



Program and Project Management Domain Document

New York State Department of Health (DOH)
Office of Health Insurance Programs (OHIP)

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1.0 Introduction

1.1 Purpose

The Office of Health Insurance Programs (OHIP) Program and Project Management Domain Document establishes technical, operational, and quality standards governing how OHIP Medicaid Enterprise Systems (MES) solutions are designed, developed, tested, and delivered. This domain standard ensures all contractors implementing or enhancing OHIP systems do so with consistency, auditability, and in compliance with federal certification requirements.

The OHIP standards establish the mandatory technical, operational, and security requirements for New York State (NYS) to remain compliant with federal regulations under 42 CFR § 433.112, qualifying the state for enhanced Federal Financial Participation (FFP). Deliverables and artifacts associated with this standard can be found in [Appendix A](#).

1.2 Objectives

The primary objectives of this Standard are to:

- Establish consistent, enforceable governance standards for managing all OHIP MES projects and programs, ensuring structured execution, accountability, and compliance with State and federal requirements throughout the full contract life cycle.
- Define a comprehensive Project Management framework—including scope, schedule, budget, stakeholder, communication, risk, issue, quality, resource, and document management—that Contractors **MUST** implement and maintain for every MES project.
- Govern project-level change control through a structured Project Change Control process that ensures all changes affecting scope, budget, schedule, or quality are properly identified, assessed, approved, and tracked before implementation.
- Govern technical change control through a disciplined Information Technology (IT) Change Control process that classifies changes as Standard, Normal, or Emergency and ensures all technical modifications to production systems are formally requested, reviewed, and approved before implementation.
- Establish formal contract administration standards—including performance monitoring, financial tracking, staff onboarding and offboarding, deliverable management, transmittal processes, and records management—to protect OHIP's legal and operational interests throughout the life of each MES contract.

- Ensure transparency and accountability across all project, technical, and contractual activities by requiring comprehensive documentation, structured escalation processes, and regular OHIP oversight at every phase of delivery.
- Align all project and program management activities with Centers for Medicare & Medicaid Services (CMS), Streamlined Modular Certification (SMC) requirements, Advance Planning Document (APD) obligations, and FFP eligibility conditions.
- Clarify roles, responsibilities, required deliverables, and OHIP approval obligations for all project management, change control, and contract administration activities to ensure consistent execution across all MES Contractors.

1.3 Authority

The NYS Department of Health (DOH) is the primary authority overseeing the health, safety, and well-being of New Yorkers since 1901. The Department delegates direct operational control and administrative responsibility for the Medicaid Program to the OHIP. Title 11 of the NYS Social Services Law enables OHIP to establish and enforce the standards necessary to administer the State's Medicaid Program. This foundational authority, further supported by the broad regulatory powers vested in the Commissioner of Health by the NYS Public Health Law, enables OHIP to create comprehensive policies and procedures required for the effective, secure, and compliant operation of the MES.

For health information standards, compliance with HIPAA regulations is mandatory, with specific New York enforcement through the NYS Public Health Law. Article II of the NYS Technology Law mandates security policies that comply with both State and federal requirements. The NYS Information Security Breach and Notification Act ensures entities managing sensitive data adhere to privacy and security protocols.

OHIP applies these standards across both hybrid and non-hybrid entities in the Department, ensuring robust protection for all sensitive information including Protected Health Information (PHI), Personally Identifiable Information (PII), Medicaid Confidential Data (MCD), IRS Federal Tax Information (FTI), and other regulated data, aligning with federal and State mandates for data integrity, security, and privacy.

1.4 Scope

This Standard applies to specific contractually negotiated activities between OHIP and existing contracts and to new procurements/contracts identified as part of the evolving MES Roadmap.

The Contractor **MUST** demonstrate how the requirements of this standard will be met within their specific system context. Where system-specific constraints exist, the Contractor **MUST** document those constraints and propose alternative approaches for OHIP approval that achieve an equivalent level of compliance and rigor. Proposed alternatives do not relieve the Contractor of any obligation under this standard unless OHIP provides written approval through the Standards Deviation Request (SDR) process defined in [Section 1.7.1](#).

1.4.1 Multi-System Applicability

OHIP operates a diverse portfolio of systems that vary in architecture, technology stack, and operational maturity. This standard is platform-agnostic in its requirements while acknowledging that implementation approaches can differ across OHIP's portfolio of systems.

1.5 How This Document Is Organized

This document encompasses multiple related OHIP standards. Each component standard is presented as a dedicated section (Sections 2 through 5). An Appendix and Master Requirements Summary Table appears at the end of the document.

Table 1 – How this Document is Organized

Section	Domain Area
Section 2.0	Project Management Standard
Section 3.03.0	Project Change Control Standard
Section 4.0	Technical Change Control Standard
Section 5.0	Contract Management Standard

1.6 Companion Standards

The following external OHIP standards directly govern, extend, or bound activities described in this domain standard. Standards previously cited as companions that have been consolidated within this document are now cross-referenced by section number. All references to individual component standards within Sections 2–5 **SHOULD** be read as references to that section of this document.

 **Note:** Internal cross-references between sections of this document (Sections 2 through 5) are provided within each section's introduction. The table below lists only external companion standards that are maintained as separate documents.

Table 2 – Companion Standards

OHIP Standard	Domain	Scope Relationship
OHIP Data Architecture and Naming Standard	Data and Information Management	This standard governs data naming conventions, database design, data conversion, data lakehouse architecture, and content and document management. All solution delivery requirements related to data handling defer to it. It also governs the creation of conceptual, logical, and physical data models (CDM, LDM, PDM), data dictionaries, and modeling tools. The scope of this domain standard begins at the point of physical implementation.
OHIP Solution Development Life Cycle (SDLC) Standard, Business and Technical Architecture, Release Management Standard, Requirements Management Standard	Solution Delivery	Governs the full software development life cycle for all MES solutions, including requirements management, code standards, policy and business rules, test management, and release management. Supports Waterfall, Agile, and Hybrid methodologies and integrates security, privacy, and architecture oversight into every phase of delivery.

OHIP Standard	Domain	Scope Relationship
OHIP Security and Privacy Compliance Standard	Security, Privacy and Compliance	Governs adherence to OHIP's Security and Privacy Controls Baseline for all systems that create, process, transmit, or store OHIP data. Establishes requirements for System Security and Privacy Plans (SSPP), legally binding data handling agreements, and a centralized compliance reference repository accessible to all internal and external stakeholders.
OHIP IT Service Management (ITSM) Standard	Infrastructure and Operations	Governs cloud infrastructure management, ITSM, log management, operational tooling, and software licensing across all OHIP MES environments. Prioritizes Software as a Service (SaaS) delivery, enforces financial transparency through Cloud FinOps, and ensures long-term system sustainability and compliance with CMS and NYS requirements.

1.7 Compliance Tier Framework

This standard uses three compliance tiers applied consistently throughout all sections and in the Master Requirements Summary in [Appendix B](#). Every requirement has been individually vetted against enforceability, technical precision, and practicality before receiving its tier assignment. Tier designations appear throughout the document and in the Tier column of [Appendix B](#).

Table 3 – Compliance Tier Framework

Tier	Type	Definition
MUST	Mandatory	MUST requirements are mandatory. Violation constitutes a material breach. Any deviation requires submission of a formal SDR and written approval from the OHIP IT Standards Team prior to implementation. MUST requirements are binding on all procurement activities and contracts and are subject to audit as part of CMS SMC certification reviews.
SHOULD	Strong Recommendation	SHOULD requirements are strongly recommended. Exceptions MAY be permitted under specific documented circumstances. Any deviations require written justification to the OHIP Project Manager for approval and MUST be documented in the project deviation log. SHOULD requirements are cited as expected practice in procurement activities and contracts. An SDR is not required; however, all deviations MUST be affirmatively justified in writing.
MAY	Permitted Option	MAY requirements denote a permitted option or permissible alternative at the discretion of the Contractor or OHIP. When a MAY option includes stated conditions, those conditions MUST be satisfied before the option MAY be exercised. MAY statements are informational within procurement activities and contracts and do not require prior approval or deviation documentation.

1.7.1 Standards Deviation Request (SDR) Process

A SDR is the formal mechanism by which a Contractor seeks approval to deviate from a **MUST** requirement prior to implementation. An SDR does not apply to **SHOULD** or **MAY** requirements. The SDR process is prospective: it **MUST** be completed and approved prior to the deviating approach is implemented. Retroactive SDRs will not be accepted and do not cure a breach.

The Contractor **MUST** submit a completed SDR to the OHIP IT Standards Team for any proposed deviation from a **MUST** requirement. An SDR is a prospective request: it **MUST** be submitted and approved by OHIP before the Contractor implements any non-compliant approach. The SDR package **MUST** include:

- **Requirement ID:** the specific requirement identifier from Appendix B
- **Proposed Alternative:** a complete description of the approach to be used instead of the **MUST** requirement
- **Technical Justification:** documented rationale explaining why the **MUST** requirement cannot be met
- **Risk Assessment:** identification of risks introduced by the deviation and their likelihood and impact
- **Mitigation Controls:** specific measures that will reduce or compensate for identified risks
- **Proposed Timeline:** target date for achieving full compliance, if the deviation is temporary

OHIP will review the SDR and issue a written approval or denial within ten (10) business days of receipt of a complete submission. Incomplete submissions will be returned without review. Approved SDRs are logged in the OHIP Deviation Register with the effective date, any conditions attached to the approval, and the anticipated compliance date where applicable. Conditional approvals **MUST** be re-reviewed at the specified review date.

 **Note:** OHIP reserves the right to revoke an approved SDR if circumstances change, if conditions are not met, or if the deviation creates unforeseen risk to program integrity, federal compliance, or data security. Revocation of an SDR is subject to reasonable notice except where urgent risk requires immediate action.

1.7.2 Domain Requirements Summary

The following table summarizes requirement counts across the four component standards. A complete master listing of all requirements with individual tier assignments appears in [Appendix B](#).

Table 4 – Domain Requirements Summary

Standard	Section	ID Range	MUST	SHOULD	MAY	Total
Compliance & Enforcement	Sec. 1.0	PGOV-0001 – PGOV-0010	10	0	0	10
Project Management Standard	Sec. 2.0	PGOV-0011 – PGOV-0125	100	12	3	115
Project Change Control Standard	Sec. 3.0	PGOV-0126 – PGOV-0136	9	2	0	11
Technical Change Control Standard	Sec. 4.0	PGOV-0137 – PGOV-0167	27	4	0	31

Contract Management Standard	Sec. 5.0	PGOV-0168 – PGOV-0203	31	3	2	36
Appendix A — Deliverables	Appendix A	PGOV-0204 – PGOV-0207	2	1	1	4
Total			179	22	6	207

Table key: **MUST** = mandatory. **SHOULD** = strongly recommended. **MAY** = permitted option.

1.7.3 Project Scale Tailoring

This standard applies to projects of widely varying size and complexity, from limited enhancements to full design, development, and implementation (DDI) programs. While every requirement in this standard applies regardless of project scale, the form in which deliverables are produced can be right-sized to the project.

For projects that OHIP designates as limited in scope, schedule, or risk, the Contractor **MAY** propose, through the SDR process defined in [Section 1.7.1](#), to consolidate required plan deliverables into a single integrated Project Management Plan, provided that every content element required by [Appendix A](#) for each consolidated Plan remains present and identifiable within the integrated document. Tailoring proposals **MUST** identify each affected deliverable, the consolidation approach, and the rationale based on project scale and risk. The Contractor **MUST** obtain OHIP approval of the tailoring proposal before applying any consolidation, and approved tailoring applies only to the specific project for which it was requested. Tailoring **MUST NOT** be used to remove, weaken, or defer any requirement designated as **MUST** in this standard.

1.8 Compliance and Enforcement

This section establishes the obligations, rights, and remedies that govern compliance with this standard throughout the contract term. This standard is incorporated into the Contract, and OHIP reserves the right to update it during the term; the version in effect at the time of performance applies to the requirements it sets. The compliance and enforcement provisions in this section supplement, and do not replace, the remedies and enforcement terms of the governing Contract.

1.8.1 Applicability and Effective Date

The Contractor **MUST** comply with this standard and all applicable laws, regulations, and funding requirements. Compliance is required from the effective date of the Contract or Contract Amendment.

1.8.2 Updates to the Standard

OHIP reserves the right to amend this standard at any time. OHIP will use reasonable efforts to provide at least thirty (30) days' notice before enforcement of substantive changes. The Contractor **MUST** implement changes by the designated effective date.

For changes required by law, funding conditions, or urgent security risks, OHIP reserves the right to designate an earlier effective date. The Contractor **MUST** comply by that date regardless of other project commitments.

Within ten (10) business days of receiving notice of a substantive change, the Contractor **MUST** submit an impact assessment to OHIP and, if applicable, a proposed implementation plan including any requested cost or schedule adjustments. Acceptance of adjustments is at OHIP's sole discretion.

1.8.3 Monitoring, Audit, and Records Retention

OHIP and its designees reserve the right to audit the Contractor's and subcontractors' compliance with this standard upon ten (10) business days' notice, or less for cause or urgent security issues. The Contractor **MUST** provide reasonable access to relevant facilities, systems, records, and personnel upon request.

The Contractor **MUST** retain records evidencing compliance with this standard for at least seven (7) years from creation, or as otherwise required by law or funding requirements, whichever is longer.

1.8.4 Notification of Non-Compliance and Security Events

The Contractor **MUST** notify OHIP in writing within three (3) business days upon identification of any non-compliance with this standard.

Where non-compliance materially impacts the confidentiality, integrity, or availability of OHIP systems or data, or could result in legal or funding exposure, notification **MUST** be made immediately and no later than twenty-four (24) hours after discovery.

All notifications **MUST** describe: the nature and scope of the issue, root cause if known, immediate containment steps taken, and a proposed Corrective Action Plan (CAP) with timeline.

1.8.5 Corrective Action Plan (CAP)

Within ten (10) business days of notice, whether by the Contractor or OHIP of any non-compliance with this standard, the Contractor **MUST** provide a CAP acceptable to OHIP. The CAP **MUST** include defined milestones, responsible parties, and due dates for each remediation step.

OHIP reserves the right to impose or modify a CAP where the Contractor's proposed plan is insufficient.

1.8.6 Remedies and Enforcement

In addition to any other rights and remedies available under the Contract or applicable law, OHIP reserves the right to exercise any or all of the following remedies upon Contractor non-compliance:

- Withhold payments due under the Contract
- Assess service credits or liquidated damages as set forth in the Contract
- Suspend or limit the Contractor's system access
- Require removal of personnel or sub-contractors
- Require re-performance of non-compliant work at no additional cost to OHIP

Remedies are cumulative and can be exercised concurrently. OHIP can also refer matters to oversight bodies or regulators as required by law or policy.

1.8.7 Exceptions and Risk Acceptance

An exception is distinct from a SDR (see [Section 1.7.1](#)). An SDR is a prospective mechanism, it is submitted before a non-compliant approach is adopted. An exception, by contrast, applies where strict compliance is not technically feasible after implementation has begun, or where an existing system or constraint prevents full compliance by the effective date. OHIP will evaluate each exception request on its individual merits and will not grant exceptions that would violate applicable law, federal funding requirements, or CMS certification conditions.

To request an exception, the Contractor **MUST** submit a written request to OHIP that includes: a risk assessment identifying the nature and severity of non-compliance risk; proposed mitigation measures that reduce that risk to an acceptable level; and a proposed timeline either for achieving full compliance or for implementing a permanent alternative solution.

Exceptions are subject to the following conditions:

- Exceptions are time-bound—they expire at the date specified in the approval unless renewed by OHIP in writing.
- Exceptions are non-transferable—they apply only to the specific Contractor, system, and circumstance described in the request.
- Exceptions require OHIP's prior written approval before the non-compliant approach is adopted or continued.
- No exception will be granted that would violate applicable law, federal funding requirements, or OHIP policy.
- OHIP can revoke an approved exception at any time upon material changes in risk, regulatory requirements, or program needs.

 **Note:** Approved exceptions are tracked in the OHIP Deviation Register alongside approved SDRs. Both represent formal acknowledgment by OHIP of a documented departure from standard requirements. Neither constitutes a waiver of OHIP's rights under the Contract.

2.0 Project Management Standard

2.1 Introduction

The Project Management Standard establishes the mandatory governance framework for planning, executing, and controlling all MES projects under the OHIP. In a multi-vendor environment where individual modules share interfaces, data, and infrastructure, disciplined project management is not an administrative formality—it is the core mechanism for preventing schedule delays from cascading across programs, budget variances from jeopardizing federal funding, and stakeholder misalignment from undermining system-wide integration.

This standard is grounded in the principles of the Project Management Institute's (PMI) Project Management Body of Knowledge (PMBOK®) and the Agile Practice Guide, adapted to the regulatory and operational context of NYS Medicaid. It requires every MES project to be governed by a comprehensive, OHIP-approved PMP that addresses all core knowledge areas. Specifically, this standard mandates:

- **Governance Structure:** Establishing the decision-making framework, escalation paths, and oversight structure for each project.
- **Scope Management:** Defining, baselining, and controlling project scope through a structured change control process aligned with [Section 3.0](#).
- **Schedule Management:** Developing and maintaining an Integrated Master Schedule (IMS) that tracks inter-project dependencies and adheres to formal re-baselining criteria.
- **Budget Management:** Monitoring contract compliance, federal funding mechanisms, and APD obligations.
- **Stakeholder and Communication Management:** Identifying, engaging, and communicating with all project stakeholders through a structured communication plan.
- **Quality Management:** Defining quality metrics, conducting reviews, and tracking action items to ensure all deliverables meet OHIP standards.
- **Resource, Risk, and Issue Management:** Tracking key personnel, maintaining a RAID (Risks, Action Items, Issues, and Decisions) Log, and implementing structured mitigation processes.
- **Document Management:** Enforcing naming conventions, repository standards, and version control for all project documentation.

Compliance with this standard is a prerequisite for CMS SMC and for OHIP's sustained eligibility for enhanced FFP. These requirements apply to all Contractors and project teams from contract award through project closure, regardless of the selected SDLC methodology. Associated deliverables and artifacts for this standard are located in [Appendix A](#).

2.2 Objectives

The primary objectives of this Standard are to:

- Establish a structured approach to ensure projects reach milestones efficiently, use resources responsibly, and meet deadlines without compromising quality.
- Mandate that every project is governed by a comprehensive, OHIP-approved Project Management Plan.

- Standardize project execution by applying a consistent framework based on the principles of the PMI's PMBOK® and the Agile Practice Guide.
- Ensure all project activities are structured and transparent, with defined processes for communication, risk, and stakeholder management.
- Align all projects with federal funding and certification requirements by integrating with CMS oversight processes.
- Provide clear decision-making and escalation pathways to address challenges proactively and minimize project disruptions.

2.3 Governance Structure

The Contractor **MUST** develop a Governance Structure as a required component of the PMP. The Governance Structure defines the framework that aligns key functions, leadership, and execution authority for the project, ensuring decisions are made at the right level, by the right people, with clear escalation when they cannot be.

The Governance Structure **MUST** define:

- The governance levels for the project (e.g., executive, managerial, and project administration and execution), the governance bodies or committees operating at each level, and the responsibilities of each.
- The membership of each governance body, identifying both OHIP and Contractor roles, and the decision authority held at each level, consistent with the authority levels recorded in the Project Initiation Document (PID) ([Section 2.3.1](#)).
- The escalation framework, directly aligned with the governance hierarchy, defining how items move between governance levels and the criteria and timeframes for escalation, consistent with [Section 5.10](#).
- The operating cadence of each governance body, including meeting frequency, standing agenda scope, and how decisions are recorded in the Decision Log per [Section 2.9.1](#).

The Governance Structure serves as the authoritative blueprint for project oversight, guiding the project's execution to ensure its outcomes align with OHIP's strategic goals. Risk and issue management strategies are governed by [Section 2.12](#), and reporting requirements by [Section 2.8](#); the Governance Structure defines who decides and escalates, not the management processes themselves.

2.3.1 Project Initiation Document

The Contractor **MUST** develop and submit a PID for OHIP approval in conjunction with the Engagement Kick-Off. The PID formally records the project's authorization and establishes the shared baseline understanding against which all subsequent planning is measured. The PID **MUST** include, at a minimum: the project's purpose and authorizing instrument (contract and Task Order references); high-level scope and major deliverables; expected business outcomes and success measures per [Section 2.19](#); high-level milestones and target dates; the named OHIP and Contractor authority levels for project decisions, consistent with the Governance Structure; and known high-level risks, assumptions, and constraints.

The Contractor **MUST** maintain the PID under the Project Change Control process defined in [Section 3.0](#). Where any PID element conflicts with the executed contract or Task Order, the contract or Task Order governs.

2.4 Project Scope Management

Project Scope Management encompasses the processes required to define, maintain, and control all work needed to implement the solution and achieve CMS certification. It establishes a formal framework for submitting, reviewing, and approving any proposed changes to the project's baseline scope.

The Contractor **MUST** provide a Scope Management Plan that details these processes and incorporates the Project Change Control process defined in [Section 3.0](#).

2.4.1 Scope Definition

The Contractor **MUST** work collaboratively with OHIP to define the scope of each project, including the project management method (Agile, Waterfall, or Hybrid), through the contractual agreement. The executed Contract serves as the baseline for all project requirements, deliverables, and scope, guiding the team and serving as the reference point for managing all proposed changes.

The Contractor **MUST** develop a Scope Management Plan that clearly defines the processes for the following:

- **Project Scope Statement:** A detailed project scope statement **MUST** be created. This statement specifies the project's operational parameters and is supported by the contractual agreement, which ensures accountability and provides a basis for resolving any disputes that may arise. For projects undergoing CMS certification, all outcomes required by the CMS SMC, as well as any other Department-specific outcomes, **MUST** be included in the scope.
- **Requirements Definition:** The plan **MUST** detail the process for accurate requirements gathering to ensure the project satisfies OHIP stakeholder needs. Techniques such as work sessions, surveys, and interviews can be utilized to gather these requirements. All approved requirements **MUST** then be tracked and maintained in a Requirements Traceability Matrix (RTM).
- **Functional Responsibilities:** The plan **MUST** define the functional responsibilities for scope management to ensure clear accountability. This includes assigning responsibility for key functions such as scope definition, requirements validation, scope monitoring, and final acceptance of deliverables.
- **Baseline Establishment:** The plan **MUST** describe the process for establishing the project's scope baseline with input from all relevant stakeholders. Documented in the Scope Statement, this baseline is the primary metric for measuring project performance and managing stakeholder expectations.

 **Cross-Reference:** The gathering, documentation, and maintenance of RTM **MUST** comply with the OHIP Solution Delivery Domain Document, Section 3.0 (Requirements Management Standard).

2.4.2 Scope Maintenance

The Contractor **MUST** proactively manage and document all scope changes. Scope changes **MAY** be initiated for reasons including, but not limited to:

- **Variations in effort:** Unanticipated increases or decreases in the level of effort required for work activities may trigger a change.
- **Expanded project context:** The inclusion of additional project areas, external agencies, or user groups not originally planned for may necessitate a scope change.

- **Unforeseen events:** External events, such as new federal or state mandates, organizational changes, or shifts in funding availability, can impact the project scope.
- **Project schedule adjustments:** Modifications to the project schedule or a shift in strategic direction may also require a scope change.

2.4.3 Project Change Control

 **Cross-Reference:** The detailed Project Change Control process, including Project Change Request (PCR) workflow and KPIs, is defined in [Section 3.0](#).

The Contractor **MUST** support OHIP stakeholders and applicable governance bodies in the analysis of all proposed scope changes. As part of this responsibility, the Contractor **MUST** provide a detailed impact analysis for each proposed change, which includes the following components at a minimum:

- **Feasibility of completion:** An assessment of whether the change can be completed within established project constraints.
- **Estimated time required:** An estimate of the time needed to implement the change.
- **Impact to schedule:** An identification of how the change may affect the current project timeline.
- **Resource needs:** A determination of any additional staffing or resources required.
- **Budget implications:** An estimate of the financial impact on the project budget.
- **Technology considerations:** An analysis of any technology updates, integrations, or system changes required.

To ensure changes are managed effectively and consistently, the Contractor **MUST** implement and maintain scope management practices that include:

- **A structured change control protocol:** Adherence to the defined procedures for proposing, evaluating, and implementing changes, as defined in [Section 3.0](#).
- **Active stakeholder engagement:** A process for engaging stakeholders in discussions related to potential scope changes to ensure transparency and support informed decision-making.
- **Continuous scope validation:** Ongoing activities to confirm that project deliverables continue to meet stakeholder expectations and align with OHIP's strategic priorities.
- **Regular scope reviews:** Facilitation of recurring scope review sessions to reassess assumptions, incorporate new information, and discuss potential adjustments with stakeholders.

2.5 Project Schedule Management

The Contractor **MUST** develop and maintain an IMS that is organized, accurate, and aligned with OHIP's scheduling processes. The IMS serves as a cohesive view of all project tasks, dependencies, and milestones, and **MUST** enable:

- Timely delivery of project activities.
- Effective coordination with OHIP stakeholders and other vendors.
- Efficient evaluation and incorporation of proposed schedule changes.

The specific processes for managing the schedule may vary between new DDI projects and Maintenance and Operations (M&O) endeavors.

2.5.1 IMS Creation, Submittal, and Approval

To establish the initial schedule baseline, the Contractor **MUST** create and submit an IMS for OHIP's review and approval. This process **MUST** occur prior to the start of any implementation activities.

The submitted IMS **MUST** meet the following requirements:

- **Tool and Format:** It **MUST** be developed in OHIP's specified Project Management tool.
- **Alignment:** It **MUST** align with OHIP's SDLC and the CMS SMC Process.
- **Content:** It **MUST** detail all implementation, M&O, and CMS certification activities (if applicable) and include the scope and key deliverables as defined in the Contract.
- **Dependencies:** It **MUST** identify and sequence all internal and external dependencies.
- **Approval:** The Contractor **MUST** participate in OHIP's review process and incorporate feedback until OHIP grants final approval, at which point the schedule is formally baselined.

2.5.2 Schedule Maintenance and Updates

Following the establishment of the baseline, the Contractor **MUST** maintain the IMS through a regular update process. This includes:

- **Update Cadence:** Providing weekly updates to key project tasks and external dependencies, unless otherwise directed by OHIP.
- **Review Process:** During recurring meetings with OHIP, the project team **MUST** review updates from the PCRs and incorporate them into the schedule.
- **Ad-Hoc Updates:** Submitting updates to the IMS within forty-eight (48) hours of any OHIP request.
- **Proactive Reporting:** Reporting any proposed changes to key milestones or external dependencies as soon as they are identified, outside of the standard cadence.

2.5.3 Dependency Management

The Contractor **MUST** identify and manage all intra-project and inter-project dependencies. While OHIP will oversee the integrated scheduling process, the Contractor **MUST**:

- **Collaborate:** Work directly with OHIP and other Contractors to align key milestones, optimize resource allocation, and reduce potential delays.
- **Utilize Tools:** Use scheduling tools to visualize task relationships, enabling proactive schedule adjustments as needed for all dependencies.

2.5.4 Schedule Re-baselining

The Contractor **MUST** support OHIP in re-baselining the schedule when necessary. The project team **MUST** evaluate the need for a re-baseline based on the following minimum criteria:

- **Post-Phase Evaluation:** After each SDLC phase or CMS milestone is completed.
- **Critical Path Impact:** When an approved change affects the critical path.
- **Milestone Slippage:** If any project milestone is projected to slip by more than sixty (60) days.

- **Task Completion Forecasts:** If, within a two (2)-month period, fifty percent (50%) or more of scheduled tasks are forecasted to miss their planned dates.
- **Significant Change Requests:** When a change request is projected to cause a schedule impact of two (2) weeks or more.

When a decision to re-baseline is made, the Contractor **MUST** collaborate with OHIP to reassess the project's scope, budget, and timeline. The project's Schedule Management Plan **MUST** specify the approval authority for any schedule re-baseline.

2.5.5 Estimation and Basis of Estimate

All schedule and cost baselines **MUST** be supported by a documented Basis of Estimate (BOE). The BOE **MUST** identify the estimating techniques used (e.g., expert judgment, analogous, parametric, bottom-up), the source data and key inputs relied upon, the assumptions and exclusions underlying the estimate, and the confidence level or range associated with the estimate. The BOE **MAY** be documented within the Schedule Management Plan and Budget Management Plan rather than as a standalone deliverable.

The Contractor **MUST** re-estimate affected work and update the BOE upon any of the following triggers: an approved scope change through the Project Change Control process; a variance threshold breach under [Section 2.20](#); or a formal re-baselining under [Section 2.5.4](#). Estimates and their bases **MUST** be made available to OHIP upon request to support APD and federal funding submissions.

2.6 Budget Management

 **Cross-Reference:** Contract-level financial tracking is defined in [Section 5.4](#).

Budget Management establishes the processes for managing all project financial resources, including people, equipment, and goods, throughout the SDLC. These processes are governed by federal funding requirements, including FFP and the APD process. For a detailed overview of these mechanisms, refer to [Appendix C](#).

The Contractor **MUST** develop a Budget Management Plan to outline the processes for managing, tracking, and reporting all project costs against the established budget, which is defined through the contracting and Task Order process. The Contractor **MUST** ensure costs are tracked and reported in a timely manner through status reports and invoices. Any changes to costs **MUST** be managed per the OHIP Change Control Process.¹

2.6.1 Budget Management Requirements

To accomplish effective budget management, the Contractor **MUST**:

- **Utilize Approved Tools:** Use only OHIP-approved tools for all budgeting, forecasting, and reporting to maintain compliance with State and federal regulations.
- **Coordinate Onboarding:** Coordinate with OHIP during project onboarding to establish the required mechanisms and processes for budget tracking.
- **Support Federal Funding Processes:** Collaborate with and provide necessary documentation to OHIP to support all activities related to CMS processes, including SMC, APDs, and update to the APD (UAPDs).

¹ For more information, refer to [Section 3.0](#).

- **Develop a Procurement and Licensing Plan:** Submit a plan that outlines the complete process for acquiring any products or services from outside the Contractor or Department. The plan **MUST** include methods for:
 - o Identifying, presenting, and gaining approval for a potential procurement.
 - o Selecting and funding a procurement, clarifying financial responsibility.
 - o Defining the contracting method, including any flow-down terms and conditions.

2.7 Stakeholder Management

Stakeholder Management is the process of identifying, analyzing, and engaging with all individuals or groups impacted by a project to manage their expectations and ensure their appropriate involvement.

The Contractor **MUST** develop and maintain a comprehensive Stakeholder Management Plan. This plan **MUST** include the components detailed in the following subsections.

2.7.1 Stakeholder Register and Maintenance

The Contractor **MUST** create and maintain a Stakeholder Register to identify and document information for all project stakeholders. During onboarding, OHIP will provide the initial version of this register.

The register **MUST** include the following information for each stakeholder:

- Name and Job Title
- Project Role
- Contact Information (Email and Phone)
- Reporting Structure (Reports to Job Role and/or Manager Name)
- Organization and Department
- Stakeholder Type (e.g., Internal, External)
- Influence on Project (e.g., Decision Maker, Supporter, Influencer)

To ensure the register remains current, the Contractor **MUST**:

- Populate the register with their team's information and submit it to OHIP.
- Await OHIP's approval before the register is established as the official version.
- Submit iterative updates to OHIP as team members onboard or offboard.
- Collaborate with OHIP to review and update the register at a regular, agreed-upon cadence.

2.7.2 Stakeholder Engagement Plan

Following the identification and analysis of all stakeholders in the register, the Contractor **MUST** develop a Stakeholder Engagement Plan. This plan **MUST** detail the strategies for how stakeholders will be engaged throughout the project, including tailored approaches for communication, collaboration, and managing expectations to ensure their interests are considered and addressed.

2.8 Communication Management

The Contractor **MUST** provide a Communication Management Plan that defines the project's communication requirements, information distribution methods, and feedback mechanisms for all stakeholders throughout the project life cycle.

2.8.1 Project Communication Planning Overview

The Contractor **MUST** develop a project-specific Communication Management Plan that addresses the following:

- Who needs what information and who is authorized to access it.
- The frequency and cadence of communications.
- The communication methods to be used (refer to [Appendix D: Communication Methods Reference](#)).
- The escalation paths for the project.

The Contractor **MUST** develop a Communication Matrix that includes, at a minimum:

- List of stakeholders
- Information type/communication description
- Delivery method (format) and frequency
- Communication owner
- Distribution list/audience
- Requirements or notes (e.g., confidentiality and level of detail, etc.)

During onboarding, OHIP will provide the initial version of the Communication Matrix. The Contractor **MUST**:

- Populate the matrix with the team's suggested communications and meetings, including proposed cadence.
- Submit the updated matrix to OHIP for review.
- Utilize the OHIP-approved Communication Matrix as the current version.
- Upload the approved matrix to the OHIP project site.
- Manage and update the Communication Matrix as needed throughout the project.

2.8.2 Meeting and Reporting Requirements

The Contractor **MUST** comply with the following communication requirements:

- **Meeting Agendas:** The Contractor **SHOULD** provide a detailed agenda to all meeting invitees via email or Outlook invitation no later than forty-eight (48) hours in advance of the meeting. Each agenda **MUST** include a list of invitees, meeting topics, presentation materials and supporting documents, and conference or web meeting access information.
- **Meeting Minutes:** The Contractor **SHOULD** provide meeting minutes for all meetings where required by OHIP. Meeting minutes **SHOULD** be distributed via email to all invitees within twenty-four (24) hours of the meeting. Minutes **MUST** be uploaded to the OHIP project site in a timely

manner. The person documenting the minutes **MUST** incorporate action items, key decisions, risks, issues, and other outcomes into the appropriate RAID Log.

- **Project Status Reporting:** The Contractor **MUST** establish and maintain a status reporting format and cadence in the Communication Management Plan. The Contractor **MUST** provide status updates in the agreed-upon format at the established cadence. The Contractor **MAY** provide additional status reports as needed but **MUST** adhere to the established format and cadence at a minimum.
- **Email Preference:** The use of email is preferred over instant messaging or chat features for project communications. Consideration should be given to allow reasonable response time for email communications.

2.9 Decision Management

Decision Management establishes the process for documenting, tracking, and resolving key project decisions. It is closely aligned with the project change control process defined in [Section 3.0](#).

2.9.1 Decision Log

The Contractor **MUST**:

- Integrate the Decision Log into the project's RAID Log.²
- Collaborate with OHIP to determine the RAID Log tool for the project.
- Record detailed information for each decision, including the description, date, participants, rationale, and any required follow-up actions.
- Make the RAID Log available to OHIP at any time upon request, with RAID Log status communicated through the established reporting cadence per [Section 2.8](#); decisions are recorded in the Decision Log per [Section 2.9.1](#).
- Ensure the RAID Log is accessible to all relevant stakeholders, stored in the designated repository, and regularly updated.

2.9.2 Open Question and Outstanding Decisions

The Contractor **MUST**:

- Submit all open questions requiring key decisions to the OHIP Project Sponsor with the necessary supporting information.
- Log each open question in the project's RAID Log.
- Collaborate with the Project Manager and OHIP to develop answers and conduct an impact analysis. This analysis **MUST** be presented to OHIP for approval.
- Communicate approved decisions to the Project Team at the status meeting and mark the item as closed in the RAID Log.
- Document warranted key decisions in the Decision Log with a reference number linked to the RAID Log entry.

² The RAID Log referenced within this Standard is part of the broader RAID Log for the project.

2.10 Quality Management

The Contractor **MUST**:

- Establish and maintain a Quality Management Plan that defines the approach for ensuring deliverables meet acceptable quality levels and project processes are properly applied.
- Define key quality metrics tailored to the project's context and goals, using the quality areas described in [Appendix E](#) as a reference framework.
- Measure and manage quality throughout project performance to maintain compliance with OHIP standards and Department expectations.

Quality metrics **SHOULD** be tailored to fit the specific context and goals of each project.

2.10.1 Quality Management Approach

To ensure each project meets its quality objectives, the Contractor **MUST**:

- Establish a quality management approach that involves key stakeholders and project team members in quality management activities early in the project. This proactive involvement focuses on quality items from the onset, ensuring specific quality activities and standards are integrated throughout the project.
- Implement a quality management approach with planned, structured activities that verify the project employs necessary processes to create high-quality artifacts—both solutions and documentation—that comply with OHIP, State, federal, and design requirements.
- Perform reviews to confirm that processes and standards meet expectations as defined in the approved plans.
- Inspect, analyze, and take necessary actions to ensure that project deliverables and artifacts comply with acceptable quality standards and are complete and correct.

The quality management approach **MUST** include the following steps:

- Inspect artifacts and compare them to a standard of quality defined by the project's stakeholders.
- Verify that both the user's requirements and technical specifications are met before and after the artifact is approved and promoted into a stable production environment.
- Monitor workflow progress, detect problems and defects, and make corrections prior to the delivery of artifacts or services.

2.10.2 Quality Standards

The Contractor **MUST** work with OHIP to establish project-specific quality standards during the quality planning process. These standards **MUST** be adhered to throughout the project by all project team members. OHIP reserves the right to adjust quality standards at any time to meet the needs of a given project.

Quality metrics **MUST** address, at minimum, the following three (3) dimensions:

- **Business and Information Systems (IS) Metrics:** Measures aligned with the goals of OHIP business and IS sponsors.
- **Customer Metrics:** Internal and external measures that **MUST** reflect timeliness, accuracy, and the solution's adherence to established requirements.

- **Process Metrics:** Measures demonstrating how business and IS processes are expected to improve as a result of the project.

Quality metrics **MUST** be refined at each major project phase and documented in updates to the project-specific Quality Management Plan. The project team **MUST** use these metrics to evaluate whether the project is achieving its quality goals.

2.10.3 Quality Reviews

The Contractor **MUST** implement a quality management approach that includes a focused review of each required project artifact throughout the CMS-required milestone reviews. To achieve this, the Contractor **MUST**:

- Provide a Quality Management Plan that outlines a formal process for the submission, review, and updating of all project-specific artifacts.
- Identify and document the procedures used to coordinate the review of project documentation, such as Deliverable Expectation Documents (DEDs), deliverables, and any artifacts. This includes tracking feedback, addressing revisions, and obtaining approvals from the Department.
- Detail the project artifact review process, including participants in each review step, to ensure compliance with the OHIP's quality standards and that appropriate project stakeholders review and approve the work product.

2.10.4 Action Item Identification and Follow-Up

For effective management of action items, the Contractor **MUST**:

- Capture any tasks identified during a project meeting or communication with OHIP that require further clarification, validation, information, and/or follow-up in an Action Item Tracker/Log (as part of the greater RAID Log) and in the meeting minutes.
- Communicate action items to OHIP along with the meeting minutes if they are identified during a meeting.
- Seek updates and relevant information from the action item owner when requested and engage in communications about the action item throughout the process, ensuring timely delivery of information.
- Update the action item in the RAID Log based on the information received from the owner.

2.11 Resource Management

The Contractor **MUST** provide a Staff and Resource Management Plan that governs the management of all human and non-human project resources (equipment, tools, facilities) from project initiation through closure.

2.11.1 Project Organizational Chart and RACI Matrix

The Contractor **MUST** provide a Project Organizational Chart and the Responsible, Accountable, Consulted, and Informed (RACI) matrix:

- Develop an organizational chart that clearly illustrates the reporting structure for the team delivering each project.
- Create a RACI matrix that outlines the relationship between project tasks and team members.

- Create or provide input as needed on organizational charts, RACI matrices, and any other Resource Management documentation required by OHIP to support the delivery of the project.

2.11.2 Key Personnel Tracking

In the event of a Key Personnel staffing change, the Contractor **MUST**:

- Notify OHIP of the personnel change in advance, where possible.
- Identify an interim replacement resource and provide the resume of a proposed permanent replacement, along with their associated contractual qualifications.
- Initiate the decision log process to document the staffing change once approved by OHIP.
- Initiate a formal PCR if the staffing change results in a significant project impact, such as a schedule delay of over two (2) weeks.

2.11.3 Staff Continuity, Succession, and Development

Sustained project performance depends on workforce stability and depth, not only on the replacement procedures defined in [Section 2.11.2](#). The Contractor **MUST**:

- Maintain a proactive succession plan for every Key Personnel role, identifying qualified backup resources and knowledge continuity measures, rather than relying solely on reactive replacement after a departure.
- Report project staff turnover to OHIP at a cadence defined in the Staff and Resource Management Plan, including departures, additions, and open positions, and identify any turnover trend that poses a risk to project delivery for management through the RAID Log.
- Address skill development and cross-training in the Staff and Resource Management Plan to reduce single-person dependencies on critical project functions.

2.12 Risk Management

The Contractor **MUST** address risk management in the Risk and Issue Management Plan. The plan **MUST** define how risks will be identified, analyzed, mitigated, monitored, and reported throughout the project life cycle.

2.12.1 Risk Log

The Contractor **MUST**:

- Establish a Risk Log (as part of the broader RAID Log) to serve as a repository for all open and closed risks throughout the project's duration.
- Collaborate with OHIP to determine which RAID Log tool will be used to support the project.

2.12.2 Risk Identification Rating/Level Assignment, and Escalation

For effective Risk Log management, the Contractor **MUST** also:

- Communicate project risks identified by OHIP or the Contractor via email for OHIP review.
- Work collaboratively with OHIP and the Department's PMO Team to address and manage validated risks based on project-specific guidelines.

- Develop a response plan for each validated risk, applying the response strategies defined in [Section 2.12.3](#) and capturing it in the RAID Log alongside risk triggers and next steps based on the selected risk response.
- Regularly review and update the RAID Log to ensure it reflects current risks and their status.
- Confirm with the risk owner that a risk can be retired once mitigated and present the pending closure of the risk at the project's status meeting.
- Implement a process for escalating high-impact risks to OHIP and initiating action plans to address them effectively.

2.12.3 Risk Response Strategies and Opportunity Management

For each validated risk, the Contractor **MUST** select and document one or more response strategies in the RAID Log. Acceptable response strategies for threats are: avoid, escalate, transfer, mitigate, and accept. Risk responses are not limited to mitigation; the selected strategy **MUST** reflect the most effective and cost-appropriate response, and acceptance of any risk above the thresholds defined in [Section 2.12.4](#) requires documented OHIP concurrence.

Uncertainty includes favorable events as well as threats. The Contractor **MUST** identify and capture opportunities—uncertain events that would benefit project objectives if realized—in the RAID Log alongside threats, and **MUST** evaluate them using the strategies of exploit, enhance, share, and accept. Opportunities **MUST** be reviewed at the same cadence as risks.

2.12.4 Risk Thresholds and Contingency Reserves

The Risk and Issue Management Plan **MUST** document the risk thresholds and tolerances established with OHIP for the project, defining the level of risk exposure that triggers escalation, the level requiring documented OHIP risk acceptance per [Section 1.8.7](#), and the criteria used to rate probability and impact consistently across the project.

Where a contingency reserve is established under the Budget Management Plan, the Contractor **MUST** document the criteria for establishing the reserve, the linkage between reserve amounts and quantified risk exposure, and the process for requesting drawdown. Any drawdown of contingency reserve **MUST** be approved by OHIP in advance and recorded in the Decision Log, and reserve status **MUST** be reported as part of performance reporting under [Section 2.20](#).

2.12.5 Assumption and Constraint Tracking

Assumptions and constraints documented in project deliverables are point-in-time statements; left unmonitored, a failed assumption becomes an unmanaged risk. The Contractor **SHOULD** record material project assumptions and constraints as tracked items within the RAID Log, assign an owner to each, and review them at the same cadence as risks. Each assumption **MUST** be validated or retired as project information matures. When an assumption is invalidated, the Contractor **MUST** convert it to a risk or issue in the RAID Log, assess its impact, and manage it under [Section 2.12](#) and [Section 2.13](#).

2.13 Issue Management

The Contractor **MUST** address issue management in the Risk and Issue Management Plan. The plan **MUST** define how issues will be identified, categorized, escalated, and resolved using a structured Issue Log.

2.13.1 Issue Log

The Contractor **MUST**:

- Establish an Issue Log (as part of the broader RAID Log) to serve as a repository for all open and closed issues throughout the duration of the project.
- Collaborate with OHIP to determine which Issue Log tool will be used to support the project.

2.13.2 Issue Identification, Evaluation, and Tracking

For effective issue log management, the Contractor **MUST**:

- Have project management stakeholders e-mail OHIP with a comprehensive description of the issue, its impact on the project (including deliverables), and any immediate actions taken.
- Request identification of an Issue Owner to monitor, address, and manage the issue.
- Ensure the Issue Owner conducts a preliminary evaluation of the issue's severity, categorizes it based on its potential impact, and determines the urgency required for resolution.
- Escalate and coordinate the issue per a predefined escalation matrix that outlines the steps for issues of varying severity and impact.
- Facilitate a review of the newly active issue during the project's status meeting (or another meeting as required by OHIP), covering specifics of the issue, steps taken so far, and proposed action plans.
- Regularly update the issue status in the RAID Log to provide real-time visibility into the issue's progress and any changes in severity or impact.
- Maintain open communication channels to facilitate swift decision-making and resource allocation.
- Formally close resolved issues at the status meeting, document the resolution process and lessons learned in the RAID Log to prevent recurrence, and share this documentation with all relevant stakeholders to foster continuous improvement in issue management practices.

2.14 Lessons Learned Documentation

The Contractor **MUST** systematically document lessons learned throughout the project life cycle and maintain a Lessons Learned Register. This register **MUST** capture detailed insights into process strengths and weaknesses to support knowledge continuity, inform methodology refinements, and prevent recurring issues.

The Lessons Learned Register **MUST** be a working management tool, not a closure formality. The Contractor **SHOULD** review the Register with OHIP at a defined cadence—at minimum at each phase gate, release closeout, or quarterly (whichever occurs first) and **SHOULD** document any process, methodology, or plan adjustments resulting from each review. Where the project operates under an adaptive methodology, retrospective outputs governed by the OHIP Solution Delivery Domain Document satisfy this review cadence, provided resulting actions are recorded in the Lessons Learned Register.

All OHIP projects **SHOULD** produce a final lessons learned summary within the Project Closeout Report per [Section 2.21](#). The Lessons Learned Register and the closeout summary **MUST** be stored in the project repository and made available to future project teams.

2.15 Document Management

 **Cross-Reference:** Contract-level documentation and records management requirements, including specific naming conventions and retention periods, are defined in [Section 5.9](#).

Document Management defines the procedures for the project and how documents will be named, stored, maintained, and shared. The Contractor **MUST** submit a Document Management Plan, which specifies the naming conventions, file formats, and metadata standards for organizing and categorizing project documents.

Document management and control **MUST** include the acceptable standard operating procedures (SOPs) for document usage and modifications among stakeholders and project team members. These procedures **MUST** be established within each project's Document Management Plan. The Contractor **MUST** follow OHIP's document control process, which includes identifying SOPs for document naming conventions, any updates and changes, access, and owner identification for monitoring and improvement of processes.

2.15.1 Project Centralized Document Repository Tool

The Contractor **MUST** ensure that all project-related documentation, including solution architecture or solution documentation, is stored in a State-controlled repository. The project site will serve as a collaborative resource for all project team members, stakeholders, and the Contractor, acting as the centralized location for all documentation throughout the project.

To properly manage document storage, the Contractor **MUST**:

- Collaborate with OHIP during onboarding to determine whether a project site has already been established or if a new site needs to be created for the project.
- Utilize the established project site to store and manage all project documentation at all times.
- Ensure all appropriate team members and stakeholders can access and use the project site as needed for project collaboration.

2.16 Adherence to the DOH Style and Branding Guide

To maintain consistency, professionalism, and clarity across all project-related communications and documentation, the Contractor **MUST** adhere to the DOH's Style and Branding Guide. This resource is meant for internal and external communications and is a foundational touchstone for the formatting of all materials associated with projects. Examples of materials associated with projects include, but are not limited to:

- Meeting Agendas
- Meeting Minutes
- Executive/Agency Letterhead
- Memorandums
- Digital Presentations (e.g., PowerPoint, etc.)
- Deliverable Artifacts

The Contractor will receive access to the DOH Style and Branding Guide during the onboarding process.

2.17 Organizational Change Management (OCM)

Large-scale MES implementations do not fail because the technology does not work—they fail because the people who depend on the technology are not prepared to adopt it. OCM addresses the people-side of change: ensuring that end-users, program administrators, and business stakeholders are informed, prepared, trained, and supported through the transition from legacy processes to new systems and workflows.

The Contractor **MUST** develop and submit an OCM Plan for OHIP approval. The OCM Plan **MUST** be submitted no later than the completion of the project's planning phase and **MUST** be maintained as a living document throughout the project life cycle.

The OCM Plan **MUST** address, at minimum:

- **Stakeholder Impact Assessment:** Identification of all user groups affected by the implementation, the nature and degree of change each group will experience, and the anticipated resistance factors. This assessment **MUST** be updated at each major project milestone.
- **Communication Strategy:** A structured approach for communicating changes to all affected stakeholder groups, including the messaging cadence, channels, target audiences, and escalation path for stakeholder concerns. The communication strategy **MUST** coordinate with the project's Communication Management Plan defined in [Section 2.8](#).
- **Training Plan:** A comprehensive plan for training all affected users on new systems, processes, and workflows. The training plan **MUST** include role-based training curricula, training delivery methods (instructor-led, e-learning, job aids), training schedules aligned to deployment milestones, and post-training assessment methods to verify user readiness. Training requirements **MUST** also comply with the OHIP Solution Delivery Domain Document, Section 8.3.1 (Training), which governs SDLC-specific training obligations.
- **Adoption and Readiness Measurement:** Defined metrics for measuring organizational readiness and user adoption, including pre-deployment readiness assessments and post-deployment adoption tracking. The Contractor **MUST** report adoption metrics to OHIP at agreed-upon intervals.
- The Contractor **MUST** designate a named OCM Lead responsible for executing the OCM Plan. The OCM Lead **MUST** participate in project status meetings and provide OCM status updates as part of the regular reporting cadence.
- For projects undergoing CMS SMC, the Contractor **MUST** ensure that OCM activities generate evidence artifacts sufficient to demonstrate organizational readiness as part of the Operational Readiness Review (ORR) process.

The OCM Plan **SHOULD** address, at minimum:

- **Resistance Management:** A proactive approach for identifying, monitoring, and addressing stakeholder resistance throughout the project life cycle. The Contractor **SHOULD** conduct periodic stakeholder sentiment assessments to identify emerging resistance early.
- **Sustainment Plan:** A plan for reinforcing changes after Go-Live to prevent regression to legacy processes. The sustainment plan **SHOULD** include ongoing support mechanisms, refresher training schedules, and feedback loops for continuous improvement.

2.18 Transition Management

OHIP's multi-vendor MES environment requires that every Contractor engagement, whether beginning or ending, includes formal transition activities to protect program continuity, institutional knowledge, and operational stability. Transition failures in Medicaid solutions can result in service disruptions to beneficiaries, loss of critical institutional knowledge, gaps in federal reporting, and exposure to compliance and audit risk.

This section establishes project-management-level requirements for both transition-in (incoming Contractor assuming responsibilities) and transition-out (outgoing Contractor transferring responsibilities). SDLC-specific transition-in requirements, including technical onboarding, codebase familiarization, and environment setup, are governed by the OHIP Solution Delivery Domain Document, Section 8.3.3 (Transition-In Phase). The requirements below govern the project governance, knowledge transfer, and operational continuity dimensions of transition.

2.18.1 Transition-In Requirements

Cross-reference: The Transition-In Plan is produced and tracked as the Transition-In Management Plan under the Solution Delivery Domain Document. The requirements in this section define the Contractor's program- and project-management obligations for transition-in; the plan itself is delivered and version-controlled under that domain.

The incoming Contractor **MUST** develop and submit a Transition-In Plan for OHIP approval within thirty (30) calendar days of contract award. The Transition-In Plan **MUST** address, at minimum:

- **Knowledge Transfer Schedule:** Contents as specified in [Appendix A](#).
- **Document and Artifact Inventory:** A complete inventory of all project documentation, deliverables, and artifacts to be received from the outgoing Contractor or OHIP, with acceptance criteria for each.
- **Staff Onboarding Alignment:** Coordination with [Section 5.6](#) to ensure all incoming personnel complete access provisioning, security clearances, and orientation activities within the transition timeline.
- **Risk Register:** Identification of transition-specific risks, including knowledge gaps, timeline constraints, and dependency on outgoing Contractor cooperation, with mitigation strategies for each.
- **Parallel Operations Period:** Where applicable, a defined period during which the incoming and outgoing Contractors operate concurrently to ensure continuity. The Contractor **MUST** document the scope, duration, and exit criteria for the parallel operations period.

The Contractor **MUST NOT** assume operational responsibility for any system or process until OHIP has formally approved the completion of the Transition-In Plan milestones.

2.18.2 Transition-Out Requirements

Cross-reference: Transition-Out deliverables (the Transition-Out Plan and associated knowledge-transfer artifacts) are produced and tracked under the Infrastructure & Operations Domain Document. The requirements in this section define the Contractor's program- and project-management obligations for transition-out.

The outgoing Contractor **MUST** cooperate fully with OHIP and the incoming Contractor (if applicable) to ensure an orderly transfer of all responsibilities, documentation, and institutional knowledge. The outgoing

Contractor **MUST** develop and submit a Transition-Out Plan for OHIP approval no later than six (6) months before the anticipated contract end date.

The Transition-Out Plan **MUST** address, at minimum:

- **Knowledge Transfer Execution:** Contents as specified in [Appendix A](#). Knowledge transfer **MUST** be conducted by subject matter experts with direct operational experience, not by management proxies.
- **Documentation Completeness:** Verification that all project documentation, deliverables, source code, configuration documentation, and operational runbooks are current, complete, and stored in the OHIP-designated repository per [Section 2.15](#) and [Section 5.9](#).
- **Data and System Handover:** Transfer of all system access credentials, service accounts, encryption keys, and operational control to OHIP or the incoming Contractor in accordance with the OHIP Security, Privacy, and Compliance Domain Document, Security and Privacy Compliance Standard.
- **Open Items Resolution:** A plan for resolving or formally transitioning all open defects, change requests, risks, and issues from the outgoing Contractor's RAID log.
- **Staff Offboarding:** Coordination with [Section 5.6](#) to ensure all outgoing personnel complete access revocation and equipment return per established timelines.

The outgoing Contractor **MUST** continue to provide operational support through the agreed-upon transition period and **MUST NOT** reduce staffing levels below the levels necessary to maintain service continuity without prior written OHIP approval.

OHIP reserves the right to extend the transition-out period if the outgoing Contractor has not satisfactorily completed all Transition-Out Plan milestones by the scheduled contract end date. The costs of any such extension resulting from the outgoing Contractor's failure to meet transition milestones are the responsibility of the outgoing Contractor.

2.19 Benefits and Outcomes Management

MES projects are funded and certified on the basis of the outcomes they deliver, not merely the deliverables they produce. CMS SMC is outcomes-based, and enhanced FFP is justified through the APD process by reference to expected program improvements. This section establishes the requirements for defining, maintaining, and measuring project outcomes.

The Contractor **MUST** develop and maintain a Benefits and Outcomes Register that documents, for each project: the expected business outcomes the project is intended to achieve; the measures and target values by which achievement will be assessed; the traceability of each outcome to the applicable APD, SMC outcome statements, and contract objectives; the timeframe in which each outcome is expected to be realized; and the named owner accountable for measurement. The initial Register content **MUST** be documented at project initiation as part of the PID per [Section 2.3.1](#).

The Contractor **MUST** maintain the Benefits and Outcomes Register under the Project Change Control process defined in [Section 3.0](#), so that scope changes are evaluated for their effect on expected outcomes, and **MUST** review the Register with OHIP at major project milestones.

Following Go-Live, the Contractor **MUST** measure and report achievement against the Register at intervals agreed with OHIP for a post-implementation period defined in the contract or Task Order, and **MUST** provide outcome evidence sufficient to support OHIP's CMS SMC certification and ongoing FFP reporting obligations. Adoption metrics produced under [Section 2.17](#) (OCM) **MAY** serve as evidence for user-adoption outcomes but do not substitute for business outcome measurement.

2.20 Project Performance Measurement and Reporting

 **Cross-Reference:** Change control KPIs are defined in [Section 3.3](#). Contract-level performance monitoring is defined in [Section 5.3.2](#).

Effective oversight requires quantitative visibility into project performance, not only narrative status. The Contractor **MUST** measure and report project performance against the approved scope, schedule, and cost baselines throughout the project life cycle.

The Contractor **MUST** track schedule and cost performance using Earned Value Management (EVM) or an OHIP-approved equivalent method appropriate to the contract structure (e.g., milestone attainment and planned-versus-actual analysis for fixed-price engagements). At minimum, performance measurement **MUST** include: planned versus actual progress against the IMS, including milestone attainment; cost performance against the budget baseline; variance analysis identifying the cause and projected effect of any deviation; and forecasts of estimated completion dates and costs, updated at the reporting cadence.

The Contractor **MUST** establish variance thresholds with OHIP and document them in the Project Management Plan. When a threshold is breached, the Contractor **MUST** notify OHIP, perform a root-cause analysis, and submit a CAP; threshold breaches **MUST** be escalated per [Section 5.10](#) where unresolved. Threshold breaches that necessitate baseline changes **MUST** follow the re-baselining criteria in [Section 2.5.4](#) and the Project Change Control process in [Section 3.0](#).

Quantitative performance metrics, variance explanations, forecasts, and contingency reserve status (per [Section 2.12.4](#)) **MUST** be included in the Status Reports defined in [Appendix A](#). Metrics **SHOULD** be presented with trend context (current period against prior periods) so that emerging performance degradation is visible before thresholds are breached.

2.21 Project Closeout

 **Cross-Reference:** Contract closeout is governed by [Section 5.3.3](#). Transition-out of an outgoing Contractor is governed by [Section 2.18.2](#). This section governs the closure of an individual project, which can occur while the contract and other projects continue.

Every project **MUST** be formally closed. The Contractor **MUST** develop and submit a Project Closeout Report for OHIP approval, and the project is not considered closed until OHIP approves the report. The Project Closeout Report **MUST** include, at a minimum:

- **Final Acceptance Confirmation:** Verification that all in-scope deliverables were completed and formally accepted through the Deliverable Acceptance Process in [Section 5.8](#), with references to acceptance records.
- **Final Performance Summary:** Final schedule and cost performance against the approved baselines, including explanation of final variances, per [Section 2.20](#).
- **Outcome Status:** The status of expected outcomes per the Benefits and Outcomes Register ([Section 2.19](#)), including any outcomes whose measurement extends beyond closure and the owner responsible for continued measurement.
- **Open Item Disposition:** The disposition of every open RAID Log item, with each item closed, formally accepted by OHIP, or transferred to a named owner in operations or a successor project.

- **Lessons Learned Summary:** A summary of key lessons from the Lessons Learned Register maintained under [Section 2.14](#). This summary within the Project Closeout Report satisfies the final lessons learned reporting requirement of [Section 2.14](#); a separate standalone report is not required.
- **Records Archival Confirmation:** Confirmation that all project documentation has been finalized and stored in the OHIP-designated repository per [Section 2.15](#) and [Section 5.9](#).
- **Administrative Closure:** Confirmation of resource release, access review coordination per [Section 5.6](#), and any open financial reconciliation items referred to contract management under [Section 5.4](#).

3.0 Project Change Control Standard

3.1 Introduction

The Project Change Control Standard governs how all changes to project scope, budget, schedule, or quality are identified, assessed, approved, and tracked across the OHIP MES portfolio. In a Medicaid enterprise where project modifications can trigger downstream impacts on federal funding eligibility, CMS certification timelines, and interdependent vendor schedules, uncontrolled change is not merely a project management risk—it is a compliance and financial exposure.

This standard establishes a repeatable, disciplined change control process that ensures every proposed change is formally documented through a PCR, subjected to impact analysis across all affected dimensions (budget, scope, quality, schedule, and interdependent projects), and approved by OHIP before implementation. The process applies to all project-level changes; technical changes to IT systems are governed separately under [Section 4.0](#), and contract-level changes are governed under [Section 5.0](#).

- The Contractor **MUST** submit, maintain, and obtain OHIP approval for a Project Change Control Plan that defines the change control procedures, roles, thresholds, and escalation paths for the project.
- The Contractor **SHOULD** scale the Project Change Control Plan to fit the project's complexity, duration, and size.

Deliverables and artifacts associated with this standard can be found in [Appendix A](#).

3.2 Objectives

The primary objectives of this Standard are to:

- Establish a repeatable framework for managing and controlling all project-level changes.
- Ensure all proposed changes to a project's budget, scope, quality, or schedule are formally identified, assessed, approved, and tracked before implementation.
- Define clear roles and responsibilities for all stakeholders involved in the change control process.
- Maximize the value of necessary changes while minimizing their impact on project delivery.

3.3 KPIs and Reporting

The Contractor **MUST** track and report on the following change control KPIs:

- Number of PCRs submitted, denied, approved, deferred, or expedited
- Number of PCRs backlogged
- Average time for PCR resolution (from submission to final decision)
- Aging of open PCRs

3.4 Project Change Control Process

All project changes **SHOULD** follow OHIP's Change Control process outlined in Table 5 below. Where the standard approval timeline cannot accommodate the urgency of a request, the Contractor **MUST** follow

the expedited process defined by OHIP. The Contractor **MUST** work with OHIP to identify, manage, and escalate all PCRs.

Table 5 – Change Control Process Steps

Step	Description
1	The Change Requester MUST submit a new/updated PCR for any project/contractual changes. The Contractor assesses the potential impact on the project budget, scope, quality, and schedule, and on its own schedule as well as other project/program Contractor schedule(s). All impacted stakeholders MUST be identified.
2	The Contractor submits the initial impact assessment for OHIP Project Team review: <ul style="list-style-type: none"> • If OHIP does not believe the submitted PCR is warranted, it MUST notify the Contractor of the decision, and a designated responsible resource MUST close the PCR. • If OHIP requires additional information in the PCR, they MUST notify the Change Requester of the clarification request, and the process goes back to Step 1.0. • If OHIP agrees the submitted PCR is warranted, the process moves to Step 3.0.
3	OHIP approves the confirmed PCR. If warranted by any contractual changes or impacts to the project, the Contractor MUST generate a Change Request Form for OHIP review: <ul style="list-style-type: none"> • If it is determined that the Change Request Form requires an update, the Contractor MUST modify the form accordingly until the form is cleared to move to Step 4.0. • If there are no updates to be made to the Change Request Form, move to Step 4.0.
4	OHIP MUST review and approve the updated Change Request Form based on the impacted items.
5	When the Change Request Form is approved by OHIP, the Contractor MUST make the required updates and implement the changes based on the approved PCR to be verified by OHIP. OHIP MUST review the implemented changes: <ul style="list-style-type: none"> • OHIP assesses the implemented change(s). • Until OHIP verifies that all changes are correctly implemented, the Contractor MUST continue to update the implementation and resubmit for OHIP assessment. • Once OHIP verifies that the change(s) is/are correctly implemented, the process moves to Step 6.0.
6	Project artifacts are updated to reflect changes made. The PCR is closed.

3.4.1 Interdependent Project Change Requests

A PCR may be interdependent with another project or initiative. When an interdependency is identified, the Contractor **MUST** work with OHIP to identify all impacted stakeholders and include them in PCR Steps 1.0 and 2.0.

Where a PCR triggers or requires a corresponding technical change to IT systems, the Contractor **MUST** also initiate the applicable change request under [Section 4.0](#). Both the project-level and technical-level approvals **MUST** be obtained before implementation.

4.0 Technical Change Control Standard

4.1 Introduction

The Technical Change Control Standard establishes the mandatory process for managing all technical modifications to OHIP's IT infrastructure, applications, and application services. Every change to a production or production-adjacent environment—whether a software release, hardware installation, maintenance patch, data migration, or configuration update—carries the potential to disrupt services that New York's Medicaid beneficiaries, providers, and program administrators depend on daily. This standard exists to ensure that no such change is implemented without formal documentation, classification, risk assessment, and approval.

This standard defines three (3) change classifications—Standard, Normal, and Emergency—each with distinct approval workflows, lead-time requirements, and documentation obligations calibrated to the change's risk profile. It establishes the required information for change requests across nine (9) specific change categories, from firewall modifications and technology upgrades to major production releases and system decommissioning.

Technical Change Control operates within the broader OHIP change governance framework. Project-level changes affecting scope, budget, or schedule are governed by [Section 3.0](#). Contract-level changes are governed by [Section 5.0](#). To maintain clear operational boundaries, Technical Change Control strictly governs the authorization and approval to modify a production environment, whereas Release Management—governed by the OHIP Solution Delivery Domain Document, Section 7.0 (Release Management Standard)—dictates the execution, deployment, and testing of that approved code. Where a single change spans multiple governance layers—for example, a production release that also triggers a budget impact and a contract amendment—the Contractor **MUST** satisfy the requirements of each applicable section concurrently.

Deliverables and artifacts associated with this standard can be found in [Appendix A](#).

 **Cross-Reference:** Once a technical change is approved via this Technical Change Control process, the deployment and testing of that change **MUST** be executed in accordance with the OHIP Solution Delivery Domain Document, Section 7.0 (Release Management Standard).

4.2 Objectives

The primary objectives of this Standard are to:

- Establish a standardized process for managing all technical changes to IT systems, ensuring risks are properly assessed and service disruptions are minimized.
- Ensure all technical changes are properly documented, categorized, justified, and approved before implementation.
- Provide a clear framework that defines change types and responsibilities for all stakeholders involved in the change process.
- Promote transparency and accountability by creating a comprehensive documentation trail for all technical modifications to the IT environment.
- Streamline the implementation of necessary updates while safeguarding the stability, security, and integrity of the production environment.

4.3 Technical Change Control Background

4.3.1 OHIP Technical Change Definition

Any change made to an IT system **MUST** follow the Enterprise IT Change Control Process (hereafter referred to as the Change Control Process) to minimize service disruption. A change is defined as the addition, modification, or removal of items that could impact OHIP IT Infrastructure, Applications, and Application Services. This includes, but is not limited to:

- Any change that significantly affects the production environment.
- Software releases, including installations, upgrades, and removals of third-party and internally developed applications.
- Hardware releases, including installations, upgrades, and device removals.
- Maintenance releases.
- Production fixes.
- Data conversions or migrations.

The following activities are excluded from the Technical Change Control Process:

- Operational changes (including batch processes) to tables, edits, rates, and other parameters.
- Application development, system logic changes, or programming changes to add functionality, which **MUST** follow [Section 2.0](#) and the processes defined in the OHIP Solution Delivery Domain Document, Section 8.0 (SDLC Standard).

4.3.2 Scenarios for IT Change Control

The Contractor **MUST**:

- Adhere to OHIP's Technical Change Control Process for all changes that impact or have the potential to impact a production or production-adjacent environment (e.g., System Integration Testing [SIT], Quality Assurance [QA], or Stage).
- Consolidate similar changes into the same implementation window and group related enhancement requests and bug fixes into a single change where practicable.
- Manage changes so that a single change implemented across multiple locations is tracked as a single entity with individual implementation tasks per location.
- Ensure that technical changes integrate with other service management processes to establish traceability, detect unauthorized changes, and identify change-related incidents.
- Ensure that individuals making unapproved changes are notified and provided training on compliance with the Change Control Process.
- Differentiate between technical changes and system modifications, ensuring that all changes to existing and new solutions, and any updates to system environments at SIT level and above, are submitted as PCRs per [Section 3.0](#).

The following activities are out of scope for the Technical Change Control Process:

- Service requests (e.g., password resets, staff account setup, web content updates, new report creation)

- Support requests (e.g., incident management)
- Data corrections
- Changes to individual desktop environments
- Changes to non-production infrastructure or applications (unless designated as production-equivalent)

4.3.3 Document Revision

The Contractor **MUST**:

- Update solution documentation to reflect changes to approved solution designs.
- Engage in one (1) of the following types of reviews to validate the quality of solution documentation:
 - o **Periodic review**: Changes to system documentation **MUST** be reviewed on a recurring basis for completeness and accuracy. At a minimum, this review **MUST** be completed annually.
 - o **Ad-hoc review**: All change requests **MUST** include an evaluation for needed system documentation updates. OHIP is accountable for managing the ad-hoc document revisions.

4.3.4 Policies for Requesting a Change

The Contractor **MUST** adhere to all OHIP policies supporting Technical Change Control impacting OHIP's Technology, Security, and Data domains (architecture and infrastructure are governed under the OHIP Technology domain). The following policies apply to all change requests:

- **Change Categorization**: All changes **MUST** be categorized according to enterprise-wide standard definitions of categorization to assist with aligning the application release, hardware, operating system (OS), network configuration, database, data fix, etc., to the location where the change is occurring.
- **Change Request Priority**: The Change Request **MUST** be prioritized upon submission to assist with scheduling resource constraints. OHIP approvers **MUST** review the change request priority.
- **Change Criteria**: No infrastructure or technology changes within the scope outlined in this document can occur without a formal change request.
- **Change Justification**: All changes **MUST** be justified from a business perspective (including funding, if applicable) with a technically feasible solution.

4.3.5 Change Process Participants

The Contractor **MUST** enforce segregation of duties to protect the environment and comply with all regulatory requirements by adhering to the following rules:

- The same person cannot raise, approve, and implement a change record.
- If the Requester is also the Implementer, a third party **MUST** review and approve the Request for Change.
- Changes to the production environment **MUST** be transferred by individuals who are independent of the change's development process.

OHIP reviews and approves change records and Requests for Change through the established change management workflow. The Contractor **MUST** submit each Change Record and Request for Change for OHIP review and approval prior to implementation.

4.4 Technical Change Classification

The Contractor **MUST** adhere to OHIP's classification of technical changes and the processing rules for each type of technical change as described below.

4.4.1 Standard Change

A Standard Change is recurring, with little or no impact (downtime) on the infrastructure. A Standard Change **MUST** be low-risk, pre-approved by OHIP, and require limited lead times for implementation. It only needs approval once, not for each occurrence. Examples include:

- Rolling out a standard configuration for monitoring tools
- Applying tested security patches to systems
- Granting access to a managed Cloud instance

The Contractor **MUST** provide sufficient documentation of the implementation approach and backout procedure, along with the approved Test Management Plan. Any changes that cause disruptions to an IT service or fail **MUST** immediately lose their "pre-authorized" status and, therefore, need formal approval and review when they reoccur.

4.4.2 Normal Change

A Normal Change is a planned, non-recurring technical change that is not an Emergency Change. A Normal Change follows a prescriptive process in addition to a full range of assessments and authorizations to ensure completeness, accuracy, and the least possible disruption to service. Examples include:

- Contractor-required updates to system
- Security updates
- Architectural changes (requires OHIP approval)
- Change to existing database, extract, or query
- Change in storage, memory, or CPU
- Change in firewall

4.4.3 Emergency Change

An Emergency Change requires immediate attention (one (1) week or less) for technical system modification to address a service disruption or a severe impact on production. The primary goal of an Emergency Change is to restore normal service. The Contractor **MUST**:

- Implement this change as soon as possible
- Send email alerts to notify all production personnel in cases where Emergency Change implementation requires disruption to other production activities.

Examples of Emergency Change include:

- Hot fixes
- High impact problem or a major incident
- Downtime in service
- Service restart (other than normal maintenance window restarts)
- Database restart
- Server capacity addition or increase

4.4.4 Change Timeframes

The Contractor **SHOULD** adhere to the change timelines by change type listed in Table 6.

Table 6 – Change Timeframes

Type	OHIP-Preferred Timing and Guidance
Standard Change	The scheduled window SHOULD have a duration of up to three (3) business days. This requires a pre-approved change template.
Normal Change	<p>Requests SHOULD be entered ten (10) days in advance of the desired change.</p> <p>A Normal Change SHOULD only be expedited with appropriate exception approval, which SHOULD be obtained according to the Department or enterprise guidelines. Changes with a business justification for deployment in less than the required ten-day lead time SHOULD be flagged as an Expedited Request.</p> <p>Examples of reasons for granting an exception to expedite the process include:</p> <ul style="list-style-type: none">• Addressing a service disruption that would violate a service-level agreement• Bringing the solution into compliance• Providing another business justification
Emergency Change	The scheduled window SHOULD last a full business day. It SHOULD be completed as part of a major incident.

If necessary, the Contractor **MUST** negotiate for alternate (longer) change timelines in the following manner:

- Understand the realistic window necessary to implement the change by working with implementors.
- Add comments/justifications as to why a longer window is needed, so the approvers can use the information for approval. This will reduce the number of rejections.
- Open multiple changes when multiple systems are impacted, where applicable. This is a preferred method and makes tracking changes easier.

 **Note:** Change timelines include weekends and holidays.

4.5 Required Information for Change Request

When submitting different types of change requests, the Contractor **MUST**, at a minimum, provide the mandatory fields outlined in this section. Failure to provide detailed and accurate information will result in the change ticket being rejected by OHIP reviewers. The Contractor **MUST** receive direction from OHIP for change request types not covered below.

4.5.1 Firewall-Related Change Requests

When submitting a firewall-related change request, the Contractor **MUST**:

- Complete the Change Request Form by providing context and business justification for the change.
- Justify the use of non-secured ports (e.g., using Port 80 instead of Port 443).
- Only request required ports.
- Provide details for each requested port.
- Match the names of server IPs and Hosts.
- Match subnets to the identified Environments. For example, when in the Production environment, make sure the server falls into the allocated subnet.
- Ensure firewall rules communicate to the same environments (e.g., Stage to Stage).
- Justify when requested firewall rules are across different environments (e.g., Dev to Prod).

4.5.2 Technology Upgrade-Related Change Requests

When submitting a technology upgrade-related change request, the Contractor **MUST**:

- Justify the upgrade to provide context and business justification for the change.
- Verify business signoff and vulnerability scan signoff.
- Attach results for lower-environment testing, performance testing, and user acceptance testing (UAT).

4.5.3 Minor Release Change Requests (Production)³

When submitting a minor release change request, the Contractor **MUST**:

- Provide context and a business justification for the change.
- Verify business signoff and vulnerability scan signoff.
- Attach the Release Notes.
- Attach testing results for UAT and accessibility testing.

³ Refer to the OHIP Solution Delivery Domain Document, Section 7.0 (Release Management Standard) for definitions of major and minor releases.

4.5.4 Major Release Change Requests (Production)

When submitting a major release change request, the Contractor **MUST**:

- Provide context and a business justification for the change.
- Verify business signoff and vulnerability scan signoff.
- Attach the Release Notes.
- Attach testing results for performance testing, UAT, and accessibility testing.

4.5.5 Decommissioning Change Requests

When submitting a decommissioning change request, the Contractor **MUST**:

- Provide context and a business justification for the decommission request.
- Verify business signoff.
- Provide validation that the decommissioned server is no longer used and that no other applications are running on the server (when decommissioning Servers).
- Validate that the application is no longer running (when decommissioning Applications).

4.5.6 Storage-Related Change Requests

When submitting a storage-related change request, the Contractor **MUST** justify the change in storage and obtain OHIP approval prior to implementing the change.

4.5.7 Server Requests and Sizing-Related Change Requests

When submitting a server request and sizing-related change request, the Contractor **MUST**:

- Provide context and a business justification for the change.
- Provide documentation that the requested sizing complies with the software's minimum requirements.
- Supply verification that the requested sizing will provide acceptable performance.

4.5.8 Patching and OS Upgrade-Related Change Requests

When submitting a patching and OS upgrade-related change request, the Contractor **MUST**:

- Provide context and a business justification for the change.
- Provide documentation verifying that the current version of the software will run on upgraded or patched OS.
- Submit vulnerability scans for OS patches.

4.5.9 Data Refresh-Related Change Requests

When submitting a data refresh-related change request, the Contractor **MUST**:

- Provide context and a business justification for the change
- Justify performing the data refresh.

5.0 Contract Management Standard

5.1 Introduction

The Contract Management Standard establishes the mandatory requirements for administering, monitoring, and closing all Contractor engagements within the OHIP MES. Contract management in the Medicaid context is not a back-office function—it is the enforcement mechanism that ensures Contractors deliver against their commitments, that federal and State funds are spent in accordance with approved plans, and that OHIP retains the operational control, documentation, and institutional knowledge necessary to protect program continuity across vendor transitions.

This standard governs the full contract life cycle from implementation through closeout. Specifically, it addresses:

- **Contract Implementation:** Establishing the administrative framework, kickoff activities, and baseline artifacts required at contract award.
- **Performance Monitoring:** Defining how Contractor performance is measured against contractual deliverables, timelines, and Service Level Agreements (SLAs) through structured status reporting and OHIP oversight.
- **Financial Tracking:** Requiring invoice validation, expenditure monitoring, and reconciliation against approved budgets and federal funding allocations.
- **Contract Change Control:** Governing amendments, extensions, and modifications to contract terms through a formal change process that coordinates with the Project Change Control process defined in [Section 3.0](#).
- **Staff Onboarding and Offboarding:** Establishing access control, qualification verification, and knowledge transfer requirements for all Contractor personnel.
- **Deliverable Management:** Defining the submission, review, and acceptance process for all contractual deliverables, including draft review cycles, acceptance criteria, and formal sign-off.
- **Documentation and Records Management:** Establishing retention periods, repository standards, and naming conventions for all contract-related documentation.
- **Escalation Management:** Defining the escalation process for unresolved issues between the Contractor and the Department.

Compliance with this standard ensures that OHIP's contractual relationships are managed with the rigor, transparency, and accountability required by NYS procurement law and CMS oversight expectations. Deliverables and artifacts associated with this standard can be found in [Appendix A](#).

5.2 Objectives

The primary objectives⁴ of this Standard are to:

- Ensure Contractor performance is actively monitored against all contractual deliverables, timelines, and SLAs.
- Establish formal processes for managing contract changes, staff transitions, deliverable approvals, and issue escalations.

⁴ For more information regarding the objectives, refer to the Contract Management Book of Knowledge (CMBOK®), Section 4.0, Post Award.

- Produce supporting documentation and artifacts that demonstrate the requirements of contracts are met and that all issues are resolved to the Department's⁵ satisfaction, enabling final payments, reconciliation, and contract closeout.

5.3 Contract Management

The Contractor **MUST** submit a comprehensive Contract Management Plan.

The Department will assign staff responsible for ensuring the Contractor performs in accordance with the Contract's terms, conditions, and specifications.

The Contractor **MUST** educate and communicate with designated Department personnel on the acquired services and technology. Regular performance monitoring will be conducted to ensure the Contractor complies with all required performance specifications and standards.

The procurement record (from solicitation through Contract end date or final payment, whichever occurs later) **MUST** be maintained for a minimum of seven (7) years following the conclusion of the Contract.

5.3.1 Contract Implementation

Once finalized, the Contract establishes the baseline that guides scope of work execution, serving as the reference for monitoring performance, compliance, and deviations.

The Contractor **SHOULD** conduct a project Kick-Off Meeting with all relevant parties. The Kick-Off Meeting marks the official commencement of the Contractor and the Department working together. The Kick-Off Meeting **MUST**:

- Confirm and clarify the engagement's scope of work, priorities, and alignment to the Department's goals and objectives.
- Identify potential challenges and define roles, responsibilities, communication protocols, and risk management strategies.
- Establish a collaborative foundation and shared direction for successful project execution.

All parties involved **MUST** maintain regular communication throughout the term of the awarded Contract.

By the end of the Contract implementation period, the Contractor **MUST** demonstrate that all stakeholders share a common understanding of the Contract's scope, deliverables, timelines, invoicing procedures, and performance expectations. A Contract Implementation Readiness Checklist is provided in [Appendix F](#) as a reference tool for validating this understanding.

Any changes to the Contract **MUST** be thoroughly documented and approved by the Department.

5.3.2 Performance Monitoring

The Department and the Contractor **MUST** jointly establish a performance monitoring framework during Contract implementation. This framework **MUST** define:

- The specific Contract elements to be monitored, including critical performance indicators, deliverable milestones, SLA compliance, cost control measures, and timelines.
- The methods and tools for monitoring, including baseline SLAs derived from the Contract.

⁵ Generally, the "Department" is defined as the single NYS agency responsible for the administration of NYS's Medicaid Program. The Department is a group of many business units and offices including, but not limited to, the OHIP, which is responsible for administration of the Medicaid program and systems.

- The individuals or teams responsible for monitoring, with clearly defined roles and authority.
- The approach for systematic data collection and information gathering, jointly determined by the Department and the Contractor.

The Contractor **MUST** support the Department in analyzing performance data against established metrics and **MUST** report any identified variances or potential non-compliance promptly.

When non-compliance or performance deficiencies are identified, the Contractor **MUST** develop a CAP for Department approval before execution. The CAP **MUST** identify the root cause, define corrective measures, and establish timelines for resolution.

5.3.3 Contract Closeout

Managing the closeout of the Contract is the final phase in contract administration and **MUST** be communicated by the Department prior to initiation.

No later than twelve (12) months before the last day of the Contract or upon the request of the Department, the Contractor **MUST** submit a Contract Closeout Plan to the Department for approval. The Contract Closeout Plan **MUST** summarize all tasks to be performed to formally close out the Contract, including, but not limited to, archiving documentation, deliverables, and other artifacts and the process for verifying the Contractor's compliance with all contractual requirements.

During the Contract Closeout phase, the Contractor **MUST**:

- Demonstrate the completion of all the requirements, including fulfillment of all deliverables and SLAs.
- Prepare the Contract Closeout Documentation once the Contract terms are fulfilled. The Contractor **MUST** transmit this documentation to the Department for signature (electronically or as otherwise agreed upon) by the appropriate parties to officially mark the end of the Contract.
- Provide details concerning Contract closeout activities in the Contract Closeout Plan.
- Verify completion of closeout activities by completing the Contract Closeout Checklist as part of the Contract Closeout Documentation.

5.4 Financial Tracking

 **Cross-Reference:** Project-level budget management, including federal funding mechanisms and APD obligations, is defined in [Section 2.6](#).

The Contractor **MUST** adhere to the following standards for financial tracking:

- Invoice in accordance with the terms of the Contract.
- Submit invoices in a timely manner, accompanied by the appropriate supporting documentation specified in the Contract, unless requested otherwise by the Department.
- Develop and maintain a detailed cost allocation methodology and document all direct and indirect costs associated with the scope of work.
- Track Contract spending per state fiscal year, federal fiscal year, and contract year.
- Track future projected costs.
- Perform all Contract-required activities in collaboration with the Department.
- Ensure proper allocation of shared costs across programs.

- Submit a Cost Allocation Plan for Department approval annually, updating the methodology as needed with Department approval.

5.5 Contract Change Control Process

 **Cross-Reference:** Project-level change control, including scope, schedule, and quality changes, is governed by [Section 3.0](#). Technical changes to IT systems are governed by [Section 4.0](#). Contract-level changes that also trigger project or technical changes require concurrent compliance with all applicable sections.

All Contract changes **MUST** comply with the following requirements:

- Be approved in writing by the Department.
- Remain within the general scope of the original Contract.
- Strictly adhere to the existing terms and conditions outlined in the Contract.
- Include the necessity and rationale for the modification and any anticipated costs.

The Department will conduct a comprehensive evaluation of all proposed changes to assess the potential impact on scope of work, quality, schedule, and budget. Modifications that do not require formal Contract changes **MUST** be managed in accordance with either [Section 3.0](#) or [Section 4.0](#), depending on the nature of the modification.

5.6 Staff Onboarding/Offboarding

The Contractor **MUST**:

- Adhere to proper staff onboarding and offboarding procedures to maintain the security and integrity of MES operations.
- Maintain detailed records including, but not limited to, staff names, titles, start and end dates of all onboarding and offboarding activities and provide regular reports to the Department.

5.6.1 Access Control

During onboarding, the Contractor **MUST**:

- Ensure new staff members receive comprehensive training on relevant policies, procedures, security protocols, and compliance requirements before being granted access to solutions or confidential information.
- Complete the required background checks.
- Obtain security clearances.
- Sign all necessary confidentiality agreements.

When offboarding, the Contractor **MUST**:

- Immediately notify the agency when staff members depart or are reassigned.
- Ensure the timely revocation of all system access and security credentials.
- Collect any State-issued equipment or materials.
- Document the transfer of any project knowledge or responsibilities.

5.6.2 Staffing Qualification Matrix Supporting Documentation

The Contractor **MUST** develop and maintain a comprehensive Staffing Qualification Matrix that includes:

- Each role required by the Contract.
- Each position title proposed by the Contractor to fulfill Contract obligations.
- Specific qualifications including:
 - o Required education levels,
 - o Mandatory years of experience,
 - o Specific technical skills and certifications,
 - o Required industry knowledge,
 - o Mandatory security clearances,
 - o Preferred additional qualifications,
 - o Role-specific competencies,
 - o Management or supervisory requirements; and,
 - o Specialized training requirements.

The Contractor **MUST** submit a Staffing Qualification Matrix to the Department for review and approval prior to initiating any staffing activities. Any subsequent modifications to position requirements **MUST** be submitted to the Department for approval before implementation. For each proposed staff member, the Contractor **MUST** submit an up-to-date resume detailing:

- Professional experience (including dates).
- Educational background.
- Professional certifications.
- Technical skills.
- Copies of relevant certifications, education verification, background checks and professional references as requested.

Additionally, the Contractor **MUST** provide specific examples from the candidate's experience that map to and fulfill each Contract requirement. The Contractor **MUST** outline how preferred qualifications are met by including information about any relevant training and certification, and detail any gaps in qualifications, along with proposed mitigation strategies.

The Department **MUST** review all submitted materials and provide written approval or rejection of proposed staff members. The Contractor **MAY** not assign staff to Contract work without receiving written Department approval. Any changes to approved staff assignments **MUST** undergo the same approval process with the Department.

The Contractor **MUST** maintain current records of all approved staff and their qualification documentation throughout the duration of the Contract. Regular reports on staff qualifications and any changes **MUST** be provided to the Department according to the Contract reporting schedule.

5.7 Transmittal Process

All official correspondence between the Contractor and the Department **MUST** be conducted through written communications known as transmittals.

The Transmittal Process **MUST** be used to gain approval of deliverables and other contract requirements. The Department will provide the process in greater detail to the onboarded Contractor, but it can be summarized as follows:

- Official correspondence **MAY** include deliverables; invoice reviews; Contractor requests; staffing changes and requests; Task Order review and approvals; formal change order notifications; procurement items; reports; etc.
- E-mails **MUST** be sent to a shared Department mailbox, which will be supplied upon Contractor onboarding.
- All individuals authorized to receive transmittals **MUST** be on the e-mail distribution lists, maintained for both the Department and the Contractor.

5.8 Deliverable Management

The Contractor is tasked with the comprehensive management of deliverables, which includes their initial development, any necessary updates, packaging for submission, and the final submission itself.

The Contractor **MUST**:

- Create and maintain a Deliverable Management Plan.
- Create deliverables that meet the functional and technical specifications outlined in the Contract.
- Update deliverables to reflect any changes in scope or requirements.
- Submit deliverables in accordance with the timelines specified in the Contract.
- Propose and submit a DED for each deliverable, to be reviewed and approved by the Department.
- Complete deliverables in accordance with approved DEDs and submit them by the approved schedule.

5.8.1 Draft Deliverables

Prior to final submission of a deliverable, the Contractor **MUST**:

- Provide a draft deliverable for review and approval by the Department.
- Conduct a walkthrough of the entire draft deliverable for Department staff (as necessary).

5.8.2 Deliverable Acceptance Process

The deliverable acceptance process serves as a formal mechanism to ensure that project outputs meet predetermined criteria and stakeholder expectations. The Contractor **MUST**:

- Submit Contract correspondence and deliverables via the transmittal process.
- Ensure submissions use the Department's standard suite of tools in an approved format.

- Include a transmittal document with deliverables, which **MUST** all be consistent in format and appearance and address all components as agreed upon through the awarded Contract, DEDs, or discussion.
- Develop deliverables collaboratively, which includes:
 - o Providing walkthroughs of the deliverable with the Department as needed, including in its entirety, prior to formal submission.
 - o Incorporating the Department's feedback.
 - o Certifying that an internal quality review was conducted, including any noted corrections and/or deficiencies, for all deliverable submissions
 - o Addressing all requested revisions and comments on any deliverable resubmissions within five (5) business days.

Changes to previously accepted deliverables **MUST NOT** be allowed without the Department's approval. Additionally, the Contractor **MUST** supply the Department with procedures for tracking the submission of, coordinating, reviewing, evaluating, changing, and approving all deliverables. Deliverables **MUST** be exchanged through the Department's transmittal process.

5.9 Documentation and Records Management

NYS Retention Policies allow records to be destroyed when obsolete or no longer needed. However, IT records, that are defined as "all activities undertaken by agencies to design, develop, and operate electronic information systems, including administrative records and those used to process data and monitor and control operations," are required to be maintained for three (3) years, with the exception of breach notifications, which **MUST** be maintained for six (6) years. Contract documents **MUST** be retained for seven (7) years after contract expiration. CMS requires all recipient-related data to be retained for the period when the applicant or beneficiary's case is active, plus a minimum of three (3) years thereafter.

The Contractor **MUST** maintain financial records, supporting documents, statistical records, and all other records pertinent to the Contract for a period of three (3) years from the date of the final payment made by the Department to the Contractor. However, if audit, litigation, or other legal action by or on behalf of the Department or federal government has begun but is not completed at the end of the three (3)-year period, or if audit findings, litigation, or other legal action have not been resolved at the end of the three (3)-year period, the records **MUST** be retained until resolution.

 **Note:** These retention periods apply specifically to project management and administrative documentation. The retention, archival, and purging of operational system data (e.g., PHI, PII, MCD) **MUST** comply with the OHIP Data and Information Management Domain Document, Section 2.8.1 (Data Purge, Archive, and Retention).

5.9.1 Document Management Guidance

The Contractor **MUST** utilize OHIP's Document Management tool for all documentation, which **MUST** provide a central document repository for all work products, including scope of work documentation, reference information, working documents, and deliverables. Key functions of the document management process **MUST** include, but not be limited to:

- Access and security controls to limit access to only individuals authorized to view documents.
- Documenting and storing work products and maintaining version control.

OHIP's Document Management tool **MUST** also serve as a communication tool for ease of access to key information across teams and with the Department stakeholders.

The use of attachments to send documents **MUST** be avoided, except as directed and approved by the Department. In instances where documentation **MUST** be maintained outside of the approved repository, the Contractor **MUST** use the tools approved by the Department.

The Contractor **MUST** propose a directory structure for approval by the Department. The proposed directory **SHOULD NOT** have a folder structure with more than three (3) levels of subfolders. Where additional depth is necessary, the Contractor **MUST** request OHIP approval with documented justification. All documentation produced **MUST** follow the same naming convention. The naming convention is as follows:

- Project Name_<Associated Task Order or Team>_<Document Name>_<DRAFT/FINAL>

For example, a third draft of the Medicaid Eligibility and Client Management (MECM) System's Contract Management Plan would be named: MECM System_Team 4_Contract Management Plan_DRAFT

Date and version information are intentionally excluded from the file name, as date tracking **MUST** be handled through the tool's version control capabilities. This will help ensure file names do not cause confusion if a file was edited after the date noted in the file name. Meeting Minutes **MAY** be appended with date information in the file name to distinguish between meeting recurrences.

5.10 Escalation Management

The Escalation Process, as shown in Figure 1 below, applies to all services and deliverables covered under the terms of the agreement, addressing any issues that **MAY** impact service quality, timelines, or compliance with contractual specifications.



Figure 1: OHIP Escalation Process

The Department reserves the right to escalate matters directly to higher levels within the Contractor's management structure at any time, particularly if the severity of the issue justifies such action based on predefined criteria related to business impact or service interruption.

Throughout the escalation process, maintaining transparent and open communication between the Contractor and the Department is essential. All discussions, actions, and decisions **MUST** be documented and accessible to both parties for future reference. Until a resolution is reached, the Contractor **MUST** provide daily updates to the Department during escalation phases.

6.0 Contact Information

Submit all inquiries and requests for future enhancements to the policy owner at:

Division of Operations and Systems (DOS) and Chief Technology Office (CTO)
11 Corporate Woods Boulevard
Albany, NY 12211
Telephone: TBD
Email: TBD

Statewide technology policies, standards, and guidelines can be found at the following website:

<https://its.ny.gov/policies>

7.0 Revision History

Date	Version #	Author	Description of Change
06/26/26	1.0	NYS TAS	Initial draft of the OHIP Program and Project Management Domain Document, consolidating the Project Management Standard, Project Change Control Standard, Technical Change Control Standard, and the Contract Management Standard. and incorporates compliance tiers (MUST/SHOULD/MAY) for all requirements.
10/23/26	1.1	NYS TAS	Domain Document approved by DOH.

Appendices

Appendix A: Deliverables and Artifacts

The following tables provide a list of Deliverables and Artifacts associated with this Standard. Deliverables are contractually binding work products that **MUST** be provided to OHIP for formal review and approval. Artifacts are work products (e.g., diagrams, models, lessons learned registers) that the Contractor **MUST** create, maintain, and retain, at the discretion of OHIP. The Contractor **MUST** provide Artifacts to OHIP upon request, or as otherwise directed, to support oversight, audits, and program needs.

The Contractor **MUST** produce and submit all Deliverables identified in the tables below in the format, structure, and cadence specified by OHIP or the applicable Contract. Each Deliverable **MUST** fully satisfy the content requirements and acceptance criteria prescribed by OHIP and is subject to formal OHIP review and approval.

OHIP reserves the right to modify the Deliverables and Artifacts required by this Appendix at any time to align with evolving program needs. Upon notice, the Contractor **MUST** comply with all modifications and implement them promptly. OHIP will document and communicate such changes; the Contractor is responsible for ensuring timely adherence.

Table 7 – Project Management Standard Deliverables and Artifacts

Type	Name	Description
Deliverable	Benefits and Outcomes Register	<p>The Contractor must develop and maintain a Benefits and Outcomes Register documenting the business outcomes each project is intended to achieve and the evidence of their achievement. The Register must include, at a minimum, the following:</p> <ul style="list-style-type: none"> • <i>Expected Outcomes</i> – Each expected business outcome stated in measurable terms • <i>Measures and Targets</i> – The metric, baseline, and target value for each outcome • <i>Traceability</i> – Linkage of each outcome to the applicable APD, CMS SMC outcome statements, and contract objectives • <i>Realization Timeframe</i> – When each outcome is expected to be realized, including post-implementation measurement points • <i>Ownership</i> – The named owner accountable for measuring each outcome • <i>Measurement Results</i> – Recorded results at each agreed measurement interval following Go-Live

Deliverable	Budget Management Plan	<p>The Contractor must develop a Budget Management Plan. This plan establishes a framework for managing, tracking, and reporting all project-related costs against the authorized budget. The Contractor must ensure that all financial data is tracked in real time and integrated into status reporting and invoices. The Budget Management Plan must include, but is not limited to:</p> <ul style="list-style-type: none"> • <i>Budget Estimation</i> – A detailed methodology for calculating the total project cost. This must include the tools and techniques used for estimating labor (hours by phase/level), materials, and third-party resources. Estimates must account for the full Project Lifecycle (SDLC). • <i>Budget Baseline</i> – The formal, approved version of the project budget, serving as a baseline for measuring financial performance (Planned Budget vs. Actual Cost). • <i>Funding Sources</i> – Identification of all internal and external funding streams, detailing any constraints, reporting requirements, or conditions associated with allocated funds (e.g., capital vs. operational funds) • <i>Budget Allocation, Monitoring, and Reporting</i> – A granular breakdown of the budget across project phases, major deliverables, and Work Breakdown Structure (WBS) components • <i>Change Control Process</i> – A standardized process for managing budget adjustments, which includes submission of Change Requests (CRs), an impact analysis, and the formal approval workflow required to re-baseline the project budget. • <i>Cost Control Measures</i> – Specific strategies to prevent budget overruns, including efficiency improvements and the use of "Phase Gate" reviews to validate spending before advancing to subsequent project stages • <i>Risk Management</i> – Identification of financial risks and the establishment of a Contingency Reserve. This section must outline the criteria for accessing these funds to address unforeseen expenses or realized risks. • <i>Assumptions, Constraints, and Dependencies</i> – A comprehensive list of the financial assumptions (e.g., resource rates, inflation) and constraints (e.g., fixed-price caps, fiscal year deadlines) and any dependencies that influence budget management
Deliverable	Change Readiness Assessment	<p>The Contractor must develop a Change Readiness Assessment, which leverages evaluative tools and formalized reports to quantitatively and qualitatively measure the Department's transition progress. This must include surveys and focus group summaries conducted prior to Go-live to gauge user confidence, identify remaining pockets of resistance, and determine if the organization is prepared for the transition.</p>

Deliverable	Communication Management Plan	<p>The Contractor must develop a Communication Management Plan for managing all project communications, stakeholder engagements, and information distribution. The purpose of the plan is to ensure all project information is systematically generated, formatted, distributed, and received, maintaining transparency, promoting engagement, and aligning with strategic objectives and stakeholder expectations. The Plan must include, at a minimum, the following:</p> <ul style="list-style-type: none"> • <i>Communication Objectives</i> – Define clear goals for project communication, outlining what successful engagement aims to achieve to ensure transparency, promote collaboration, and maintain stakeholder alignment • <i>Stakeholder Requirements</i> – Identify the specific information needs of each project stakeholder or group, detailing their preferred communication methods, required level of detail, and frequency of updates • <i>Methods and Technologies</i> – Describe the specific tools, platforms, and techniques that will be utilized to facilitate communication, such as email protocols, video conferencing, collaboration portals, and project management software • <i>Communication Schedule</i> – Establish a definitive timeline and meeting cadence for when communications will occur, including regular status updates, key milestone reports, and recurring project meetings • <i>Roles and Responsibilities</i> – Delineate clear accountability for communication activities, identifying the specific team members responsible for preparing, reviewing, distributing, and responding to project communications • <i>Reporting Formats</i> – Establish standardized templates and formats for all formal project communications, including status reports, executive dashboards, and meeting minutes, to ensure consistency and clarity • <i>Feedback Mechanism</i> – Describe the procedures for soliciting, evaluating, and incorporating stakeholder feedback regarding communication effectiveness to support continuous improvement • <i>Escalation Process</i> – Define the formal procedures and routing paths for escalating communication breakdowns, critical issues, or urgent concerns to ensure they are addressed promptly by the appropriate authority levels • <i>Assumptions, Constraints, and Dependencies</i> – List any assumptions, constraints, or dependencies that could affect the execution of the communication management process
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Deliverable	Communication Strategy and Execution Matrix	<p>The Contractor must develop a Communication Strategy and Execution Matrix, which serves as a tactical framework designed to build awareness, generate buy-in, and manage expectations across the organization. It consists of the following:</p> <ul style="list-style-type: none"> • <i>Communication Strategy</i> – Defines core messaging, target audiences, and preferred delivery channels and includes a library of drafted, ready-to-use templates (such as executive sponsor emails, newsletter updates, FAQs, and leadership talking points) to ensure consistent, high-quality messaging • <i>Execution Matrix</i> – Provides a chronological schedule mapping of each communication to project phases and milestones in alignment with the project's Roadmap. Updates are managed via the Roadmap deliverable.
Deliverable	Document Management Plan	<p>The Contractor must develop a Document Management Plan for managing all project documents, work products, and records. The purpose of the plan is to ensure every document is systematically created, stored, reviewed, approved, and maintained, maintaining alignment with strategic objectives and stakeholder expectations. The Plan must include, at a minimum, the following:</p> <ul style="list-style-type: none"> • <i>Document Lifecycle Management</i> – Define the approach for managing project documents throughout their entire life cycle, including specific procedures for creation, secure storage, archiving, and final disposal • <i>Approved Tools and Storage Solutions</i> – Describe the authorized platforms and centralized repositories that will be utilized for securely storing, managing, and maintaining all project artifacts • <i>Naming Conventions and Standards</i> – Specify the required file naming conventions, approved formats, and metadata standards to ensure documents are efficiently organized, categorized, and retrievable • <i>Review and Approval Process</i> – Define the workflow and criteria for reviewing and formally approving documents, clarifying stakeholder roles, feedback mechanisms, and key decision-makers • <i>Version Control and Distribution</i> – Describe the approach to maintaining strict version control and leveraging communication tools to ensure accurate, up-to-date information is shared across teams and stakeholders • <i>Assumptions, Constraints, and Dependencies</i> – List any assumptions, constraints, or system dependencies that could affect the document management process

Deliverable	Governance Structure	The Contractor must develop a Governance Structure that outlines the key components and methods in which the project will be governed. The Governance Structure must highlight the team structure, Responsible, Accountable, Consulted, and Informed (RACI) Matrix, decision authority, and escalation framework.
Deliverable	Integrated Master Schedule	<p>The Contractor must develop an Integrated Master Schedule (IMS). The IMS provides a structure for managing all project activities, deliverables, resources, and timelines. The IMS should be updated on a weekly basis and reported on, as needed, during project Status Report meetings. The IMS must include, at a minimum, the following:</p> <ul style="list-style-type: none"> • <i>Work Breakdown and Task Definitions</i> – Define all project activities, tasks, and subtasks with clear, meaningful names and detailed descriptions to ensure the full scope of work is accurately represented • <i>Milestones and Approvals</i> – Identify all critical project milestones and include specific, trackable tasks or subtasks dedicated to the review and formal approval of each project deliverable • <i>Schedule Timelines and Durations</i> – Establish precise start and end dates, alongside realistic estimated durations, for every scheduled activity to continuously display measurable progress toward project completion • <i>Task Dependencies</i> – Describe the logical relationships, constraints, and dependencies between tasks to ensure accurate sequencing and effective critical path management • <i>Resource Allocation</i> – Detail the assignment of specific personnel and resources to individual tasks to ensure workload is balanced and project deliverables are adequately supported for timely execution
Deliverable	Organizational Change Management Strategy and Master Plan	The Contractor must develop an Organizational Change Management (OCM) Strategy and Master Plan, which is the foundational document defining the overarching approach, methodology, and timeline for managing organizational change throughout the project life cycle. This plan aligns OCM activities with key technical implementation milestones to ensure seamless integration. It details the OCM governance structure, resource allocation, identified change-related risks with corresponding mitigation strategies, and the guiding principles for stakeholder engagement, communication, and training.

Deliverable	Project Closeout Report	<p>The Contractor must develop a Project Closeout Report, approved by OHIP as the formal conclusion of the project. The report must include, at a minimum, the following:</p> <ul style="list-style-type: none"> • <i>Final Acceptance Confirmation</i> – Verification that all in-scope deliverables were completed and formally accepted, with references to acceptance records • <i>Final Performance Summary</i> – Final schedule and cost performance against approved baselines with variance explanations • <i>Outcome Status</i> – Status of expected outcomes per the Benefits and Outcomes Register, including measurements continuing beyond closure and their owners • <i>Open Item Disposition</i> – Disposition of all open RAID Log items: closed, formally accepted, or transferred to a named owner • <i>Lessons Learned Summary</i> – Summary of key lessons from the Lessons Learned Register • <i>Records Archival Confirmation</i> – Confirmation that all project documentation is finalized and archived in the OHIP-designated repository • <i>Administrative Closure</i> – Confirmation of resource release, access review coordination, and referral of open financial reconciliation items
Deliverable	Project Initiation Document	<p>The Contractor must develop a Project Initiation Document (PID) submitted in conjunction with the Engagement Kick-Off and maintained under Project Change Control. The PID must include, at a minimum, the following:</p> <ul style="list-style-type: none"> • <i>Purpose and Authorization</i> – The project's purpose and the authorizing contract and Task Order references • <i>Scope Summary</i> – High-level scope and major deliverables • <i>Expected Outcomes</i> – Expected business outcomes and success measures, consistent with the Benefits and Outcomes Register • <i>Milestones</i> – High-level milestones and target dates • <i>Decision Authority</i> – Named OHIP and Contractor authority levels for project decisions • <i>Initial Risks, Assumptions, and Constraints</i> – Known high-level risks, assumptions, and constraints at initiation

Deliverable	Project Management Plan	<p>The Contractor must develop a Project Management Plan that outlines how a project will be conducted, monitored, and completed. This plan will serve as a management framework for the project's life cycle, while effectively managing changes and risks to achieve successful project delivery. The PMP, including any changes, must be submitted for review and approval. The PMP must include, at a minimum, the following sub-management plans:</p> <ul style="list-style-type: none"> • Governance Structure • Scope Management Plan • SDLC Methodology • Schedule Management Plan • Stakeholder Management Plan • Communication Management Plan • Budget Management Plan • Project Change Control Plan • Quality Management Plan • Staff and Resource Management Plan • Risk and Issue Management Plan • Procurement and Licensing Management Plan • Document Management Plan
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Deliverable	Procurement and Licensing Management Plan	<p>The Contractor must develop a Procurement and Licensing Management Plan for managing all outside purchases, product acquisitions, and third-party vendor licensing. The purpose of the plan is to ensure every procurement is systematically identified, presented, approved, and managed, maintaining alignment with strategic objectives and stakeholder expectations. The Plan must include, at a minimum, the following:</p> <ul style="list-style-type: none"> • <i>Procurement Procedures</i> – Describe the detailed approach for purchasing or acquiring necessary products and licenses from third-party vendors to maintain or support the system, whether by the Contractor or on behalf of the State • <i>Identification and Presentation</i> – Describe the process for identifying potential procurements and presenting them to stakeholders, detailing the third-party vendor selection criteria, cost estimates, and the method for obtaining initial consent • <i>Approval and Funding Processes</i> – Define the process and criteria for reviewing and approving procurements, clarifying key decision-makers and determining whether the funding and purchase responsibility lies with the State or the Contractor • <i>Contracting Methods and Flow-Down Terms</i> – Describe the approach to contracting, including how specific flow-down terms, conditions, and State requirements will be defined, communicated, and enforced throughout the procurement life cycle • <i>Terms and Conditions Management</i> – Define how third-party vendor agreements and licensing terms will be continuously tracked, maintained, and audited to ensure strict compliance and effective ongoing management • <i>Assumptions, Constraints, and Dependencies</i> – Lists any assumptions, constraints, or dependencies that could affect the procurement and licensing management process.
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Deliverable	Quality Management Plan	<p>The Contractor must develop a Quality Management Plan for managing all quality standards and assurance processes. The purpose of the plan is to ensure every project outcome is systematically defined, measured, reviewed, and controlled, maintaining alignment with strategic objectives and stakeholder expectations. The Plan must include, at a minimum, the following:</p> <ul style="list-style-type: none"> • Quality Objectives – Define the specific quality goals and criteria that all project deliverables must meet to ensure alignment with stakeholder expectations and organizational standards • Quality Standards – Specify the applicable industry guidelines, regulations, and organizational benchmarks that the project must strictly adhere to throughout its life cycle • Quality Assurance – Describe the procedures and periodic meeting cadences for maintaining quality, including regular reviews, audits, and assessments to ensure that quality processes are effective and consistently followed • Quality Control – Define the techniques for monitoring, inspecting, and measuring specific project results, establishing checkpoints and testing methods to verify deliverable quality against the established baseline • Roles and Responsibilities – Delineate clear accountability for all quality management activities, identifying the specific quality assurance personnel, inspectors, and project team members responsible for maintaining standards • Tools and Techniques – Describe the approach for developing and utilizing specific tools, checklists, style guides, and methodologies (such as root cause analysis or statistical process control) to assist the Contractor in delivering consistent quality • Continuous Improvement – Define the processes for identifying opportunities to enhance project quality and ensuring that lessons learned are captured and incorporated into ongoing and future work • Documentation and Reporting – Describe the approach to formally document quality management activities and communicate quality performance metrics to stakeholders, ensuring transparency and accountability • Corrective Actions – Define the strategies and procedures for addressing identified quality deficiencies and executing corrective actions to ensure consistent quality across all deliverables • Assumptions, Constraints, and Dependencies – List any assumptions, constraints, or dependencies that could affect the quality management and control processes
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Deliverable	Risk and Issue Management Plan	<p>The Contractor must develop a Schedule Management Plan for creating, maintaining, and controlling the Integrated Project Schedule using specified tools. The purpose of the plan is to ensure every project activity is systematically identified, sequenced, estimated, and tracked, maintaining alignment with strategic objectives and stakeholder expectations. The Plan must include, at a minimum, the following:</p> <ul style="list-style-type: none"> • <i>Schedule Development</i> – Describe the approach for creating the detailed project timeline, including the identification of specific tasks, durations, dependencies, and necessary resources • <i>Scheduling Tools and Techniques</i> – Describe the specific tools and methodologies (such as the Critical Path Method, Gantt charts, or Agile frameworks) that will be utilized to develop and manage the schedule • <i>Activity Duration Estimation</i> – Define the techniques (such as expert judgment, analogous, or parametric estimating) used to accurately forecast how long each project activity will take to complete • <i>Schedule Baseline Management</i> – Define the process for establishing and maintaining the approved version of the project schedule, which serves as the primary reference for measuring performance and formally controlling changes • <i>Performance Monitoring</i> – Describe how to continuously evaluate schedule performance, tracking planned versus actual progress to identify variances using metrics such as Key Performance Indicators (KPIs) and Earned Value Management (EVM) • <i>Schedule Control</i> – Define the process and criteria for proposing, evaluating, and approving changes to the schedule, ensuring corrective actions keep the timeline aligned with project objectives and constraints • <i>Roles and Responsibilities</i> – Delineate clear accountability for schedule management, identifying the specific team members responsible for creating, updating, monitoring, and reporting on the Integrated Project Schedule • <i>Reporting and Communication</i> – Describe the protocols for communicating schedule status to all stakeholders, including the frequency and format of regular progress updates, milestone reports, and completion forecasts • <i>Schedule Risk Management</i> – Describe the approach to identifying and managing schedule-related risks, detailing strategies for mitigating delays and optimizing resource utilization to protect the timeline • <i>Assumptions, Constraints, and Dependencies</i> – List any assumptions, constraints, or dependencies that could affect the schedule management process
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Deliverable	Schedule Management Plan	<p>The Contractor must develop a Schedule Management Plan for creating, maintaining, and controlling the Integrated Project Schedule using specified tools. The purpose of the plan is to ensure every project activity is systematically identified, sequenced, estimated, and tracked, maintaining alignment with strategic objectives and stakeholder expectations. The Plan must include, at a minimum, the following:</p> <ul style="list-style-type: none"> • <i>Schedule Development</i> – Describe the approach for creating the detailed project timeline, including the identification of specific tasks, durations, dependencies, and necessary resources • <i>Scheduling Tools and Techniques</i> – Describe the specific tools and methodologies (such as the Critical Path Method, Gantt charts, or Agile frameworks) that will be utilized to develop and manage the schedule • <i>Activity Duration Estimation</i> – Define the techniques (such as expert judgment, analogous, or parametric estimating) used to accurately forecast how long each project activity will take to complete • <i>Schedule Baseline Management</i> – Define the process for establishing and maintaining the approved version of the project schedule, which serves as the primary reference for measuring performance and formally controlling changes • <i>Performance Monitoring</i> – Describe how to continuously evaluate schedule performance, tracking planned versus actual progress to identify variances using metrics such as Key Performance Indicators (KPIs) and Earned Value Management (EVM) • <i>Schedule Control</i> – Define the process and criteria for proposing, evaluating, and approving changes to the schedule, ensuring corrective actions keep the timeline aligned with project objectives and constraints • <i>Roles and Responsibilities</i> – Delineate clear accountability for schedule management, identifying the specific team members responsible for creating, updating, monitoring, and reporting on the Integrated Project Schedule • <i>Reporting and Communication</i> – Describe the protocols for communicating schedule status to all stakeholders, including the frequency and format of regular progress updates, milestone reports, and completion forecasts • <i>Schedule Risk Management</i> – Describe the approach to identifying and managing schedule-related risks, detailing strategies for mitigating delays and optimizing resource utilization to protect the timeline • <i>Assumptions, Constraints, and Dependencies</i> – List any assumptions, constraints, or dependencies that could affect the schedule management process
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Deliverable	Scope Management Plan	<p>The Contractor must develop a Scope Management Plan to define, validate, and control the full scope of the project, maintaining alignment with strategic objectives and stakeholder expectations while preventing scope creep. The Plan must include, at a minimum, the following:</p> <ul style="list-style-type: none"> • <i>Scope Definition Process</i> – Describe the approach, tools, and methodologies for gathering, defining, and documenting project requirements to ensure all stakeholders share a common understanding of the project boundaries and deliverables • <i>Project Scope Statement</i> – Define the comprehensive project scope, detailing major deliverables, key objectives, exclusions, and constraints to serve as a foundational baseline for all future project decisions • <i>Work Breakdown Structure (WBS)</i> – Describe the process for creating a hierarchical decomposition of the total scope of work to provide a structured, granular representation of all tasks required to accomplish the project objectives • <i>Scope Validation</i> – Define the process and acceptance criteria for formally reviewing and accepting completed project deliverables, detailing how stakeholders will verify that outcomes meet the agreed-upon requirements • <i>Scope Control</i> – Describe the procedures for continuously monitoring the project boundaries and managing any adjustments to the baseline, including how scope change requests will be documented, reviewed, and approved • <i>Roles and Responsibilities</i> – Delineate clear accountability for scope management activities, identifying the specific team members responsible for defining deliverables, validating work outcomes, and overseeing scope changes • <i>Scope Baseline Management</i> – Define how the approved project scope statement, WBS, and WBS dictionary will be documented and maintained as the formal baseline to measure performance and govern change control over time • <i>Assumptions, Constraints, and Dependencies</i> – List any assumptions, constraints, or dependencies that could affect the scope management and validation processes
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Deliverable	Scope Prioritization Document	<p>The Contractor must submit a Scope Prioritization Document for each iteration, which captures how candidate features, requirements, or capabilities are evaluated and ranked to determine what work is included for each iteration. The Scope Prioritization Document must include, but not be limited to:</p> <ul style="list-style-type: none"> • <i>Candidate Scope Inventory</i> – Summary of features, requirements, business rules, technical capabilities, security and privacy controls, or backlog items considered for prioritization • <i>Prioritization Criteria</i> – The factors (e.g., value to the business, regulatory urgency, risk) used to inform the prioritization approach • <i>Stakeholder Feedback and Decisions</i> – Documentation of business, technical, and program stakeholder alignment • <i>Iteration and Release Alignment</i> – Mapping of prioritized scope to specific iterations or planned Releases • <i>Out of Scope Items</i> – Items explicitly deferred or excluded, with rationale • <i>Dependency and Constraint Awareness</i> – Identification of factors influencing prioritization and any notable constraints to consider for the iteration.
Deliverable	SDLC Methodology	<p>The Contractor must propose a Solution Development Life Cycle (SDLC) Methodology that provides a structured framework for managing the entire development process from initial concept through deployment and maintenance. The purpose of the methodology is to ensure every development phase, whether waterfall, agile, or a hybrid approach, is systematically executed, governed, and documented, maintaining alignment with strategic objectives, high-quality standards, and stakeholder expectations. The methodology must include, at a minimum, the following:</p> <ul style="list-style-type: none"> • <i>Project Phases and Deliverables</i> – Describe all development phases within the chosen approach, detailing the specific entry and exit criteria, required deliverables, and quality gates for each stage of the project life cycle • <i>Roles and Responsibilities</i> – Define the organizational structure and delineate clear accountability, identifying all key roles, their specific responsibilities, and the established communication channels between the Contractor and Department of Health teams • <i>Quality Assurance Approach</i> – Define the comprehensive quality management strategy, detailing the specific testing methodologies, rigorous documentation standards, and formal acceptance criteria required for all system deliverables • <i>Tools and Documentation</i> – Identify the specific software tools, standardized templates, and supporting documentation that will be utilized to execute the SDLC methodology, enforce standards, and facilitate seamless knowledge transfer

Deliverable	Staff and Resource Management Plan	<p>The Contractor must develop a Staff and Resource Management Plan, which describes the approach to managing all project personnel, role assignments, and physical resources. The purpose of the plan is to ensure every resource is systematically identified, acquired, allocated, and managed, maintaining alignment with strategic objectives and stakeholder expectations. The plan must establish clear procedures for staff transitions, ensuring that any requested changes to previously approved resources are formally reviewed and approved prior to onboarding. The Plan must include, at a minimum, the following:</p> <ul style="list-style-type: none"> • <i>Resource Planning</i> – Describe the approach for identifying and documenting all necessary resources, including the personnel, equipment, and materials required to execute project tasks effectively • <i>Project Organizational Chart</i> – Graphical depiction of the project team members and their relationships for a specific project • <i>Project Team Directory</i> – documented list of project team members, their project roles, and contact information • <i>Role and Responsibility Assignment</i> – Define the specific expectations and accountability for all project team members, utilizing a RACI matrix (Responsible, Accountable, Consulted, Informed) or equivalent tool to establish clear role boundaries • <i>Staff Acquisition and Transitions</i> – Describe the strategies, processes, and timing for recruiting, selecting, onboarding, and offboarding project personnel, including the strict approval workflow for changing previously approved resources • <i>Team Development and Retention</i> – Define the programs and activities designed to enhance team performance and retention, including specific processes for ongoing training, mentoring, team building, and transitioning staff • <i>Resource Allocation and Scheduling</i> – Describe the techniques for assigning resources to specific tasks and scheduling their utilization over the project life cycle to optimize availability and prevent operational bottlenecks • <i>Performance Management</i> – Define the methods for continuously assessing individual and team performance, delivering constructive feedback, and systematically managing performance-related issues • <i>Conflict Resolution</i> – Describe the strategies and escalation paths for identifying, addressing, and resolving team conflicts constructively to ensure interpersonal issues do not impact project progress • <i>Resource Monitoring and Control</i> – Define the procedures and specific metrics used for tracking resource utilization and capacity, including how resource status will be formally reported to stakeholders
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		<ul style="list-style-type: none"> • <i>Physical Resource Management</i> – Describe the approach for managing necessary non-human and environmental resources, such as project facilities, technology hardware, and specialized software tools • <i>Assumptions, Constraints, and Dependencies</i> – List any assumptions, constraints, or dependencies that could affect the staff and resource management processes
Deliverable	Stakeholder Analysis and Impact Assessment Report	The Contractor must submit a Stakeholder Analysis and Impact Assessment Report, which identifies all internal and external stakeholder groups (e.g., caseworkers, agency leadership, external providers, applicants) affected by the new system or operational processes. This Report assesses each group's current state, their level of influence, anticipated resistance, and the specific operational impacts the transition will have on their day-to-day workflows. The findings from this assessment directly inform the targeted approaches used in both the Communication Strategy and Execution Matrix as well as the Training Plan.
Deliverable	Status Report	The Contractor must develop Status Reports, which are executive-level reports that reflect project efforts. These reports must be submitted at an established cadence and will be consumed by CMS and other stakeholders. Status reports must include but are not limited to key accomplishments and activities, next steps, key decisions, risks, issues, and mitigation strategies. Status Reports must also include quantitative performance metrics per Section 2.20, including planned versus actual schedule progress and milestone attainment, cost performance against baseline, variance explanations, completion forecasts, and contingency reserve status, presented with trend context.
Artifact	Product Roadmap	A strategic, time-phased roadmap of planned product capabilities and releases, communicating direction and priorities to OHIP and stakeholders.
Artifact	Project Roadmap	The Contractor must develop a Roadmap, which is a strategic, high-level, visual document that outlines the planned evolution of a specific initiative over time. The Roadmap must provide a clear and transparent overview of the major goals, milestones, deliverables, and planned phases on the path from the current state to the desired future state, ensuring alignment with organizational objectives, budgetary constraints, and project goals. The Roadmap may also define roles and responsibilities and include a cost impact analysis for significant changes.

Artifact	Deliverable Expectation Document	<p>The Contractor must develop a Deliverable Expectation Document (DED) for defining the scope, content, and quality standards for each project deliverable or phase. The purpose of the document is to ensure every deliverable is systematically planned, drafted, reviewed, and approved, maintaining alignment with strategic objectives and stakeholder expectations. The DED must include, at a minimum, the following:</p> <ul style="list-style-type: none"> • <i>Document Structure and Format</i> – Define the required layout, table of contents, and file format for the final deliverable to ensure consistency and readability • <i>Development Methodology</i> – Describe the approach, processes, and tools that will be utilized to create, review, and finalize the deliverable • <i>Deliverable Requirements</i> – Detail the specific functional, technical, or business requirements the deliverable must satisfy to fulfill project scope and objectives • <i>Acceptance Criteria</i> – Define the objective, measurable conditions, and quality standards that must be met for the deliverable to be formally approved and accepted by key decision-makers • <i>Delivery Schedule</i> – Establish a timeline detailing key dates, milestones, and review periods for the drafting, submission, and final approval of the deliverable • <i>Roles and Resources</i> – Identify the key personnel, subject matter experts, and other resources required to develop, review, and formally sign off on the deliverable • <i>Assumptions, Constraints, and Dependencies</i> – List any assumptions, constraints, or dependencies that could affect the corresponding deliverable and deliverable process
Artifact	RAID Log	<p>The Contractor must develop a RAID (Risks, Assumptions, Issues, and Dependencies) Log, which is a comprehensive project management tool that consolidates key project tracking elements into a single document. The RAID Log must be used to provide a real-time overview of project hurdles and dependencies, enabling proactive management and clear communication among stakeholders. The RAID Log must be comprised of the following components:</p> <ul style="list-style-type: none"> • <i>Risks</i> – The section of recorded risks, which are defined as potential future problems to address. • <i>Assumptions</i> – The section of all project-related assumptions, which must be monitored, as they can become risks if they prove to be false. • <i>Issues</i> – The section where information about issues is recorded and monitored, identifying problems that require attention. • <i>Dependencies</i> – The section where dependencies are tracked, which includes any tasks or events that the project is dependent on, as well as any tasks or events that are dependent on the project.

Table 8 – Project Change Control Standard Deliverables and Artifacts

Type	Name	Description
Deliverable	Project Change Control Plan	<p>The Contractor must develop a Project Change Control Plan for managing all changes to the project's scope, schedule, budget, and baseline documentation. The purpose of the plan is to ensure every change is systematically identified, assessed, approved, and integrated, maintaining alignment with strategic objectives and stakeholder expectations. The Plan must include, at a minimum, the following:</p> <ul style="list-style-type: none"> • <i>Change Request Process</i> – Describe the approach for submitting, documenting, and initiating change requests, including who can submit them and what information is required • <i>Impact Assessment</i> – Describe how to evaluate a change's potential impact on project scope, schedule, budget, resources, risk, and quality • <i>Evaluation and Decision-Making</i> – Define the process and criteria for reviewing, approving, or rejecting proposed changes, clarifying key decision-makers. Include the detailed steps and authority levels required for approving changes in alignment with project governance • <i>Documentation and Communication</i> – Describe the approach to maintain formal documentation and communicate project changes for all stakeholders and team members • <i>Change Implementation</i> – Describe the process for assigning and executing approved changes, including project timelines, resources, and specific tasks • <i>Post-Change Evaluation</i> – Define how the effectiveness and impact of implemented changes will be reviewed to ensure they achieved the desired outcome • <i>Version and Configuration Control</i> – Manage all document and deliverable versions to maintain an accurate, up-to-date record of every approved change • <i>Assumptions, Constraints and Dependencies</i> – Lists any assumptions, constraints, or dependencies that could affect the change control process

Table 9 – Contract Management Standard Deliverables and Artifacts

Type	Name	Description
Deliverable	Contract Closeout Documentation	<p>The Contractor must develop Contract Closeout Documentation. This documentation is a comprehensive collection of documents that serves to confirm the completion of all contract obligations and ensure a smooth transition at the end of the contractual relationship. The Contract Closeout Documentation must include, at a minimum, the following:</p>

		<ul style="list-style-type: none"> • <i>Summary of Work Conducted</i> – An overview of the work performed under the contract, demonstrating the fulfillment of all deliverables and service level agreements (SLAs) • <i>Deficiency and Action Item Lists</i> – A compilation of any logged deficiency items and outstanding action items or tasks addressed during the closeout phase • <i>Verification of Final Payments</i> – Confirmation that all final payments have been completed, ensuring financial closure • <i>Acknowledgement of Completed Legal Obligations</i> – Assurance that no further legal obligations remain between the parties upon contract completion • <i>Archiving and Documentation Process</i> – Details of how engagement documentation, deliverables, and artifacts are archived, in alignment with Department policies and procedures • <i>Contract Closeout Checklist</i> – A tool to use during the final review of the Contract, ensuring all necessary steps in the closeout process are completed
Deliverable	Contract Closeout Plan	<p>The Contractor must develop a Contract Closeout Plan that provides details of the contract's closeout activities. It must include, at a minimum, the following:</p> <ul style="list-style-type: none"> • <i>Verification of Contract Fulfillment</i> – The approach to ensure all contractual requirements are met and accepted by the Department • <i>Documentation Closure/Archiving</i> – Describe the process for organizing all project documents (e.g. work products, deliverables, and decision-correspondence, ensuring they are complete and stored in the Department's Document Management tool • <i>Formal Termination Procedures</i> – The process to execute official closure of the contract, which may include: the process for: removing system access, terminating accounts, and the protocol for releasing project resources. This also includes returning or the appropriate disposal of assets, equipment, or materials loaned as necessary • <i>Compliance and Regulatory Validation</i> – Confirmation that all compliance and regulatory requirements have been fulfilled. This includes obtaining necessary approvals and documentation to demonstrate adherence to legal and contractual obligations • <i>Lessons Learned Documentation</i> – The process by which the Contractor will document insights gained during the contract life cycle. This includes successes, challenges, and areas for improvement to inform future projects and improve organizational processes • <i>Contract Closure</i> – Procedures for closing out contracts once all obligations have been met

		<ul style="list-style-type: none"> • <i>Assumptions, Constraints, and Dependencies</i> – Description of any assumptions, constraints, and dependencies that may impact contract closeout
Deliverable	Contract Management Plan	<p>The Contractor must develop a Contract Management Plan that outlines the processes, procedures, roles, and responsibilities necessary for effectively managing a contract throughout the post-award life cycle. The Contract Management Plan must include, at a minimum, the following:</p> <ul style="list-style-type: none"> • <i>Scope</i> – Provides a summary of the contract's scope • <i>Roles and Responsibilities</i> – Identifies key individuals responsible for contract management activities • <i>Performance Monitoring</i> – Procedures for monitoring Contractor performance against contract terms, including key performance indicators (KPIs) and milestones • <i>Issue and Dispute Resolution</i> – Strategies for identifying, addressing, and resolving contractual issues or disputes, including escalation paths and negotiation techniques • <i>Contract Changes</i> – A process for managing changes to contracts, including amendments, change orders, and adjustments • <i>Compliance and Reporting</i> – Methods for ensuring compliance with all contractual terms and legal requirements, as well as regular reporting mechanisms to provide status updates to stakeholders about contract performance • <i>Risk Management</i> – Identification and management of risks associated with contracts, including financial, legal, and operational risks. This includes developing risk mitigation strategies to address potential issues • <i>Assumptions, Constraints, and Dependencies</i> – Description of any assumptions, constraints, and dependencies that may impact contract management
Deliverable	Cost Allocation Plan	<p>The Contractor must develop a Cost Allocation Plan that describes the Contractor's approach for financial reporting. It must include, at a minimum, the following, the Contractor's approach to:</p> <ul style="list-style-type: none"> • <i>Maintenance Details</i> – Describe the method for keeping a detailed general ledger and any supporting documentation for all expenses, time allocation sheets, procurement documentation, and subcontractor payment records • <i>Tracking Funds</i> – Describe how all invoices will be submitted and how payments received will be documented. This includes reconciliation of claims and payments and aging reports for accounts receivable • <i>Monitor Subcontractor Financial Performance</i> – Oversee subcontractor fiscal accountability by reconciling hours and effort with deliverables, verifying service completion, and tracking all payment

		<p>documentation and expenses against the contract budget</p> <ul style="list-style-type: none"> • <i>Compliance with Federal Cost Principles</i> – Describe the approach to comply with contract-specific requirements, any compliance activities, and the methods for reporting compliance issues • <i>Assumptions, Constraints, and Dependencies</i> – Description of any assumptions, constraints, and dependencies that may impact cost allocation
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Appendix B: Master Requirements Summary

The following table consolidates all 207 requirements from this domain standard with individual RFC 2119.

Table 10 – Master Requirements Summary Table

Req. ID	Requirement Statement	Tier	Standard Section
Section 1.0 — Introduction (Compliance & Enforcement) PGOV-0001 to PGOV-0010 10 Requirements: MUST 10 SHOULD 0 MAY 0			
PGOV-0001	Adhere to this Standard and to all OHIP MES standards referenced herein.	MUST	1.4 — Scope
PGOV-0002	Comply with this standard and all applicable laws, regulations, and funding requirements from contract execution.	MUST	1.8.1 — Applicability and Effective Date
PGOV-0003	Submit an impact assessment to OHIP within ten (10) business days of receiving notice of a substantive change to this standard.	MUST	1.8.2 — Updates to the Standard
PGOV-0004	Cooperate fully with all audits and provide requested documentation within five (5) business days of a request.	MUST	1.8.3 — Monitoring, Audit, and Records Retention
PGOV-0005	Retain records evidencing compliance with this standard for at least seven (7) years from creation, or as otherwise required by applicable law or the Contract.	MUST	1.8.3 — Monitoring, Audit, and Records Retention
PGOV-0006	Notify OHIP in writing within three (3) business days upon becoming aware of any non-compliance with this standard.	MUST	1.8.4 — Notification of Non-Compliance
PGOV-0007	Notify OHIP within twenty-four (24) hours where non-compliance materially impacts the confidentiality, integrity, or availability of OHIP systems or data.	MUST	1.8.4 — Notification of Non-Compliance
PGOV-0008	All non-compliance notifications MUST describe the nature and scope, root cause if known, immediate containment steps taken, and proposed remediation timeline.	MUST	1.8.4 — Notification of Non-Compliance
PGOV-0009	Submit a Corrective Action Plan (CAP) to OHIP within ten (10) business days of notice of any non-compliance. The CAP MUST include gap description, root cause analysis, corrective actions with responsible parties, target completion dates, and metrics confirming remediation.	MUST	1.8.5 — Corrective Action Plan
PGOV-0010	Submit a written exception request to OHIP that includes a risk assessment, specific compensating controls, and a target date for achieving full compliance.	MUST	1.8.7 — Exceptions and Risk Acceptance

Section 2.0 — Project Management Standard | PGOV-0011 to PGOV-0125 | 115 Requirements:
MUST 100 | SHOULD 12 | MAY 3

PGOV-0011	Develop a Governance Structure as a component of the PMP.	MUST	2.3 — Governance Structure
PGOV-0012	Governance Structure MUST define: governance levels and bodies with their responsibilities; membership and decision authority at each level; the escalation framework aligned to the governance hierarchy; and the operating cadence of each governance body, including how decisions are recorded.	MUST	2.3 — Governance Structure
PGOV-0013	Submit a Project Initiation Document (PID) for OHIP approval in conjunction with the Engagement Kick-Off, including purpose and authorization, scope summary, expected outcomes, milestones, decision authority, and initial risks, assumptions, and constraints.	MUST	2.3.1 — Project Initiation Document
PGOV-0014	Maintain the PID under the Project Change Control process defined in Section 3.0 .	MUST	2.3.1 — Project Initiation Document
PGOV-0015	Provide a Scope Management Plan that incorporates the Project Change Control process defined in Section 3.0 .	MUST	2.4 — Project Scope Management
PGOV-0016	Work collaboratively with OHIP to define the scope of each project through the contractual agreement.	MUST	2.4.1 — Scope Definition
PGOV-0017	Develop a Scope Management Plan defining processes for Project Scope Statement, Requirements Definition, Functional Responsibilities, and Baseline Establishment.	MUST	2.4.1 — Scope Definition
PGOV-0018	Create a detailed Project Scope Statement specifying the project's operational parameters.	MUST	2.4.1 — Scope Definition
PGOV-0019	Include all CMS SMC outcomes and Department-specific outcomes in the scope for projects undergoing CMS certification.	MUST	2.4.1 — Scope Definition
PGOV-0020	Detail the process for requirements gathering; track and maintain all approved requirements in a Requirements Traceability Matrix (RTM).	MUST	2.4.1 — Scope Definition
PGOV-0021	Requirements gathering techniques such as work sessions, surveys, and interviews MAY be utilized.	MAY	2.4.1 — Scope Definition
PGOV-0022	Define functional responsibilities for scope management.	MUST	2.4.1 — Scope Definition
PGOV-0023	Describe the process for establishing the project's scope baseline with input from all relevant stakeholders.	MUST	2.4.1 — Scope Definition
PGOV-0024	Proactively manage and document all scope changes.	MUST	2.4.2 — Scope Maintenance
PGOV-0025	Support OHIP in the analysis of all proposed scope changes, including providing a detailed impact analysis.	MUST	2.4.3 — Project Change Control

PGOV-0026	Implement and maintain scope management practices including structured change control, stakeholder engagement, scope validation, and regular scope reviews.	MUST	2.4.3 — Project Change Control
PGOV-0027	Develop and maintain an Integrated Master Schedule (IMS) aligned with OHIP's scheduling processes.	MUST	2.5 — Project Schedule Management
PGOV-0028	Schedule management processes MAY vary between new DDI projects and M&O endeavors.	MAY	2.5 — Project Schedule Management
PGOV-0029	Create and submit an IMS for OHIP review and approval prior to implementation activities.	MUST	2.5.1 — IMS Creation, Submittal, and Approval
PGOV-0030	Develop the IMS in OHIP's specified Project Management tool.	MUST	2.5.1 — IMS Creation, Submittal, and Approval
PGOV-0031	Create the IMS using a WBS with manageable tasks defining timelines, dependencies, and responsible parties.	MUST	2.5.1 — IMS Creation, Submittal, and Approval
PGOV-0032	Align the IMS with OHIP's SDLC and the CMS SMC Process.	MUST	2.5.1 — IMS Creation, Submittal, and Approval
PGOV-0033	Detail all implementation, M&O, and CMS certification activities and include scope and deliverables per the Contract.	MUST	2.5.1 — IMS Creation, Submittal, and Approval
PGOV-0034	Identify and sequence all internal and external dependencies in the IMS.	MUST	2.5.1 — IMS Creation, Submittal, and Approval
PGOV-0035	Participate in OHIP's review process and incorporate feedback until the schedule is formally baselined.	MUST	2.5.1 — IMS Creation, Submittal, and Approval
PGOV-0036	Maintain the IMS through regular updates including weekly updates, review meetings, ad-hoc updates within 48 hours, and proactive milestone change reporting.	SHOULD	2.5.2 — Schedule Maintenance and Updates
PGOV-0037	Identify and manage all intra-project and inter-project dependencies.	MUST	2.5.3 — Dependency Management
PGOV-0038	Support OHIP in re-baselining the schedule based on defined criteria.	MUST	2.5.4 — Schedule Re-baselining
PGOV-0039	Collaborate with OHIP to reassess scope, budget, and timeline when a re-baseline decision is made. Schedule Management Plan MUST specify approval authority.	MUST	2.5.4 — Schedule Re-baselining
PGOV-0040	Document a Basis of Estimate (BOE) for all schedule and cost baselines, identifying techniques, source data, assumptions, exclusions, and confidence level or range.	MUST	2.5.5 — Estimation and Basis of Estimate
PGOV-0041	Re-estimate affected work and update the Basis of Estimate upon approved scope change, variance threshold breach, or formal re-baselining.	MUST	2.5.5 — Estimation and Basis of Estimate

PGOV-0042	Develop a Budget Management Plan for managing, tracking, and reporting all project costs.	MUST	2.6 — Budget Management
PGOV-0043	Ensure costs are tracked and reported timely. Cost changes MUST be managed per the OHIP Change Control Process (Section 3.0).	MUST	2.6 — Budget Management
PGOV-0044	Use only OHIP-approved tools for budgeting, forecasting, and reporting.	MUST	2.6.1 — Budget Management Requirements
PGOV-0045	Coordinate with OHIP during onboarding to establish budget tracking mechanisms.	MUST	2.6.1 — Budget Management Requirements
PGOV-0046	Collaborate with OHIP to support all APD process activities.	MUST	2.6.1 — Budget Management Requirements
PGOV-0047	Submit a Procurement and Licensing Plan for acquiring products or services.	MUST	2.6.1 — Budget Management Requirements
PGOV-0048	Develop and maintain a comprehensive Stakeholder Management Plan.	MUST	2.7 — Stakeholder Management
PGOV-0049	Create and maintain a Stakeholder Register with specified information for all stakeholders.	MUST	2.7.1 — Stakeholder Register and Maintenance
PGOV-0050	Populate, submit, update, and review the Stakeholder Register with OHIP at a regular cadence.	MUST	2.7.1 — Stakeholder Register and Maintenance
PGOV-0051	Develop a Stakeholder Engagement Plan with tailored communication and collaboration strategies.	MUST	2.7.2 — Stakeholder Engagement Plan
PGOV-0052	Provide a Communication Management Plan defining requirements, distribution methods, and feedback mechanisms.	MUST	2.8 — Communication Management
PGOV-0053	Develop a project-specific Communication Management Plan addressing information needs, frequency, methods, and escalation paths.	MUST	2.8.1 — Communication Planning
PGOV-0054	Develop a Communication Matrix with specified elements.	MUST	2.8.1 — Communication Planning
PGOV-0055	Populate, submit, utilize, upload, and manage the OHIP-approved Communication Matrix throughout the project.	MUST	2.8.1 — Communication Planning
PGOV-0056	Provide a detailed agenda to all meeting invitees no later than 48 hours in advance.	SHOULD	2.8.2 — Meeting and Reporting Requirements
PGOV-0057	Provide meeting minutes where required by OHIP; distribute within 24 hours; upload to OHIP site; incorporate outcomes into RAID Log.	SHOULD	2.8.2 — Meeting and Reporting Requirements
PGOV-0058	Establish and maintain a status reporting format and cadence; provide updates accordingly.	MUST	2.8.2 — Meeting and Reporting Requirements
PGOV-0059	The Contractor MAY provide additional status reports as needed beyond the established cadence.	MAY	2.8.2 — Meeting and Reporting Requirements
PGOV-0060	Consideration SHOULD be given to allow reasonable response time for email communications.	SHOULD	2.8.2 — Meeting and Reporting Requirements

PGOV-0061	Integrate the Decision Log into the RAID Log; record detailed information; make the RAID Log available to OHIP at any time upon request; ensure accessibility.	MUST	2.9.1 — Decision Log
PGOV-0062	Submit open questions to OHIP Project Sponsor; log in RAID Log; collaborate on answers; communicate decisions; document with reference numbers.	MUST	2.9.2 — Open Questions and Outstanding Decisions
PGOV-0063	Impact analysis for open questions SHOULD be presented to OHIP for approval.	MUST	2.9.2 — Open Questions and Outstanding Decisions
PGOV-0064	Establish and maintain a Quality Management Plan.	MUST	2.10 — Quality Management
PGOV-0065	Define key quality metrics using Appendix D as a reference framework.	MUST	2.10 — Quality Management
PGOV-0066	Measure and manage quality throughout project performance.	MUST	2.10 — Quality Management
PGOV-0067	Quality metrics SHOULD be tailored to the specific context and goals of each project.	SHOULD	2.10 — Quality Management
PGOV-0068	Establish a quality management approach involving stakeholders early with structured verification activities.	MUST	2.10.1 — Quality Management Approach
PGOV-0069	Quality management approach MUST include artifact inspection, specification verification, and workflow monitoring with defect correction.	MUST	2.10.1 — Quality Management Approach
PGOV-0070	Establish project-specific quality standards with OHIP; adhere throughout the project.	MUST	2.10.2 — Quality Standards
PGOV-0071	Quality metrics MUST address business/IS, customer (timeliness, accuracy, adherence), and process dimensions.	MUST	2.10.2 — Quality Standards
PGOV-0072	Refine quality metrics at each major project phase; use metrics to evaluate quality goals.	MUST	2.10.2 — Quality Standards
PGOV-0073	Implement quality reviews for CMS-required milestone reviews with formal artifact submission and review process.	MUST	2.10.3 — Quality Reviews
PGOV-0074	Document review coordination procedures including tracking feedback, revisions, and Department approvals.	MUST	2.10.3 — Quality Reviews
PGOV-0075	Capture action items in RAID Log and minutes; communicate to OHIP; seek updates; update RAID Log.	MUST	2.10.4 — Action Item Follow-Up
PGOV-0076	Provide a Staff and Resource Management Plan for all project resources.	MUST	2.11 — Resource Management
PGOV-0077	Provide a Project Organizational Chart and RACI matrix.	MUST	2.11.1 — Org Chart and RACI

PGOV-0078	For Key Personnel changes: notify OHIP, identify replacement, provide resume, initiate decision log, initiate PCR if significant impact.	MUST	2.11.2 — Key Personnel Tracking
PGOV-0079	Maintain a proactive succession plan for every Key Personnel role, identifying qualified backup resources and knowledge continuity measures.	MUST	2.11.3 — Staff Continuity
PGOV-0080	Report project staff turnover to OHIP at the cadence defined in the Staff and Resource Management Plan and manage delivery-threatening turnover trends through the RAID Log.	MUST	2.11.3 — Staff Continuity
PGOV-0081	Address skill development and cross-training in the Staff and Resource Management Plan to reduce single-person dependencies.	MUST	2.11.3 — Staff Continuity
PGOV-0082	Address risk management in the Risk and Issue Management Plan.	MUST	2.12 — Risk Management
PGOV-0083	Establish a Risk Log as part of the RAID Log.	MUST	2.12.1 — Risk Log
PGOV-0084	Communicate risks; manage with OHIP/PMO; develop risk response plans; update RAID Log; confirm retirement; escalate high-impact risks.	MUST	2.12.2 — Risk Identification and Escalation
PGOV-0085	Select and document a response strategy for each validated risk from the defined taxonomy (avoid, escalate, transfer, mitigate, accept); acceptance of risks above defined thresholds requires documented OHIP concurrence.	MUST	2.12.3 — Risk Response Strategies
PGOV-0086	Identify and capture opportunities in the RAID Log alongside threats, evaluate them using exploit, enhance, share, or accept strategies, and review them at the same cadence as risks.	MUST	2.12.3 — Risk Response Strategies
PGOV-0087	Document project risk thresholds and tolerances in the Risk and Issue Management Plan, including escalation triggers, OHIP risk-acceptance criteria, and consistent probability and impact rating criteria.	MUST	2.12.4 — Risk Thresholds and Reserves
PGOV-0088	Document contingency reserve criteria and linkage to quantified risk exposure; obtain OHIP approval before any reserve drawdown, record the decision in the Decision Log, and report reserve status in performance reporting.	MUST	2.12.4 — Risk Thresholds and Reserves
PGOV-0089	Record material project assumptions and constraints as owned, tracked items within the RAID Log and review them at the same cadence as risks.	SHOULD	2.12.5 — Assumption and Constraint Tracking
PGOV-0090	Convert invalidated assumptions to risks or issues in the RAID Log, assess their impact, and manage them under Section 2.12 and Section 2.13 .	MUST	2.12.5 — Assumption and Constraint Tracking
PGOV-0091	Address issue management in the Risk and Issue Management Plan.	MUST	2.13 — Issue Management
PGOV-0092	Establish an Issue Log as part of the RAID Log.	MUST	2.13.1 — Issue Log

PGOV-0093	Manage issues: email OHIP, assign owner, evaluate severity, escalate, review at meetings, update RAID Log, close and document.	MUST	2.13.2 — Issue Identification and Tracking
PGOV-0094	Document lessons learned and maintain a Lessons Learned Register.	MUST	2.14 — Lessons Learned
PGOV-0095	Produce a final lessons learned summary within the Project Closeout Report per Section 2.21 ; the Lessons Learned Register remains the living repository of lessons throughout the project.	SHOULD	2.14 — Lessons Learned
PGOV-0096	Review the Lessons Learned Register with OHIP at minimum at each phase gate, release closeout, or quarterly, whichever occurs first, and document resulting process adjustments.	SHOULD	2.14 — Lessons Learned
PGOV-0097	Submit a Document Management Plan with naming conventions, file formats, and metadata standards.	MUST	2.15 — Document Management
PGOV-0098	Include SOPs for document usage in the Document Management Plan; follow OHIP's document control process.	MUST	2.15 — Document Management
PGOV-0099	Store all documentation in a State-controlled repository; ensure team access.	MUST	2.15.1 — Centralized Document Repository
PGOV-0100	Adhere to the DOH Style and Branding Guide for all project communications and documentation.	MUST	2.16 — DOH Style and Branding
PGOV-0101	Develop and submit an OCM Plan for OHIP approval no later than the planning phase; maintain as living document.	MUST	2.17 — OCM
PGOV-0102	OCM Plan MUST address: Stakeholder Impact Assessment, Communication Strategy, Training Plan, and Adoption Measurement.	MUST	2.17 — OCM
PGOV-0103	Report adoption metrics to OHIP at agreed-upon intervals.	MUST	2.17 — OCM
PGOV-0104	Designate a named OCM Lead who participates in status meetings.	MUST	2.17 — OCM
PGOV-0105	For CMS SMC projects, ensure OCM activities generate ORR evidence artifacts.	MUST	2.17 — OCM
PGOV-0106	OCM Plan SHOULD address Resistance Management with periodic sentiment assessments.	SHOULD	2.17 — OCM
PGOV-0107	OCM Plan SHOULD address a Sustainment Plan for post-Go-Live reinforcement.	SHOULD	2.17 — OCM
PGOV-0108	Develop and submit a Transition-In Plan within thirty (30) calendar days of contract award. (produced and tracked as the Transition-In Management Plan under the Solution Delivery Domain Document)	MUST	2.18.1 — Transition-In
PGOV-0109	Transition-In Plan MUST address: Knowledge Transfer, Document Inventory, Staff Onboarding, Risk Register, and Parallel Operations.	MUST	2.18.1 — Transition-In

PGOV-0110	Not assume operational responsibility until OHIP approves Transition-In milestones.	MUST	2.18.1 — Transition-In
PGOV-0111	Cooperate fully with OHIP and incoming Contractor for orderly transfer.	MUST	2.18.2 — Transition-Out
PGOV-0112	As the outgoing Contractor, submit a Transition-Out Plan no later than six (6) months before the contract end date. (tracked under the Infrastructure & Operations Domain Document)	MUST	2.18.2 — Transition-Out
PGOV-0113	Transition-Out Plan contents MUST be as specified in the Infrastructure & Operations Domain Document, including Knowledge Transfer (by Subject Matter Experts), Documentation, Data Handover, Open Items, and Staff Offboarding.	MUST	2.18.2 — Transition-Out
PGOV-0114	Continue operational support during transition; not reduce staffing without written OHIP approval.	MUST	2.18.2 — Transition-Out
PGOV-0115	Develop and maintain a Benefits and Outcomes Register documenting expected outcomes, measures and targets, traceability to APD and CMS SMC outcome statements, realization timeframes, and accountable owners, initiated through the PID.	MUST	2.19 — Benefits and Outcomes Management
PGOV-0116	Maintain the Benefits and Outcomes Register under Project Change Control and review it with OHIP at major project milestones.	MUST	2.19 — Benefits and Outcomes Management
PGOV-0117	Measure and report outcome achievement against the Register at agreed intervals during the defined post-implementation period following Go-Live.	MUST	2.19 — Benefits and Outcomes Management
PGOV-0118	Provide outcome evidence sufficient to support OHIP's CMS SMC certification and ongoing FFP reporting obligations.	MUST	2.19 — Benefits and Outcomes Management
PGOV-0119	Track schedule and cost performance against approved baselines using EVM or an OHIP-approved equivalent, including planned-versus-actual progress, milestone attainment, cost performance, variance analysis, and completion forecasts.	MUST	2.20 — Performance Measurement
PGOV-0120	Establish variance thresholds with OHIP, document them in the PMP, and upon any breach notify OHIP, perform root-cause analysis, and submit a corrective action plan, escalating per Section 5.10 were unresolved.	MUST	2.20 — Performance Measurement
PGOV-0121	Include quantitative performance metrics, variance explanations, forecasts, and contingency reserve status in Status Reports.	MUST	2.20 — Performance Measurement
PGOV-0122	Present performance metrics with trend context across reporting periods so emerging degradation is visible before thresholds are breached.	SHOULD	2.20 — Performance Measurement

PGOV-0123	Submit a Project Closeout Report for OHIP approval containing final acceptance confirmation, final performance summary, outcome status, open item disposition, lessons learned summary, archival confirmation, and administrative closure; the project is not closed until OHIP approves the report.	MUST	2.21 — Project Closeout
PGOV-0124	Disposition every open RAID Log item before project closure: closed, formally accepted by OHIP, or transferred to a named owner.	SHOULD	2.21 — Project Closeout
PGOV-0125	Confirm archival of all finalized project documentation in the OHIP-designated repository as a condition of closeout approval.	MUST	2.21 — Project Closeout
Section 3.0 — Project Change Control Standard PGOV-0126 to PGOV-0136 11 Requirements: MUST 9 SHOULD 2 MAY 0			
PGOV-0126	Submit and maintain a Project Change Control Plan as a component of the PMP.	MUST	3.1 — Introduction
PGOV-0127	Scale the Project Change Control Plan to fit project complexity, duration, and size as a component of the PMP.	SHOULD	3.1 — Introduction
PGOV-0128	Track and report on change control KPIs.	MUST	3.3 — KPIs and Reporting
PGOV-0129	All project changes MUST follow OHIP's Change Control process; follow expedited process when standard timeline is insufficient.	SHOULD	3.4 — Change Control Process
PGOV-0130	Submit a PCR for any project/contractual changes; assess impact; identify all impacted stakeholders.	MUST	3.4 — Process Step 1.0
PGOV-0131	Submit impact assessment for OHIP review; notify/close unwarranted PCRs; provide clarification when requested.	MUST	3.4 — Process Step 2.0
PGOV-0132	Generate Change Request Form for OHIP review when warranted; modify until cleared.	MUST	3.4 — Process Step 3.0
PGOV-0133	Implement approved changes and resubmit for OHIP verification until confirmed.	MUST	3.4 — Process Step 5.0
PGOV-0134	Update project artifacts and close PCR.	MUST	3.4 — Process Step 6.0
PGOV-0135	For interdependent PCRs, identify all impacted stakeholders across projects.	MUST	3.4.1 — Interdependent PCRs
PGOV-0136	Where a PCR triggers a technical change, initiate change request under Section 4.0 ; obtain both approvals before implementation.	MUST	3.4.1 — Interdependent PCRs
Section 4.0 — Technical Change Control Standard PGOV-0137 to PGOV-0167 31 Requirements: MUST 27 SHOULD 4 MAY 0			
PGOV-0137	Where a change spans multiple governance layers, satisfy all applicable section requirements concurrently.	MUST	4.1 — Introduction

PGOV-0138	Any IT system change MUST follow the Enterprise IT Change Control Process.	MUST	4.3.1 — Technical Change Definition
PGOV-0139	Application development and programming changes MUST follow Project Management (Section 2.0) and SDLC processes.	SHOULD	4.3.1 — Technical Change Definition
PGOV-0140	Adhere to the Technical Change Control Process for all production or production-adjacent environment changes.	MUST	4.3.2 — Scenarios for IT Change Control
PGOV-0141	Consolidate similar changes into the same implementation window where practicable.	MUST	4.3.2 — Scenarios for IT Change Control
PGOV-0142	Track a single change across multiple locations as a single entity with per-location tasks.	MUST	4.3.2 — Scenarios for IT Change Control
PGOV-0143	Ensure technical changes integrate with service management processes for traceability.	MUST	4.3.2 — Scenarios for IT Change Control
PGOV-0144	Notify and train individuals making unapproved changes.	MUST	4.3.2 — Scenarios for IT Change Control
PGOV-0145	Submit all changes to SIT-level-and-above environments as project change requests per Section 3.0 .	MUST	4.3.2 — Scenarios for IT Change Control
PGOV-0146	Update solution documentation to reflect changes to approved designs.	MUST	4.3.3 — Document Revision
PGOV-0147	Review system documentation periodically (at minimum annually) and evaluate change requests for documentation updates.	MUST	4.3.3 — Document Revision
PGOV-0148	Adhere to all OHIP policies for Technical Change Control; categorize all changes per standard definitions.	MUST	4.3.4 — Policies for Requesting a Change
PGOV-0149	Prioritize each Change Request upon submission; OHIP approvers MUST review priority.	MUST	4.3.4 — Policies for Requesting a Change
PGOV-0150	Justify all changes from a business perspective with a technically feasible solution.	MUST	4.3.4 — Policies for Requesting a Change
PGOV-0151	Enforce segregation of duties; third-party review required if Requester is Implementer.; submit each Change Record and Request for Change for OHIP review and approval prior to implementation	MUST	4.3.5 — Change Process Participants
PGOV-0152	Production changes MUST be transferred by individuals independent of development.	MUST	4.3.5 — Change Process Participants
PGOV-0153	Adhere to OHIP's change classification and processing rules.	MUST	4.4 — Technical Change Classification
PGOV-0154	Standard Changes: low-risk, pre-approved, documented plan/backout/test. Disruptions cause immediate loss of pre-authorized status.	MUST	4.4.1 — Standard Change
PGOV-0155	Adhere to change timelines: Standard 3 days, Normal 10 days advance, Emergency full business day.	SHOULD	4.4.4 — Change Timeframes

PGOV-0156	Normal Changes only expedited with exception approval; flag as Expedited Request if under 10-day lead time.	SHOULD	4.4.4 — Change Timeframes
PGOV-0157	Negotiate alternate timelines when necessary, with justification.	SHOULD	4.4.4 — Change Timeframes
PGOV-0158	Provide mandatory fields for all change requests; receive OHIP direction for uncovered types.	MUST	4.5 — Required Information
PGOV-0159	Firewall requests: business justification, port details, IP/subnet matching, environment alignment.	MUST	4.5.1 — Firewall Change Requests
PGOV-0160	Technology upgrade requests: justification, signoff verification, test results.	MUST	4.5.2 — Technology Upgrade Requests
PGOV-0161	Minor release requests: justification, signoff, Release Notes, UAT/accessibility results.	MUST	4.5.3 — Minor Release Requests
PGOV-0162	Major release requests: justification, signoff, Release Notes, performance/UAT/accessibility results.	MUST	4.5.4 — Major Release Requests
PGOV-0163	Decommissioning requests: justification, signoff, validation of non-use.	MUST	4.5.5 — Decommissioning Requests
PGOV-0164	Storage requests: justify the change in storage and obtain OHIP approval prior to implementing the change.	MUST	4.5.6 — Storage Requests
PGOV-0165	Server/sizing requests: justification, minimum requirements compliance, performance verification.	MUST	4.5.7 — Server/Sizing Requests
PGOV-0166	Patching/OS upgrade requests: justification, compatibility documentation, vulnerability scans.	MUST	4.5.8 — Patching/OS Upgrade Requests
PGOV-0167	Data refresh requests: justification for performing the refresh.	MUST	4.5.9 — Data Refresh Requests
Section 5.0 — Contract Management Standard PGOV-0168 to PGOV-0203 36 Requirements: MUST 31 SHOULD 3 MAY 2			
PGOV-0168	Submit a comprehensive Contract Management Plan.	MUST	5.3 — Contract Management
PGOV-0169	Educate and communicate with designated Department personnel on services and technology.	MUST	5.3 — Contract Management
PGOV-0170	Maintain the procurement record for seven (7) years following Contract conclusion.	MUST	5.3 — Contract Management
PGOV-0171	Conduct a project Kick-Off Meeting confirming scope, challenges, roles, and collaboration.	SHOULD	5.3.1 — Contract Implementation
PGOV-0172	Maintain regular communication throughout the Contract term.	MUST	5.3.1 — Contract Implementation
PGOV-0173	Demonstrate common understanding of Contract scope, deliverables, timelines, invoicing, and performance by end of implementation.	MUST	5.3.1 — Contract Implementation
PGOV-0174	Document and obtain Department approval for any Contract changes.	MUST	5.3.1 — Contract Implementation

PGOV-0175	Jointly establish a performance monitoring framework with the Department.	MUST	5.3.2 — Performance Monitoring
PGOV-0176	Support Department in analyzing performance data; report variances promptly.	MUST	5.3.2 — Performance Monitoring
PGOV-0177	Develop a Corrective Action Plan when deficiencies are identified, with root cause, measures, and timelines.	MUST	5.3.2 — Performance Monitoring
PGOV-0178	Submit a Contract Closeout Plan no later than twelve (12) months before Contract end.	MUST	5.3.3 — Contract Closeout
PGOV-0179	During Closeout: demonstrate completion, prepare documentation, provide details, verify via Checklist.	MUST	5.3.3 — Contract Closeout
PGOV-0180	Invoice per Contract terms; maintain cost allocation; track spending; submit Cost Allocation Plan annually.	MUST	5.4 — Financial Tracking
PGOV-0181	All Contract changes MUST be approved in writing, within scope, per existing terms, with rationale and costs.	MUST	5.5 — Contract Change Control
PGOV-0182	Manage non-Contract modifications per Section 3.0 or 4.0 .	MUST	5.5 — Contract Change Control
PGOV-0183	Adhere to onboarding/offboarding procedures; maintain detailed records and provide reports.	MUST	5.6 — Staff Onboarding/Offboarding
PGOV-0184	Onboarding: training before access, background checks, security clearances, confidentiality agreements.	MUST	5.6.1 — Access Control
PGOV-0185	Offboarding: notify immediately, revoke access, collect equipment, document knowledge transfer.	MUST	5.6.1 — Access Control
PGOV-0186	Develop and maintain Staffing Qualification Matrix; submit for Department approval.	MUST	5.6.2 — Staffing Qualification Matrix
PGOV-0187	Submit resumes with experience mapping and qualification gap analysis for proposed staff.	MUST	5.6.2 — Staffing Qualification Matrix
PGOV-0188	Not assign staff without written Department approval; changes require same approval process.	MUST	5.6.2 — Staffing Qualification Matrix
PGOV-0189	Maintain current staff records and provide regular reports per Contract schedule.	MUST	5.6.2 — Staffing Qualification Matrix
PGOV-0190	Conduct all official correspondence through written transmittals.	MUST	5.7 — Transmittal Process
PGOV-0191	Official correspondence MAY include deliverables, invoices, staffing changes, Task Orders, change orders, procurement items, and reports.	MAY	5.7 — Transmittal Process
PGOV-0192	Send e-mails to the shared Department mailbox; ensure authorized individuals are on distribution lists.	MUST	5.7 — Transmittal Process
PGOV-0193	Create and maintain Deliverable Management Plan; create, update, submit, and complete deliverables per Contract and DEDs.	MUST	5.8 — Deliverable Management

PGOV-0194	Provide draft deliverables for Department review; conduct walkthroughs as necessary.	MUST	5.8.1 — Draft Deliverables
PGOV-0195	Submit via transmittal; use Department tools; develop collaboratively with QA certification; respond to revisions within 5 business days.	SHOULD	5.8.2 — Deliverable Acceptance
PGOV-0196	No changes to accepted deliverables without Department approval; supply tracking procedures; exchange through transmittal.	MUST	5.8.2 — Deliverable Acceptance
PGOV-0197	Deliver to OHIP at transition-out all breach notifications and contract documents in a form suitable for OHIP's retention (OHIP retains breach notifications for six (6) years and contract documents for seven (7) years after contract expiration).	MUST	5.9 — Documentation and Records
PGOV-0198	Maintain financial and pertinent records for three (3) years from final payment, or until audit/litigation resolution.	MUST	5.9 — Documentation and Records
PGOV-0199	Utilize OHIP's Document Management tool; provide central repository with access controls and version control.	MUST	5.9.1 — Document Management Guidance
PGOV-0200	Avoid sending documents as attachments; use Department-approved tools for external storage.	MUST	5.9.1 — Document Management Guidance
PGOV-0201	Propose directory structure (max 3 subfolder levels); follow naming convention; use version control for date tracking.	MUST	5.9.1 — Document Management Guidance
PGOV-0202	Meeting Minutes MAY be appended with date information to distinguish between recurrences.	MAY	5.9.1 — Document Management Guidance
PGOV-0203	Document all escalation discussions, actions, and decisions; provide daily updates during escalation.	SHOULD	5.10 — Escalation Management
Appendix PGOV-0204 to PGOV-0207 4 Requirements: MUST 2 SHOULD 1 MAY 1			
PGOV-0204	Produce and submit all Appendix A Deliverables in the format, structure, and cadence specified by OHIP.	SHOULD	Appendix A — Deliverables and Artifacts
PGOV-0205	Upon notice of Appendix A modifications, comply with all updated requirements.	MUST	Appendix A — Deliverables and Artifacts
PGOV-0206	For OHIP-designated limited-scope projects, the Contractor MAY propose deliverable consolidation through the SDR process, preserving all Appendix A content elements within an integrated Project Management Plan.	MAY	1.7.3 — Project Scale Tailoring
PGOV-0207	Obtain OHIP approval of any tailoring proposal before applying it; tailoring MUST NOT remove, weaken, or defer any MUST requirement.	MUST	1.7.3 — Project Scale Tailoring

Appendix C: Federal Funding Overview

This section provides informational context on the federal funding mechanisms that govern OHIP projects. It does not contain new contractor requirements.

C.1 Federal Financial Participation (FFP)

The Department's initiatives are complemented by FFP, where the federal government shares project costs. This partnership reduces the fiscal burden on the state by providing funding for eligible activities. The cost-sharing ratios (e.g., 90/10, 75/25, 50/50) influence project planning and execution.

- **90/10 FFP:** Available for the DDI of MES.
- **75/25 FFP:** Available for the ongoing M&O of certified MES solutions.
- **50/50 FFP:** Supports ongoing administrative activities not covered by other ratios. Sample activities can include personnel and training costs not associated with DDI.

C.2 Advance Planning Document (APD)

To receive enhanced FFP, OHIP **MUST** participate in the CMS APD process to obtain prior approval for projects. Key APD types include:

- **Planning APD (PAPD):** For the initial phase to determine project feasibility and costs.
- **Implementation APD (IAPD):** A plan of action to acquire FFP for the DDI of a system.
- **Operations APD (OAPD):** An annual, high-level update on the status and costs of system M&O.
- **APD Updates (PAPDU, IAPDU, OAPDU):** Routine annual reports on the status of approved projects and for requesting continued funding.
- **As-Needed APDU:** An update initiated if significant changes occur to an approved project's scope, schedule, or cost.

Appendix D: Communication Methods Reference

The following communication methods are recognized for use on OHIP MES projects. The appropriate method for each communication type **MUST** be documented in the project's Communication Matrix ([Section 2.8.1](#)).

Table 11 – Communication Methods

Method	Description	Best Used For
Interactive Communication	A multidirectional exchange of information involving two (2) or more parties. Includes meetings, telephone calls, and video conferencing, where recipients can ask questions and engage in discussion. This is the most effective method for ensuring shared understanding among participants.	Status meetings, design reviews, decision-making sessions, issue resolution, stakeholder presentations
Push Communication	A single-directional method involving sending a specific message to specific recipients. Ensures distribution of information but does not confirm that the information was received or understood.	Reports, emails, faxes, voicemails, memorandums, press releases, formal notifications
Pull Communication	A method suited to large volumes of information or large audiences, where recipients access content at their own discretion.	Project websites, e-learning modules, knowledge bases, shared document repositories, file sharing solutions

Appendix E: Quality Areas and Descriptions

Table 12 – Quality Areas and Descriptions

Example Quality Area	Description
Performance Metrics	<ul style="list-style-type: none"> • Response Time: Measures the time taken to respond to user inputs or requests. • Throughput: Assess the number of transactions or operations the system can process in a given time frame. • Latency: Time delay experienced in processing requests, often critical in real-time systems.
Reliability Metrics	<ul style="list-style-type: none"> • Mean Time Between Failures (MTBF): Average time between system failures, indicating system stability. • Mean Time to Repair (MTTR): Average time taken to fix an issue and restore system functionality. • Failure Rate: Frequency of system failures over a specified period.
Usability Metrics	<ul style="list-style-type: none"> • Task Completion Rate: Percentage of tasks completed successfully by users. • Error Rate: Frequency of user errors when operating the system. • User Satisfaction: Typically measured through surveys and feedback.
Security Metrics	<ul style="list-style-type: none"> • Number of Incidents: Count of security breaches or attempted intrusions within a specific period. • Vulnerability Density: Number of vulnerabilities identified per unit size of code. • Time to Resolve Vulnerabilities: Average time taken to fix identified security issues.
Scalability Metrics	<ul style="list-style-type: none"> • Load Handling: System performance evaluated under increased load conditions. • Concurrent User Capacity: Maximum number of users the system can support simultaneously without degradation.
Maintainability Metrics	<ul style="list-style-type: none"> • Code Complexity: Assessments such as cyclomatic complexity to measure code maintainability. • Change Request Turnaround Time: Time taken to implement changes or enhancements in the system. • Defect Density: Number of defects identified per unit size of code.

Interoperability Metrics	<ul style="list-style-type: none"> • Integration Time: Time required to integrate the system with other systems. • Data Exchange Completeness: Measure of successful data exchanges between systems
Availability Metrics	<ul style="list-style-type: none"> • Uptime Percentage: Percentage of time the system is operational and available to users. • Downtime Duration: Time duration when the system is unavailable.
Cost Metrics	<ul style="list-style-type: none"> • Cost per Transaction: Calculating system operational costs per unit of work. • Total Cost of Ownership (TCO): Comprehensive cost analysis, including implementation, operation, and maintenance.

Appendix F: Contract Implementation Readiness Checklist

The following checklist is a reference tool for validating that all stakeholders share a common understanding of Contract requirements at the conclusion of the Contract implementation period ([Section 5.3.1](#)). This checklist is not an enforceable deliverable—it is a guidance resource to support the Contractor and the Department in confirming implementation readiness.

Contractor and Stakeholder Readiness

By the end of the implementation period, all stakeholders should be able to confirm the following:

#	Question	Confirmed
1	What is the Contractor expected to do under this Contract?	☐
2	When is the Contractor required to provide each deliverable?	☐
3	Where is the Contractor to perform required activities?	☐
4	How will the Contractor communicate to the Department that Contract terms have been satisfied?	☐
5	How is the Contractor to invoice the Department for goods or services?	☐
6	What is the maximum amount the Contractor is authorized to bill?	☐
7	What information must be included on each invoice?	☐
8	How and to whom must the Contractor submit invoices?	☐
9	What is at risk if the Contractor fails to perform as required?	☐

Contract Manager Readiness

In addition, Contract managers should be able to confirm the following for each Contract term:

#	Question	Confirmed
10	How will the Department verify that the Contractor fulfilled all expectations throughout the term?	☐
11	What is the Department's recourse if the Contractor does not perform as required?	☐

Appendix G: Acronyms

The following acronyms are used throughout the OHIP Program and Project Management Domain Document.

APD: Advance Planning Document
BOE: Basis of Estimate
CAP: Corrective Action Plan
CFR: Code of Federal Regulations
CMBOK®: Contract Management Body of Knowledge
CMS: Centers for Medicare & Medicaid Services
CRER: Contract Reporter Exemption Request
CTO: Chief Technology Office
DDI: Design, Development, and Implementation
DED: Deliverable Expectation Document
DOH: Department of Health (New York State)
DOS: Division of Operations and Systems (New York State)
E&E: Eligibility and Enrollment
EDW: Enterprise Data Warehouse
eMedNY: Electronic Medicaid of New York
EVM: Earned Value Management
FFP: Federal Financial Participation
FTI: Federal Tax Information
HIPAA: Health Insurance Portability and Accountability Act
IMS: Integrated Master Schedule
IRS: Internal Revenue Service
IS: Information System
IT: Information Technology
KPI: Key Performance Indicator
MCD: Medicaid Confidential Data
MECM: Medicaid Eligibility and Client Management
MES: Medicaid Enterprise System
M&O: Maintenance and Operations
MTBF: Mean Time Between Failures
MTTR: Mean Time to Repair
NYS: New York State
OCM: Organizational Change Management
OHIP: Office of Health Insurance Programs (New York State)
ORR: Operational Readiness Review
OS: Operating System
PCR: Project Change Request
PHI: Protected Health Information
PID: Project Initiation Document
PII: Personally Identifiable Information
PMBOK®: Project Management Body of Knowledge
PMI: Project Management Institute
PMO: Project Management Office
QA: Quality Assurance
RACI: Responsible, Accountable, Consulted, Informed
RAID: Risks, Action Items, Issues, and Decisions
RFP: Request for Proposal
RTM: Requirements Traceability Matrix
SaaS: Software as a Service

SDI: System and Data Integrator
SDLC: Solution Development Life Cycle
SDR: Standards Deviation Request
SIT: System Integration Testing
SLA: Service Level Agreement
SMC: Streamlined Modular Certification
SOP: Standard Operating Procedure
TCO: Total Cost of Ownership
UAPD: Update to the Advance Planning Document
UAT: User Acceptance Testing