

# AHCA Florida Health Care Connections (FX)

## Organizational Change Management Plan

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## Revision History

| DATE      | VERSION | DESCRIPTION   | AUTHOR         |
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Modifications to the approved baseline version (100) of this artifact must be made in accordance with the Artifact Management Standards.



## Quality Review History

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## Table of Contents

|           |   |    |
|-----------|---|----|
| Section 1 | Introduction .....  | 1  |
| 1.1       | Background.....   | 1  |
| 1.2       | Purpose .....   | 1  |
| 1.3       | Goals and Objectives .....  | 2  |
| 1.4       | Referenced Documents .....  | 2  |
| Section 2 | Roles and Responsibilities .....  | 3  |
| Section 3 | FX Program Level OCM .....  | 5  |
| 3.1       | Organizational Structure for FX OCM.....  | 7  |
| Section 4 | Assessing Change Readiness, Promoting a Culture of Change and<br>Communication/Training Opportunities ..... | 8  |
| 4.1       | Change Readiness Assessment .....   | 8  |
| 4.1.1     | Change Readiness Evaluation Methodology.....  | 9  |
| 4.2       | Promoting a Culture of Change.....  | 9  |
| 4.3       | Communications and Training Overview.....   | 10 |
| 4.3.1     | Opportunities .....   | 11 |
| 4.3.2     | Current and Future Potential Communications Channels.....   | 12 |
| 4.4       | FX Sponsorship Model.....   | 12 |
| 4.4.1     | Identifying Project Sponsors .....  | 14 |
| 4.4.2     | Engaging and Preparing Sponsors .....   | 15 |
| Section 5 | FX Project Level OCM.....   | 17 |
| 5.1       | FX RACI Matrix.....   | 17 |



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## Table of Exhibits

|   |    |
|---|----|
| Exhibit 2-1: Roles and Responsibilities .....                         | 4  |
| Exhibit 3-1: Program Level Activities .....                           | 6  |
| Exhibit 3-2: Project Level Activities.....                            | 7  |
| Exhibit 4-1: Communication Tools Considered.....                      | 12 |
| Exhibit 4-2: FX Governance Model (as of July 1, 2020).....            | 13 |
| Exhibit 4-3: FX Project Sponsorship within the Governance Model ..... | 13 |
| Exhibit 4-4: Sample FX Sponsorship Diagram .....                      | 15 |
| Exhibit 4-5: Sample Sponsorship Roadmap .....                         | 16 |
| Exhibit 5-1: FX RACI: OCM Activities.....                             | 19 |



## SECTION 1 INTRODUCTION

### 1.1 BACKGROUND

The Florida Agency for Health Care Administration (AHCA or Agency) is adapting to the changing landscape of health care administration and increased use of the Centers for Medicare and Medicaid Services (CMS) Medicaid Information Technology Architecture (MITA) to improve the administration and operation of the Florida Medicaid Enterprise. The current Florida Medicaid Enterprise is complex; it includes services, business processes, data management and processes, technical processes within the Agency, and interconnections and touchpoints with systems necessary for administration of the Florida Medicaid program that reside outside the Agency. The future of the Florida Medicaid Enterprise integration is to allow the Agency to secure services that can interoperate and communicate without relying on a common platform or technology.

The Florida Medicaid Management Information System (FMMIS) has historically been the central system within the Florida Medicaid Enterprise; functioning as the single, integrated system for claims processing and information retrieval. As the Medicaid program has grown more complex, the systems needed to support the Florida Medicaid Enterprise have grown in number and complexity.

The Medicaid Enterprise System (MES) Procurement Project was re-named Florida Health Care Connections (FX) in the summer of 2018. FX is a multi-year transformation to modernize the current Medicaid technology using a modular approach, while simultaneously improving overall Agency functionality and building better connections to other data sources and programs.

### 1.2 PURPOSE

The purpose of this Organizational Change Management (OCM) Plan is to serve as a guide for FX OCM resources at both the Program Level and the Project Level to coordinate and execute FX change-related activities. At the Program Level, OCM is led by Agency representation from the FX Program Administration Team and includes supporting resources from the Agency and advisement/support from the SEAS Vendor as needed. OCM resources work in a coordinated fashion to deliver the following:

- **Program Level OCM:** The FX Program Administration Team has assigned a resource to oversee Program Level OCM activities (the FX Program OCM Lead). The scope of Program Level OCM includes focusing on those activities that generate high-level change awareness, desire, and reinforcement around FX.
- **Project Level OCM:** The FX Project Liaison, along with the Program OCM Lead, supports and advises Project Level OCM as needed. Tactical activities and execution are owned by the FX Project Vendor(s) along with the Agency assigned FX Project Sponsor and/or Team Lead. The scope of Project Level OCM includes generating project-specific change awareness, desire, knowledge, ability, and reinforcement around the specific project.



### 1.3 GOALS AND OBJECTIVES

The primary goal of the OCM Plan is to define roles and responsibilities, identify processes and standards, and establish an OCM model at the Program and Project Levels. Three objectives are met in this OCM Plan.

- **Objective #1** – Define expectations, roles, and responsibilities of Program Level OCM and Project Level OCM.
- **Objective #2** – Describe the activities at both the Program Level and Project Level for OCM.
- **Objective #3** – Describe and define the interaction and responsibility of OCM resources, FX Governance, and Project Level Sponsors and/or Team Leads in promoting a culture of change.

### 1.4 REFERENCED DOCUMENTS

The following documents, housed in the FX Projects Repository, are referenced in the OCM Plan and provide valuable information:

- FX Program Stakeholder Analysis
- FX Program Style and Writing Guide



## SECTION 2 ROLES AND RESPONSIBILITIES

The table in **Exhibit 2-1: Roles and Responsibilities** below describes the roles and responsibilities of various team members executing the OCM Plan.

| ROLE                | DESCRIPTION / RESPONSIBILITIES   |
|---------------------|--|
| FX Change Network   | <ul style="list-style-type: none"> <li>▪ Agency staff member(s) assigned by leader(s) of impacted area (i.e., bureau, section, and/or unit)</li> <li>▪ Attend scheduled FX Change Network meetings</li> <li>▪ Review provided materials, ask for clarification when needed, and share messages with peers within their respective area</li> <li>▪ Assist in the creation or shaping of messages</li> <li>▪ Participate in outreach activities as requested</li> <li>▪ Act as a point of contact for peers within their area and escalate questions, concerns, and feedback to the Change Network team</li> </ul>       |
| FX Program OCM Lead | <ul style="list-style-type: none"> <li>▪ Member of the FX Program Administration Team</li> <li>▪ Execute Program Level OCM activities across the Agency and other agencies of the state</li> <li>▪ Support and advise, as needed, Project Level OCM activities</li> </ul>  |
| FX Project Liaison  | <ul style="list-style-type: none"> <li>▪ Member of the FX Program Administration Team</li> <li>▪ Assigned to a specific FX module implementation as a supporting OCM resource for the project</li> <li>▪ Provide subject matter expert (SME) support to the project team</li> <li>▪ Connect Project Level OCM resources with Agency points of contact as needed</li> <li>▪ Keep the FX Program OCM Lead aware of the status of Project Level OCM-specific updates, including key activities completed, upcoming activities that need support, identified risks, issues, and potential mitigation strategies</li> </ul> |
| FX Project Sponsor  | <ul style="list-style-type: none"> <li>▪ Agency assigned executive to champion/sponsor a given FX Project</li> <li>▪ Participate actively and visibly throughout the FX Program</li> <li>▪ Communicate directly with employees and work with OCM team members (at Program and Project Level) to identify opportunities and activities to participate in as part of outreach</li> <li>▪ Support the FX Project Team Lead to understand change-related concerns identified and be part of supporting the mitigation strategies to address resistance and support FX adoption</li> </ul>                                  |





| ROLE                    | DESCRIPTION / RESPONSIBILITIES   |
|-------------------------|--|
| FX Project Team Lead    | <ul style="list-style-type: none"><li>▪ Agency assigned resource to lead day-to-day project activities</li><li>▪ Work with FX Vendor OCM resources to confirm communication and outreach activities that will be conducted at the Project Level</li><li>▪ Participate in outreach activities for internal and external stakeholders</li><li>▪ Provide regular status to FX Project Sponsor and request assistance to support outreach activities</li></ul>                 |
| FX Project Team Members | <ul style="list-style-type: none"><li>▪ Agency assigned team members to support a given project</li><li>▪ Support the identification of internal and external stakeholders for the project</li><li>▪ Participate in outreach activities for internal and external stakeholders</li><li>▪ Support change related to the project</li></ul>   |
| FX Vendor OCM Resources | <ul style="list-style-type: none"><li>▪ Members of the FX Vendor team that are responsible for OCM scope</li><li>▪ Plan and execute Project Level OCM activities in close coordination with the Agency project team members</li><li>▪ Impart project-specific knowledge to the appropriate stakeholders (e.g., managing training, producing and delivering presentations, drafting project-specific messaging)</li><li>▪ Support change related to their project</li></ul> |

**Exhibit 2-1: Roles and Responsibilities**



## SECTION 3 FX PROGRAM LEVEL OCM

Addressing the people side of change, OCM is intended to help manage the effect of new business processes, changes in organizational structure, or cultural changes related to FX. To support this program-level view, the FX Program OCM Lead will be a contributor to and integrated with all related Agency operational functions such as Procurement, FX Enterprise Program Management Office (EPMO), FX Portfolio Management, and FX Governance bodies. This cooperation across functions facilitates the smooth transition from one state of operations to another, continuously quantifies OCM value through scheduled surveys, and provides an overall FX-wide series of coordinated messages across project starts and finishes. As FX continues to grow, there will be an ongoing functional need for this OCM coordination.

This section of the OCM Plan provides additional detail of the role and activities that the FX Program OCM Lead owns at the Program Level and supports and/or integrates at the Project Level as shown in the Error! Reference source not found. table below.

|   | ACTIVITY  | DESCRIPTION   |
|---|---|---|
| 1 | Maintain FX Program Communication Work Plan (CWP) | The CWP includes the following information about each task, as appropriate/available: <i>Program/Project Name, Task Name, Task Description, Audience, Task-Supporting Vehicle, Key Messages, Frequency/Recurrence, Planned Start Date, Planned End Date, Staff Lead, Task Status, Task Progress and Comments</i> . The FX Program OCM Lead maintains a Program-Level version of the CWP and is responsible for updating the CWP. Planned and published project level communications and activities are given to the FX Program OCM Lead so that this information can be reflected in the comprehensive CWP. |
| 2 | Maintain FX Program Stakeholder Analysis          | The FX Program Stakeholder Analysis is a list of any potential stakeholders affected by FX (Agency-wide, other agencies, and interested parties). This is also used as a starting point and input for projects when creating a Project Level Stakeholder Analysis. A Project Level Stakeholder Analysis is a subset that identifies everyone participating in any way on a particular project; these are stored in specific project folders (e.g., Integration Services and Integration Platform (IS/IP), Enterprise Data Warehouse (EDW), etc.) in the FX Projects Repository.                             |
| 3 | Create and Distribute Communications              | These are communications that are executed based on planned activities in the CWP. These may include, but are not limited to, FX Portal updates, drafting emails from leadership related to FX, articles, and presentations.  |
| 4 | FX Executive Steering Committee (ESC) activities  | FX ESC activities include coordinating meetings and briefings, creating and publishing an agenda, notices and other materials, and conducting the FX ESC meeting.   |
| 5 | Maintain FX Portal (internal)                     | This includes recurring refreshes, as needed, to the FX Portal to keep Agency staff aware of FX updates.  |
| 6 | Maintain FX Website (external)                    | This includes recurring refreshes, as needed, to the FX Website to keep public-facing information updated for external stakeholders.  |
| 7 | Manage FX Projects Email Account                  | This is a centralized email account that is monitored daily for FX-related requests, meeting invites, and communications.   |
| 8 | Manage FX Change Network                          | This includes the scheduling and facilitating of FX Change Network meetings, activities, and the creation, review, approval, and distribution of materials.   |



|   | ACTIVITY                             | DESCRIPTION  |
|---|--------------------------------------|--|
| 9 | Conduct Change Readiness Assessments | This assessment can be administered Agency-wide when major milestones have been met (e.g., implementation completed for all foundational projects, when cultural changes have occurred such as Secretary changes, or major FX directional changes.) The FX Program OCM Lead will also issue ongoing pulse surveys for Agency FX team members to help identify areas that potentially need attention. |

### Exhibit 3-1: Program Level Activities

Note that in the **Exhibit 3-2: Project Level Activities** table below, items 1 - 6 align with the work products and artifacts called out in the solicitation and FX Vendor contract language.

The FX Program OCM Lead would be considered an optional reviewer of project-level materials. This can be decided on a case-by-case basis for a given project and with coordination between the Agency Project Team Lead and the FX Program OCM Lead. If the FX Program OCM Lead should be a reviewer for a given work product, the Agency Project Team Lead will confirm that the FX Program OCM Lead is included as part of the review team.

The FX Program OCM Lead will be working closely with the assigned FX Program Administration Team project liaisons and will have visibility to the OCM work products across FX projects. This allows the FX Program OCM Lead to make suggestions about effective strategies that are being used in other projects to help support change adoption.

|   | ACTIVITY  | DESCRIPTION   |
|---|---|---|
| 1 | Project Level Stakeholder Analysis                    | A Project Level Stakeholder Analysis identifies the internal and external audiences participating in and/or impacted by the specific project implementation. The Agency maintains an FX Program Stakeholder Analysis that can be used as a starting point to identify the subset of audiences for the Project Level Stakeholder Analysis. The Project Level Stakeholder Analysis is also used as an input for the project's Change Management Plan. |
| 2 | Create / Maintain a Change Management Plan / Strategy | The Change Management Plan sets the foundation for the magnitude of the change that is coming. A change can affect a specific group of end users or people across the organization. This plan identifies the change characteristics and the risk level related to change acceptance and identifies suggested mitigation strategies/activities around the change.  |



|   | ACTIVITY  | DESCRIPTION   |
|---|---|---|
| 3 | Create / Maintain a Communications Approach and Communications Plan | The Communications Approach includes the key stakeholder groups impacted by the change (i.e., those identified in the Project Level Stakeholder Analysis), identifies available communication channels for use with those key stakeholder groups, and documents risks and associated mitigation strategies around planned communication activities. The Communications Approach also describes supporting information such as communications approval processes, internal and external communications standards and processes, and distribution list management. The Communications Plan is the matrix that supports the execution of communication activities. It allows the various team members to plan and focus on presenting the right messages, at the right time, via the right channel, from the right person(s) to the right people in concert with all other messaging in progress. Project level communications will be relayed to the Agency's FX Program OCM Lead for inclusion in the Program Level Communications Planning. |
| 4 | Create / Maintain a Training Approach and Plan                      | The Training Approach and Plan identifies the delivery methods available (online tutorial, instructor-led in-class, instructor-led webinar, printed training guide, or as specifically directed and contracted by the Agency), slide deck and document formatting, consistency in terminology and acronyms, FX training objectives, scope, and success criteria. The Training Approach and Plan also includes information about the coordination and loading of materials to the Learning Management System, or approved location, the planned training schedule, considerations around logistics and delivery, and the training evaluation approach. The Training Needs Analysis, a subset within the Training Approach and Plan, assists in identifying different audiences and their training needs. The Training Approach and Plan applies to initial and ongoing training.   |
| 5 | Create / Maintain Training Materials                                | Training Materials include the supporting content used to deliver training sessions. These can include, but are not limited to, instructor and participant guides, presentations, videos, job aids, webinar materials, online manuals / online help, and brochures. Planned Training Materials and content type for a given project's training effort will be outlined as part of the Training Approach and Plan.   |
| 6 | Conduct Training Delivery   | This includes the completion of delivering training classes (for instructor-led or facilitated sessions) and/or the posting of self-study materials to the agreed upon repository .   |

### Exhibit 3-2: Project Level Activities

#### 3.1 ORGANIZATIONAL STRUCTURE FOR FX OCM

The structure to support FX OCM is a blended model. Program Level activities are centralized and managed within the FX Program Administration Team by the FX Program OCM Lead. Project OCM activities are managed by each respective project with activities primarily being completed by the FX Vendor's resources. The project will also have support and advisement from the FX Program Administration Team.

As projects progress, project sponsors, project team leads, Agency executives, and/or FX Program Administration Team resources may identify a need for OCM support or advisement.



## SECTION 4 ASSESSING CHANGE READINESS, PROMOTING A CULTURE OF CHANGE AND COMMUNICATION/TRAINING OPPORTUNITIES

This section includes an overview of the change readiness assessment, recommendations to promote a culture of change, and Program Level OCM communications and training opportunities.

### 4.1 CHANGE READINESS ASSESSMENT

The Change Readiness Assessment (CRA) measures and supports progress of stakeholders' adoption of change over time. While FX has multiple stakeholders, both within the Agency and outside of the Agency, the plan focused first on conducting CRAs with Agency staff. Other agencies of the state will be incorporated into the process at an appropriate time per the overall enterprise.

A CRA tells us if impacted stakeholders:

- Are aware of FX.
- Have found a personal reason or desire to learn more about the changes that FX will bring and move towards making those changes.
- Have secured the knowledge they need to execute any changes that come with a specific FX Project.
- Have demonstrated their ability to use their recently acquired knowledge associated with the specific FX Project.
- Are receiving the necessary reinforcement to sustain the change once the initial change events occur for a specific FX Project.

At the Program Level, a CRA conducted in May 2019 provided a baseline rating for each stakeholder's level of awareness and desire for FX. This helped OCM team members understand where to focus and/or adjust messaging. Repeating the assessment over time (e.g., ongoing pulse surveys) tracks trends, common themes, and success or impact of communications. Results can also help understand enterprise level stakeholder progress through the phases of change and can help to target assistance on projects and initiatives that need the most attention.

At the Project Level, if the project chooses to administer a CRA, the CRA addresses knowledge, ability, and reinforcement. These assessments are more relevant to survey at the project-specific level as there are specific topics and concepts that individuals would need to learn related to that project.

A similar or modified CRA could potentially be administered to other agencies of the state as FX expands integration. These agencies would be identified based on planned integration strategies for FX functionality (e.g., integration with other Health and Human Services agencies such as the Department of Children and Families (DCF) or the Department of Health (DOH)).



The FX Program OCM Lead would focus on the awareness and desire of these interagency partners towards FX, while the Project Level would focus on knowledge, ability, and reinforcement towards a specific project.

#### 4.1.1 CHANGE READINESS EVALUATION METHODOLOGY

This section presents the evaluation methodology for drawing insights from the CRAs and integrating these insights into Program Level OCM communications. There are five steps to the process as outlined below:

- **Gather Data** from surveys of Agency staff and interagency partners.
- **Aggregate and Visualize Data** to present and enable the evaluation of stakeholder-specific change readiness levels.
- **Perform Analysis** on the collected data in both text and graphic formats, to draw meaning from the results.
- **Disseminate Change Readiness Findings and Insights** to FX sponsors, FX Governance team members, including FX ESC members, and FX Project team members, which can then be used as a basis for adjusting training and communication activities across each team.
- **Act on Feedback.** Using the change readiness findings and insights, the FX Program OCM Lead prepares communications to address any gaps in awareness or desire to support FX and disseminates those communications through appropriate channels. These steps are performed each time a CRA is administered and results are analyzed.

#### 4.2 PROMOTING A CULTURE OF CHANGE

Promoting a culture of change begins with the Agency's leadership team modeling behaviors that support the changes FX is anticipated to bring. FX brings new tools and processes that require a collaborative and integrated environment to be fully realized and for the Agency to be successful. For multi-year transformations such as FX, there will be time delays for some stakeholders before they experience the benefits of new tools, processes, and workflows. While this can be perceived as a challenge, it also provides the Agency's leadership team with lead time to (1) target communications that speak to the results and outcomes of the change readiness assessment, (2) notify stakeholders of program and project progress to better plan for and integrate OCM activities around other Agency or project-specific change timelines, (3) provide training opportunities for staff around leadership and change management, and (4) embrace opportunities for new ways of working together as an Agency, ways that promote the collaboration and integration needed to make FX successful.

As projects progress, project sponsors, project team leads, Agency executives, and/or FX Program Administration Team resources may identify a need for OCM support or advisement. Requests for assistance can be filtered up to the FX Program OCM Lead. The FX Program Administration Team is also working to create a centralized approach/log for capturing and assessing identified needs for OCM assistance going forward.

- **Adjusting / Targeting Communications:** Based on the results of a given readiness assessment, the Agency can better understand a general sense of awareness and where updated communication approaches and/or specific messaging may be needed. This is also helpful in creating the right content for bureau-specific meetings and understanding any concerns that individuals may have with *change experiences* from previous implementations.
- **Notify Stakeholders:** As program and project tasks are scheduled, staff may be involved in change at different stages than their team members. Lead time may create participation anticipation/anxiety for team members who see peers moving forward in a project earlier than others. Providing progress updates can help to manage some of this anticipation and/or anxiety and address team member concerns.
- **Provide Training Opportunities:** The Agency may want to consider leadership-specific training opportunities for sponsors, team leads, and other leadership throughout the organization. This may include, but is not limited to, courses related to Effective Communication, Your Role as an FX Project Sponsor, Leading/Motivating a Multi-Generational Workforce, etc. As part of orientation activities for a given project, the Agency can also consider including initial OCM training, and roles and responsibilities for a project's team members, FX Project Sponsor, and/or Team Lead. The intent is to help prepare leaders within the Agency to guide and aid their staff as they navigate the changes over a multi-year initiative.
- **Embrace Opportunities for New Ways of Working Together (Communities of Practice):** Traditionally, divisions within the Agency have worked in a siloed fashion. To build a collaborative and integrated environment, the Agency may need to help create new ways of working together. For example, as new projects begin or others continue to evolve, and the stakeholders involved begin to work through the various phases of the project life cycle (Plan, Design, Development, etc.), the Agency is building subject matter expertise in these resources. There is an opportunity to embrace that cross-division expertise through creating informal Communities of Practice that encourage these individuals to continue working together, even post-implementation. Working together as a group, throughout the project life cycle and beyond implementation, helps to build synergy and allows the team to work together to identify solutions and common reporting approaches that benefit the Agency as a whole (as opposed to division-specific solutions). This concept can be applied across other projects and stakeholders from various divisions to support the Planning, Designing, Development, Testing, and Implementation of various FX solutions.

### 4.3 COMMUNICATIONS AND TRAINING OVERVIEW

Increasing FX adoption among Agency staff includes a focused effort on crafting communications and training to create awareness and desire for FX.

As FX progresses, the FX Program OCM Lead can consider periodic checkpoints and follow-up interview discussions with staff across the Agency. This will help to confirm that communication and outreach activities are still relevant and aligned appropriately or whether they need to be adjusted moving forward.



### 4.3.1 OPPORTUNITIES

The following communication and training activities provide an opportunity to increase awareness and desire across the Agency and can be considered throughout the lifecycle of the FX program.

- **Increase awareness and understanding of the overall goals and timeline of FX.** Increasing awareness and understanding of the overall goals and timeline of FX, at the appropriate time, provides staff with the sufficient lead time to engage team members about upcoming changes, how FX interacts and aligns with their current and upcoming tasks, and any potential impacts that may require changes in processes, tools, or technologies that staff use day-to-day. Engaging stakeholders early and promoting awareness of FX benefits and the timing of planned changes is essential for establishing preliminary stakeholder buy-in.
- **Promote understanding of the scope and impact of FX.** It is important to provide education to help ensure all Agency stakeholders are aware of their role in and impact on FX. Promoting an understanding of impact and involvement is essential in keeping key stakeholders across the Agency engaged.
- **Educate on the role and scope of OCM as appropriate.** Having the FX Program OCM Lead as part of the FX Program Administration Team helps to coordinate integrated change activities across FX projects. However, anyone actively participating in a project within FX also has an OCM role. For example, project team members can share information received at project meetings with their leadership, unit, and/or peers. Project sponsors, project team leads, and Agency leadership can educate and share information received at project meetings with staff.
- **Manage stakeholder expectations.** It is important to communicate clearly and to manage stakeholder expectations to encourage their desire to support the change. Clear and consistent messaging is key.
- **Identify *What is in it for me?*** Stakeholders must be empowered to articulate their role and benefit in FX to sustain desire and engagement. This includes changes, impacts, and/or improvements to their roles, to their day-to-day activities, their interaction with customers and peers, or to the systems they use.
- **Equip and empower leaders to promote and support the change in their areas.** While management level team members are mostly aware of FX, their staff may be unaware of FX. To increase awareness at the business level, it is important to equip managers to discuss and answer questions about FX with their staff. Managers and staff often share trust and familiarity with one another, creating a prime environment for sharing information and promoting buy-in. It is important to note that this will include field office staff. The FX Program OCM Lead will facilitate a way for leaders to escalate requests for input, advisement, or OCM activities to be considered as part of furthering FX adoption. This will help to support the Agency through the FX-related changes and help to ensure that information is presented in a consistent and coordinated manner.

### 4.3.2 CURRENT AND FUTURE POTENTIAL COMMUNICATIONS CHANNELS

The following list (**Exhibit 4-1: Communication Tools Considered**)





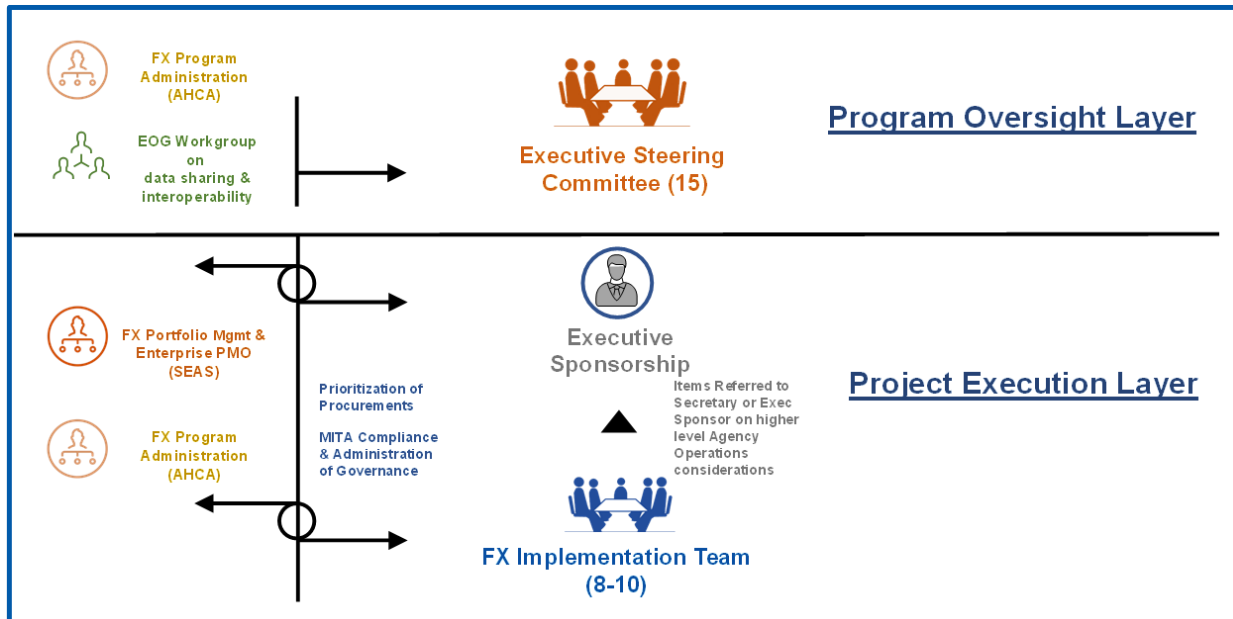
) is a compilation of all communication channels and tools that have been considered and may be used for FX. All proposed vendor-developed communications tools should be reviewed with the FX OCM Team prior to use.

| COMMUNICATION TOOLS   |   |
|---|---|
| Secretary Messaging   | FX Portal (internal)                      |
| Meetings (e.g., all agency, town hall, roadshow, division- or bureau-level, etc.) | FX Website (external)                     |
| FX Change Network   | FAQs                                      |
| Newsletter  | Articles                                  |
| Email   | Video Clips and recorded presentations    |
|   | FX Shorts Pain Point graphics and stories |
|   | Infographics                              |
| Message of the Month  | Wall Posters                              |
| Topic Talkers (talking points for FX Change Network)                              | Mobile Apps                               |
|   | Screensavers                              |
| Surveys   | Rolling Digital Signage (Monitors)        |
| Blogs and/or Podcasts   | Gamification                              |
| Contests  | Social Media messaging                    |

**Exhibit 4-1: Communication Tools Considered**

#### 4.4 FX SPONSORSHIP MODEL

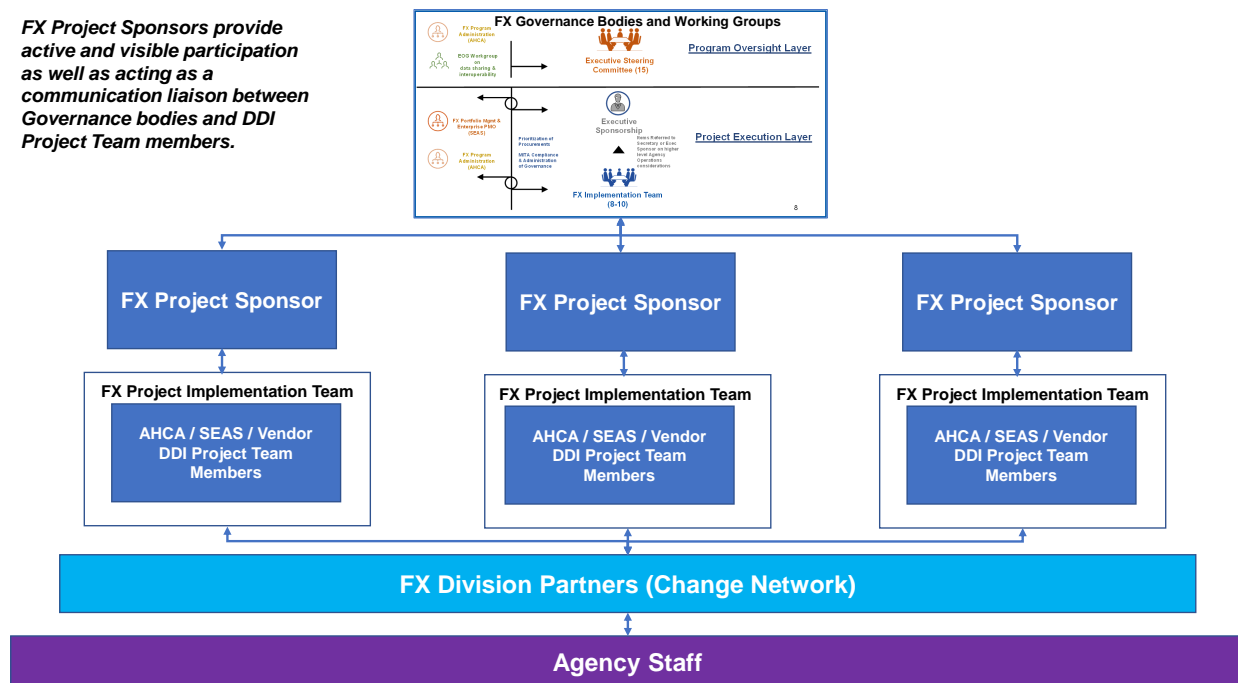
The FX Sponsorship Model is intended to highlight how project sponsors for various FX projects interact with the existing FX Governance bodies and processes as shown in **Exhibit 4-2: FX Governance Model (as of July 1, 2020)**, bodies such as the FX ESC and the FX Implementation Team will be able to address items escalated by project sponsors through the project and program-related processes in place. This includes status updates, advocacy updates, and/or concerns.



**Exhibit 4-2: FX Governance Model (as of July 1, 2020)**

**Exhibit 4-3: FX Project Sponsorship within the Governance Model** below highlights where the FX Project Sponsor fits into the organization and acts as a liaison between FX Governance bodies, the FX Implementation Team, and Agency staff.

*FX Project Sponsors provide active and visible participation as well as acting as a communication liaison between Governance bodies and DDI Project Team members.*



**Exhibit 4-3: FX Project Sponsorship within the Governance Model**



To support this model at the Project Level, the Project Team Lead can work with the FX Project Sponsor to create a Sponsorship Roadmap, as described below.

Program and Project Level sponsors play a key role in implementing the change communications, executing against the Sponsorship Roadmap, and mitigating staff resistance. Sponsors are instrumental in promoting awareness for FX related changes, desire to support these changes, and the reinforcement to sustain them.

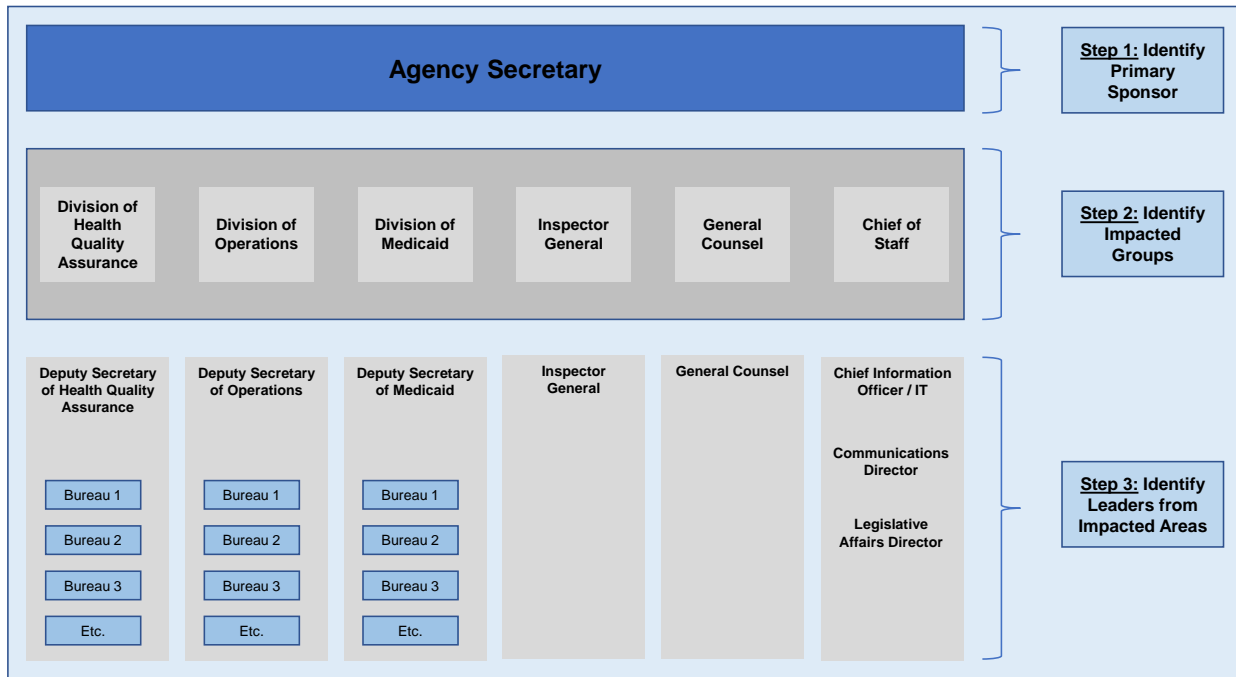
The roles of an FX Project Sponsor include the following:

- **Actively and visibly participate throughout FX.** FX sponsorship is more than a title; it is a responsibility for continuous and active engagement and participation in FX activities.
- **Support the change network.** The change network can be used to help in cascading messages and relevant information about FX as a program and for specific projects.
- **Communicate directly with employees.** The sponsors must communicate often and directly with Agency members to describe the vision, the need for change, advocate the change to resistant areas, and explain the benefit to impacted groups. This can be accomplished in various venues (e.g., including Division and Bureau-level meetings, and one-on-one discussions).

#### 4.4.1 IDENTIFYING PROJECT SPONSORS

Project sponsors are identified as part of the chartering process via the FX Project Execution Layer. The proposed FX Project Sponsor should be visible and active in the advocacy and support of the project. Additionally, the decision should factor in whether this individual has both authority and credibility among the Agency staff as employees will defer to these leaders for verbal and nonverbal cues on the importance of FX and the Agency's commitment to the change.

The FX Sponsorship Diagram (Error! Reference source not found.) visually represents how to consider potential project sponsors based on the impacted groups for a given project. This activity enables the Agency to carefully consider all key business leaders and managers in terms of their relationship with the project.



**Exhibit 4-4: Sample FX Sponsorship Diagram**

#### 4.4.2 ENGAGING AND PREPARING SPONSORS

A Sponsorship Roadmap documents the events, behaviors, and materials that will prepare each leader to engage their unit. The Sponsorship Roadmap (Error! Reference source not found.) is an all-inclusive look at the FX Project Sponsor’s journey from understanding sponsorship through successful execution. The Sponsorship Roadmap can be used for an FX Project Sponsor and other leaders in the organization as well.

Sponsorship expectations and responsibilities vary across projects and each project’s life cycle. The project team can prepare each FX Project Sponsor to complete suggested activities and behaviors, and it is the responsibility of the FX Project Sponsor to execute on them.

| Sponsorship Roadmap     |                               |                          |  |  |
|-------------------------|-------------------------------|--------------------------|--|--|
| Sponsor Name            |                               |                          |  |  |
| Date                    | Activity                      | Audience                 | Notes  | Change Reasoning   |
| <i>Date of activity</i> | <i>Event / Activity Title</i> | <i>Targeted Audience</i> | <i>Description of the Event / Activity, the Audience, and the Sponsor's role, expectations, and behaviors, as well as any content that must be provided.</i> | <i>Does this Activity leverage the Sponsor to increase Awareness, Desire, Knowledge, Ability or promote Reinforcement?</i> |
| <i>Date of activity</i> | <i>Event / Activity Title</i> | <i>Targeted Audience</i> | <i>Description of the Event / Activity, the Audience, and the Sponsor's role, expectations, and behaviors, as well as any content that must be provided.</i> | <i>Does this Activity leverage the Sponsor to increase Awareness, Desire, Knowledge, Ability or promote Reinforcement?</i> |
| <i>Date of activity</i> | <i>Event / Activity Title</i> | <i>Targeted Audience</i> | <i>Description of the Event / Activity, the Audience, and the Sponsor's role, expectations, and behaviors, as well as any content that must be provided.</i> | <i>Does this Activity leverage the Sponsor to increase Awareness, Desire, Knowledge, Ability or promote Reinforcement?</i> |

### Exhibit 4-5: Sample Sponsorship Roadmap

Activities and behaviors will be included in the Sponsorship Roadmap as both one-off meetings and continuous behaviors such as visibility. Sample activities and behaviors on a Sponsorship Roadmap include items where the FX Project Sponsor can engage with impacted stakeholders and help to explain reasons for the change, benefits of the change, and show visible support of the change. This includes items such as the following:

- Enlisting the support of leaders within your area and creating a support network.
- Working directly with managers in your area who show early signs of resistance to understand concerns.
- Explaining why the change is needed now; sharing the risks of not changing.
- Being proactive, vocal, and visible; communicating frequently, including face-to-face.



## SECTION 5 FX PROJECT LEVEL OCM

Project Level OCM is a joint effort between the awarded FX Project Vendor's OCM resources, the Agency's designated FX Project Sponsor, the FX Program Administration Team assigned Project Liaison, and the FX Implementation Team. Working together, this team is tasked with generating project-specific change awareness, desire, knowledge, ability, and reinforcement related to the specific FX Project. The key work products and artifacts are primarily the responsibility of the FX Vendor. The FX Vendor is asked to produce the following work products and artifacts per the solicitation and contract:

- Project Level Stakeholder Analysis
- Change Plan
- Communications Approach and Plan
- Training Approach and Plan
- Training Materials
- Training Delivery

The expectation is for the FX Vendor to bring suggested frameworks, methodologies, and templates to produce these work products and artifacts. The FX Vendor will review these proposed items with the Project Team Lead and receive approval on the approach ahead of starting work on these items. This will help to ensure coordination and appropriate fit for use in the Agency and as part of project delivery.

This section also introduces the FX Responsible, Accountable, Consulted, Informed (RACI) matrix.

### 5.1 FX RACI MATRIX

The FX RACI matrix exists to define and elaborate the phase activities, processes, and functions across FX. Further, the FX RACI matrix defines organizational roles and responsibilities and provides an ongoing *single source of truth*. The FX RACI matrix is reviewed and maintained collaboratively by the Agency and the SEAS Vendor and can be found in the FX Projects Repository.

RACI matrix charts are useful in clarifying roles and responsibilities in cross-functional/departmental projects, such as FX, and processes, such as the delivery of OCM. The term *RACI* is an acronym for the four areas of task roles most often used:

- **Responsible (R):** This is the person, role, or group of people, performing the task, deliverable, or process. They are responsible for getting the work done and/or making the decision.
- **Accountable (A):** This is the person, role, or group of people, that owns the task. They are responsible for the action being completed and finalized.



- **Consulted (C):** This person, role, or group of people assists by providing useful information needed to complete the task, process, or deliverable.
- **Informed (I):** This person, role, or group of people must be aware of the task, process, or deliverable. They must be kept up-to-date on progress and completion.

The following is a RACI matrix excerpt that provides project-specific guidance (Error! Reference source not found.). The comprehensive RACI matrix will be referred to for the full list of Project and Program Level tasks.

| Role<br>Project Deliverable<br>(or Activity)   | SEAS Vendor | FX Project Owner | IS/IP Vendor | Agency | FX Governance | EDW Vendor | Existing Systems Owner | Potential CS Vendor | External Organizations | IV & V Vendor |
|--|-------------|------------------|--------------|--------|---------------|------------|------------------------|---------------------|------------------------|---------------|
| <b>Stakeholder Analysis</b>  |             |                  |              |        |               |            |                        |                     |                        |               |
| Draft Project-Level Stakeholder Analysis   |             | R                |              | A      |               |            |                        |                     |                        |               |
| Review Stakeholder Analysis  |             | C                |              | AR     |               |            |                        |                     |                        | I             |
| Approve Stakeholder Analysis   |             | I                |              | AR     |               |            |                        |                     |                        |               |
| Publish Stakeholder Analysis   |             | R                |              | A      |               |            |                        |                     |                        | I             |
| <b>Change Plan</b>   |             |                  |              |        |               |            |                        |                     |                        |               |
| Draft Project Change Plan  |             | R                |              | A      |               |            |                        |                     |                        |               |
| Review Change Plan   |             | C                |              | AR     |               |            |                        |                     |                        | I             |
| Approve Change Plan  |             | I                |              | AR     |               |            |                        |                     |                        |               |
| Publish Change Plan  |             | R                |              | A      |               |            |                        |                     |                        | I             |
| Incorporate Change Plan component outputs into change management activities  |             | R                |              | A      |               |            | I                      |                     | I                      | I             |
| <b>Communications Approach and Plan</b>  |             |                  |              |        |               |            |                        |                     |                        |               |
| Draft Project-Level Communications Approach and Plan   |             | R                |              | A      |               |            |                        |                     |                        |               |
| Review Communications Action Plan  |             | C                |              | AR     |               |            |                        |                     |                        | I             |
| Approve Communications Action Plan   |             | I                |              | AR     |               |            |                        |                     |                        |               |
| Publish Communications Action Plan   |             | R                |              | A      |               |            |                        |                     |                        | I             |
| <b>Training Approach and Plan - Vendor Submitted</b>   |             |                  |              |        |               |            |                        |                     |                        |               |
| Draft Training Approach and Plan   |             | R                |              | A      |               |            | C                      |                     | C                      |               |
| Review Training Approach and Plan  |             | C                |              | AR     |               |            |                        |                     |                        | I             |
| Approve Training Approach and Plan   |             | I                |              | AR     |               |            |                        |                     |                        |               |
| Publish Training Approach and Plan   |             | R                |              | A      |               |            | I                      |                     | I                      | I             |
| <b>Training Materials (Project-Related)</b>  |             |                  |              |        |               |            |                        |                     |                        |               |
| Draft Training Materials   |             | R                |              | A      |               |            | C                      |                     | C                      |               |
| Review Training Materials  |             | C                |              | AR     |               |            |                        |                     |                        | I             |
| Approve Training Materials   |             | I                |              | AR     |               |            |                        |                     |                        |               |
| Publish Materials / Upload Training Materials to Agency Learning Management System   |             | R                |              | A      |               |            | I                      |                     | I                      | I             |
| <b>Training Materials (Policy/Procedure-Related)</b>   |             |                  |              |        |               |            |                        |                     |                        |               |
| Draft Training Materials   |             | I                |              | AR     |               |            | C                      |                     | C                      |               |
| Review Training Materials  |             | I                |              | AR     |               |            |                        |                     |                        | I             |
| Approve Training Materials   |             | I                |              | AR     |               |            |                        |                     |                        |               |
| Upload Training Materials to Agency Learning Management System   |             | I                |              | AR     |               |            | I                      |                     | I                      | I             |
| <b>Training Delivery</b>   |             |                  |              |        |               |            |                        |                     |                        |               |
| Coordinate training logistics (e.g., identify date / time, reserve location, confirm audiovisual requirements are available) |             | R                |              | A      |               |            | C                      |                     | C                      |               |
| Distribute training invite to identified participants  |             | R                |              | A      |               |            |                        |                     |                        | I             |
| Conduct Training sessions  |             | R                |              | A      |               |            |                        |                     |                        |               |
| Conduct, summarize, and report training evaluations  |             | R                |              | A      |               |            | I                      |                     | I                      | I             |
| <b>Change Readiness Assessment</b>   |             |                  |              |        |               |            |                        |                     |                        |               |
| Draft and administer Change Readiness Assessment   |             | C                |              | AR     |               |            |                        |                     |                        |               |
| Review Change Readiness Assessment output  |             | C                |              | AR     |               |            |                        |                     |                        | I             |
| Approve Change Readiness Assessment  |             | I                |              | AR     |               |            |                        |                     |                        |               |
| Incorporate Change Readiness Assessment output into change management activities   |             | I                |              | AR     |               |            |                        |                     |                        | I             |
| <b>Sponsorship Roadmap</b>   |             |                  |              |        |               |            |                        |                     |                        |               |
| Draft Team Lead Roadmap  |             | R                |              | A      |               |            |                        |                     |                        |               |
| Review Team Lead Roadmap   |             | C                |              | AR     |               |            |                        |                     |                        | I             |
| Approve Team Lead Roadmap  |             | I                |              | AR     |               |            |                        |                     |                        |               |
| Publish Team Lead Roadmap  |             | R                |              | A      |               |            |                        |                     |                        | I             |

**Exhibit 5-1: FX RACI: OCM Activities**