Technical Change Review Board (TCRB), and associated oversight entities to facilitate efficient decisions and strategic outcomes. The EPMO works with NM HSD as the state partner and validates, verifies, and oversees changes for the MMISR project as well as other HHS 2020 agencies who may be impacted by a specific change.

The CCMP ensures that all project or technical Change Requests (CRs) follow the same clear and repeatable process; initiation, qualification, analysis, presentation, and possible vote to CCB, presentation and vote to TCRB, presentation and possible vote to ESC, and verification/closure once approved changes are implemented.

The Information Technology Division (ITD) CCB Change Log and process is outside of the scope of this document and handled in a different capacity not governed by this Plan.

3.0 Purpose

The purpose of the CCMP is to authorize and empower a single, change management process and to support the boards/councils with efficient processes, analysis of appropriate alternatives, and reliable estimates of project impact in order to facilitate informed and timely decision making.

The CCMP also defines processes and procedures to support project wide training and awareness for all persons involved in requesting, processing, and approving or rejecting proposed changes. In this plan, we have outlined both the project specific change requests and "TCRB" changes which are technical changes to the infrastructure, software applications, or underlying technology that operates and supports the functions of the MMISR and HHS 2020 platform. Throughout this document, project change requests and technical change requests are outlined and show how both types of changes are handled. For ease of reading, we refer to all change requests as CRs in this Plan. The goal of the CCMP is to ensure that the authorized and funded project scope is accomplished, the cost of the project is contained, and the schedule is managed. The CCMP provides the mechanism for making appropriate, authorized, and funded changes to the project baseline in each of these areas when needed.

4.0 Change Control Overview

The change control process requires the active participation of groups and individuals to analyze, advise, process, decide on, and communicate changes. These activities are depicted in Figure 1 - Change Control Management Process Diagram.

The goal of the change control management process is to ensure:

- 1) changes are introduced in a controlled, consistent, and coordinated manner, and
- 2) standardized methods and procedures are used for efficient and prompt handling of changes, thereby minimizing the impact of change upon effective project execution.

The change management process establishes an orderly and effective procedure for tracking the submission, coordination, review, evaluation, and approval/denial of all changes. This CCMP encompasses project, technical, data, and business changes as well as any interdependencies among the four (4).

The diagram below presents the six (6) phases of the Change Control Management Process described in the sections that follow.

4.1 Change Control Management



Phase 1 – Initiation

During the initiation phase, a submitter identifies that a change needs to be made and communicated to the appropriate project stakeholders. In general, the submitter identifies if the change is a project-related change or a technical-related change. When a project stakeholder has doubt, the Change Manager is available to advise and discuss the type of change being contemplated. The submitter completes a Change Request (CR) in either the SharePoint Project Change Management Log and/or in the Technical Change Review Board SharePoint log, depending upon the type of change. The Change Manager is notified from the SharePoint logs when a CR has been logged. Technical or project related CRs follow similar processes to achieve approval through their distinct governing boards; however, project-related CRs may, depending upon scope, schedule, or cost thresholds, need to be presented to the Executive Steering Committee and therefore, project-related CRs have additional steps documented for the CCB governing board and the ESC. Links to each of the technical and project related SharePoint logs are included in [Appendix C: Referenced Documents / Links](#).



Phase 2 – Qualification

During the qualification phase, the Change Manager (CM) performs an assessment on the submitted technical or project related CR to verify the change submitted is from a project stakeholder and that the appropriate Module Contractors and/or NM HSD Project Manager (PM) affected are aware of the submitted change, that the change is unique and not duplicative of any prior change(s), and that either the CR or TCRB ticket logged is complete (all required fields completed) for either the CCB or TCRB SharePoint logs. As part of

the qualification phase, the Change Manager will ensure that the submitter has already, or will, as part of *Phase 3: Analysis* step, complete an impact analysis for the requested change and that this impact analysis is documented in the CR logged. Depending upon the type of change being requested, the Module Contractor or MMISR security lead may need to draft an Information Security Risk Assessment (ISRA) to ensure compliance with MARS-E 2.0 controls. The Change Manager meets with stakeholders to obtain any necessary or additional information, if required, and to inform all other modules and/or integration partner agencies of the change and that the module or agency may need to participate in the analysis phase in order to fully assess any downstream impacts of the proposed change. The Change Manager updates the appropriate Change Management Log with any new or changed information relative to the CRs. The CM does not accept or reject any change at this stage. The EPMO does not have authority to accept or reject a change for the HHS 2020 project. The EPMO's role is to facilitate the change control management process so the appropriate governing board can accept or reject the change. This phase is simply used to verify completeness of information and ensure that all relevant and affected project stakeholders are informed of the CR.



Phase 3 – Analysis

The analysis phase commences when the CR has been qualified by the EPMO. The impacts of the change are documented during this phase, including noting any contract or Statement of Work (SOW) impacts, other Module Contractors which may be impacted and/or other HHS 2020 agencies impacted are noted by the submitter and the NM HSD Project Manager (PM). During this phase, presentation of the change to either a Workgroup, Board, or Council *may* occur to fully complete the impact analysis and/or ensure the change is fully vetted prior to presentation to the TCRB or CCB, however, not all CRs need to be reviewed or vetted by a workgroup. Data model changes may be reviewed with members of the data team before a presentation to the HHS 2020 Data Governance Council. Architecture changes are reviewed and presented to the Architecture Review Board (ARB). The Change Manager can assist the submitter with directions on presentations to boards and/or facilitate the CR to ensure presentations are made to the appropriate boards and ensure visibility into the change proposed, and that feedback and assessment by board members is addressed and taken into consideration.

The Change Manager reviews the CR with the HSD PM, Module Owner, and submitter and the documented impact(s) of the change to ensure sufficiency of information provided and identify any outstanding questions. The HSD PM may share the Project CR with a wider group of HSD business and IT staff to collect questions or feedback to share with the CR submitter. The Change Manager works closely with the HSD PM in this phase to expedite all questions about the CR and prepare the CR for presentation to the project's Change Control Board. If the CR is rejected at this analysis stage, it is recycled back to the CR submitter with specific instructions for items to address prior to resubmittal.

The Change Manager works with the HSD PM to set a due date for completion of the resubmittal based upon discussion with the submitter and timeliness for when submitter can complete the impact analysis and address the feedback received. If necessary, a meeting for a walk-through of the HSD feedback may be scheduled and facilitated by the Change Manager to assist the submitter. The submitter would then work to address all feedback and submit the updated project CR documentation to ensure the impact analysis is satisfactory and meets HSD expectations. The Change Manager ensures that appropriate updates to the Project Change Management Log with any new or changed information relative to the CR are completed and the latest version of documentation or presentation is uploaded to the SharePoint log.

Finally, the Change Manager confirms that the appropriate council or governing board has reviewed the CR and appropriate meeting notes and/or email confirmation is attached to CR on the appropriate SharePoint log to demonstrate evidence of the governing board's recommendation. It is expected that any CR will have gone through DGC, or Architecture Review Board (ARB) if necessary, and received the governing bodies' approval prior to a presentation to the TCRB or CCB meeting.

For a CR to be reviewed at the appropriate Change Board meeting, the CR must have all necessary information and complete details posted in the Change log at least two (2) business days before the Change Review Board meeting. For example, to have a CR reviewed at the weekly CCB/TCRB meeting scheduled on Thursdays, the CR needs to be posted with all required information and full details by the end of business day Tuesday of that same week.



Phase 4 is where the workflow for a CR follows a different path depending upon whether the change is a project-related change going to CCB or a technical change going to TCRB. The unique paths are explained below in phases 4a and 4b.

Phase 4a – Project-related CRs Presentation to Project Director (PD) or Change Control Board

Phase 4b – Technical-related CRs presentation and vote by TCRB

Note: as of the annual review of this plan, the PD role just got filled and is in the process of redefinition. For this annual plan the EPMO will maintain the PD approval definition and update the phrasing and definition upon the next annual review once Leadership confirms Roles and Responsibilities.

Phase 4a will follow project related CRs that will include a presentation to either the Project Director or Change Control Board depending on decision-making threshold limits. ([See section 5.1](#)) If at the CCB decision-making threshold, the CR is presented to answer questions, collect feedback from board members and ensure common understanding and agreement for what is required for the CR. This will result in either a vote (if within threshold) or obtaining a

recommendation from the CCB to move to the Executive Steering Committee for approval of the change.

Submitters may consult with the Change Manager and/or a NM HSD PM for guidance on preparing their presentation to the CCB including ensuring that all key contributors for the CR are available and in attendance to answer questions from CCB Board Members. Submitters may conduct a practice session with the Change Manager prior to presenting to the CCB.

A standardized project CR PowerPoint template is required to be used for presentation of any project related CRs and is available on HSD's SharePoint; a link is included in [Appendix C: Reference Documents](#). The summarized project CR PowerPoint is required for the ESC. The Change Manager prepares it for the CCB as it offers an opportunity to modify and refine the presentation, ensuring it is available and ready to be shared with the ESC.

CRs that are presented initially at CCB may need additional clarifications conducted to address all the CCB members' questions. The submitter will advise the Change Manager when the CR is updated and ready to be scheduled for a second presentation at the next CCB board meeting.

HSD PMs, Module Owners, Module Contract Managers, and project staff are invited to attend the weekly CCB meetings and are required to review the presentations of the CRs and/or answer questions about any impact of the CR upon their work.

If the project CR is approved at CCB, the CM informs everyone of CCB approval, updates SP log, and module team can begin implementation. The CM develops 1-2 slides for ESC meeting regarding the approved change as an informational only change.

If the project CR is recommended for submission to ESC by the CCB voting members, the Change Manager works with the submitter and the MMISR Project Director (PD) to have a plan for presentation of the change request at the next ESC meeting. Copies of presentation materials are communicated to ESC members regarding the CR, at a minimum, one week prior to the scheduled ESC meeting.

If the CR was rejected or placed on hold by the CCB, the Change Manager communicates with appropriate parties on the reject reason(s) and discusses future course of action.

The Change Manager is accountable for ensuring that the appropriate statuses and progress notes for all changes are reflected in the SharePoint logs. Final Power Point presentations and associated artifacts are uploaded and attached to the log entry.

Phase 4b Technical changes are presented, discussed, and in many cases, voted on in the same TCRB meeting, unless follow-up clarifications are required. In

the meeting, the submitter of the change presents the details of the TCRB ticket as logged in the SharePoint log. HSD PMs and Module Contractor project staff attend the weekly TCRB meetings as required for presentations of CRs, to answer questions about any impact of the CR upon their work, and/or to be informed of the upcoming proposed technical changes.

When the technical CR is approved by the TCRB, the Technical Change Manager updates the SharePoint log to indicate the change was approved and document the voting members who approved the change.

If the technical CR is rejected or requested to be placed on hold, the Technical Change Manager communicates with appropriate parties on the rejected reason(s), discusses future courses of action for the change, and what specific items to address before the change can be voted on by TCRB.

When the technical CR is approved and SharePoint log is updated with the approval, the change progresses to the Phase 6-Verification/Closure stage.



Phase 5 – Presentation to Executive Steering Committee of Project-related CRs

Based on the Change Control Thresholds, the presentation to Executive Steering Committee phase commences when the CCB has recommended the CR for approval and the MMISR PD agrees that the CR is ready for presentation and discussion at the next scheduled ESC meeting. The Change Manager works with the submitter and the MMISR PD to ensure the PowerPoint presentation is updated, confirm who is presenting the change, and prepare an executive summary description of the change for the communication to ESC Committee members. The ESC meeting materials are provided, at a minimum, one week prior to the scheduled ESC meeting. The Change Manager packages all presentation materials and shares with HSD Chief Information Officer (CIO) and Cabinet Secretary. The HSD CIO and Cabinet Secretary set the agenda for each ESC meeting and manage ESC communications. CR communications include a statement that the Agency CIOs participate in the CCB meetings and are appraised of any change request brought before CCB. If Agency Cabinet Secretaries have any questions prior to the ESC meeting, their Agency CIOs assist in their evaluation of the CR as voting members of the CCB. If requested, the Change Manager communicates with the submitter and/or HSD PM or Module Contractor regarding their role (if any) in the ESC meeting.

During the ESC meeting, the MMISR Leadership representative reviews the CR, providing necessary background to explain the necessity of the change, approach for the change, and expected results from the change proposal. The ESC may vote to Approve or to Reject the change or request additional clarifications to be provided to them before their vote is secured.

The Change Manager and/or EPMO Lead collect any clarifications requested, questions, and/or action items resulting from the CR presentation. The Change Manager is responsible for communicating the outcome of the ESC meeting to

the HSD PM and the Module Contractor(s) affected by the CR. Follow-up actions and clarification work begin immediately upon conclusion of the ESC meeting, in anticipation of providing an update at the next scheduled ESC meeting or preparing an update to address clarifications via email in lieu of waiting until the next scheduled ESC meeting. The Change Manager uses the information gathered from the initial presentation, committee feedback, with consultation of the MMISR PD and MMISR leadership, to determine if an 'off-cycle' vote by email is viable from ESC. If it is not, the next scheduled ESC meeting is the best option for a vote.



Phase 6

Phase 6 – Verification/Closure of CR after Approval or Rejection

The verification/closure phase commences when the CR has been approved or rejected by the TCRB or the ESC/CCB/PD.

If approved, the submitter begins the delivery of the scope of the CR and implements the change. This phase follows a System Design Life Cycle (SDLC) process (Waterfall or Agile depending), and is implemented or rolled back, tested, and verified by NM HSD with appropriate supporting evidence of successful implementation or reason for roll back and communicated to the appropriate impacted stakeholders. In the event the CR is affected or impacted by other work that the Module Contractor or HSD is undertaking, the CR must be prioritized against a backlog of work items or other CRs, which may have similar implementation dates. For Technical Changes, the Technical Change Manager monitors the required action items from the CR until the change is implemented and completed by the assigned team. When no further action is required and implementation is complete, the CR is marked as Completed or Closed and the appropriate SharePoint log is updated.

If rejected, the submitter is informed of the rejection of the CR and the work is stopped. Next steps or direction provided by the TCRB, ESC members, or the HSD CIO is communicated to the change submitter.

The Change Manager may want approved CRs on the TCRB or CCB meeting agenda for the purposes of obtaining updates on the implementation status to track the change(s) to completion.

The Change Manager is responsible for updating the appropriate SharePoint log with any new or changed information relative to the approved CRs via an entry in the Progress Notes fields.

4.1.1 Special Circumstances for Change Requests

4.1.1.1 Scope Swap

A Module Contractor may present a CR which results in a "scope swap," meaning the Module Contractor's CR is a substitution of newly identified or newly defined scope for the existing scope statement contained in the Module Contractor's statement of work. For scope swap situations, the following questions are pertinent and must be addressed in the CR:

- Is the scope removal accounted for in a level of effort (hours estimated) or another method?

- Is scope being reallocated from one deliverable to another deliverable within the Module Contractor's statement of work?
- Does newly identified scope now exist that the Module Contractor must consider?
- Is there newly identified scope that exists that a Module Contractor needs to consider and account for?
- Has the scope removal been quantified; if yes, has HSD validated the hours being removed?
- Has the scope addition been quantified; if yes, has HSD validated the hours being added?

In answering these sample questions listed above, it is of paramount importance to consult with the HSD PM to verify scope alignment. The Change Manager is also available for consultation as it relates to preparations for bringing the CR(s) forward for a CCB meeting.

In the event of a scope swap, the CR must be logged, even if the scope swap includes scope to be removed and scope to be replaced. When logging the CR, the submitter must: (1) identify the scope removed, and (2) identify the scope replacing the removed scope and state the CR's impact and timing.

4.1.1.2 Related CR's

In the event where a CR submitter has two or more related CRs logged, the CRs need to be presented as a consolidated CR to the CCB so that the CR can be approved by the ESC. Any single CRs that are logged and presented individually to the CCB, but which later become part of a consolidated CR, are marked as "On-Hold by CCB" until the consolidated CR is ready and presented to CCB for approval. At the time at which a consolidated CR (inclusive of any in-flight, related CRs) is presented to the CCB and approved, the "On Hold" CR's incorporated into the consolidated CR are marked as Completed, since the implementation is tracked through the consolidated CR.

4.1.1.3 Annual Review Cycle

Some deliverables for the HHS 2020 project are subject to an annual deliverable review cycle. CRs do not need to be brought forth to the CCB or TCRB if a Module Contractor's deliverable is undergoing change(s) as a result of an annual deliverable review.

4.1.1.4 Approved JAMA Requirements

Previously approved requirements in JAMA or a set of approved requirements that reside in JAMA and which need to be changed after approval has been obtained, may or may not need a CR documented. The submitter should consult with their HSD PM to determine if a CR is needed in these cases, as the change to existing requirements may result in scope, cost, or schedule type changes. Further, it could result in a system configuration change that may require TCRB approval. In most cases, the approved set of requirements in JAMA has already been included as part of a Module Contractor's DDI phase release or other type of deliverable. For purposes of updating/documenting changed deliverables, changed scope, or changed schedule, a CR may be needed to be submitted and brought to CCB.

5.0 Change Control Process

5.1 Project Change Control Thresholds

Project change request thresholds have been established and approved by the Executive Steering Committee and establish decision-making authority for project change requests when the change will impact schedule or cost or have a customer or compliance impact. All Project Change Requests, regardless of threshold, must be logged in the MMISR Change Request Log. If the change is within the PD's threshold, a Word document or email is sufficient to explain the change request (no PowerPoint required). The PD reviews the PCR and either Approves or Denies the change. The CCB and ESC are informed of the change but will not be required to vote.

5.1.1 Schedule

Project Director (PD) Approval Level - Decision #384 (old #392 prior to DoIT Active Directory migration of SharePoint Logs) - When a schedule change to the Enterprise Project Schedule (EPS) and/or a Module Contractor's schedule is identified, the project change request process must be followed. A Project Change Request logs any schedule change, and it must be reviewed by the EPMO Change Manager to determine if the MMISR PD can approve it or if it must go to the Change Control Board (CCB) and possibly, ESC, given the established change request thresholds.

The Project Director can review and approve schedule change PCRs that meet one or more of the following criteria:

- Changes to a schedule section within the EPS that has no ties or dependencies upon a Module Contractor's detailed schedules (i.e., PCR #125 (old #134) - Addition of Federal Partner's Review Meetings to EPS).
- Shifting a single task within a schedule section by a few days, provided that that single task does not impact a milestone or the module's critical path (i.e., a JAD/JAR session was moved due to resource availability).
- Changing the sequence of tasks within a schedule section that depends upon resource leveling only. No changes to dependencies and no changes which affect the hours of effort, but changes to the sequencing of tasks within a single schedule section.

For any of the schedule changes listed above intended for Project Director review and approval, the change cannot have any Cost/Customer/Compliance/Contract impacts, otherwise, it must follow the established change request thresholds.

CCB Approval Level – The following conditions must be met:

- The change results in a schedule impact of less than sixty (60) calendar days from the published/baselined EPS dates
- The change does not extend the module's contract end date or does not affect a module's critical path timeline
- Does NOT have ANY impact to another module's, HSD Division's, or HHS 2020 agency's schedule (regardless of length of impact)

ESC Approval Level – If either of the following conditions are met:

- The change results in a schedule impact of sixty (60) or more calendar days from the published/baselined EPS dates

- The change would extend the module's contract end date or critical path timeline

5.1.2 Costs

Any change request that has a cost impact to the already approved Multi-Operational Implementation Advanced Planning Document (IAPD) budget must be brought through the change control management process. Based upon the change request's cost, the proper level for authority to approve the change is identified based upon the dollar threshold. The proposed cost thresholds for approval are listed below:

PD Approval Level - \$1 - \$100,000

CCB Approval Level - \$100,001 - \$499,999

ESC Approval Level - \$500,000 and greater (must also go to Federal Partners for review/approval)

Change Requests approved at the PD or CCB levels are presented to ESC as informational only. It includes an explanation of how the change request is already addressed in the IAPD budget.

Cumulative impact: If multiple change requests are logged by a single Module Contractor and exceed the already approved APD budget, then the change requests require escalation to the ESC.

5.1.3 Customer Impact

All CRs must document the extent of impact on the project's customers and follow the change control management process.

- If the proposed change enhances functionality but does not increase costs or schedule, a CR is not required to go to CCB, and the module can simply continue with implementation of the functionality.
- **CCB Approval Level** – If the proposed change enhances functionality for customers, but has an impact on schedule or cost, then it may be voted on based on the schedule/cost thresholds.
- **ESC Approval Level** - If the proposed CR diminishes functionality for customers, then the CR is presented and voted upon at the CCB. If approved by CCB, then the MMISR Project Director brings the CR to the ESC for a final vote.

The following questions need answers when preparing a change request which has customer impact:

- 1) Does the change impact the project's overall vision?
- 2) Does the change request impact any of the customer outcomes defined in the MMISR project certification plan for CMS?
- 3) Does the change request enhance customer outcomes? If yes, how? How will you measure the customer experience enhancement? If not, why not.
- 4) Does the change request affect any of the HSD performance scorecard measures for customers? If yes, which measures and how is measured affected?
- 5) Does the change request diminish customer outcomes? If yes, how? Why is a change being proposed if it will diminish the customer experience?

5.1.4 Other Impacts to be Analyzed and Documented

Impacts on the Contract/SOW, Cross MMISR Modules, HHS 2020 Agencies, Quality, Compliance, and Security are other types of impacts which through the change control management process should be analyzed and noted in the CR presentation. Scope changes typically result in changes in Schedule and Cost as well, so are documented through their thresholds.

5.2 Project Change Request Process Flow

The CR process steps, and the responsible roles are described in the table below. In its current state, there are two (2) separate processes, two (2) SharePoint logs and two (2) decision-making bodies (technical and project that focus on their areas of expertise. While there is a longer-term desire for the HHS 2020 project to have a single, unified change request process supported using a change management toolset, this process flow documents the current state, documents that changes begin in the same manner, and are merely directed to the appropriate path for technical or program/project related changes.

Table 1 describes the typical CR process. On occasion there are CRs that do not follow the typical CR process. A special circumstances section is in [Section 4.0 Change Control Overview](#) to describe considerations for non-standard changes. The Change Management Team updates the appropriate SharePoint Log to record each additional item of information or decision reached as soon as each process step is completed. Links to the logs can be found in [Appendix C](#). The log statuses for each process step are indicated in the table below.

Table 1 - Technical Change Review Board and Project Change Management Log Updates

	Phase	Process Step	Step Description	Role Responsible	CR Log Status
1	Initiation	Intake	Fill out the project CR in the appropriate Change Management Log (technical or project) to document: basic information, submitter, description, costs, benefits, and impact assessment details.	<ul style="list-style-type: none"> ▪ Change Manager ▪ EPMO ▪ HSD PMs ▪ Module Owner ▪ Module Contractor Project Manager 	<p>Open/Initiated for CR log</p> <p>New for TCRB log</p>
2	Qualification	Qualification	<p>Analyze, along with the appropriate NM HSD PM, the request to determine appropriateness based on compliance with:</p> <ul style="list-style-type: none"> ▪ Project Strategy and Goals ▪ Project Scope ▪ Contract Scope ▪ CMS State Plan ▪ State Plan amendments, waiver grants/awards ▪ State or federal regulation or guidance, legislation, and/or regulation 	<ul style="list-style-type: none"> ▪ Change Manager ▪ EPMO ▪ HSD PMs ▪ Module Owner ▪ Module Contractor Project Manager 	<p>Qualified / Impact Assessment in Progress for CR log</p> <p>In Technical Analysis for TCRB log</p>

MMISR Project Change Control Management Plan (PMO10)

	Phase	Process Step	Step Description	Role Responsible	CR Log Status
			<ul style="list-style-type: none"> ▪ Medicaid Information Technology Architecture (MITA) and the MITA State Self-Assessment (SS-A) ▪ Centers for Medicare and Medicaid Services (CMS) Certification requirements ▪ MARS-E 2.0 controls and ISRA ▪ And ultimately the Customer Experience 		
3	Analysis	Impact Assessment	Ensure impact of CR is fully assessed, analyzed, and explained in the CR	<ul style="list-style-type: none"> ▪ Change Manager ▪ TCRB ▪ CCB ▪ Governing Councils ▪ EPMO ▪ HSD PM ▪ Module Owner ▪ Module Contractor Project Manager 	<p>Qualified / Impact Assessment in Progress or Return to Submitter for CR log</p> <p>In Technical Analysis for TCRB log</p>
4	Analysis	Governance Council and review	<p>Determine if the CR needs to be reviewed by one (1) or more of the governance councils: CCB, TCRB, ARB, and the DGC.</p> <p>Determine if the CR needs to be reviewed by other agencies CCB's such as:</p> <ul style="list-style-type: none"> ▪ NM HSD's Information Technology Division (ITD) ▪ Aging, Long Term Services Division (ALTSD) ▪ Child Support Enforcement Division (CSED) ▪ Department of Health (DoH) ▪ Income Support Division (ISD) ▪ Medical Administrative Division (MAD) ▪ Behavioral Health Services Division (BHSD) 	<ul style="list-style-type: none"> ▪ Change Manager ▪ TCRB ▪ Governing Councils ▪ EPMO ▪ HSD PM ▪ Module Owner ▪ Module Contractor Project Manager 	<p>Analyzed by CCM/Impact Assessment Complete for CR log</p> <p>Sent to Workgroup for TCRB log</p>

MMISR Project Change Control Management Plan (PMO10)

	Phase	Process Step	Step Description	Role Responsible	CR Log Status
			<ul style="list-style-type: none"> ▪ Early Childhood Education and Care Development (ECECD) 		
5	Analysis	Governance Councils and other CCB input	<p>Document the feedback and support or non-support from the governance councils, as applicable.</p> <p>Document the feedback, support or non-support, and description of interdependency from the other CCBs as applicable.</p> <p>Governance councils may have sub-workgroups and the assumption is that the sub-workgroup has reviewed and approved the change prior to it going to their governing council.</p> <p>Evidence of presentation to sub-workgroups via presentation materials, meeting notes and/or PDF of emails are attached to the appropriate SharePoint CR log.</p>	<ul style="list-style-type: none"> ▪ Change Manager ▪ TCRB ▪ Governing Councils ▪ EPMO ▪ HSD PM ▪ Module Owner ▪ Module Contractor Project Manager 	<p>Analyzed by CCM/Impact Assessment Complete for CR log</p> <p>Analysis Complete for TCRB log</p>
6	Analysis	EPMO review and decision	<p>Review all information collected from previous steps and:</p> <ul style="list-style-type: none"> ▪ Approve the request to proceed ▪ Reject the request as incomplete ▪ Request additional pertinent information about the request in order to proceed 	<ul style="list-style-type: none"> ▪ Change Manager ▪ TCRB ▪ Governing Councils ▪ EPMO ▪ HSD PM ▪ Module Owner ▪ Module Contractor Project Manager 	<p>Return to Submitter or Analyzed by CCM/Impact Assessment Complete for CR log</p> <p>In Technical Analysis for TCRB log</p>
7	Analysis	Request Cost Estimate	<p>Request estimated hours, cost details, and implementation date from impacted vendors and update the CR Log with estimates, where applicable. (Return to the previous step)</p>	<ul style="list-style-type: none"> ▪ Change Manager ▪ TCRB ▪ Governing Councils ▪ EPMO ▪ HSD PM ▪ Module Owner 	<p>Return to Submitter or Analyzed by CCM/Impact Assessment Complete for CR log</p>

MMISR Project Change Control Management Plan (PMO10)

	Phase	Process Step	Step Description	Role Responsible	CR Log Status
				<ul style="list-style-type: none"> Module Contractor Project Manager 	In Technical Analysis for TCRB log
8	Analysis	Determine appropriate governing body	<p>Determine which governing body has a requirement to review and the authority to approve/reject request.</p> <p>Schedule a presentation with appropriate governing body; TCRB, DGC, ARB, PMO.</p>	<ul style="list-style-type: none"> Change Manager TCRB Governing Councils EPMO HSD PM Module Owner Module Contractor Project Manager 	<p>Analyzed by CCM/Impact Assessment Complete for CR log</p> <p>Sent to Workgroup for TCRB log</p>
9	Analysis	Other Governing body review and decision	<p>Review all information collected from previous steps, and present change to Governing Body:</p> <ul style="list-style-type: none"> Reject the CR, Request additional information about the CR <p>If approved proceed to Step (10) for Technical-related change requests, and Step (11) for Project-related change requests to complete change control process.</p> <p>If rejected by the Governing body, the reasons for rejection are documented. The submitter is expected to address via the analysis phase in order to resubmit for governing body approval.</p> <p>If placed on hold, the reasons for hold are documented and submitter is expected to address via the analysis phase in order to resubmit for governing body approval or rejection.</p>	<ul style="list-style-type: none"> Change Manager CCB TCRB Governing Councils EPMO HSD PM Module Owner Module Contractor Project Manager 	<p>Presented to CCB, Approved by CCB, Rejected by CCB, or On-Hold by CCB for CR log</p> <p>Approved or Rejected or On Hold for TCRB log</p>
10	Presentation of Technical Change	Presentation to the Technical Change Review	Technical Change Requests that have been logged, reviewed, and recommended	<ul style="list-style-type: none"> Change Manager TCRB 	Approved or Rejected or On

MMISR Project Change Control Management Plan (PMO10)

	Phase	Process Step	Step Description	Role Responsible	CR Log Status
	Request to TCRB for Vote	Board for technical-related change requests and Vote	by a Governing Body (ARB, DGC, or TCRB), comes before the TCRB for a vote by the Voting Members.	<ul style="list-style-type: none"> ▪ EPMO ▪ Module Contractor Project Manager 	Hold for TCRB log
11	Present Project Change Request to Project Director	Presentation to MMISR Project Director for CR's within the threshold	Present the Project Change Request to the PD for approval	<ul style="list-style-type: none"> ▪ Change Manager ▪ EPMO ▪ PD 	Approved by PD
12	Presentation to Change Control Board	Presentation to the Change Control Board for project-related change requests	Present the request to the CCB for initial presentation and/or approval:	<ul style="list-style-type: none"> ▪ Change Manager ▪ CCB ▪ HSD PM ▪ Module Owner ▪ Module Contractor Project Manager 	Presented to CCB or On-Hold by CCB, Rejected by CCB, or On-Hold by CCB for CR log
13	Presentation to Change Control Board for Recommendation to ESC	CCB presentation and request for recommendation to ESC or rejection of request or request for additional clarifications for the CR	Confirm that CR is sufficiently documented and explained so that CCB can consider a determination to: <ul style="list-style-type: none"> ▪ Recommend the request for presentation to ESC ▪ Reject the request for presentation to ESC ▪ Request additional clarifications for the CR 	<ul style="list-style-type: none"> ▪ Change Manager ▪ CCB ▪ HSD PM ▪ Module Owner ▪ Module Contractor Project Manager 	Presented to CCB, Approved by CCB, Rejected by CCB, or On-Hold by CCB for CR log
14	Presentation to Change Control Board	Report	If a non-CCB (e.g., TCRB, ARB, DGC) change was approved by another governing body, the Change Manager provides a summation of the change(s) at the next scheduled CCB meeting to ensure awareness and communication of all changes.	<ul style="list-style-type: none"> ▪ Change Manager ▪ CCB ▪ TCRB ▪ Governing Councils ▪ EPMO ▪ HSD PM ▪ Module Contractor Project Manager 	Presented to CCB, Approved by CCB, Rejected by CCB, or On-Hold by CCB for CR log
15	Presentation to Executive	Presentation of CR to Executive	Change Manager works with submitter and MMISR PD to ensure the PowerPoint presentation is updated,	<ul style="list-style-type: none"> ▪ Change Manager ▪ EPMO ▪ MMISR PD 	Approved by CCB for CR log with progress note updated

	Phase	Process Step	Step Description	Role Responsible	CR Log Status
	Steering Committee	Steering Committee	confirm presenter, and prepare an executive summary description of the recommended change for communication to Executive Steering Committee members. Send presentation materials to ESC one (1) week prior to the meeting. Present change at next scheduled ESC meeting and obtain approval, rejection, or request for clarifications for CR.	<ul style="list-style-type: none"> ▪ HSD Deputy Secretary 	to reflect date of presentation at ESC meeting
16	Presentation to Executive Steering Committee	Communication from Executive Steering Committee meeting	Change Manager summarizes ESC feedback on change and communicates status after meeting. Approval, rejection or request for additional clarification are distributed appropriately to follow-up from ESC members requests.	<ul style="list-style-type: none"> ▪ Change Manager ▪ EPMO ▪ HSD CIO ▪ HSD Deputy Secretary 	Approved by ESC or Rejected by ESC for CR log with progress notes updated to reflect date follow-up action items resulting from ESC meeting
Change Control Management Process Steps Following Required Approvals					
17	Verification/Closure after Approval	Implementation	Complete the SDLC phases (Waterfall or Agile depending) for the implementation of the change.	<ul style="list-style-type: none"> ▪ Change Manager ▪ EPMO ▪ HSD PM ▪ MAD Business Lead ▪ Module Contractor Project Manager ▪ Technical tester or developer 	<p>Verify: Implementation of PCR in Progress for CR log</p> <p>Work in Progress; Ready for Review or In Test/Quality Assurance for TCRB</p>
18	Verification/Closure after Approval	Implementation Confirmation	The Change Manager verifies and confirms the approved change was implemented successfully with sufficient evidence and stakeholders were informed. This may involve follow-up from the	<ul style="list-style-type: none"> ▪ Change Manager ▪ EPMO ▪ HSD PM ▪ MAD Business Lead 	Verify: Implementation of PCR is Confirmed for CR log

	Phase	Process Step	Step Description	Role Responsible	CR Log Status
			CM to the submitter of the CR (or vice versa). The CM has the responsibility to ensure that the CR documentation is complete and updated.	<ul style="list-style-type: none"> ▪ Module Contractor Project Manager ▪ Technical tester or developer 	<p>Work in Progress; Ready for Review or In Test/Quality Assurance for TCRB log</p>
19	Verification/ Closure after Approval	Update Records	Where applicable, update the Configuration Management Database and the Asset Management Database.	<ul style="list-style-type: none"> ▪ Change Manager ▪ EPMO ▪ HSD PM ▪ MAD Business Lead ▪ Module Contractor Project Manager ▪ Technical tester or developer 	<p>Verify: Implementation of PCR is Confirmed for CR log</p> <p>Complete for TCRB log</p>
19	Verification/ Closure after Approval	Closeout	Change Manager verifies change is closed and updates appropriate SP log to close the CR.	<ul style="list-style-type: none"> ▪ Change Manager ▪ EPMO ▪ HSD PM ▪ MAD Business Lead ▪ Module Contractor Project Manager ▪ Technical tester or developer 	<p>Verify: Implementation of PCR is Confirmed for CR log</p> <p>Closed for TCRB log</p>

Figure 1 - PCR Management Log Process

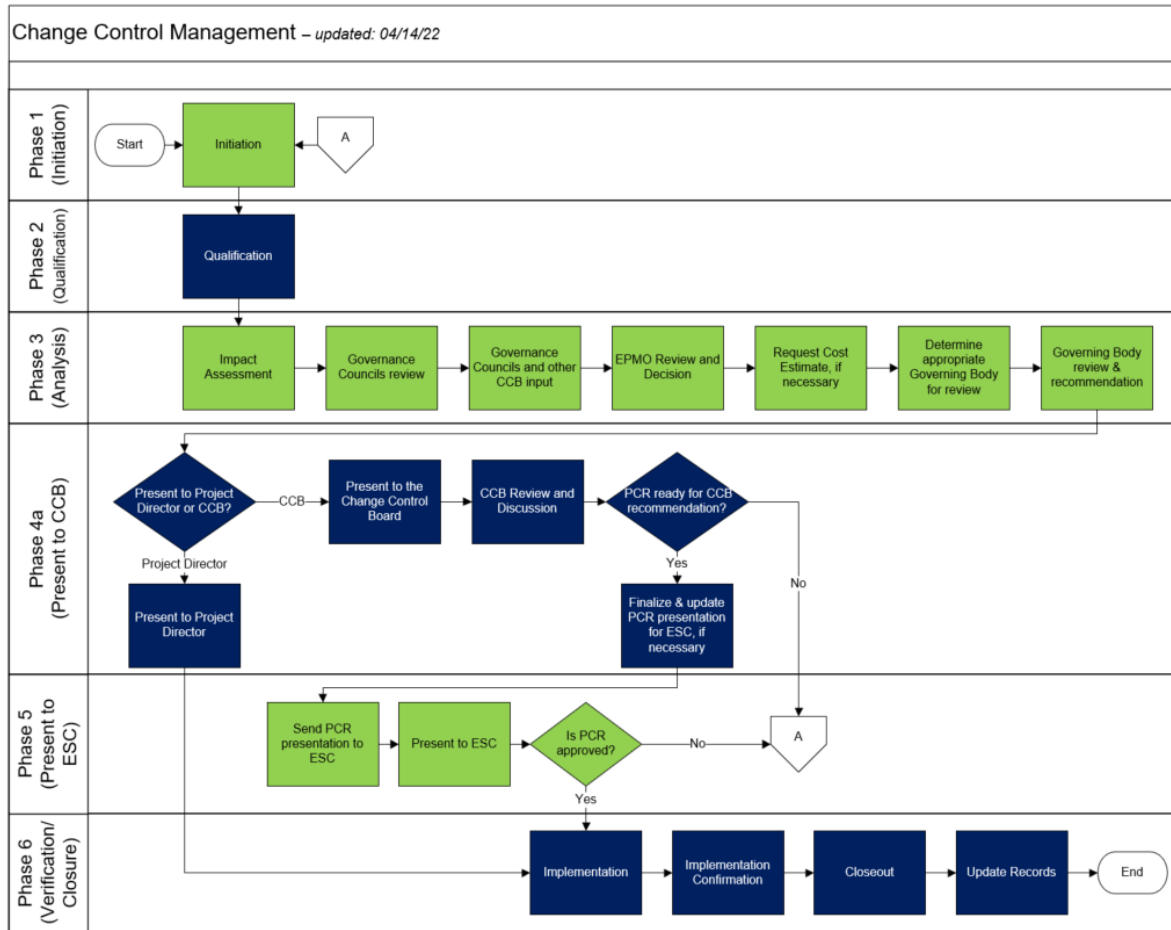


Figure 2 - TCRB Management Log Process

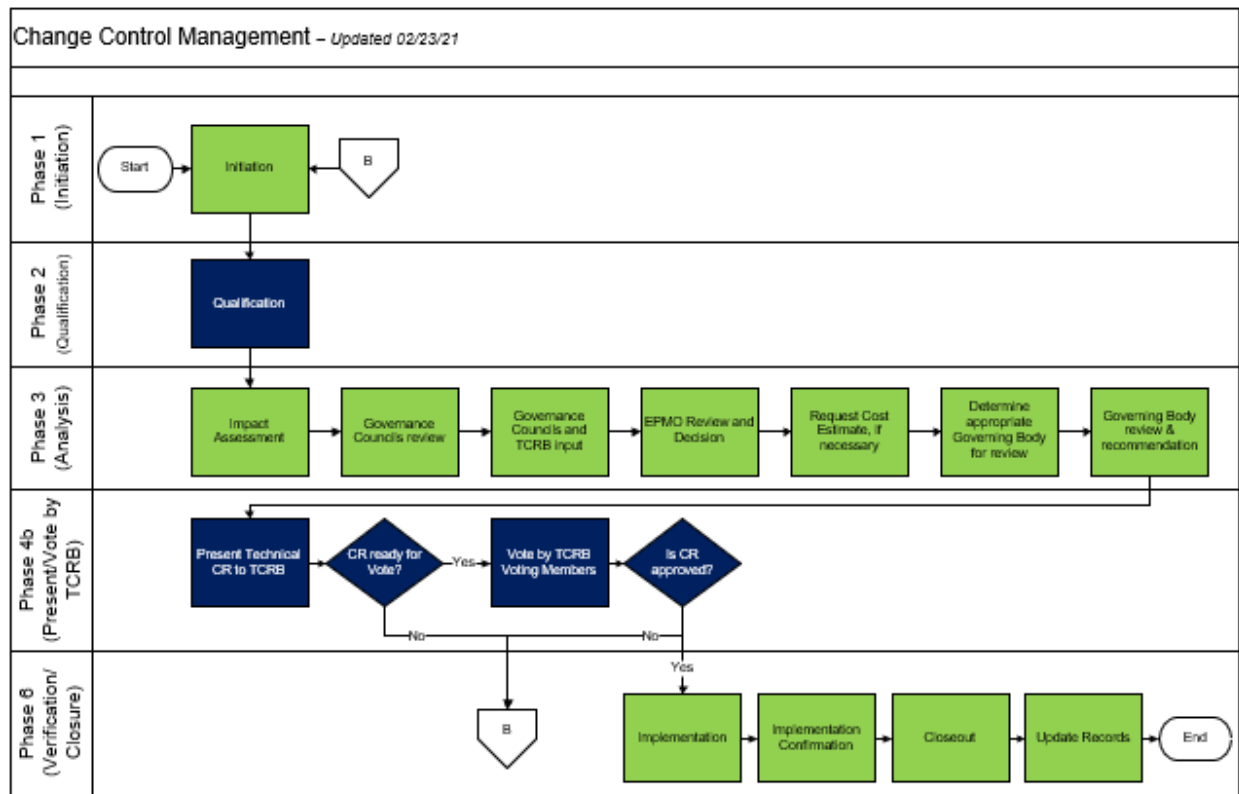


Table 2 - Change Control Management RACI Chart

Activity	NM HSD Governing Body (CCB/TCRB)	Module Owner / NM HSD PMs	New or Legacy Module Contractor	Change Manager	IV&V	ESC
Initiate a Change Request	I	A, R, I, C	A, R	I, C	I	I
Qualify a Change Request	I, C	R, I, C	R	A	I	I
Analyze a Change Request	I, C	A, R	A	R	I, C	I
Determine appropriate Governing Bodies Review	I, C	A	R	R	I, C	I
Request Cost Evaluation (if needed)	I, C	A, R	A	R, C	I	I
Confirm Impact of Changed is Assessed	I, C	A, R	A	R, C	I, C	I
Request Additional Information for Change Request	I, C	A, R	R	A	I, C	I, C
Governing Body Review & Approval	A	R	R	I, C	I, C	I
Escalate CR to CCB or TCRB	I	R	R	A	I	I
Vote to Recommend CR to ESC	A	R, I, C	R, I, C	R	I, C	I
Vote to Approve or Reject CR	A	R	R	R	I, C	A
Report Results from CCB or TCRB	I, C	R	I, C	A	I, C	I

Activity	NM HSD Governing Body (CCB/TCRB)	Module Owner / NM HSD PMs	New or Legacy Module Contractor	Change Manager	IV&V	ESC
Implement CR (accountable is for CR owner)	I, C	A, R	A, R	I, C	I, C	I
Confirm Implementation of CR	I, C	R, C	R	A	I, C	I, C
Update records for CR	I	R, C	R	A	I, C	I, C
Closeout CR	I	R, C	R	A	I, C	I, C

Table 3 - RACI Chart Legend

Abbreviation	Description
R	Responsible
A	Accountable
C	Consulted
I	Informed

IV&V, in their role of oversight of the HHS 2020 project, is invited to the CCB and TCRB meetings and is a reviewer of the CCMP Deliverable when updates are made.

5.3 Change Type Definitions

The MMISR Project Change Management Log utilizes three (3) types of changes: normal, standard, and emergency. The change submitter records the change type in the Project Change Management Log. The change manager validates that the appropriate change type was selected. The following definitions determine the change type:

- **Normal:** Normal changes require completion of due diligence steps to enter and analyze a proposed change in advance of consideration by the CCB. Normal changes follow the CR process as outlined in [Subsection 4.1: Change Request Process Steps and Roles](#). The CCB reviews and disposes of all normal CRs at its regularly scheduled meetings.
- **Standard:** Standard changes do not impact project schedule, budget, or scope. Standard changes are pre-authorized, low risk, and relatively common changes that follow a pre-set procedure or work instruction, very often technical configuration changes. Standard changes do not require formal governance body approval but do require the provision of description and completion of related fields in the Project Management Change Log prior to implementation of the change. The project change manager evaluates and approves standard changes.
- **Emergency:** The emergency change type is used when the benefits of accelerating the change approval process outweigh the risk of not following the normal approval process. Change approval is requested via email rather than waiting for a regularly scheduled CCB meeting. CCB members are requested to approve within two hours of email receipt. Use of emergency changes is an exception and should not be used to circumvent the established normal process.

5.4 Change Control Management Plan Maintenance

The EPMO maintains and updates the MMISR project CCMP to fit the evolving needs of the project. Changes to the CCMP are based on the current approved version of this plan and follow project processes for review and approval of any changes. This CCMP is updated on an annual basis, at minimum.

5.5 HHS 2020 Change Log

The HHS 2020 Project Management Change Log is used to track and log information about all aspects of program/project related CRs, and to determine whether a CR is approved for implementation. The change submitter, working with the change manager, is responsible for completing all fields in the Project Change Management Log with sufficient detail and documentation. The data elements and fields are documented in Table 6.

As the CR moves through the change control management process, the change manager updates the Project Change Management Log based on the outcome of each step. The TCRB change management log is for the MMISR project.

5.6 Change Control Management Communications and Reporting

The EPMO strives to provide full awareness and transparency in communicating and reporting the status, progress, and outcomes of all CRs. Communications and reporting takes place through a variety of forms including the Project Management Change Log, meeting minutes, and frequent status reports.

The change manager and change submitter make updates to the Project Management Change Log immediately following each complete change control step. The Project Management Change Log and the Technical Change Review Board log are available to all stakeholders from the project SharePoint site. Stakeholders may subscribe to the site to receive alerts each time the logs are updated.

The EPMO staff produces meeting minutes from Councils/Boards to document the technical or project related CRs addressed during the meeting. Meeting minutes are posted to the project SharePoint site.

The EPMO maintains a monthly Change Control Management section in the MMISR Enterprise Monthly Status Report. This section includes a summary of all technical and project related CRs, progress tracked and outcomes including metrics to show quantities and trends of new, updated, approved, denied, and closed CRs.

The project's Communication Matrix describes all communications related to CRs along with the stakeholders who receives them.

5.7 Project Change Control Management Adherence

The EPMO also produces a Monthly Change Control Management dashboard which provides the visibility into the effectiveness of and compliance with the approved change management process. The following metrics are captured and tracked over time:

- Average length of time CRs in each stage of the lifecycle include Initiation, Qualification, Analysis, and Approval
- The number of CRs worked during a given period, along with the CR status
- The number of CRs presented to CCB or ESC
- The number of CRs rejected by CCB or ESC

- The number and type of CRs presented to TCRB, approved, or rejected

Additionally, to track the impacts of change over time on the project the following measures are captured for approved CRs:

- The impacts to time the change has on the project
- The impacts to cost the change has on the project
- The impacts to scope the change has on the project

All of the tracking is captured at the module and project level and tracked over time. These metrics will evolve over time through the reporting process each month. If there are additional fields that need to be tracked, the EPMO will develop and report to track those data points.

At present, the below example is included as the monthly report of change requests in the Enterprise Project Status Report; the format and content are subject to change based on requests from Leadership.

Figure 3 - Example Enterprise Status Report for Change Requests

MMISR Project Change Requests

The information below highlights the Project Change Request efforts that took place for March 2022, in which six (6) PCRs were worked.

Three (3) PCRs were approved by MMISR Project Director (based on the modified Change Control Thresholds as outlined in decision #392):

- PCR #137 (Minor DS Schedule Changes)
- PCR #138 (CCWIS Procurement Shift by 3 weeks)
- PCR #140 (Addition of a new section to the EPS)

One (1) PCR was approved by CCB / Presented as information-only at ESC:

- PCR #139 (DataBank Cloud Hosting and Managed Services)

Two (2) PCRs were approved by CCB / Recommended by CCB to present at ESC:

- PCR #135 (Staff Aug Laptop Budget and Hiring Timing)
- PCR #136 (SI Final Adjustments based on SaaS decision)

Nineteen (19) technical PCRs were worked in March related to data modeling, metadata, SharePoint, and software. Eighteen (18) were approved and one (1) was completed.

Figure 6 - PCR Efforts by Month

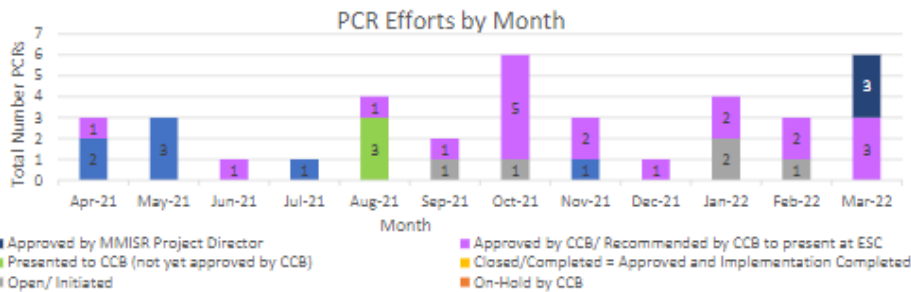
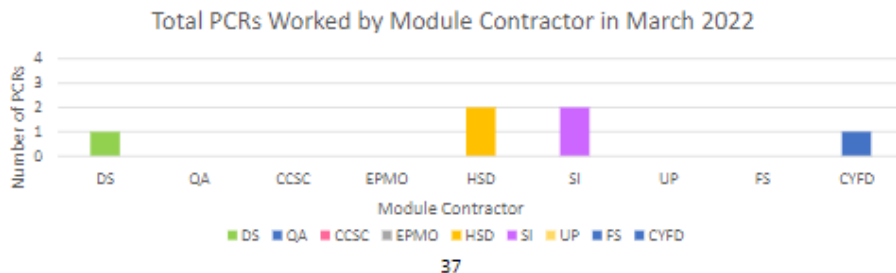


Figure 7 - Total PCRs Worked by Module Contractor



5.8 Project Change Control Management Tools and Templates

Below is a list of the CCM tools and templates:

- **CCB Project Change Request PPT Template:** The Project Change Request utilizes a standard PowerPoint template so that all Project Change Requests have a similar look and feel.
- **CCB Project Change Request Log:** The Project Management Change Log is the main tool used throughout the change process. It is used to document all aspects of the CR.
- **CCM Section in the Enterprise Status Report:** A monthly CCMP update is completed with metrics and statuses of CRs, included in the Enterprise monthly status report and posted on the ESC dashboard. It is the change manager’s responsibility to complete this report.

- **TCRB Change Request Log:** The TCRB Change Request Log, found on SP, is used throughout the change process to document technical changes (e.g., data model, configuration, firewall) which are implemented on the project.
- **Executive Steering Committee PowerPoint Template:** A standardized project CR PowerPoint template to use for project related CRs that must be presented to ESC.

6.0 HHS 2020 Change Control Management Governance Bodies

The HHS 2020 governance bodies are the foundation of the CCMP. The MMISR Project Management Plan has additional information regarding the formal governance bodies. The project Communications Matrix has information regarding the communications to and from these bodies. The HHS 2020 governance bodies related to change control management are described in the following subsections, and the composition of each governance body, its members and designated voting members can be found on the MMISR SharePoint page under RACI and Role Charts. This plan has not included a listing of each body's members or voting members within this plan. Rather, the MMISR Governance and MMISR Role Chart documents, which are updated monthly, are the source document for updated voting members and governing body members.

Note: The impact of the New Mexico announcement of the change to the Health Care Authority will be reflected in this plan at its next annual review, after the reorganization is defined and confirmed.

6.1 HHS 2020 Executive Steering Committee (ESC)

The HHS 2020 Executive Steering Committee's leadership and governance authority extends beyond the project's Medicaid-impacted programs to include all agencies and programs that can benefit from shared client, eligibility program, and healthcare data within New Mexico's HHS agencies. These other agencies and programs are currently defined as Department of Health (DoH), Children, Youth, and Families Department (CYFD), and NM HSD's Child Support Services Division (CSSD), Behavioral Health Services Division (BHSD), the Early Childhood Education and Care Department (ECECD), Aging and Long-Term Services Department (ALTSD), and Department of Information Technology (DoIT).

The HHS 2020 Executive Steering Committee oversees the project's strategies and implementation in terms of how it impacts HHS 2020's constituent agencies. The EPMO reports all CR outcomes to this committee. The HHS 2020 Executive Steering Committee has ultimate change, spending, and decision-making authority for the HHS 2020 initiative and the MMISR project. The ESC meets once per month, generally the third Thursday of each month.

The EPMO reports on progress for all CRs to the ESC.

6.2 Change Control Board

The CCB provides the formalized scope, schedule, and cost changes to the HHS 2020 Executive Steering Committee in an information manner or for their consideration and final decision vote. The Board is comprised of representation from the MMISR leadership team, cross-agency representation including the CIOs from all the HHS 2020 agencies.

The CCB has advisory members from each of the HHS 2020 governance councils. These advisory members do not have voting authority on the CCB but serve to provide advice as the CCB adjudicates CRs. The CCB is facilitated by the EPMO who collect input from governance councils, prepare the board's agenda, facilitate CCB meetings, and oversee the Project Change Management Log.

For CCB meetings, where recommendation votes are taken on selected CRs, a quorum of five (5) out of eight (8) voting members needs to be in attendance, and the recommendation is recorded by counting the recommendations made by a simple majority of members present. In the event a quorum of voting members is not available for the CCB meeting, an email vote for recommendation may be taken to obtain the recommendations from the CCB voting members or alternatively, an off-cycle CCB meeting may be held. Votes conducted via email are logged in the SharePoint log in the same manner as votes recorded during a meeting.

6.3 Technical Change Review Board

The TCRB is an authorized decision-making body for all technical and configuration changes requests for MMISR solutions. (As MMISR's use of a Configuration Management tool matures, TCRB's role may change, and the Change Control Management Plan will be updated.) If a technical change planned or needed would impact the project's schedule, resources, scope or cost, the outcome is presented and reviewed by the CCB and the ESC as the final decision-making authority. Ultimately, the TCRB is responsible for assuring technical changes to the MMISR environment are documented, evaluated, and approved prior to implementation. The TCRB charter outlines the detailed scope of the governing body.

For TCRB meetings, where votes are taken on selected CRs, a quorum of three (3) of five (5) voting members needs to be in attendance, and the decision is recorded by counting the votes made by a simple majority of voting members present. In the event a quorum of voting members is not available for the TCRB meeting, an email vote may be taken to obtain email votes from the TCRB voting members on the requested CR. Votes conducted via email are logged in the SharePoint log in the same manner as votes recorded during a meeting.

Note: DoIT's Technical Architecture Review Committee (TARC) is different than the MMSIR TCRB and out of scope for this plan.

A link to TCRB Charter can be found in [Appendix C](#).

6.4 MMISR Leadership Team

The MMISR leadership team (currently comprised of the Acting HSD CIO, MMISR Project Director, Acting MAD Director, and the Acting Deputy CIO) oversees the project's development and implementation of business, technical, and information capabilities and every team member is a voting member on the CCB.

The EP MO reports all CR outcomes to the MMISR leadership team.

The MMISR leadership team is overseen by and escalates MMISR project changes, decisions, risks, and issues, as needed, to the HHS 2020 Executive Steering Committee.

6.5 Governance Councils

There are multiple governance councils on the project who support change management decision making. The decision making and voting procedures for each of the governance councils are included in the charters for each respective council. The governance council charters, if a charter currently exists,, are available on SharePoint for each of the governance councils. The MMISR Governance and MMISR Role Chart documents, which are updated monthly, should be the source of truth for voting members and governing body members. Details for the governance councils are listed below:

6.5.1 Operational Steering Committee

As of the timing of this plan's update, the OSC has been discontinued. The HSD Operational Committee will now include HHS 2020 and MMISR topics. (Decision 480)

6.5.2 Architecture Review Board

The Architecture Review Board (ARB) evaluates and directs the evolution of both the HHS 2020 Enterprise Architecture (EA) and the conformance of all components of the MMISR solution to the EA. Architectural designs must conform to the HHS 2020 EA to ensure that all solution components and technology decisions lead to highly interoperable systems in the HHS 2020 ecosystem.

- The ARB's chief purpose is to bring consistency within and across project architectural realms by carefully considering architectural and technology proposals and evaluating whether exceptions to the EA can be accommodated. The ARB ensures that all deployed components cohere with the HHS 2020 vision overall. The ARB owns the project architectural definition of the HHS 2020 ecosystem and guides project technical teams in complying with the HHS 2020 EA.
- The ARB advises the EPMO, TCRB, DGC, and the CCB regarding proposed CRs.

6.5.3 Data Governance Council

The Data Governance Council (DGC) serves as a team of data and information leaders from across the HHS 2020 initiative. The DGC monitors and governs data standards and safeguards data structures, data models, and the quality of enterprise data across the Medicaid Management Information System (MMIS) modules and their interactions with legacy systems.

- The Council reviews and approves or requires modification to all new data systems, data models (conceptual, logical, physical), and messaging models. The Council is comprised of stakeholders representing new and legacy modules, data stewards from HHS 2020 constituent organizations, and data architecture experts.
- The DGC advises the EPMO, TCRB, ARB, and the CCB regarding proposed CRs.

6.6 Other Agency CCBs

The MMISR Change Manager is responsible for working with other CCBs (e.g., ALTSD, CYFD, ECECD, DOH) to obtain agenda time as required, per the CCMP, to present applicable HHS 2020 CRs to other agency CCBs, if needed. The MMISR Change Manager will assist HHS 2020 agencies with their CR's which need to follow the MMISR Change Control Process.

6.7 HSD Project Managers

The HSD Project Managers provide informal leadership for MMISR project management decisions that do not meet the thresholds for Governance Councils, CCB, or TCRB review. MMISR PM's handle MMISR project standards (SharePoint folder structure, some project processes) to ensure consistency and use across Module Contractors. In the event there are project related CRs for items that do not meet the threshold for presentation to CCB (e.g., updates to deliverables that are needed to reflect relevant functionality and/or changes to project use of SharePoint folder structure) the HSD PMs would be the decision-making body.

The HSD PMs serve in a unique, critical role as advisor, direct partner, and oversight project manager to their assigned Module Contractor and/or assigned area of expertise. HSD PMs have responsibility to manage and facilitate the success of their assigned Module Contractor or specific assigned work area, ensuring deliverable standards and quality are met, work is planned and performed according to contract standards, and ultimately ensuring HSD receives and realizes the value from the Module Contractor work. In the CCMP, the HSD PMs support, review and ultimately champion CRs submitted by either HSD or the Module Contractor that directly impact the Module Contractor’s work. After approval or rejection, HSD PMs follow-up and conduct oversight for the implementation of approved changes and/or facilitate follow-up work necessary to bring CRs to resolution.

6.8 EPMO

The EPMO serves as advisor, partner, and oversight to meet the overall enterprise project milestones and to serve as facilitator of MMISR. During the lifecycle of the project, the EPMO continues to support consistent communication and information flow, and provide efficient, quality structure through its presence and engagement.

As a member of the EPMO, the Change Manager responsibilities include the intake and adjudication of proposed changes, the collection of any input from the five (5) governance councils (CCB, TCRB, ARB, DGC, and ESC), and any other non-MMISR change control boards. The Change Manager works closely with these stakeholders to ensure all information needed for a CR is added to the appropriate SharePoint Log. In addition, the Change Manager works closely with the requester to ensure CRs are thoroughly documented including assumptions, dependencies and all other impacts and works to ensure presentation materials are ready for CCB meetings. Once a change is recommended by CCB, the Change Manager submits a presentation to the HHS 2020 Executive Steering Committee members for review prior to the next scheduled ESC meeting. The Change Manager or representative from the EPMO attends the ESC meeting to answer any questions in support of the approval and/or receive clarifications needed from ESC in order to approve the CR.

Below is a table with examples of the types of CRs that are brought before each governing body.

Table 4 - Types of Change Requests Reviewed with Governing Bodies

Change Request Type	Governing Body
Business Process Changes for Medicaid	HSD Operational Committee
Architectural Changes to Module Contractor software or solutions	ARB
Release Management	TBD but in the short term the ARB.
Data Model change	DGC
Infrastructure change	TCRB
Software configuration changes	TCRB
Changes to security settings	TCRB, and possibly other agency’s CCB (i.e., ITD CCB)
Changes to the use and organization of SharePoint folders on MMISR	HSD PMO
Changes to project scope, cost or schedule within established thresholds of schedule or cost	MMISR Project Director and/or MMISR Leadership team
Changes to project scope for Module Contractor which includes cost, schedule, and scope impact	CCB

Change Request Type	Governing Body
Changes to any project scope for Module Contractor or HSD agency which contains an impact to cost, schedule and /or scope	ESC

7.0 Relationship to Other Management Plans

Table 3 identifies the deliverables that have a relationship with the CCMP and shows how and where they fit into the process.

Table 5 - CCMP Relationship with Other Management Plans

Management Plan Name	Relationship to CCMP
Project Management Plan	Defines the formal governance bodies for Change Control Management (CCM)
Communications Matrix	Defines the CCMP communication activities, timing, and stakeholders for each type of communication in the process
Schedule Management Plan	Defines how schedule updates are made for changes impacting the Enterprise Project Schedule (EPS)
Governance Charts	Defines the governing bodies and project roles and assigned personnel for each governing body, including voting and non-voting members

8.0 Assumptions / Constraints / Risks / Issues

This section documents assumptions, constraints, and risks for the deliverable.

8.1 Assumptions

This subsection documents an initial set of assumptions for the deliverable, which the EPMO will update, as needed, over time with a minimal annual anniversary review.

- The Module Contractors are onboarded to adopt and utilize this CCMP
- Other agency CIOs have been onboarded to the CCMP and encouraged to adopt and utilize this CCMP to support their Executive Steering Committee members for voting on project related CRs that may come before the ESC
- The CCMP, SharePoint Change Management Logs, templates, and reports will evolve over the course of the project and the EPMO will make corresponding updates as needed and approved by the stakeholders

8.2 Constraints

This subsection contains constraints, which the EPMO will update over time.

- Changes to the overall project budget and completion date are subject to the Federal Partner APD approval process
- The MMISR governance bodies do not have control or voting authority on change control boards outside of the MMISR project and are constrained by those change control boards for cooperation, compatible timing, and application of resources
- The process for handling CRs is described in this CCMP and at present, the project is running similar processes for project related changes to CCB and technical related changes to TCRB. The

two separate SharePoint logs have been developed to support the work needed, in the absence of any other tool in place or available to support a single process and single repository of all CRs.

8.3 Risks

The Risk Management Plan describes the management of project risks and updates for all areas of the project including the CCMP.

The risk register is located on SharePoint.

There are no open or known risks related to the CCMP.

8.4 Issues

Issue Management is outlined in the Risk Management Plan.

The issue register is located on SharePoint.

There is no open or known issue related to the CCMP.

9.0 Standards and Guidelines

This CCMP has been developed in compliance with industry best practices and the following standards:

- PMI Project Management Body of Knowledge (PBMOK)

10.0 Deliverable Development

10.1 Deliverable Acceptance Criteria

The table below lists the Deliverable Acceptance Criteria.

Table 6 - Deliverable Acceptance Criteria

Item #	Description
1	Deliverable meets quality checklist, including style guide check list items
2	Deliverable meets requirements and description of the contract Statement of Work
3	Deliverable meets CMS guidance

11.0 Appendices

11.1 Appendix A: Deliverable Record of Changes

The deliverable includes a record of changes in the following form:

Table 7 - Deliverable Record of Changes

Version Number	Date	Author/Owner	Description of Change
v0.1	7/13/18	Jess Moriarty	Initial deliverable
v0.1	9/14/18	Rochelle Cookson	Reformatted tables, updated MECT

Version Number	Date	Author/Owner	Description of Change
v0.1	9/24/18	Rochelle Cookson	Added comments, combined Change Coordinator and Change Manager
v0.1	9/25/18	Rochelle Cookson	Corrections and edits throughout the documents based on review meetings with NM HSD
v0.1	10/08/18	Rochelle Cookson	Added tables, figures; revised content
v0.1	10/17/18	Rochelle Cookson	Added enterprise to CCMP, added Table 5, updated Project Change Management Log fields; added governance diagram
v0.1	10/22/18	Rochelle Cookson	Limited instance for lower case enterprise. Added standard overview language. Formatted text to italicize in Table 3. Reformatted links due to SharePoint migration on 10/19/18.
v2.0	2/26/2019	Adrian Ball	Final Addressed NM HSD's formatting, internal references, and miscellaneous editorial comments.
v2.1	6/1/2020	Craig Walendziak	Draft final for submission to HSD
V2.2	6/16/2020	Dawn Gelle	Draft final including IV&V comments and EPMO responses. Included clarification on Intake step (Section 5.0)
V2.3	07/06/2020	Dawn Gelle	Final including all HSD Reviewer comments addressed
V2.4	07/22/2020	Dawn Gelle	Addressed final set of HSD Reviewer comments and removed Appendix F: CR Impact Assessment Form as SharePoint log updated to include fields
V3.0	2/5/2021	Dawn Gelle	Updates to reflect Executive Steering Committee decision to be engaged in approving all change requests and updates to conform to SP log changes
V3.1	2/24/2021	Dawn Gelle	Updates based on HSD feedback
V4.0	4/18/2022	Wendy Burger	Annual Review including addition of Change Control Thresholds and OSC
V5.0	7/31/2023	Wendy Burger	Annual Review and Modification

11.2 Appendix B: List of Acronyms

A list of project-specific acronyms are maintained on the MMISR SharePoint site.

Table 8 - List of Acronyms

Acronym	Definition
APD	Advanced Planning Document
ARB	Architecture Review Board
ASD	Administrative Services Division
ASPEN	Automated System Program and Eligibility Network
BHSD	Behavioral Health Services Division
CCB	Change Control Board

Acronym	Definition
CCM	Change Control Management
CCMP	Change Control Management Plan
CIO	Chief Information Officer
CM	Change Manager
CMS	Centers for Medicare and Medicaid Services
CR	Change Request
CSED	Child Support Enforcement Division
CSSD	Child Support Services
CTO	Chief Technology Officer
CYFD	Children, Youth, and Families Department
DDI	Design, Development, and Implementation
DGC	Data Governance Council
DoH	Department of Health
DoIT	Department of Information Technology
EA	Enterprise Architecture
ESC	Executive Steering Committee
EPMO	Executive Project Management Office
EPS	Enterprise Project Schedule
HHS	Health and Human Services
HSD	Human Services Department
ISRA	Information Security Risk Assessment
ISD	Income Support Division
ITD	Information Technology Division
MAD	Medical Assistance Division
MCO	Managed Care Organization
MECL	Medicaid Enterprise Certification Lifecycle
MECT	Medicaid Enterprise Certification Toolkit
MITA	Medicaid Information Technology Architecture
MMIS	Medicaid Management Information System
MMISR	Medicaid Management Information System Replacement
N/A	Not Applicable
NM	New Mexico
OIG	Office of Inspector General
PCCC	PMO Change Control Coordinator
PM	Project Manager
PMBOK	Project Management Body of Knowledge
QA	Quality Assurance
SDLC	System Development Life Cycle
SP	SharePoint
SRC	System Review Criteria
TCRB	Technical Change Review Board
URL	Uniform Resource Locator

11.3 Appendix C: Referenced Documents / Links

The following is a list of documents references in this plan. Access to the links are based upon SharePoint user permissions.

Table 9 - Referenced Documents Links

Document	Link
Project Glossary	Project Glossary
MMISR Communication Matrix	MMISR Communication Matrix
CCB Meeting Minutes	CCB Meeting Minutes
TCRB Meeting Minutes	TCRB Meeting Minutes
TCRB Charter	TCRB Charter
CCMP Monthly Report	CCMP Monthly Report
Governance Council - ARB	ARB Charter
Governance Council - CCB	CCB Charter
Governance Council - DGC	DGC Charter
Governance Council - MMISR PMO	MMISR Charter
Governance Council - TCRB	TCRB Charter
Information Security Risk Assessment (ISRA)	Module Contractor specific (multiple documents)
MMISR Project Management Plan	MMISR Project Management Plan
MMISR Project Change Management Log (CCB)	MMISR Project Change Management Log (CCB)
MMISR Technical Change Control Board Log (TCRB)	MMISR Technical Change Control Board Log (TCRB)
MMISR Acronym and Definition List	MMISR Acronym List
Project Change Request ESC PowerPoint template	Change Request PowerPoint template
Enterprise Monthly Status Report	Enterprise Monthly Status Report
MMISR RACI and Role Charts	MMISR RACI and Role Charts

11.4 Appendix D: Project Change Management Log

Table 11 lists all fields in the HHS 2020 Project Change Management Log and whether the field is required, optional or a drop-down field, and if the field is to be used by the Change Manager. A link to the Project Change Management SharePoint log is listed in Table 9 within [Appendix C](#).

Table 10 - Data Elements of the HHS 2020 CCB Project Change Management Log

Change Log Attribute Name	Required, Optional or Drop-Down	Change Log Attribute Value
ID	Required	Auto-Generated by SharePoint when CR is logged
Title	Required	
Status (for EPMO use only)	Optional	To Be Used by EPMO Change Manager
PCR Priority (Impact to Triple Constraint (Scope, Schedule, Cost)) <ul style="list-style-type: none"> High-Impact to two or more Triple Constraint or Architecture Med-Impact to one of the Triple Constraints Low-No direct impact to one of the Triple Constraints 	Required	
PCR Description/Impact (Description of the desired change, the impact, or benefits of a change should also be described)	Required	

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Change Log Attribute Name	Required, Optional or Drop-Down	Change Log Attribute Value
PCR Type (Type of PCR based upon qualitative analysis by the PCR Representative) <ul style="list-style-type: none"> Standard Change- Changes that are minimal impact, risks are known upfront. The changes are managed according to policies from HHS 2020 Normal Change- Changes that must go through Change Management Process before being approved and implemented Emergency Changes- Unexpected error or threat that occurs. Email approvals are obtained. <i>Most changes for CCB (if not all) will be normal PCR types. Standard changes are maintenance & operations (M&O) type changes and mostly apply to TCRB</i>	Required	
Reason for Change Request (Description of reasons the change request is necessary)	Required	
Key Risks if Change not Implemented (Description of impacts if Change Control Item is not implemented)	Required	
Requestor (Person requesting the Change Request (i.e., name))	Required	
Requestor Email Address (Requestor's Email Address)	Drop-down	
HSD PM (HSD PM email address. May be listed as Implementer of Change Request)	Required	
Validated by (Verification of PCR to be validated by the HSD PM and Name has to be selected from SP credentials)	Optional	To Be Used by EPMO Change Manager
Next Steps (Description of Next Steps necessary for CR)	Optional	To Be Used by EPMO Change Manager
Product Version (Version of Item being changed if applicable. This is required for TCRB changes and optional for CCB changes)	Optional	
Program/Projects (Programs or Projects within HSD being impacted by change) <ul style="list-style-type: none"> Consolidated Customer Service CESR HHS 2020 MMISR MAD ITD-HSD PMO UNIFIED PORTAL DATA SERVICES SYSTEM INTEGRATOR BENEFIT MANAGEMENT FINANCIAL SERVICES 	Required Drop-down	
Progress Notes (Description of Progress for CR)	Optional	To Be Used by EPMO Change Manager
Opened/Initiated (Enter Date PCR was opened) <i>SharePoint tip: once date is entered, click open white space on form and date will save.</i>	Required	
Return to Submitter (Enter a Date)	Optional	To Be Used by EPMO Change Manager
Analyzed by CCM/Impact Assessment Complete (Enter a Date)	Optional	To Be Used by EPMO Change Manager
Approved by Project Director (Enter a Date)	Optional	To Be Used by EPMP Change Manager
Presented to CCB (Enter a Date)	Optional	To Be Used by EPMO Change Manager

Change Log Attribute Name	Required, Optional or Drop-Down	Change Log Attribute Value
Approved by CCB (Enter a Date)	Optional	To Be Used by EPMO Change Manager
Rejected by CCB (Enter a Date)	Optional	To Be Used by EPMO Change Manager
On-Hold by CCB (Enter a Date)	Optional	To Be Used by EPMO Change Manager
Approved by ESC (Enter a Date)	Optional	To Be Used by EPMO Change Manager
Verify: Implementation of PCR in Progress (Enter a Date)	Optional	To Be Used by EPMO Change Manager
Verify: Implementation of PCR is Confirmed (Enter a Date)	Optional	To Be Used by EPMO Change Manager
Contract/SOW Impacts (Description of any Contract or SOW impacts of change request)	Optional	
Impact Type (Select from Drop-down list) <ul style="list-style-type: none"> • Scope • Schedule • Cost • Quality • Performance • Security 	Required Drop-down	
Other Module Vendors Impacted by Change (Select from Drop-down list) <ul style="list-style-type: none"> • Benefits Management • Consolidated Customer Service Center • Data Services • Financial Services • Information Technology Department - HSD • Medical Assistance Division • Quality Assurance • System Integrator • Unified Portal • N/A 	Required Drop-down	
Attachments (Field to add/upload attachments, the standard template PPT is a required attachment to include for presentation to CCB)		

Note Regarding the Change Management Process:

For a Change Request (CR) to be reviewed at the Thursday Change Control Board (CCB) meeting, the CR needs to be opened in the Project Change Management Log by the end of the day Monday of that week and communication with the EPMO Change Manager needs to have occurred so that agenda for the Thursday CCB meeting can be planned.

11.5 Appendix E: TCRB Change Request Log

Table 12 lists all fields in the HHS 2020 TCRB Log (marked with * are Required fields). The TCRB Log is located on SP and can be found in the link provided in Table 9 within [Appendix C](#).

Table 11 - Data Elements of the HHS 2020 Technical Change Review Board Log

Data Element	Description
ID	Change identifier, auto assigned sequential number
Title*	Descriptive title of the change request

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Data Element	Description
Change Type*	Normal, Standard or Emergency
Change Category*	Examples: Network, Hardware, Software, Security
Requested By*	Person making the request; validated from SharePoint user list
Date opened*	The date the change request was created
Status*	(1) Open (1) New (2) In Technical Analysis (3) Sent to Workgroup (4) Analysis Complete (5) Approved (6) Work in Progress (7) Ready for Review (8) In Test/Quality Assurance (9) Complete (10) Closed (11) On Hold (12) Rejected
Priority*	(1) High (2) Medium (3) Low
System being Changed*	Examples: Server name, database name, data model name
Description of Change*	Description of the desired change and how it would impact business and technical processes; include impact to other systems
Additional system / applications affected*	List all systems and/or applications that are affected by this change (N/A, if not applicable)
Reason for Change*	Justification details of why the change is needed
Impact/Risk assessment*	Detailed of Impacts or Risks associated with this change
Risk if Change not implemented	Describe and quantify the risks of not implementing the change, itemized as to who is the exposed to each risk
User Impact*	High, Medium, Low, None
Backout/Contingency Plan*	If problems implementing this CR, what is the plan to back it out
Estimated Start*	Use date picker to select the date and specify the time
Estimated Duration*	When is the change estimated to be completed
Backout Deadline*	Use date picker to select the date and specify the time
User Communication Plan*	Plan for communication of change/outage for all affected users
Emergency Approver*	Person approving the request; validated from SharePoint user list (N/A, if not applicable)
Actual Start*	Use date picker to select the date and specify the time
Actual Finish*	Use date picker to select the date and specify the time
Did the change go as planned? *	Check 'Yes' box if successful as planned
If No, Explain*	Provide the details sequentially (N/A, if not applicable)
Was the backout plan used? *	(1) Yes (2) No (3) Not Applicable
Was the backout plan successful? *	(1) Yes (2) No (3) Not Applicable
Change Complete? *	Check 'Yes' box if complete
Completed By*	Use contact selection browser

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Data Element	Description
Comments/Annotations	Comments/Annotations (N/A, if not applicable)
Approving Body*	(1) ARB (2) CCB (3) DGC (4) TCRB
Approved*	Check 'Yes' box if approved
Approval Comments	Comments (N/A, if not applicable)
Approval Date*	Use date picker to select the date of approval