Medicaid Management Information System Replacement (MMISR) Project

PMO1 - Project Management Plan (PMP)

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1.0 Introduction

The Project Management Plan (PMP) provides project management and system development processes and procedures to be executed throughout the lifecycle of the Medicaid Management Information System Replacement (MMISR) project. It is to be used by all project team members.

The Centers for Medicare and Medicaid Services (CMS) Expedited Life Cycle (XLC) Project Management Plan template was used as the basis for the format and content of this document. Principles from the Project Management Body of Knowledge (PMBOK) were also consulted and incorporated into this plan.

1.1 Project Management Plan Purpose

The MMISR PMP provides a structured framework to enable the MMISR project team to work in a coordinated manner to execute, monitor, and control the MMISR project and to achieve the project's critical success factors.

The PMP supports this purpose by defining and presenting the management processes for each process area of the project. Some process areas are described completely within this document. Other process areas are only briefly summarized in this document because subsidiary management plans exist to provide the full process definition.

1.2 Project Management Plan Maintenance and Updates

The PMP must be regularly reviewed and revised to keep it current with the needs of the project and applicable to new stakeholders. It must also be kept up to date with the clarified requirements and goals of the project.

Potential milestones in the project lifecycle that may call for a revision include preparation for CMS reviews, onboarding of new module contractors, and transitions to production. At a minimum, annual reviews of the plan occur.

The Enterprise Project Management Office (EPMO) facilitates PMP reviews and updates. Approval of changes to the PMP or any of the subsidiary management plans follows the change management processes documented in the MMISR project Change Control Management Plan (CCMP) (PMO10). A link to the CCMP can be found in the Referenced Document Links Table in Appendix C of this PMP. The EPMO will record all changes in the Record of Changes table contained in the PMP and in the subsidiary management plans, as applicable.

2.0 Project Management Plan Scope

2.1 MMISR Project Overview

NM HSD is creating the Health and Human Services (HHS) 2020 vision, a transformational, enterprise approach to the health and human services business. HHS 2020 will move service delivery from a program-centric approach to a person-centric approach. NM HSD will migrate away from program and technology silos into an integrated, flexible framework that supports service delivery and stakeholder interaction across HHS programs and organizations. HHS 2020 is technology-enabled, but includes rethinking organizational design, redesigning and streamlining business processes and reducing barriers between organizations within the HHS enterprise.

A central element of the HHS 2020 implementation is the effort to replace the Medicaid Management Information System (MMIS), operated by the HSD Medical Assistance Division (MAD). The broader HHS 2020 initiative will include participation by the entire HHS enterprise serving all HSD divisions and other NM HHS organizations such as the Department of Health (DoH), the Children, Youth and Families Department (CYFD), the Aging and Long-Term Services Department (ALTSD) and Early Childhood Education and Care Department (ECECD).

The MMISR project is governed by the MMISR Project Charter and full Business Case. The full project overview, scope, goals, and objectives can be found within the Charter. The Charter has been updated during this annual review cycle to ensure that the MMISR Project Charter is in alignment with the latest approved version of the Multi-Operational Implementation Advanced Planning Document, which was approved by federal partners in January 2022, and then the annual update and request for FFY23 funding was approved in December 2022. Many other important Project Documents are referenced in the State Project Team Onboarding Plan (PMO17). For links, please refer to Appendix C. This PMP focuses on the key components for managing the MMISR project for structured enterprise processes during Design, Development, and Implementation (DDI) for the State project teams and module contractors.

2.2 MMISR Scope Management

For Scope Definition please refer to the MMISR Project Charter.

The processes for refining, documenting, reviewing, and approving system scope are described in the MMISR project Requirements Management Plan (RMP) (PMO15). A link to the RMP can be found in the Referenced Document Links Table found in Appendix C of this PMP.

As described in the MMISR project Requirements Management Plan, the Requirements Traceability Matrix (RTM) is a plan that helps to ensure that the baselined system scope aligns with the designed, developed, and tested system scope. The RTM provides the ability to monitor and control the life of a requirement through forward and backward traceability. Forward traceability involves tracing each original requirement to its validated requirement and to downstream work products, such as design components and test cases. Backward traceability involves tracing each unique work product (i.e., design elements and test cases) back to its associated original requirement. Backward traceability can verify that the requirements have been kept current throughout the design, development, and testing.

2.3 MMISR Scope Statement

Scope management is a process used by the MMISR Project team, EPMO, and module contractors to define, validate, monitor, and control the scope of the MMISR project. Using the PMBOK definition of scope, the MMISR project has both system scope and project scope where:

- System scope represents, at a high level, the functionality provided by the system. The detailed requirements deliverables that come later in the project will present both functional and non-functional requirements
- Project scope represents the work needed to deliver the system scope

Detailed business requirements are defined, documented, and tracked throughout the phases of the project including (RFP/RFQ's, SOW's, BTC Journeys and JAD/JAR's for each Module Contractor's engagement.

2.4 MMISR Project Funding and Sources

Please refer to the updated MMISR Project Charter for Project Funding and Sources. Link available in Appendix C

3.0 Overall Project Management Approach

This section describes the overall project management approach for the MMISR project. The approach is based on the Project Management Institute (PMI) PMBOK Sixth Edition. Where applicable, this section references subsidiary plans produced by the MMISR project team and plans by the EPMO.

3.1 Project Governance/Stakeholder Engagement

Project governance defines the authorized bodies and processes that influence or control the strategies, tactics, and monitoring of the project. Project governance ensures the project remains aligned with the sponsor's and stakeholders' goals, priorities, and identification of constraints. These authorized bodies are supported by governance councils established to safeguard enterprise and project standards for architecture, data, and the business process improvement that will result from the implementation of new business and technical capabilities. Oversight groups also independently monitor and report project progress and help to mitigate risks.

The MMISR project governance bodies are responsible and accountable for developing, planning, and implementing processes to:

- Manage decision making
- Control scope
- Manage change, risks, and issues
- Manage stakeholders
- Set, safeguard, and implement standards for business, data, and technology
- Monitor and manage cost, schedule, and resources

This Project Governance section of the MMISR PMP constitutes the project's overall governance plan.

A MMISR Role Chart is approved and maintained monthly by the EPMO and located on SharePoint. A link to the MMISR Role Chart can be found in the Referenced Document Links Table in Appendix C of this PMP.

A MMISR Functional Org Chart is approved and maintained monthly by the EPMO as well and located on SharePoint. A link to the MMISR Functional Org Chart can be found in the Referenced Document Links Table in Appendix C of this PMP.

3.1.1 Authorized Bodies

The Sections listed below describe the groups that make up the project's Authorized Bodies.

3.1.1.1 HHS 2020 Executive Steering Committee

The HHS 2020 Executive Steering Committee (ESC) leadership and governance authority extends beyond the project's Medicaid-impacted programs to include all agencies and programs that can benefit from shared enterprise level technical services, tools, access to client data, eligibility program data, and healthcare data within New Mexico's health and human services agencies. These other agencies are currently defined as the DoH, ALTSD, CYFD, Department of Information Technology (DoIT), and ECECD.

The HHS 2020 ESC is comprised of the secretaries of HSD, DOH, ALTSD, CYFD, ECECD, DoIT and a representative of the Governors' office alongside the deputy cabinet secretary and the Chief Information Officer (CIO) of HSD. The ESC oversees the project's strategies and implementation in terms of how it impacts the constituent agencies and how the constituent programs contribute data into the enterprise.

The HHS 2020 ESC has ultimate change, spending, and decision-making authority for the HHS 2020 initiative and the MMISR project.

3.1.1.2 Operational Steering Committee

To help fulfill the purpose of HHS 2020, the HSD Operational Steering Committee (OSC) was chartered to initiate, review, and approve Department-wide organizational change management work activities and ensure coordination among all Division within HSD. Specifically, the OSC represents the interests of Administrative Services Division (ASD), Behavioral Health Services Division (BHSD), Child Support Enforcement Division (CSED), Information Technology Division (ITD), Income Support Division (ISD), MAD and Office of Inspector General (OIG) – all divisions within HSD.

As a critical component for daily management of the MMISR project, HSD defined a DDI Leadership Operating Model. As the leader of this model, HSD assigned a full-time Project Director to the Project to be responsible for overall delivery of project outcomes and business value. Along with the Project Director, each module has a Module Owner representing the needs of the business. Working alongside the Module Owners, the Contract Manager and IT Project Manager provide a cohesive and well-rounded day to day management team for the Module Contractors and scopes of effort. A link to the Leadership Operating Model can be found in Appendix C of this PMP.

3.1.1.3 MMISR Leadership Team

The MMISR Leadership Team is comprised of the HSD Deputy Cabinet Secretary, HSD CIO, MMISR Project Director, Medical Assistance Division (MAD) Director, and MAD Deputy Directors. This team oversees the project's development and implementation of business, technical, and information capabilities. It is responsible for the leadership, oversight, and management aspects of the MMISR project.

The EPMO reports key project activities, actions, and decisions to this body.

The MMISR Leadership Team escalates MMISR project changes, decisions, and issues, as needed, to the HHS 2020 ESC. Detailed information related to the oversight and escalation can be found in the Change Control Management Plan (CCMP) (PMO10). A link to the CCMP can be found in Appendix C of this PMP.

3.1.1.4 MMISR Change Control Board

The MMISR Project Change Control Board (CCB) makes formalized scope, schedule, and cost decisions within pre-defined thresholds outlined in the Change Control Management Threshold document. The CCB comprises representation from the MMISR Leadership Team, CIO's from other HHS Departments and key Project Team Members and can approve or deny change requests without escalation to a higher governance body, however, significant impacts to project costs or timeline require escalation to the HHS 2020 ESC. Links to the Change Control Management Thresholds as well as the CCMP can be found in Appendix C of this PMP.

The CCB receives input and advice from each of the governance councils described in a later section of this document: Architecture Review Board (ARB), and Data Governance Council (DGC).

3.1.1.5 MMISR Project Management Office

The MMISR Project Management Office (PMO) consists of Project Leadership, Project Managers (PM), HSD Business, Medicaid Subject Matter Experts (SMEs) and the EPMO. The PMO has an extended network of PM's (project managers from the MMISR module contractors and HSD) who in total make up the PMO functionality for the MMISR project. This combined group has responsibility for providing governance and accountability over day-to-day project management processes and the execution of project activities.

The PMO, including project managers from each active module contractor and State project teams, meet monthly to review proposed decisions, risks, and issues. The PMO also reviews the opened, updated, and closed items in each of these categories. The meeting serves a vital communication role ensuring project managers are informed of the current and pending status of key items impacting the project. Decisions around project management structure and standards are discussed and decided upon within the PMO as well.

3.1.1.6 Enterprise Project Management Office

The EPMO consists of a Project Executive, a Project Director, Project Managers (PM), Project Coordinators (PCRs), and Medicaid SMEs as needed by project phase. This group has responsibility for providing overall governance and accountability for Enterprise project management processes, monitoring adherence to the processes, and reporting progress to Leadership and the ESC. The EPMO leads and fosters collaboration among agencies, programs, and module contractors to achieve the project vision and goals, while being fully compliant with defined standards.

The EPMO is overseen by and escalates to the MMISR Leadership Team through the course of MMISR processes (Risks/Issues, Decisions, Schedule Management, Change Management, and Status Reporting), semi-weekly Leadership Meetings, and monthly Executive Steering Committee Meetings.

3.1.2 HHS 2020 Governance Councils

The following groups make up the HHS 2020 Governance Councils and each has their own Charter containing Mission, Goals and Objectives, and operating rules.

3.1.2.1 Architecture Review Board

The ARB evaluates the evolution of both the HHS 2020 System Enterprise Architecture (EA) and the conformance of individual components to the enterprise architecture. Architectural designs must conform to the HHS 2020 EA to ensure that all components and technology decisions lead to highly interoperable systems, components, information, and capabilities in the HHS 2020 ecosystem.

The ARB's chief purpose is to bring consistency within and across project architectural realms by carefully considering architectural change proposals and evaluating whether exceptions to the EA can be accommodated. The ARB ensures that deployed components adhere to 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.

3.1.2.2 Data Governance Council

The DGC is comprised of business representatives, Data Owners, and IT representatives - Data Custodians. The Data Owners are representatives from the business who are ultimately accountable for the data as an asset. They are business SMEs who are data savvy around legal sharing of their data, understand their data and what it means, and has authority to make decisions around processes impacting data quality and access or sharing of data. Data Custodians are IT representatives responsible for the technical environment and data base structure to ensure safe custody, transport, storage and implementation of business rules. The DGC will have responsibility of ensuring the security and quality of data assets including data migration, data integration, data quality, data sharing, metadata management, data tooling, data security, and data stewardship to facilitate a data driven organization.

3.1.2.3 Technical Change Review Board (TCRB)

The TCRB (subset of the ARB) serves as a team of technical leaders from across the HHS 2020 initiative. The TCRB monitors and governs changes to configuration items and technical standards and safeguards ultimate impact those changes will have on environments, infrastructure elements, as well as software.

The board reviews and approves or rejects proposed modifications to systems and software. and, in the future, may coordinate release management on behalf of the modular MMIS and/or the HHS 2020 IT Enterprise

3.1.3 Oversight Entities

The following sections defines both the federal and state level Oversight Entities.

3.1.3.1 Centers for Medicare and Medicaid Services

CMS is the federal agency that oversees and provides funds for the MMISR project. Funding requests are made to CMS in the form of APDs. CMS approvals of APDs are required to authorize Enhanced Funding for Medicaid Eligibility Systems for the MMISR project for DDI activities. The Federal Partners also review and approve all RFPs and change requests greater than $500,000 and all contracts produced by NM for the project.

Upon completion of all DDI activities CMS must certify the project implementation and operations to authorize continued enhanced federal funding of the new system in operations. CMS works closely with project leadership and the Independent Verification and Validation (IV&V) contractor to ensure the project is completing CMS certification activities satisfactorily.

3.1.3.2 Administration for Children & Families

Administration for Children & Families (ACF), a division of the U.S. Department of Health & Human Services (HHS), promotes the economic and social well-being of families, children, individuals, and communities with funding, strategic partnerships, guidance, training and technical assistance.

3.1.3.3 Food and Nutrition Service

The Food and Nutrition Service (FNS) works to end hunger and obesity through the administration of 15 federal nutrition assistance programs including WIC, Supplemental Nutrition Assistance Program, and school meals. In partnership with state and tribal governments, the programs serve one in four Americans during the course of a year. Working with the public, private, and non-profit partners, the mission is to increase food security and reduce hunger by providing children and low-income people access to food, a healthful diet and nutrition education in a way that supports American agriculture and inspires public confidence.

3.1.3.4 NM Department of Information Technology

NM's DoIT has statewide oversight of information technology projects. DoIT employs its own set of stage gate reviews and certification processes for monitoring project progress and success.

The MMISR project must coordinate with DoIT via two (2) key review channels: appearances by project leadership at DoIT's Project Certification Committee (PCC) and appearances by project technical leads at DoIT's Technical Architectural Review Committee (TARC). TARC reviews technical documents such as the System Design Document and the Maintenance & Operations Plan to ensure projects are sound in their technical approach and their ability to sustain operations. The PCC receives input from the TARC as part of its determination of whether a project may move from one project phase to the next and whether funds allocated by the NM legislature should be released to the project.

The MMISR project appears at the PCC and TARC several times over the course of the project, chiefly at the stage gate transition points for the MMISR modules.

3.1.3.5 Independent Verification and Validation

CMS requires that all state Medicaid projects engage an outside contractor to provide IV&V services. IV&V oversight services are primarily oriented to the CMS certification processes, requirements, and reviews. The IV&V contractor reports to the project steering committees and directly to CMS. IV&V provides quarterly reports to CMS related to each certification checklist, certification review preparations, and project risks.

IV&V personnel attend most project meetings, read project status reports, and review project deliverables. IV&V also produces observations that highlight risks and issues it believes are affecting the project and shares these observations and recommendations for mitigation with the project and its governance stakeholders in a monthly assessment.

4.0 MMISR Project Management Responsibilities

The MMISR project has an approved RACI (Responsible, Accountable, Consulted, and Informed) which details responsibilities by position/group. The MMISR RACI is available on the MMISR SharePoint site. Links to the MMISR RACI chart and RACI Role Descriptions can be found in Appendix C of this PMP.

4.1 Enterprise Project Management Office

The EPMO has oversight responsibilities for HSD, module contractors, and State Project Teams participating in the MMISR project. These responsibilities pertain to the project management processes utilized in the project.

The EPMO plays a key role in setting standards, initiating effective vendor participation, monitoring, and reporting progress, and facilitating ongoing activities and meetings, all in conjunction with HSD:

- Governance Planning and Execution
- Requirements Management
- Communications and Engagement Strategy
- Risk and Issues
- Change Control Management
- Test Management
- Decision Management
- Quality Management
- Staffing and Resource Management
- High-Level oversight on individual module contractor's detailed schedules
- Enterprise Project Schedule (EPS) using Schedule Management Plan (incorporating critical path items, deliverables, and inter-dependencies at the summary info from detailed module contractor and State Project team's schedules). This includes metrics and dashboards derived from the EPS
- State and Federal Certifications – working with HSD's certification team
- Facilitation and oversight of the completion of project action items
- Support in the development and maintenance of Project Funding Artifacts

4.1.1 Project Coordinator Support

The EPMO provides both the EPMO and the State project teams a project coordinator service to support the facilitation of meetings via:

- Meeting set up including invites, agendas, and notes
- A PCr Form has been developed to assist with PCr meeting support needs. This form is stored on SharePoint, is completed by the requestor and submitted to the EPMO to ensure adequate coverage. A link to this form can be found in Appendix C of this PMP
- Capture and follow up of action items, risks, issues, and decisions
- Document review
- PMO Template development and support

4.2 System Integrator

The System Integrator (SI) has responsibilities for the project's technical and technology standards as it relates to the enterprise platform. The SI oversees the following activities (not limited to):

- Integration and Migration Planning
- Integrated Software Development Life Cycle (SDLC) Approach
- MITA Strategy Integration - Alignment with "To-Be" Level and CMS Seven Conditions and Standards (SCS)
- SI Detailed Schedule for SI work

- Requirements Management for their scope of work
- Security Management
- MMISR System Migration Planning and Leadership
- Master Transition Planning and Management
- Systems Migration Services
- Coordination with all governing bodies
- Conversion of Historical Data
- Integrated Test Planning and Execution
- Enterprise Tactical Operations Oversight
- Consolidated Disaster Recovery Planning
- Performance Monitoring and Dashboard
- Final Acceptance Testing
- State and Federal Certifications for SI's solutions
- Platform and Operations Monitoring
- Application Support for Solutions, Tools, and Products
- Maintenance and Operations

4.3 Module Contractors

Each module contractor has responsibilities to adhere to Enterprise MMISR project standards and implementation guidelines. Since each module contractor is a Business Process Outsourcing (BPO) model, their solutions are considered a bit of "black box", stressing their responsibilities are around their platforms, compliance and ownership of everything on their side of the "wall". Each module contractor is responsible for the following activities (not limited to):

- Integrated SDLC Approaches
- MITA Strategy Integration - Alignment with "To-Be" Level and CMS SCS
- Module contractor Detailed Schedule for their scope of work
- Staffing and Resource Management for their team
- Requirements Management for their scope of work
- Business Process future states
- Coordination with all governing bodies
- Test Planning and Execution
- Participation in End-to-End Testing
- Training on their Solution
- Final Acceptance Testing
- State and Federal Certifications for their solution
- Maintenance and Operations
- Familiarize and follow processes included in the State Project Team Onboarding Plan (SPTOP) – PMO17 (e.g., acronyms, terms/definitions, review of approved project plans, and process)

4.4 NM HSD Oversight

NM HSD (both business and IT) has oversight on many areas of the MMISR project for leading standards. HSDs responsibilities include, but are not limited to:

- Configuration Management (in conjunction with SI Plan)
- Capacity Management

- Asset Management
- Acquisition Management
- Project Financial Management
- Business Transformation
- Organizational Change Management
- Day to day management of the project and module contractors

5.0 MMISR PMP Subsidiary Plans

A link to each plan described in the subsections listed below can be found in Appendix C of this PMP.

5.1 Schedule Management

The project Schedule Management Plan (SMP) (PMO6) provides standards and guidance for the MMISR project's schedule management processes.

Schedule management is used by the EPMO, module contractors, and the State project teams for planning, monitoring, and controlling the project's EPS, detailed module contractor schedules and key timelines.

The SMP provides all module contractors and HSD project teams guidelines on producing their detailed schedules for effective consumption by the EPS. The EPMO is responsible for consolidating module contractors and the State teams' schedules into the EPS to enable end-to-end visibility of MMISR project schedule performance.

The EPS contains milestones, key dependencies, critical path items and key resource needs from the NM's project teams and each module contractor's detailed schedules.

The schedule management monitoring and controlling processes are used to monitor the status of the MMISR project, update the EPS with actual data to reflect the project status, identify deviations from the EPS baseline, and proactively identify schedule and/or resource risks so they can be mitigated before becoming issues. EPS baseline changes are managed by the MMISR change control processes.

As originally planned and documented, the MMISR implementation methodology was outlined to be a "Big Bang" approach. Meaning, that all modules would be available to the NM Customers at the same time. As the project evolved, additional value was identified by taking a more "Incremental" approach. Although many modules are dependent upon others and ultimately drive an order of events, the MMISR project has moved to achieving value and usefulness when modules can be available. As an initial demonstration of this approach, the Consolidated Customer Service Center (CCSC), went live in June/ August of 2020, ahead of all other modules. As the SI implements the platform and shared services, the CCSC will retrofit some of its infrastructure to make use of the streamlined services.

5.2 Cost and Budget Management

5.2.1 Cost Management

The EPMO reports on the MMISR Budget monthly through MMISR Earned Value metrics reported in the Enterprise Status Report. The EPMO advise, help track, and escalate issues as they arise.

MMISR project cost baseline changes are managed by the change control management processes, detailed in the Project CCMP.

NM HSD is responsible for planning, monitoring, and controlling MMISR project cost management activities.

5.2.2 Project Budget Management

The MMISR project budget and additional information about project financials are captured in the Financial Management Plan in the HHS 2020 document library.

The MMISR project cost plans are captured in and reported from NM's SHARE financial management system. Budget tracking is part of financial management and is reported on a weekly and monthly basis by the Project's Financial Manager. The project Financial Management Plan and related reports are housed in the MMISR Financial Executive Documents folder in SharePoint.

Financials are reviewed monthly in the MMISR Leadership Meeting, as well as the monthly HHS 2020 Steering Committee Meeting. Project budget management also supports the periodic updates on MMISR financials to the oversight bodies via Federal Partners APD updates and presentations to DoIT's PCC committee.

5.3 Change Control Management

The project CCMP provides a detailed description of the MMISR project change management process.

The change management process establishes orderly and effective procedures for tracking the submission, coordination, review, evaluation, categorization, and approval for changes.

The enterprise Change Control Management Plan considers project, technical, data, and business impacts for each change.

The EPMO provides a Change Manager for facilitating the entire process and working closely with the module contractors and HSD project teams for timely and effective flow through the process.

Change Control Management, including governance and escalation, is detailed in the CCMP available on SharePoint. The Change Control Management Thresholds as approved by the ESC are available on SharePoint and the link can be found in Appendix C

5.4 Communications Management

The project Communications Management Plan (CMP) (PMO3) provides a detailed description of the MMISR project communications management process.

Communications management ensures that the information needs of the MMISR project are met through the development of artifacts and the execution of activities designed to achieve effective information exchange. The CMP also describes the communication vehicles, media, and audiences for formal communications published to internal and external stakeholders.

An HSD Communication Manager, who is focused on crafting the ultimate MMISR communication branding messages and flow to external stakeholders will oversee all areas of communication including the adherence to the plan

The Communications Matrix is a structured list of communication methods and frequency used by MMISR project stakeholders. The type of information relayed to pertinent MMISR project stakeholders is based upon the stakeholder's role in the project.

The MMISR project relies on a Push/Pull method for disseminating information to team members. With organized and structured meeting agendas and consistent and timely meeting notes, team members have access to pull information they believe they need to assist in their daily work. Less reliance on meeting attendance, allows everyone to be more effective, while ensuring information is easily available when needed. Casual conversations, use of Instant Message, and Email allow for simple questions to be addressed without the need to take up multiple people's time.

Status Meetings provide a verbal communication of the past, current, and future work of the project.

Agendas and notes from meetings are posted to the appropriate meeting name folder within the HHS 2020 project SharePoint site.

5.5 Risk Management

The EPMO Risk/Issue Manager and Risk/Issue Management team use the risk management processes to identify and analyze risks, plan responses for risk resolution, also tracking, maintaining, and closing risks. The EPMO Risk/Issue Manager and Risk/Issue Management team, work with MMISR project stakeholders to validate that risk management processes are followed over the life of the MMISR project.

On an ongoing basis, the MMISR project team identifies risks using PMBOK risk identification practices as defined in the Risk Management Plan. The EPMO Risk/Issue Manager and the Risk/Issue Management team meet weekly to analyze new risks, plan risk responses and oversee risk mitigation plans. The EPMO tracks risks and maintains the Risk Registry until risks have been fully mitigated, transformed into issues, or are no longer valid, whereupon they are closed, accepted, or transferred to an issue by the State. The EPMO facilitates escalation of risks to the appropriate MMISR governance body when necessary for timely handling and response from the correct level of decision making.

Key Risks are discussed regularly at MMISR Leadership meetings as well as MMISR status meetings.

5.6 Issue Management

Issue management is a process used by the MMISR Project Teams to identify and analyze issues, plan actions for issue resolution, and track, maintain, and close issues. The EPMO works with MMISR project stakeholders to validate that issue management processes are followed over the life of the MMISR project.

The MMISR project team identifies issues using PMBOK issue identification practices on an ongoing basis. Issue management follows a similar flow as Risks which are further defined Risk Management process and plan. Issues and Risks are handled by the EPMO Risk/Issue Manager and the Risk/Issue Management team weekly to analyze new issues and create issue action plans. The EPMO tracks issues and maintains the Issue Registry (separate from the Risk Log) until issues have been successfully resolved or are no longer valid, whereupon they are closed. The EPMO facilitates escalation of issues to MMISR governance when necessary for timely handling and response from the correct level of decision making. Issue resolution can result in a Change Request (following the Change Control Management process) or a Decision (following the Decision Management process). Although not as common as transferring a risk to an issue, an issue that has been mitigated can be transferred to a risk for further monitoring.

Key Issues are discussed regularly at MMISR Leadership meetings as well as MMISR status meetings.

5.7 Quality Management

Quality management (QM) is a process used enterprise-wide to define, execute, review, and evaluate project processes that support the project team's ability to produce high quality work products and deliverables in a manner consistent with internally and externally imposed quality standards.

The Quality Management Plan (QMP) (PMO13) outlines the enterprise requirements that all Module Contractors must follow. These quality standards will apply to project management, deliverables, project processes, test cases, test results, and all activities related to hardware and software development.

The QMP also addresses quality management oversight of module contractors, including the responsibilities of each of the component owners, all necessary compliance activities, how quality is measured to ensure that standards are being met, and how reporting will be conducted.

QM is a continuous activity performed throughout the project lifecycle, with special attention paid towards the following areas:

- **Quality Planning (QP):** Performed primarily during the project planning process.
- **Quality Assurance (QA):** Performed primarily during the project execution process which includes monitoring the accuracy of deliverables, design of instantiation software, and test results.
- **Quality Control (QC):** Performed primarily during the project monitoring and controlling process in order to include system performance and continued quality improvement over the life cycle of the MMISR project.
- **Quality Improvement (QI):** Performed primarily through the "plan, do, check, act" (PDCA) methodology for assessing results and using the feedback to plan for future enhancements to the MMISR project

5.8 Resource Management

Resource management is used by NM HSD, EPMO, module contractors and State project teams to identify project staffing requirements, and to recruit, hire and train project staff. The Staffing Model and Resource Management Plan (SMRMP) (PMO2) contains enterprise-level information that extends across the entire MMISR project. Each module contractor will provide their own detailed Resource Management Plans (RMPs) for module-specific resource management plans.

Resource management plans use the same general outline and provide for modifications specific to each module. The major components of each RMP are:

- Introduction
- Staffing Approach and Methodology
- Staff On-Boarding (also contained in the State Project Team Onboarding Management Plan)
- Vendor Onboarding (supporting the engagement and integration of each module contractor and State teams in the enterprise as a new module comes onboard)

Project resource forecasting is being added to the Enterprise Project Schedule to assist in tracking the timing of upcoming resource needs and possible overcommitment.

5.9 Test Management

Test Management oversees the approach to managing and maintaining the MMISR Project testing lifecycle. Test Management outlines and communicates the intent of the testing effort for the MMISR

Project incorporating CMS guidance on Certification and appropriate Security standards to define testing protocols. The MMISR Test Management Plan (TMP) provides the overall testing approach and detailed methodologies for the MMISR project to verify and validate the hardware and software infrastructure, interoperability, and enterprise business workflows of all the constituent systems, including modules, external and internal interfaces, and service orchestration.

5.10 Deliverables Management

Each module contractor produces deliverables per the Scope of Work of their underlying contract with HSD. Module contractors and State project teams use the HHS 2020 SharePoint site to post Deliverable Expectations Documents (DEDs), if applicable, both draft and final versions, as well as Deliverables, both draft and final versions. Module contractors and State project teams post DEDs and deliverables in appropriately named folders set up for their respective modules.

The MMISR project tracks details around the module contractor deliverable delivery in the Enterprise Deliverable Tracker located on the MMISR SharePoint site.

Details around the Deliverable Review and Approval process can be found in the Job Aid Paid and Non-Paid Deliverables document on SharePoint. A link to the Job Aid Paid and Non-Paid Deliverables document can be found in Appendix C of this PMP.

5.11 Document Management

Document management is the coordination and control of the flow (storage, retrieval, routing, and distribution) of electronic documents in a secure and efficient manner, to ensure that they are accessible to authorized personnel when needed.

Finalized documents are stored in the MMISR project SharePoint site. Deliverable documents, plans, procedures, business process maps, and work instructions are examples of documents that must be under document change control. Important aspects of document management on the MMISR SharePoint site are:

- Review and approval of documents prior to posting
- Definition of types of documents to be posted
- Ensuring changes and revisions are clearly identified
- Using naming conventions to clearly identify documents and support version control on the SharePoint site, preventing unintended use of obsolete or misidentified documents
- Providing mechanisms for external documents (such as customer-supplied documents or supplier manuals) are identified and controlled
- Provide safe storage and back up of all documents in the MMISR project document libraries and associated libraries
- Provide measures to maintain restricted access to confidential documents
- Provide an accurate and complete archive of project documents to HSD at the conclusion of MMISR

The use of templates has been incorporated into the project, allowing for better consistency and standards to be followed. Depending on the document needed, templates are stored in the document's associated destination library. Examples of templates currently in use on MMISR are HSD

sanctioned PowerPoint presentations, DED's, Meeting Agendas, Meeting Notes, Weekly Status Reports and standard Modularized Schedules.

HSD's Information Technology Division (ITD) is responsible for the security, backup/recovery and access privileges of the MMISR SharePoint document libraries. All MMISR team members are required to take and pass annual NM Security, HIPPA and IRS compliance training.

5.11.1 Document Standards

Document standards are the coordination of formatting within standards. For Deliverable specific documentation, a Document Formatting Checklist is contained in the Job Aid Paid and Non-Paid Deliverables document and available for use in developing and supporting consistent project wide document standards. A link to the Job Aid Paid and Non-Paid Deliverables can be found in the Referenced Document Links Table located in Appendix C of this PMP.

5.12 Decision Management

Documentation of decisions as well as the subsequent communication of the decision are key to any successful project. Decisions need to have the correct level of scrutiny and signoff. Members of the PMO are responsible for ensuring documentation is tracked in the MMISR Decision Register on SharePoint. The EPMO, as well as the PMO, communicate the decision to all parties who may be affected. New decisions are reviewed in the PMO monthly meeting. Through the course of the MMISR Change Management process, decisions are documented and reviewed. Decisions are entered and tracked in the Decision Log. At times, decisions drive new Change Requests. A cross reference of corresponding numbers (Decision Log #) will be reflected in the Project Change Control Log.

Details around the Decision Management Process are included in the Decision Management Plan. A link to the Decision Management Process can be found in the Referenced Document Links Table located in Appendix C of this PMP.

5.13 Configuration Management

Configuration management is used by the module contractors, and HSD project teams to ensure MMISR project system integrity by identifying and tracking MMISR project hardware, software, and documentation of Configuration Items (CIs) in the project Configuration Management Database. Information about CIs is documented at the project's outset by identifying, defining, and baselining the initial CIs. The configuration management process controls modifications to CIs, reports and records the status of CIs and any requested modifications, ensures completeness, consistency, and correctness of CIs, and controls the storage, handling, and delivery of CIs.

Currently, no comprehensive Configuration Management Database (CMDB) Tool is in use by MMISR, however, the State is pursuing the purchase and implementation of a CMDB. HSD currently tracks technical configuration items through the use of "Build Books".

The State's MMISR Configuration Management Plan provides a detailed description of the MMISR project configuration management process.

The Configuration Management Plan is the responsibility of HSD. A link to the Configuration Management Plan can be found in Appendix C of this PMP.

5.14 Acquisition Management

Acquisition Management (AM) is the process used by NM HSD, module contractors, and State project teams to procure hardware, software, and other MMISR project items. In addition, AM documents acquisition strategies, roles and responsibilities, prerequisites, acquisition type criteria, tools and systems. Together these topics describe how all acquisitions will be planned, executed, and managed throughout the life of the MMISR project. AM is the protocol by which purchasing items without the need for public facing procurements such as RFPs are made for the MMISR project.

The Acquisition Management Plan is the responsibility of HSD. A link to the Acquisition Management Plan can be found in Appendix C of this PMP.

5.15 Asset Management

Asset Management is used by NM HSD, module contractors and State project teams for establishing a centralized asset-tracking repository that accounts for existing hardware and software assets. By accounting for all project assets, an Asset Management Plan (AMP) facilitates the improvement of infrastructure efficiency and performance and minimizes associated overhead expenses. The AMP also defines the tools, service levels, roles, and responsibilities for managing MMISR project assets.

Currently, no comprehensive Asset Management Plan or Tool is in use by MMISR. HSD is investigating the procurement of a tool for this purpose in conjunction with the Configuration Management Database (CMDB). Ultimately, Asset Management and Configuration Management should be tied together in a tool due to the significant dependency on each other.

The Asset Management Plan is the responsibility of HSD. A link to the Asset Management Plan can be found in Appendix C of this PMP.

6.0 System Development Approach

The MMISR project will organize, develop, manage, and report the work and progress of the project according to three (3) defined and essential SDLCs:

- Outcomes Based Certification (OBC)
- NM DoIT certification gates and phases
- MMISR development approach

6.1 NM Department of Information Technology Certification Gates and Phases

The MMISR project complies with the guidelines laid out by the NM DoIT, the State oversight agency for all NM technology projects. The DoIT project life cycle organizes project work according to milestones that authorize the project to proceed through phase gates and to receive funds authorized by the NM legislature. The major components of the NM DoIT life cycle are as follows:

- Initiation Phase Certification
- Planning Phase Certification
- Implementation Phase Certification
- Project Closeout Presentation

6.2 MMISR Development Approach

Overall, the MMISR project uses a waterfall SDLC methodology to organize project activities from initiation to closure at the highest level. Since the module deployments utilize some hybrid of waterfall and Agile project management, the overall development and implementation of the MMISR project is comprised of many SDLC tracks nested within the overall solution deployment. There are many primary SDLC tracks within the scope of work. The SDLC tracks each have their own start and end dates and be allowed to overlap other SDLCs as needed based on priority, resource availability, and interdependencies.

A standardized definition is applied across SDLCs, although some variations are used. The general template for SDLC development is comprised of the deliverables listed below:

- Requirements Definition
- Design
- System Test Plan
- User Acceptance Test Plan
- Application Development Verification
- System Test Report
- Agency Acceptance Test Report

Atypical workstreams cannot be managed in a single SDLC track because much of the work cannot be defined at the outset of the project. The project uses an iterative (Agile) SDLC approach for these workstreams. Atypical work streams defined at the beginning of the project include interface identification and deployment, service orchestration and continuous integration.

When specifically identified in a module contractor's scope, the MMISR project will use a methodology of ongoing configuration and continuous integration. This methodology is documented in the project's Configuration and Continuous Integration Services (CCIS) management plan which describes the central coordination and prioritization processes for integrating all components of the MMISR project. The CCIS plan describes how the Enterprise Service Bus, Medicaid modules, and business capabilities will be configured and integrated into the overall HHS 2020 enterprise solution. It describes the processes for grooming backlogs of integration needs across the MMISR project. The module contractors will work with HSD project teams to engage with HHS 2020 stakeholders to coordinate, plan and implement services for configuration and continuous integration.

6.3 Addendums

Addendums are used to allow module contractors to document process additions or deviations to quickly pivot from the system development approaches described in the enterprise requirement, design, development, and/or test plans. If the module contractors, in coordination with the HSD project teams, determine the need for a system development addendum, then the following addendum preparation, review, and approval process are executed:

- The module contractor prepares and posts the draft addendum to the MMISR project SharePoint site.
- The module contractor conducts a walkthrough of the draft addendum with NM HSD.
- NM HSD posts their draft addendum comments to the MMISR project SharePoint Site.

- The module contractor prepares and posts to the MMISR project SharePoint site the final addendum that incorporates HSD's comments.
- The NM HSD team reviews and approves the final addendum.

Once the addendum has been approved, the module contractor executes the processes defined in the system development enterprise plan (e.g., Requirements Management Plan) along with the process deviations specified in the addendum.

Upon the annual review process of each deliverable, any current Addendums will be incorporated into the actual deliverable and the Addendum will be archived.

7.0 CMS MMIS Certification

Demonstrating compliance with the CMS certification requirements is an essential part of the overall MMISR Project. The MMIS Certification process ensures that the MMISR Enterprise Solution and its related modules meet CMS Certification requirements. The PMP is a supporting component of all the MMISR Project Management Plans and is required as part of the CMS Certification process.

For CCSC, the MECT certification criteria was followed, and artifacts presented and approved by CMS. CCSC received certification approval by CMS on 5/17/2022. All other modules will follow Outcomes Based Certification (OBC) methods. The SI does not require individual certification.

This deliverable may be reviewed during informal CMS reviews.

When increasing the MITA Maturity from Level 1 and Level 2 (a highly manual state) to a MITA Maturity Level of 4 (a highly automated state), the products produced by the MMISR are expected to be of high quality.

8.0 Applicable Standards

The following is an initial set of standards applicable to this Project Management Plan. These standards are subject to change over time:

- PMI Project Management Body of Knowledge (PMBOK 6 Edition)
- Information Technology Infrastructure Library (ITIL) V3 framework

9.0 Assumptions / Constraints / Risks

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

9.1 Assumptions

This section identifies the statements believed to be true and from which a conclusion was drawn to define this PMP.

- None at this time

Any assumptions regarding the PMP subsidiary plans will be specified within those plans.

9.2 Constraints

This section identifies any limitations that must be taken into consideration during project planning and execution:

- None at this time

Any constraints regarding the PMP subsidiary plans will be specified within those plans.

9.3 Risks

This section identifies any limitations that must be taken into consideration during project planning and execution:

- None at this time

10.0 Standards and Guidelines

This deliverable will be submitted as a Microsoft Word document, following CMS Standards. Project Management Book of Knowledge (PMBOK) standards were taken into account.

11.0 Appendices

11.1 Appendix A: Deliverable Record of Changes

Changes to any part of the Project Management Plan after initial approval will follow the accepted Change Management Process documented in the MMISR CCMP and will be recorded in the following table.

Table 1 - Deliverable Record of Changes

Version Number	Date	Author/Owner	Description of Change
0.7	04/18/2017	James Lilly	First approved version
1.1	2/16/2018	Gary Rees	Added appendix with Record of Changes. Updated overview section. Corrected versioning, moving from .7 to 1.1. (.7 should have been 1.0)
1.2	10/24/2018	Adrian Ball	Final a. Incorporated verbiage from legacy NM HSD PMP b. Addressed NM HSD feedback received at 9/11 and 9/13 POA&M meetings with NM HSD c. Incorporated NM HSD inputs received on 10/4, 10/13 and 10/16 Incorporated Change Control Management Approach Section of 10/21 Change Control Management Plan as requested by the NM HSD

Version Number	Date	Author/Owner	Description of Change
1.3	12/17/2018	Paul Price & Gary Rees	Substantial rewrite of entire document
1.4	12/18/2018	Adrian Ball	Incorporated NM HSD's updates to Sections 1, 2, 3, 5 and 9 of Version Number 1.2
2.0	1/30/2019	Adrian Ball	Performed the following: a. Inserted baseline WBS b. Inserted SharePoint link to IMS c. Inserted Project Milestone Dates Conducted QA Review
3.0	9/14/2020	Wendy Burger	EPMO draft
3.1	9/30/2020	Wendy Burger	EPMO 2nd submission
4.0	11/3/2021	Wendy Burger	EPMO draft
4.1	12/14/2021	Wendy Burger	EPMO submission for HSD approval
5.0	2/15/2023	Wendy Burger	EPMO Annual Review Draft

11.2 Appendix B: List of Acronyms

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

Table 2 - List of Acronyms

Acronym	Definition
ALTSD	Aging and Long-Term Services Department
ARB	Architecture Review Board
BTC	Business Transformation Council
BPO	Business Process Outsourcing
CCB	Change Control Board
CCSC	Consolidated Customer Service Center
CIO	Chief Information Officer
CIs	Configuration Items
CMDB	Configuration Management Database
CMS	Centers for Medicare and Medicaid Services
COTS	Commercial-Off-the-Shelf
CSF	Critical Success Factors
CYFD	Children, Youth and Families Department
DED	Deliverable Expectations Documents
DFA	Department of Finance and Administration
DGC	Data Governance Council
DoH	Department of Health
DoIT	Department of Information Technology
DQM	Data Quality Management
DS	Data Services
DUR	Drug Utilization Review
EA	Enterprise Architecture
EDM	Electronic Document Management
EPS	Enterprise Project Schedule
ESB	Enterprise Service Bus

Acronym	Definition
FADS	Fraud and Abuse Detection
FFP	Federal Financial Participation
FS	Financial Services
HHS	Health and Human Services
HSD	Human Services Department
IMS	Integrated Master Schedule
ISP	Individual Support Plan
ITIL	Information Technology Infrastructure Library
IV&V	Independent Verification and Validation
JAR	Joint Application Requirement
MAD	Medical Assistance Division
MDM	Master Data Management
MECL	Medicaid Enterprise Certification Life Cycle
MECT	Medicaid Enterprise Certification Toolkit
MITA	Medicaid Information Technology Architecture
MMIS	Medicaid Management Information System
MMISR	Medicaid Management Information System Replacement
MPI	Master Provided Index
NM	New Mexico
OBC	Outcome Based Criteria
PCC	Protect Certification Committee
PCR	Project Change Request
PMBOK	Project Management Body of Knowledge
PMI	Project Management Institute
PMO	Project Management Office
PMP	Project Management Plan
PWA	Project Web App
QA	Quality Assurance
RACI	Responsible, Accountable, Consult and Inform
RFQ	Request for Proposal
RTM	Requirements Traceability Matrix
SDLC	System Development Life Cycle
SSP	System Security Plan
SI	System Integrator
SMEs	Subject Matter Experts
SOA	Service Oriented Architecture
SOW	Statement of Work
TARC	Technical Architectural Review
UPI	Unified Public Interface
WBS	Work Breakdown Structure
XLC	Expedited Life Cycle

11.3 Appendix C: Referenced Documents

The following is a list of documents referenced in this plan. Access to the links is based on SharePoint permissions.

Table 3 - Referenced Document Links

Document	Referenced Document Link
Acquisition Management Plan	Acquisition Management Plan ***
Asset Management Plan	Asset Management Plan***
Capacity Management Plan	Capacity Management Plan
Change Control Management Plan	Change Control Management Plan
Change Control Management Thresholds	Change Control Management Thresholds
Communication Matrix	Communication Matrix
Communications Management Plan	Communications Management Plan
Configuration Management Plan	Configuration Management Plan
Decision Management Process	Decision Management Process
Deliverable Expectation Document Template	Deliverable Expectation Document Template
Deliverable Plan Template	Deliverable Plan Template
Document Formatting Checklist	Job Aid Paid and Non-Paid Deliverables
Enterprise Deliverable Tracker	Enterprise Deliverable Tracker
Financial Management Plan	Financial Management Plan ***
Issue Log	Issue Log
Job Aid Paid and Non-Paid Deliverables	Job Aid Paid and Non-Paid Deliverables
MMISR Functional Org Chart	Functional Org Chart
MMISR RACI	RACI Chart
MMISR Role Chart	MMISR Role Chart
MMISR Operating Model	MMISR Operating Model
MMISR Project Charter	MMISR Project Charter
Overview of MMISR Tools	Overview of MMISR Tools
PCr Request Form	PCr Request Form
Project Requirements Management Plan	Requirements Management Plan
Quality Management Plan	Quality Management Plan
Requirements Traceability Matrix	Requirements Traceability Matrix
Risk Log	Risk Log
Risk Management Plan	Risk Management Plan
Schedule Management Plan	Schedule Management Plan
SharePoint Deliverables Repository	SharePoint Deliverables Repository
Staffing Model and Resource Management Plan	Staffing Model and Resource Management Plan
State Project Team Onboarding	State Project Team Onboarding Plan

Note: *** Some plans originally the responsibility of the old SI, were never completed or approved. No links are provided due to the incompleteness of the documents. At each annual reviews of this plan, new links to newly approved documents will be reflected.

11.4 Appendix D: Subsidiary Plan Responsibilities

Table 4 - Plan Responsibilities

Scope Item	Oversight of Plans	Carry Out Plans
Acquisition Management	HSD	HSD
Asset Management	HSD	HSD
Change Control Management	EPMO	HSD Project Teams / Module Contractors
Communication Management	EPMO	HSD Project Teams / Module Contractors
Communication Matrix	EPMO	HSD Project Teams / Module Contractors
Configuration Management	HSD	HSD
Cost and Budget Management	HSD	HSD

Scope Item	Oversight of Plans	Carry Out Plans
Deliverable Management	HSD	HSD
Document Management	HSD	HSD
Document Standards	EPMO	HSD Project Teams / Module Contractors
Issue Management	EPMO	HSD Project Teams / Module Contractors
Quality Management	EPMO	HSD Project Teams / Module Contractors
Requirements Management Plan	EPMO	HSD Project Teams / EPMO
Requirements Traceability Matrix	EPMO	HSD Project Teams
Resource Management	EPMO	HSD Project Teams / Module Contractors
Risk Management	EPMO	HSD Project Teams / Module Contractors
Schedule Management	EPMO	HSD Project Teams / Module Contractors
State Project Team Onboarding Plan	EPMO	HSD Project Teams / EPMO

11.5 Appendix E: MMISR Tools

A working document with an Overview of MMISR Tools utilized by the project can be found in Appendix C of this PMP.