

# Appeals Case Management System (ACMS) Deliverable Acceptance

This attached form is the deliverable acceptance form for the Appeals Case Management System (ACMS) Project. The purpose of the form is to have a formal acceptance of contractor deliverables; to ensure deliverables are tracked and all events are recorded; and to ensure a copy of each deliverable and all supporting materials are filed in the project library. Deliverable management is necessary to ensure the state only accepts deliverables that meet contract requirements and contractors are only paid for acceptable deliverables.

The deliverable is submitted for acceptance after the deliverable has been reviewed and approved through various project staff, users and stakeholders to ensure their needs will be met. Thus when this process is invoked, the deliverable should be complete and ready for signature. Reviews of early drafts are encouraged to ensure a smooth and timely final approval review.

## Appeals Case Management System (ACMS) Deliverable Acceptance Form

### Request for Acceptance

<b>Date:</b>	11/05/14
<b>Submitted By:</b>	Rick Murphy
<b>Submitted To:</b>	Manuel Romero
<b>Project:</b>	ACMS

**Deliverable Description:** The ACMS Governance Plan defines the ACMS process for governing the ACMS Project and how key decisions will be made.

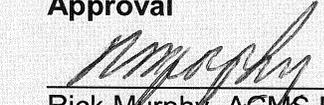
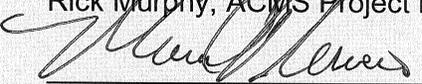
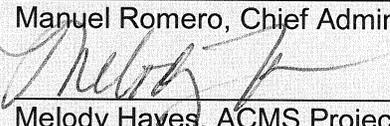
**Title of Deliverable:** Appeals Case Management System Governance Plan, 11/05/14 v 1.0;  
Contract Task 4.2

**Soft Copy Location:** DSS Common ACMS

**Due Date:** 11/12/14

**Reviewers (note comments not resolved):** None

#### Approval Signatures and Title:

Approval	Date
 Rick Murphy, ACMS Project Manager	<u>11/6/14</u>
 Manuel Romero, Chief Administrative Law Judge, SHD, CDSS	<u>11-6-14</u>
 Melody Hayes, ACMS Project Director	<u>11/13/14</u>

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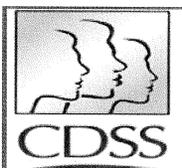
### Signature for Pending Acceptance

Signature \_\_\_\_\_ Date \_\_\_\_\_

Name \_\_\_\_\_ Title \_\_\_\_\_

Rejection Comments:





**Office of  
Systems  
Integration**  
"SERVING CALIFORNIA"

# Appeals Case Management System Project

## Governance Plan



**November 5, 2014**

Version 1.0

California Department of Social Services



### Project Governance Plan - Revision History

REVISION HISTORY			
REVISION OR	DATE OF RELEASE	OWNER	SUMMARY OF CHANGES
Version 1.0	5 November 2014	OSI – Carolyn Borden	Incorporate final edits and transmit for approval

### Project Governance Plan - Approvals

NAME	ROLE	DATE
Rick Murphy	Project Manager	
Melody Hayes	Project Director	
Manuel Romero	Project Sponsor	



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## 1. INTRODUCTION

The following document is the Governance Plan for the Appeals Case Management System (ACMS) Project.

### 1.1 PURPOSE

The purpose of this document is to define the process for governing the ACMS Project and how key decisions will be made.

### 1.2 SCOPE

This Governance Plan describes the specific and detailed roles and responsibilities of the project and its stakeholders, focusing primarily on authority levels, the decision-making structure and the proper escalation paths.

### 1.3 PROJECT DOCUMENT REPOSITORY

The ACMS Project will utilize a California Department of Social Services (CDSS) shared drive as the Project Centralized Document Repository.

The location of the Project Centralized Document Repository is:  
\\cdss\common\ACMS

### 1.4 ACRONYMS USED IN THIS DOCUMENT

ACMS	Appeals Case Management System
CalHEERS	California Healthcare Eligibility, Enrollment, and Retention System
Covered CA	Covered California
CDSS	California Department of Social Services
CWDA	County Welfare Directors Association
CDHCS	California Department of Health Care Services
ESC	Executive Steering Committee
FSR	Feasibility Study Report
IA	Interagency Agreement
IT	Information Technology
OSI	Office of Systems Integration
PM	Project Manager
PMC	Project Management Committee

### 1.5 DOCUMENT MAINTENANCE

This document will be reviewed and updated as needed, as the project proceeds through each project phase of the system development life cycle.

This document contains a revision history log. When changes occur, the revision log will be updated to include the new version number (updated to the next revision and date), the owner making the change, and the change description. The document will be stored in the project document repository.

## 2. ACMS PROJECT GOVERNANCE

### 2.1 GOVERNANCE STRUCTURE

To ensure effective governance, decision making, and operational oversight, governance needs to be executed as close as possible to the point where the action is required. The ACMS Project is governed by a two-level governance structure and hierarchy as depicted in Figure 1. ACMS Governance Hierarchy, and as described below.

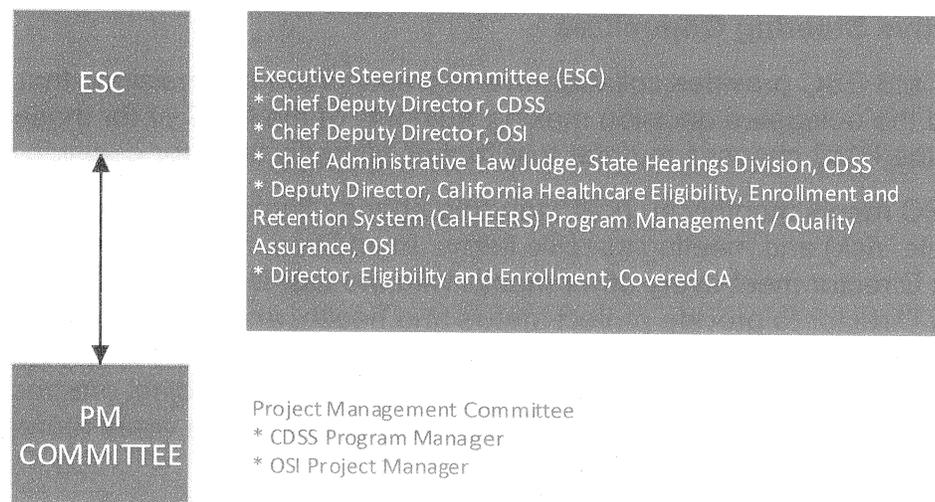


Figure 1. ACMS Governance Hierarchy

#### Project Management Committee

The Project Management Committee (PMC) provides collaborative representation of the project, program, and county stakeholder communities in execution of day-to-day operational decisions within their delegated authority. The PMC is comprised of the Office of Systems Integration (OSI) Project Manager (PM) and the CDSS Program Manager.

The PM manages the activities associated with the project schedule, monitors and controls the project, and meets with the project team to discuss status, risks, issues, etc. The PM oversees the development of interagency agreements, schedules, project management plans, project deliverables, solicitation documents, contracts, contract amendments, service requests, and work authorizations. The PM meets regularly with the CDSS Program Manager, OSI Project Director, and Executive Steering Committee (ESC) to keep them apprised of the project's status and health. The PM reports the project status to the state control agencies.

The CDSS Program Manager provides the project team with program expertise and ensures appropriate program staff are available to share program knowledge and experience. The Program Manager coordinates the participation of non-Information Technology (IT) staff in project tasks and activities and provides support and direction to the project team.

Working within these respective roles, the PMC collaborates to make project decisions often on a daily basis. Weekly project status meetings provide a consistent forum to raise, discuss and reach consensus on project decisions. The PMC meets on an as needed basis when immediate decision/action is required to ensure project progress. If the PMC is unable to come to consensus (full agreement) on any project decision, or if the decision is beyond their delegated authority, the decision is presented to the ESC for their action. Section 2.2 presents PMC and ESC governance decision authority.

### **Executive Steering Committee**

The ACMS ESC provides collaborative representation for decisions that are either beyond the delegated decision making authority of the PMC or for those instances where the PMC chooses to defer to a higher authority level for decision closure.

The ESC meets monthly on both standing agenda items (e.g., project status, schedule, risk) and meeting specific items. In addition, the Program Sponsor and Project Director meet every other month with the OSI Director and CDSS Chief Deputy Director to provide project status and health, and to discuss risks/issues escalated to their level. The ESC may be called on to meet on an emergency basis when an immediate decision/action is required to ensure project progress. Any decision reached by the ESC is through majority vote; three votes represent a majority decision.

The ESC monitors project progress to ensure that project goals and objectives, as detailed in the project Feasibility Study Report (FSR) and Project Charter are met. The ESC reviews and approves significant changes to project scope, schedule, resources and budget as detailed in Section 2.2. Governance Decision Authority Matrix.

The ESC monitors project progress against the project management plan and makes strategic decisions regarding the prioritization and approval of project milestones and deliverables. The ESC facilitates interdepartmental and interagency collaboration, resolves conflicts between stakeholders, mitigates cross-project and agencies risks, and suggests solutions for issues critical to project success.

The membership of the ESC reflects the partnership among the CDSS, OSI, Covered California (Covered CA), California Department of Healthcare Services (CDHCS), and County Welfare Directors Association (CWDA). Each partner identifies its Committee member. The Committee consists of five voting members:

- Chief Deputy Director, CDSS
- Chief Deputy Director, OSI
- Chief Administrative Law Judge, State Hearings Division, CDSS

- Deputy Director, California Healthcare Eligibility, Enrollment, and Retention System (CalHEERS) Program Management/Quality Assurance, OSI
- Director, Eligibility and Enrollment, Covered CA

And the following participant members:

- Program Operations Manager, Eligibility and Enrollment, Health Benefits Exchange/Covered California
- Chief Information Officer, CDSS
- Chief Technology Officer, CDSS
- Chief, Technology Services Branch, Information Systems Division, CDSS
- Chief, Policy Development Branch, CDHCS
- Chief Technology Officer, Health Benefits Exchange/Covered CA
- Representatives, CWDA
- Program Manager, State Hearings Division, CDSS
- Project Manager, ACMS Project, OSI

Participant members review and provide input on decisions critical to project success and assist with resolving conflicts between stakeholder groups.

## 2.2 GOVERNANCE DECISION AUTHORITY MATRIX

The following table identifies the project trigger (delegated authority) under which each of the two governance bodies can take action without escalation. Project entities that have not been specifically identified below will be handled on an ad-hoc basis, and triggers will be established by the Project Sponsor.

**Table 1. Governance Decision Authority Matrix**

Entity	Condition	Trigger	Body	Action
Scope		(1) Any change to the project scope defined in the project charter that does not add a new category of work. (2) Any change to the project scope defined in the project charter that does not remove all or a major portion of a category of work. (3) Any change to the project scope that does not impact the project goals and objectives.	PMC	(1) When the scope change is within the trigger boundaries, proceed with the change after PMC consensus is gained. (2) Complete the Decision Template and submit to the ESC when any trigger is exceeded or the PMC defers the decision to the ESC.

Entity	Condition	Trigger	Body	Action
		(1) Any change in the scope defined in the project charter that is either beyond the delegated decision making authority of the PMC, or the PMC chooses to defer to a higher authority level for decision closure.	ESC	(1) Forward the Decision Template to the ESC when the decision is either beyond the delegated authority of the PMC or deferred.
Schedule		(1) Any change to a project activity date (not a milestone date) that does not exceed 20 days.	PMC	(1) When the change is within the trigger boundary, proceed with the change after PMC consensus is gained. (2) Complete the Decision Template and submit to the ESC when the milestone trigger is exceeded or the decision is deferred.
		(1) Any change in the project milestones defined in the project charter that is either beyond the delegated decision making authority of the PMC, or the PMC chooses to defer to a higher authority level for decision closure.	ESC	(1) When the change is within the trigger boundary, proceed with the change after an ESC decision is made through majority vote.
Resources		(1) Any change in staffing that does not increase the allocated hours for a task group by more than 10%.	PMC	(1) When the change is within the trigger boundary, proceed with the change after PMC consensus is gained. (2) Complete the Decision Template and submit to the ESC when the trigger is exceeded or the decision is deferred.

Entity	Condition	Trigger	Body	Action
		(1) Any change in staffing defined in the project charter that is either beyond the delegated decision making authority of the PMC, or the PMC chooses to defer to a higher authority level for decision closure.	ESC	(1) When the change is within the trigger boundary, proceed with the change after an ESC decision is made through majority vote.
Review/ Approval Cycle		(1) Any artifact generated/maintained for project use.	PMC	(1) Complete review cycle within 5 days.
		(1) Any artifact generated/maintained for project use that requires ESC approval.	ESC	(1) Complete review cycle within 15 days.
Budget		(1) Any change to the current fiscal year approved budget where ESC approval is not required.	PMC	(1) When the change is within the trigger boundary, proceed with the change after PMC consensus is gained. (2) Complete the Decision Template and submit to the ESC when the trigger is exceeded or the decision is deferred.
		(1) Any change to the current fiscal year approved budget that is either beyond the delegated decision making authority of the PMC, or the PMC chooses to defer to a higher authority level for decision closure.	ESC	(1) When the change is within the trigger boundary, proceed with the change after an ESC decision is made through majority vote.
Baseline Change Requests	Artifacts	(1) Any change to a baseline artifact that does not violate scope or schedule constraints. (2) Any change to a baseline artifact that does not modify the scope of a	PMC	(1) When the change is within the trigger boundary, proceed with the change after PMC consensus is gained. (2) Complete the

Entity	Condition	Trigger	Body	Action
		contract. (3) Any change to a baseline artifact that does not modify the approved budget of a contract.		Decision Template and submit to the ESC when any trigger is exceeded.
		(1) Any change to a baseline artifact that is either beyond the delegated decision making authority of the PMC, or the PMC chooses to defer to a higher authority level for decision closure.	ESC	(1) When the change is within the trigger boundary, proceed with the change after an ESC decision is made through majority vote.
	Product	(1) Any change to a baseline product or product component that does not result in failure to support the business practice. (2) Any change to a baseline product or product component that does not modify its operational scope. (3) Any change to a baseline product or product component that does not exceed the approved budget.	PMC	(1) When the change is within the trigger boundary, proceed with the change after PMC consensus is gained. (2) Complete the Decision Template and submit to the ESC when any trigger is exceeded.
		(1) Any change to a baseline product or product component that is either beyond the delegated decision making authority of the PMC, or the PMC chooses to defer to a higher authority level for decision closure.	ESC	(1) When the change is within the trigger boundary, proceed with the change after an ESC decision is made through majority vote.

### 3. ISSUE RESOLUTION AND ESCALATION PROCESS

An Issue Escalation Process will be used to ensure critical issues are raised soon enough to prevent undesirable impacts to the ACMS Project and to ensure the appropriate parties are informed and involved in critical decision-making. The ESC, PMC and stakeholders shall always strive to make decisions and address issues at the lowest possible level. Issues may include but are not limited to policy issues,

schedule, vendor disputes, stakeholder disagreements, funding, and adverse program impacts.

The escalation process is invoked when a staff or manager identifies an issue that requires escalation for resolution. The disputed issue must be reported to the PM. The PM ensures the issue is logged within the ACMS Project Risk and Issue Log (refer to the ACMS Risk and Issue Management Plan for detail on the project risk and issue management processes).

The PM will notify and meet with the ACMS Program Manager in order to resolve the issue. In the event that the PMC are unable to resolve the issue, they determine the urgency of the issue and escalate to the ESC. The ESC will review the escalated issue, discuss solution alternatives, and determine how each issue is to be resolved through majority vote. Issue resolution will be documented within the Decision Template. An issue that cannot be resolved by the ECS may be escalated to the Director of OSI or the CDSS Chief Deputy Director.

If the issue resolution can be delayed until the next scheduled ESC meeting without negative impact to the Project, or to State and County programs, the ESC will be asked to address the issue at that next meeting. If timing is critical or resolution cannot be delayed the ESC members will be contacted to resolve the issue on an emergency basis. When an item is escalated on an emergency basis, the appropriate participants are notified by an email and meeting request. The meeting must be scheduled within five days of the email notification of escalation. The meeting must include a quorum of ESC members.

The meeting request must include a summary of the issue within the ACMS Project Decision Template, completed by the Issue Originator and/or the PM. The ESC members are asked to review this summary prior to the scheduled meeting. Issue resolution will be documented within the Decision Template. In addition, CDSS administrative staff document minutes for each ESC meeting and distribute meeting minutes to all attendees. All correspondence is stored in the Project Centralized Document Repository.

The PM coordinates the implementation of the issue resolution or resulting action item. The PM updates the Issue and Risk Log with the approved resolution and resolution date, or closure date if applicable. In addition, the PM ensures the issue resolution is communicated to the issue originator and originator manager, if applicable.

**APPENDIX A ACMS PROJECT DECISION TEMPLATE**

**ACMS Project \_ Decision Template**

<b>Issue Ref No.</b>	Insert number	<b>Date Escalated</b>	Insert date	<b>Issue Priority</b>	Insert number
<b>Issue Owner</b>	Insert name	<b>Date Resolved</b>	Insert date	<b>Related Risk(s) number</b>	Insert number
<b>Title</b>	insert name of original issue paper				
<b>Issue Paper or backup documentation attached:</b> Yes <input type="checkbox"/> No <input type="checkbox"/>					
<b>Issue Summary</b> summarize issue (text from Section 1, Issue in the Issue Paper may be used)					
<b>Decision</b> insert text here					
<b>Approved by</b>					
Rick Murphy, Project Manager, ACMS, Office of Systems Integration				Date	
Manuel Romero, Deputy Director, State Hearing Division, California Department of Social Services				Date	
Melody Hayes, Deputy Director, CalHEERS Program Management/Quality Assurance Division, Office of Systems Integration				Date	
Insert Name, Title, Covered California				Date	
Insert Name, Title,				Date	