Approvals

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Title: Project Sponsor

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I. Overview
The Construction Management System (CMS) project team will minimize conflicts and resolve issues through constant communication with the project sponsor(s), project manager, and other project stakeholders. The CMS project manager will negotiate or mediate conflict resolution, or both, and will encourage project stakeholders to seek win-win solutions to their problems when possible. During the issue process, the CMS issue manager ensures all issues are processed and documented when utilizing the issue management process. Each issue identified for the CMS project will be logged, prioritized, and resolved within an appropriate timescale.

II. Definitions
Issue: A point or matter under discussion in question or in dispute and about which there are opposing views.

Risk: An event or condition that has an effect on the CMS project objectives.

Project Management Change (PMC): Changes that require one or more of the following—CMS budget, CMS schedule, or CMS scope.

Organizational Change (OC): Change that affects the CMS business process and could have an effect on the division’s construction program policy, procedure, contract specifications, or training.

III. CMS Issue Management Process
Any CMS stakeholder can initiate an issue by completing an issue form and submitting it to the CMS issue manager.

During the beginning of the CMS issue management process, the CMS issue manager or CMS project team will determine if the proposed issue is outside the CMS scope and if a posed risk to the CMS project is present. If the proposed issue is in the CMS scope and poses no risk, the issue will be logged, have an issue classification assigned, and appoint an issue investigator. At any time, the stakeholder may withdraw an issue.

IV. Out of CMS Scope
If the issue submitted by the stakeholder is outside the CMS scope, the CMS issue manager will inform the stakeholder of the CMS project team’s decision. The stakeholder may appeal the CMS project team’s decision and resubmit the issue for review by the CMS project team. If determination of the issue is appealed, the CMS issue manager will assign it as Class-5 and start the CMS investigation process.
For reference, the CMS scope is described in the CMS request for proposal.

V. Risk
If the “issue” is an event or condition has an effect on the project’s objectives, the CMS project team will assign it to the CMS risk manager for possible inclusion in the CMS risk management plan. The CMS issue management process will not address risk.
**VI. CMS Issue Investigation Process**

After the CMS project team’s decisions of in-scope and no-risk, the CMS project team will assign a classification of 1, 2, 3, 4, or 5 based on the table below. The CMS project team may consult with subject matter experts in setting the class.

<table>
<thead>
<tr>
<th>Class</th>
<th>Impact Description</th>
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<tbody>
<tr>
<td>1</td>
<td>Critical Business Impact: CMS or the CMS project does not and cannot function without a solution to the problem. No workaround is available.</td>
</tr>
<tr>
<td>2</td>
<td>Serious Business Impact: CMS or the CMS project do not and cannot function without a solution to the problem, but a workaround is available.</td>
</tr>
<tr>
<td>3</td>
<td>Functional: CMS is functioning with a work-around. Proposed changes to the project plans are level 3 issues.</td>
</tr>
<tr>
<td>4</td>
<td>Business Process Definition: An issue relating to how the Department will use CMS or how a stakeholder believes the Department should or might use CMS.</td>
</tr>
<tr>
<td>5</td>
<td>Information Request: Assistance with performing functions within CMS or clarifying or explaining an item related to CMS.</td>
</tr>
</tbody>
</table>

After the issue class has been assigned, the CMS project team will assign the issue to the appropriate project team member as investigator. The issue log will be updated by the CMS issue manager.

a. **Issue Log**

The CMS issue log will be used to document, prioritize, and track issues encountered in the CMS project. The CMS issue manager will be responsible for the creation, entry and maintenance of the CMS issue log. The CMS issue log will be made available for all appropriate interested parties to review.

b. **Class-5 Issues**

All Class-5 issues will be investigated and resolved by the CMS investigator. The CMS investigator will take any necessary action and inform the CMS project team that the issue is resolved. The CMS issue manager will close the issue in the CMS issue log and inform the stakeholder the issue is closed. All Class-5 issues will be resolved with no escalations or appeals.

c. **Class-4 Issues**

The CMS investigator will investigate and analyze options for resolving the issue along with expected outcomes. The CMS investigator will submit the analysis and a best-option recommendation to the CMS project team. The CMS issue manager will update the CMS issue log. All Class-4 issues will be resolved with no escalations or appeals. If change is required the issue will go through either the CMS PMC process or the CMS OC process or both processes.

d. **Class-2 and Class-3 Issues**

The CMS investigator will apply the workaround and ensure it is operating. The CMS investigator will investigate and analyze options for resolving the issue along with expected outcomes. The CMS investigator will submit the analysis and a best option recommendation to the CMS project team. The CMS issue manager will update the CMS issue log and the CMS project team will discuss the issue with the CMS project
manager. The CMS project manager will review the issue. They may resolve the issue, decide a change is required, or escalate the issue to the CMS project sponsor. If the recommendation requires change, the Issue will go through either the CMS PMC process or the CMS OC process. Once the issue is resolved, the CMS issue manager will close the issue in the CMS issue log and inform the stakeholder of the outcome. If the issue requires a change or escalation, the issue manager will inform the stakeholder of the outcome. The stakeholder has an option to appeal if the stakeholder does not agree with the issue outcome from the CMS issue management process.

e. Class-1 Issues
The CMS project manager will be the investigator for all class 1 issues. All necessary resources will be dedicated to the issue until a workaround or fix is in place to resolve the issue or reduce it to Class 2 or 3. The CMS project manager will review the issue and may resolve the issue, decide a change is required, or escalate the issue to the CMS project sponsor. If the recommendation requires change, the issue will go through either the CMS PMC process or the CMS OC process. After resolution of the issue, the CMS issue manager will close the issue in the issue log and inform the stakeholder of the outcome.

VII. Escalation or Appeal of an Issue at Class 1, 2 or 3
The CMS project manager will forward and discuss all issue escalations and appeals with the CMS project sponsor. Before an issue is escalated, the CMS project manager’s options for resolution are a) change is required, b) a new issue has emerged, or c) acceptance or rejection of the issue.

After the issue has been escalated or appealed, the CMS project sponsor will adopt one of the following: accept or reject, need additional information, refer issue to others, change is needed, or a new issue has emerged. If the CMS project sponsor decides to accept or reject the issue, the stakeholder will be notified and the CMS issue manager will update the CMS issue log. The CMS project sponsor might require additional information from the CMS project team or the stakeholder before the issue can be resolved. The CMS project sponsor can also refer the issue to the CMS project steering committee or others as necessary.

If an issue has been referred to the CMS steering committee, the decisions by the committee are, accept, or reject, a change is needed, or a new issue has emerged. The CMS issue manager will log the resolution of the issue and notify the stakeholder of the outcome.

When an issue is up for appeal the CMS project manager will discuss the issue with the stakeholder and then bring it to the CMS project sponsor. The CMS project manager will submit a single-page, written report to the CMS project sponsor summarizing the issue and showing both the CMS project manager’s decision and the appealer’s recommendation.

VIII. Reopen an Existing Issue
Any CMS stakeholder may reopen a closed issue and follow the issue process described above.
IX. CMS Change Management
Two possible types of change on the CMS project are project management change and organizational change:

1. Project management changes require one or more of the following: CMS budget, CMS schedule, or CMS scope.

2. Organizational change affects the CMS business process and might affect the division’s construction program policy, procedure, contract specifications, or, training.

These two types of change can occur in Issue Class 1, 2, 3, and 4 and can be either stand-alone or together.

X. New Issue From an Existing Issue
If a new issue is created from an existing issue, it will follow the above process.
XI. Appendix

CMS Issue Management Form A1

CMS Issue Management Log A2

CMS Issue Management Process A3

CMS Issue Investigation Process A4

CMS Issue Escalation Process (Class 1, 2, and 3) A5

CMS Issue Appeal Process (Class 1, 2, and 3) A6

Revision History A7
# CMS Issue Management Form

<table>
<thead>
<tr>
<th>Issue ID #:</th>
<th>Date Issue Opened:</th>
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<tbody>
<tr>
<td>Issue Title:</td>
<td>Target Date:</td>
</tr>
<tr>
<td>Phase #:</td>
<td>Date Issue Closed:</td>
</tr>
<tr>
<td>Req. #:</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Issue Class (Circle One)</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Stakeholder Name:</th>
<th>Investigator Name:</th>
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</thead>
<tbody>
<tr>
<td>Stakeholder Phone #:</td>
<td>Investigator Phone #:</td>
</tr>
<tr>
<td>Stakeholder Email:</td>
<td>Investigator Email:</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Risk ID #:</th>
<th>Risk Owner:</th>
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</thead>
</table>

**Issue Description:**

**Options for Resolving Issue (to be Completed by CMS Investigator):**

**Status Log of Issue:**

<table>
<thead>
<tr>
<th>Date</th>
<th>Status</th>
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<tbody>
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**Final Comments/Recommendations By CMS Investigator:**

**CMS Investigator/CMS Project Manager:**

Resolved (Yes or No): ________ Name: ______________ Date: __________ New Issue (Yes or No): ________

Appeal (Yes or No): ________ Change Process: [PMC] [OC] [ ] Accept [ ] Reject

Escalation (Yes or No): ________

**CMS Project Sponsor:**

[ ] Accept [ ] Reject [ ] Need Additional Information

New Issue (Yes or No): ________ Change Process: [PMC] [OC] Refer to: __________
<table>
<thead>
<tr>
<th>Issue ID #</th>
<th>Priority (H, M or L)</th>
<th>Active/Inactive/Hold (A/I/H)</th>
<th>Potential Risk? (Y/N)</th>
<th>In scope? (Y/N)</th>
<th>Class (1 to 5)</th>
<th>Ref. ID #'s</th>
<th>Issue Title (Issue Description)</th>
<th>Date Opened</th>
<th>Target Date</th>
<th>Stakeholder</th>
<th>Investigator</th>
<th>Status Log</th>
<th>Option Log</th>
<th>CMS Investigator</th>
<th>CMS Project Manager</th>
<th>CMS Project Sponsor</th>
<th>Status</th>
<th>Pro/Con Options</th>
<th>Issue Resolved (Y/N)</th>
<th>Appeal (Y/N)</th>
<th>Escalation (Y/N)</th>
<th>Change Process (PMC &amp;/or OC)</th>
<th>Accept/Reject (A or R)</th>
<th>New Issue (X)</th>
<th>Need Additional Information (X)</th>
<th>Refer (X)</th>
<th>Refer to</th>
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CMS Issue Management Process

**Stakeholder**
- Complete Issue Form

**CMS Issue Mgr.**
- Risk?
  - Yes: Inform Risk Manager
  - No: Inside CMS Scope?
    - Yes: Approve Issue?
      - No: Inform Stakeholder Issue has been Sent to CMS Risk Manager
      - Yes: CMS Risk Management Process
    - No: Stakeholder Issue is out of CMS Scope

**CMS Project Team**
- Inform Stakeholder Issue has been Sent to CMS Risk Manager
- Assign Investigator
- CMS Investigation Process

**Agree?**
- No: Resubmit Issue
CMS Issue Investigation Process

CMS Investigator

- Class 5
  - Address Issue
  - Take Necessary Action
  - Resolve Issue
  - Update CMS Log & Inform Stakeholder
  - Issue is Closed

- Class 4
  - Analyze & Recommend "Best Option" To CMS Project Team
  - Update CMS Project Committee & Take Action
  - Resolve Issue
  - Change
  - CMS Change Process

- Class 3
  - Apply & Ensure Workaround Is operating
  - Analyze & Recommend "Best Option" To CMS Project Team
  - Discuss with CMS Project Manager & CMS Project Team
  - Action
  - Change
  - Escalation/Appeal

- Class 2

CMS Project Manager

- Class 1
  - Allocate Resources Until Fix or Workaround in Place
  - Escalation/Appeal
  - Resolve Issue
  - Change
  - CMS Change Process
  - Update CMS Log & Inform Stakeholder Issue is Closed
CMS Issue Escalation Process (Class 1,2 & 3)

CMS Project Manager
- Issue
- Action
- New Issue
  - Change
  - Accept/Reject
  - Escalation
    - Discuss with CMS Sponsor
    - Need Information
      - Back to CMS PM For additional Information & Resubmit

CMS Project Sponsor
- Discuss with CMS Sponsor
  - Action
  - Accept/Reject
  - Change
  - New Issue
  - Refer
  - Update CMS Log & Inform Stakeholder Of Decision
  - Refer Issue To Others

CMS Steering Committee
- Discuss with CMS Project Steering Committee
- Action
  - Accept/Reject
  - Change
  - New Issue
  - Update CMS Log & Inform Stakeholder Of Decision
  - CMS Issue Management Process
  - CMS Change Process
CMS Issue Appeal Process (Class 1, 2 & 3)

1. **Stakeholder**
   - Agree?
   - Appeal

2. **CMS Project Manager**
   - Update CMS Log & Inform Stakeholder Of Decision
   - Stakeholder & CMS PM will Discuss Issue
     - CMS PM will Brief Issue to CMS Project Sponsor
     - Provide Written Report

3. **CMS Project Sponsor**
   - Discuss Issue With CMS Sponsor
   - Accept/Reject

   - Update CMS Log & Inform Stakeholder Of Decision
## REVISION HISTORY

<table>
<thead>
<tr>
<th>Date</th>
<th>Revision</th>
</tr>
</thead>
<tbody>
<tr>
<td>September 13, 2007</td>
<td>Rev. 2 - Modified CMS Issue Form.</td>
</tr>
<tr>
<td>May 6, 2009</td>
<td>Rev. 3 - Updated Issue Plan, Issue Management Form, Issue Management Log, Flow Charts</td>
</tr>
</tbody>
</table>