

# AHCA Florida Health Care Connections (FX)

## S-1: FX Governance Plan

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## Revision History

DATE	VERSION	DESCRIPTION	AUTHOR
2/14/2018	001	S-1: FX Governance Plan initial draft PowerPoint version	Brian Knapp, Suhas Hiremagalur
3/27/2018	002	S-1: FX Governance Plan second draft version	Suhas Hiremagalur, Brian Knapp
4/3/2018	100	S-1: FX Governance Plan final reviewer edits applied	Brian Knapp
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3/17/2020	300	Annual Refresh of S-1 FX Governance Plan	Eric Steinkuehler
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2/10/2021	402	S-1: FX Governance Plan draft annual refresh remediation of Agency comments	Kim Koegel
2/10/2021	500	S-1: FX Governance Plan annual refresh approved final	Carol Williams
6/17/2022	501	S-1: FX Governance Plan draft refresh includes: <ul style="list-style-type: none"><li>Updates related to the tiered operational structure and path for escalations, including a new FX Program Governance Group (FX PGG)</li><li>Updated graphics and decision flows</li><li>Updated Section 3 per DET #364</li><li>Updated Section 1 per DET #457</li><li>Updated Section 2 per DET #491</li></ul>	Austin Williams, Jennifer Elmore
6/28/2022	502	Deliverable resubmission showing redlined updates made	Austin Williams, Jennifer Elmore
9/15/2022	503	S-1: FX Governance Plan draft annual refresh remediation of Agency comments	Austin Williams, Jennifer Elmore



12/27/2022	504	S-1 FX Governance Plan draft annual refresh; remediation of additional Agency comments: <ul style="list-style-type: none"> <li>FXIT member attendance merged with the EMPO-hosted meeting (Now newly re-named as the EPM meeting)</li> <li>Information from ARB Charter added</li> <li>Quick Reference Document added</li> </ul>	Jennifer Elmore Logan Foster
2/1/2023	505	S-1 FX Governance Plan final remediation of Agency comments; small updates made to language about new projects.	Jennifer Elmore Logan Foster Bryan Santti
2/14/2023	600	S-1: FX Governance Plan annual refresh approved final	Bryan Santti Carol Williams
7/10/2023	601	S-1: FX Governance Plan draft refresh updated as follows: <ul style="list-style-type: none"> <li>Updated EPgMO to EPgMO per DET #599</li> <li>Updated Section 2 and Appendix per DET #634</li> <li>Updated Section 2 per DET #641</li> </ul>	Jennifer Elmore Bryan Santti
12/28/2023	602	S-1: FX Governance Plan draft updated to address DET #648, DET #653, DET #654, and DET #661	Jennifer Elmore Kimberly Watts
1/30/2024	603	S-1: FX Governance Plan remediation from Agency's review	Kimberly Watts
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3/8/2024	606	S-1: FX Governance Plan remediation from another Agency final review	Kimberly Watts
3/14/2024	700	S-1: FX Governance Plan approved final	Carol Williams
5/30/2024	701	S-1: FX Governance Plan drafted to align with the FY 2024-25 implementing bill.	Kimberly Watts, Jennifer Elmore
6/20/2024	702	S-1: FX Governance Plan remediation from Agency's final review	Kimberly Watts
7/1/2024	703	S-1 FX Governance Plan Agency comment replied to.	Kimberly Wats
7/9/2024	800	S-1: FX Governance Plan approved final	Carol Williams

Modifications to the approved baseline version (100) of this artifact must be made in accordance with the FX Artifact Management Standards.



## Quality Review History

DATE	REVIEWER	COMMENTS
4/9/2019	Robby Cunningham	QA Review of 101 submission
3/12/2020	Eric Steinkuehler	QA Review
6/24/2020	Palmer White	QA Review
1/4/2021	Tina Worley	Peer Review
1/4/2021	Carol Williams	QA Review
6/15/2022	Carol Williams	Conducted quality review
7/3/2023	Carol Williams	Conducted quality review
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2/4/2024	Carol Williams	Conducted quality review
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3/8/2024	Carol Williams	Conducted quality review
5/29/2024	Carol Williams	Conducted quality review
6/20/2024	Carol Williams	Conducted quality review



## Table of Contents

Section 1	Introduction.....	1
1.1	Background.....	1
1.2	Purpose.....	1
1.3	Scope Statement.....	1
1.4	Goals and Objectives.....	1
1.5	Referenced Documents.....	2
Section 2	Roles and Responsibilities.....	3
2.1.1	FX Executive Steering Committee (ESC).....	3
2.1.2	FX Program Finance and Contracting Working Group.....	3
2.1.3	FX State Agency Stakeholder Working Group.....	4
2.1.4	Compliance and Administration.....	4
2.1.5	Project Execution Teams.....	7
Section 3	Governance Operations.....	12
3.1	FX Decision-Making Structure.....	12
3.2	Escalation Path.....	13
3.3	Escalation Criteria.....	14

## Table of Exhibits

Exhibit 2-1:	Agency FX Responsibilities & Compliance per FY 2024-25 Implementing Bill.....	5
Exhibit 2-2:	ESC Responsibilities & Compliance per FY 2024-25 Implementing Bill.....	6
Exhibit 2-3:	Program Finance and Contracting Working Group Responsibilities & Compliance per FY 2024-25 Implementing Bill.....	7
Exhibit 2-4:	State Agency Stakeholder Working Group Responsibilities & Compliance per FY 2024-25 Implementing Bill.....	7
Exhibit 2-5:	Tier 1 Project Execution.....	8
Exhibit 3-1:	FX Governance Operating Structure.....	13



## SECTION 1 INTRODUCTION

### 1.1 BACKGROUND

The Florida Agency for Health Care Administration (AHCA or Agency) is adapting to the changing landscape of healthcare 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 *S-1: FX Governance Plan* is to establish the framework for effective oversight, direction, and control of the FX Program, ensuring alignment with the FX strategic goals and priorities, and following legislative direction.

### 1.3 SCOPE STATEMENT

The *S-1: FX Governance Plan* outlines the roles, responsibilities, and operations of key governance bodies within the FX Program. It defines the scope of governance activities and provides guidelines for decision-making and oversight.

### 1.4 GOALS AND OBJECTIVES

**Goal #1 – Provide a framework for FX Program oversight, direction, and control, ensuring alignment with objectives and priorities.** This goal will be accomplished by achieving the following objective:



**Objective** – Align governance practices, including meeting frequencies and communication channels, with legislative requirements.

**Goal #2 – Facilitate collaboration and stakeholder engagement to ensure stakeholder needs and expectations are understood and met.** This goal will be accomplished by achieving the following objective:

**Objective** – Formulate and structure a governance approach that facilitates seamless communication and effective implementation of the FX Program.

**Goal #3 – Ensure transparent oversight and accountability.** This goal will be accomplished by achieving the following objective:

**Objective** – Develop a comprehensive governance framework that facilitates regular reporting, communication, and review of activities.

## 1.5 REFERENCED DOCUMENTS

The following documents were used as inputs for the development of this *S-1: FX Governance Plan* and provided valuable information to produce the procedures and processes:

- S-3: FX Strategic Plan
- O-1: SEAS Management Plan
- FX EPgMO Charter and Program Management Plan (O-2)
- P-2: FX Project Management Standards
- S-4: Strategic Project Portfolio Management Plan
- FY 2024-25 Implementing Bill



## SECTION 2 ROLES AND RESPONSIBILITIES

The FX Program is comprised of Agency staff and multiple vendors. The governance framework is made up of a governing body, advisory working groups, and project execution teams. The FX Executive Steering Committee (ESC) and the AHCA Secretary hold decision-making authority for the FX Program. Supporting the FX ESC are two advisory working groups: the FX Program Finance and Contracting Working Group and the FX State Agency Stakeholder Working Group.

### 2.1.1 FX EXECUTIVE STEERING COMMITTEE (ESC)

The FX ESC is responsible for strategic oversight of the FX Program and makes decisions on major project initiatives, budget allocations, and changes. The Agency will consult with the Executive Office of the Governor prior to conducting a FX ESC meeting. The chair of this committee is either the AHCA Secretary or the appointed FX Executive Sponsor. Other required members include a representative from the following:

- Division of Health Care Finance and Data
- Division of Medicaid Policy, Quality, & Operations (two members)
- Division of Health Care Policy & Oversight
- Florida Center for Health Information & Transparency
- Chief Information Officer or designee

A member may have a delegate represent them in ESC meetings. This committee meets every other month to fulfill its responsibilities, including reviewing project/program status, approving changes, and ensuring primary business objectives are met.

### 2.1.2 FX PROGRAM FINANCE AND CONTRACTING WORKING GROUP

The FX Program Finance and Contracting Working Group is chaired by the FX Director and focuses on financial and contractual aspects of FX. The chair of this group is responsible for reviewing recommendations and determining when to bring and present recommendations to the FX ESC. Other required members include:

- FX Program Strategic Roadmap Manager
- FX Program Project Managers
- FX Program Risk Managers
- FX Continuing Oversight Teams (member from each team)
- Office of the General Counsel
- Contract Administration
- Others, as necessary





A member may have a delegate represent them in working group meetings. Other necessary personnel may be added at the discretion of the chair. This group meets monthly to review program status, contract, and operations, and to develop recommendations for improvement.

### 2.1.3 FX STATE AGENCY STAKEHOLDER WORKING GROUP

The FX State Agency Stakeholder Working Group is chaired by the FX Executive Sponsor and focuses on broader program operations and stakeholder engagement that impact external agencies. The chair is responsible for escalating recommendations developed by the group to the FX Program Finance and Contracting Working Group, which will then escalate to the FX ESC. Other required members include a representative from the following:

- Department of Children and Families
- Department of Health
- Agency for Persons with Disabilities
- Florida Healthy Kids Corporation
- Department of Elder Affairs
- State Chief Information Office (or delegate)
- Department of Financial Services

This group meets every other month to review program status, external impacts, and recommendations for improvement.

### 2.1.4 COMPLIANCE AND ADMINISTRATION

The Agency FX Program responsibilities are based on requirements from the FY 2024-25 Implementing Bill and described in **Exhibit 2-1: Agency FX Responsibilities & Compliance per FY 2024-25 Implementing Bill**.

	REQUIREMENT	COMPLIANCE
(a)	Prioritize procurements for the replacement of the current functions of FMMIS and the responsibilities of the current Medicaid fiscal agent, to minimize the need to extend all or portions of the current fiscal agent contract.	FX Program updates and publishes an FX Strategic Roadmap outlining the anticipated timeline for the implementation and transition of fiscal agent functionality to FX modules.
(b)	Comply with and not exceed the Centers for Medicare and Medicaid Services funding authorizations for the FX system.	FX Program completes and maintains approved Advanced Planning Documents outlining federally approved funding; secures legislative approval of project funding through the Legislative Budget Request process; maintains and submits to the Legislature monthly reports regarding status of expenditures.
(c)	Ensure compliance and uniformity with published MITA framework and guidelines.	FX Program maintains MITA status information and performs periodic State Self-Assessments (SS-A).



	REQUIREMENT	COMPLIANCE
(d)	Ensure that all business requirements and technical specifications have been provided to all affected state agencies for their review and input, as well as approved by the executive steering committee.	Business and technical specifications are included in the project deliverables and work products and are provided to the FX ESC prior to release. Items impacting other agencies will be reviewed by the FX State Agency Stakeholder Working Group as needed.
(e)	Consult with the Executive Office of the Governor (EOG) working group for interagency information technology integration for the development of competitive solicitations that provide for data interoperability and shared information technology services across the state's Health and Human Services agencies.	FX Program communicates to affected Health and Human Services agencies for the development of competitive solicitations that support data interoperability and shared information technology services.
(f)	Implement a data governance structure for the program to coordinate data sharing and interoperability across state healthcare entities.	FX Program established a project to conduct data modeling in FY 2019-20. The FX Program created an Enterprise Data Governance body within the Agency and operationalize Data Governance through the IS/IP and EDW Vendors.
(g)	Establish a continuing oversight team for each contract pursuant to s. 287.057(26). The teams must provide quarterly reports to the executive steering committee summarizing the status of the contract, the pace of deliverables, the quality of deliverables, contractor responsiveness, and contractor performance.	A continuing oversight team is established for each contract. The responsibility of each team includes developing quarterly reports, which summarize contract status, deliverable status, deliverable quality, contractor responsiveness, and contractor performance.
(h)	Implement a program governance structure that includes an executive steering committee.	<i>S-1: FX Governance Plan</i> incorporates the seven-member Executive Steering Committee.

**Exhibit 2-1: Agency FX Responsibilities & Compliance per FY 2024-25 Implementing Bill**

**2.1.4.1 FX ESC REQUIREMENTS AND COMPLIANCE**

The FX ESC responsibilities are based on requirements from the FY 2024-25 Implementing Bill. The Agency is complying with the implementing bill as described in **Exhibit 2-2: ESC Responsibilities & Compliance per FY 2024-25 Implementing Bill**.

	REQUIREMENT	COMPLIANCE
(a)	Identify and recommend to the Executive Office of the Governor, the President of the Senate, and the Speaker of the House of Representatives any statutory changes needed to implement the modular replacement to standardize, to the fullest extent possible, the state's healthcare data and business processes.	The FX ESC communicates recommendations to standardize, to the fullest extent possible, the state's healthcare data and business processes.
(b)	Review and approve any changes to the program's scope, schedule, and budget.	FX Program presents any changes in the high-level scope of any module or shifts between modules, as well as any schedule shifts or delays. Budget changes will be addressed through the Agency's Legislative Budget Request and Quarterly Budget Amendment processes.



	REQUIREMENT	COMPLIANCE
(c)	Review and approve any changes to the program's strategic roadmap.	FX Program presents for FX ESC review any changes that impact the FX Strategic Roadmap.
(d)	Review and approve change requests that impact the program's scope, schedule, or budget recommended for adoption by the program finance and contracting working group.	FX Program presents any change requests that impact the FX Program's scope, result in a contract amendment, impact the FX Strategic Roadmap, or require a budget need to the FX Program Finance and Contracting Working Group for review and recommendations are brought to the FX ESC for review.
(e)	Review recommendations provided by the program working groups.	FX Program Finance and Contracting Working Group and State Agency Stakeholder Working Group develops and presents recommendations to the FX ESC for determination.
(f)	Review vendor scorecards, reports, and notifications produced by the continuing oversight teams.	The continuing oversight teams develops and presents a summary of the quarterly reports.
(g)	Ensure that adequate resources are provided throughout all phases of the program.	FX Program, prior to each Legislative session, provides to the FX ESC a review of the FX Strategic Roadmap, Operational Work Plan (including FX Organizational Structure), and Spend Plan, as well as a high-level timeline of all decisions coming before the FX ESC for the fiscal year.
(h)	Approve all major program deliverables.	FX Program develops major project deliverables for inclusion in the solicitation document, which will be provided to the FX ESC for approval prior to release. The committee receives updates on major deliverables included in biweekly FX Program Dashboard and Project Briefs. The committee approves the following: major deliverables, including High-Level Technical Design and Production Readiness Review and decisions for major releases (Go/No-Go), as defined in the Master Program Schedule.
(i)	Review and verify that all procurement and contractual documents associated with the replacement of the current FMMIS and Medicaid fiscal agent align with the scope, schedule, and anticipated budget for the program.	FX Program provides a high-level overview of each solicitation for the purchase of modular solutions to the FX ESC for review prior to the submission to CMS for its approval.  Specific solicitations for review will be determined in the first FX ESC meeting of each fiscal year.

**Exhibit 2-2: ESC Responsibilities & Compliance per FY 2024-25 Implementing Bill**

**2.1.4.2 FX PROGRAM FINANCE AND CONTRACTING WORKING GROUP REQUIREMENTS AND COMPLIANCE**

The FX Program Finance and Contracting Working Group responsibilities are based on requirements from the FY 2024-25 Implementing Bill. The Agency is complying with the implementing bill as described in **Exhibit 2** **Error! No text of specified style in document.-3: Program Finance and Contracting Working Group Responsibilities & Compliance per FY 2024-25 Implementing Bill.**

	REQUIREMENT	COMPLIANCE
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(a)	Review the program status and all contract and program operations, policies, risks and issues related to the budget.	FX Program provides a review of the biweekly FX Program Dashboard and Project Briefs.
(b)	Review spending plans and contractual obligations.	FX Program provides a review of the most recent spending plan.  A quarterly report on contractual obligations from the continuing oversight team is reviewed prior to going to the FX ESC.
(c)	Develop recommendations to the executive steering committee for improvement.	Recommendations for improvement are reviewed and escalated to the FX ESC.
(d)	Review all change requests that impact the program's scope, schedule, or budget related to contract management and vendor payments and submit those recommended for adoption to the executive steering committee.	FX Program will provide a review of change requests prior to going to the FX ESC. Changes will be escalated by the chair of the working group.

**Exhibit 2-3: Program Finance and Contracting Working Group Responsibilities & Compliance per FY 2024-25 Implementing Bill**

**2.1.4.3 FX STATE AGENCY STAKEHOLDER WORKING GROUP REQUIREMENTS AND COMPLIANCE**

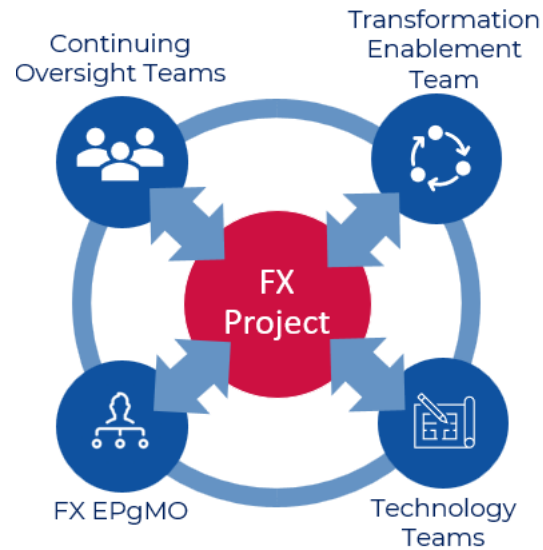
The FX State Agency Stakeholder Working Group responsibilities are based on requirements from the FY 2024-25 Implementing Bill. The Agency is complying with the implementing bill as described in **Exhibit 2-4: State Agency Stakeholder Working Group Responsibilities & Compliance per FY 2024-25 Implementing Bill**.

	REQUIREMENT	COMPLIANCE
(a)	Review the program status and all program operations, policies, risks and issues that may impact the operations external to the Agency for Health Care Administration FX Program.	FX Program provides a summary of FX's dashboard and project activities that impact the operations of external agencies and departments.
(b)	Develop recommendations to the executive steering committee for improvement.	FX Program assesses all recommendations for improvement and may consult with the FX Program Finance and Contracting Advisory Working Group prior to escalating for review and approval to the FX ESC.

**Exhibit 2-4: State Agency Stakeholder Working Group Responsibilities & Compliance per FY 2024-25 Implementing Bill**

**2.1.5 PROJECT EXECUTION TEAMS**

The FX Program operates in a multi-tier governance framework. Tier 1 of the governance operating structure comprises essential teams crucial for supporting seamless project execution. These teams include the FX Enterprise Program Management Office (EPgMO), Continuing Oversight Teams, Technology Teams, and Transformation Enablement Team. Tier 1 enables projects to operate and resolve items independently and escalate decisions, changes, and other governance topics to Tier 2 and Tier 3 for awareness and/or approval based on the need. **Exhibit 2-5:** demonstrates how these teams contribute to FX projects.



**Exhibit 2-5: Tier 1 Project Execution**

### 2.1.5.1 FX EPgMO

The FX EPgMO is responsible for facilitating successful program and project delivery:

- Enforcing, and mentoring teams on, the application of FX Program and project management standards.
- Managing the integrated master program schedule and change, risk, action item, issue, decision, and lesson learned (CRAIDL) processes.
- Portfolio management, budget, and resource and capacity management.
- Compliance and administration including vendor management and program accountability.

FX Enterprise Program Management (EPM) meetings occur on a monthly basis.

### 2.1.5.2 CONTINUING OVERSIGHT TEAMS

Each FX contract has a Continuing Oversight Team. These teams are responsible for providing quarterly reports to the FX ESC summarizing the status of the contract, the pace of deliverables, the quality of deliverables, contractor responsiveness, and contractor performance.

### 2.1.5.3 TECHNOLOGY TEAMS

The technology teams include the Technology Standards Committee (TSC), Architecture Review Board (ARB), Enterprise Data Governance (EDG), and the Enterprise Release Group (ERG).

## Technology Standards Committee (TSC)

- This committee serves as a structure to define and communicate FX technology direction and provides approval on technology standard-related decisions. TSC provides the opportunity for qualified personnel to provide direction and decisions on technology-related issues across FX.
- The TSC is responsible for the following:
  - › Creating specific rules to help identify new technologies and standards.
  - › Approving or denying new Technology Standards Reference Model (TSRM) and Technology Standards Reference Guide (TSRG) list entries.
  - › Reviewing and approving or denying all technology standards. The committee chair is the decision-maker for TSC.
- Membership includes:
  - › Chair: Agency CIO
  - › Agency representatives
  - › Other FX Vendors as necessary
- TSC meets on a monthly basis.

## Architecture Review Board (ARB)

- The ARB serves as a single team of senior architects who represent the different architectural perspectives as well as deep technical expertise, who evaluate the evolution of both the FX Enterprise Architecture, as well as the conformance of individual module components that comprise the FX enterprise. The purpose of the ARB is to ensure alignment with business strategy and conformance to all business, information, and technology architectures and their underlying designs.
- The ARB is responsible for the technology foundation of the FX Program. The composition of the ARB consists of technology leaders with decision-making authority. ARB is the link between the module's architecture implementation and the FX architectural strategy and vision. The ARB develops and revises the approach to meeting all technology standards. If there is a change to a technology standard, the ARB will escalate their recommendation to TSC for approval.
- Membership includes:
  - › FX ARB Chair
  - › FX Deputy Director
  - › Agency Solution Leads
  - › FXPA Architecture Leads
  - › IS/IP Vendor Technical Leads
  - › EDW Vendor Technical Leads
  - › Other Business and Module Vendor Leads



- ARB meets every Monday and Wednesday.

### **Enterprise Data Governance (EDG)**

- The objective of the EDG is as follows:
  - › Develop and implement standards, policies, and procedures to facilitate data quality improvement, management, and utilization across the FX Enterprise.
  - › Proactively manage the enterprise data and analytics/reporting portfolio, individual data and information assets, data standards/specifications, and information life cycles.
  - › Develop technology standards recommendations and escalate to the TSC.
- The EDG reviews the following technology standards: *T-1: Data Management Strategy, T-2: Information Architecture, T-3: Data Standards, T-8: Enterprise Data Security.*
- Membership includes:
  - › EDG Chair
  - › Data owners
  - › Data Stewards
  - › Data Custodians
  - › Application Administrators
- EDG meets every Wednesday.

### **Enterprise Release Group (ERG)**

- The ERG manages and coordinates the release of software products within an organization. This includes planning, testing, and deploying software updates and new versions to various environments, such as development, staging, and production.
- Membership includes:
  - › Agency FX Enterprise Release Manager
  - › FX MI Enterprise Release Manager
  - › FX Transformation Manager
  - › FX Module Vendors
  - › FX Release Manager(s)
  - › Agency Test Lead
- ERG meets every Thursday.



#### 2.1.5.4 TRANSFORMATION ENABLEMENT TEAM

The Transformation Enablement Team is responsible for four distinct functions: organizational change management (OCM), program communications, MITA business architecture, and certification. The team provides oversight of and coordination with vendor modules. The scope of this team is in accordance with state and federal requirements and the Agency's policies and procedures. This team meets on a monthly basis.

Membership includes:

- Agency FX OCM Leads
- Vendor FX OCM Leads
- Agency FX Project Sponsors
- Agency and FX Vendor Change Champion Network/SMEs
- Agency and FX Vendor Business Architecture Leads
- Agency and FX Vendor Certification Leads
- Agency FX Solution Leads
- Agency FX Program Communications Lead





## SECTION 3 GOVERNANCE OPERATIONS

The *S-1: FX Governance Plan* employs a structured decision-making framework to ensure transparency, accountability, and alignment with legislative mandates. This framework consists of the following elements:

- **Clear Roles and Responsibilities:** Each governance body has defined roles and responsibilities, outlined in the Governance Plan, to guide decision-making and execution of program activities.
- **Escalation Pathways:** Formal escalation pathways are established to address issues or decisions that require higher-level intervention beyond the authority of individual governance bodies.
- **Documentation and Reporting:** Decisions and their rationale are documented in the Decision Log located in the FX Projects Repository (FXPR) and reported to relevant stakeholders, ensuring transparency and accountability throughout the governance process.

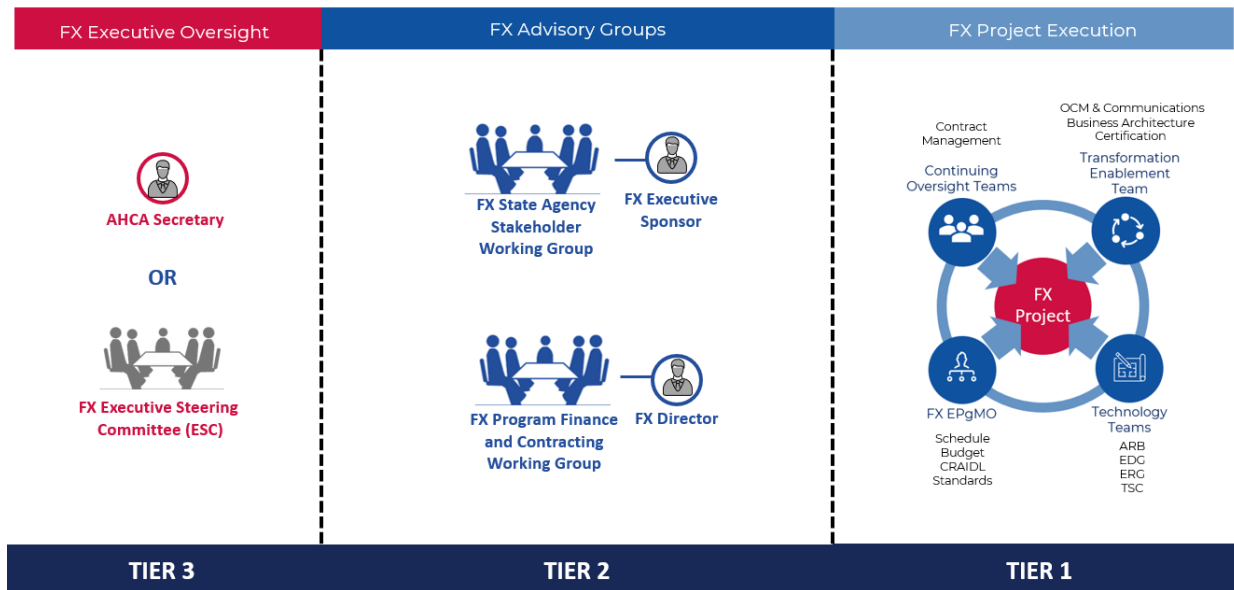
### 3.1 FX DECISION-MAKING STRUCTURE

The governance approach for the FX Program involves three tiers of decision-making as illustrated in **Exhibit 3-1: FX Governance Operating Structure**. This framework ensures efficient management and alignment with program objectives.

**Tier 1** consists of teams that support project execution. This tier is responsible for the day-to-day operations, managing resources, and resolving issues within their respective areas of responsibility. The focus at this tier is on efficiently addressing operational matters and ensuring smooth project execution.

**Tier 2** consists of two advisory groups, the FX Program Finance and Contracting Working Group and the FX State Agency Stakeholder Working Group. These working groups are responsible for developing and reviewing recommendations and advising the FX ESC.

**Tier 3** is comprised of the FX ESC and AHCA Secretary. The FX ESC is the decision-making body for the FX Program. The AHCA Secretary is the decision-maker for items that require Tier 3 review and are not in scope of the FX ESC. The FX ESC and AHCA Secretary (or designee) may be advised by working groups, project sponsors, and other advisors when applicable, based on the subject presented.



**Exhibit 3-1: FX Governance Operating Structure**

### 3.2 ESCALATION PATH

The escalation process outlines the steps for addressing issues and decisions that require broad awareness and input, ensuring timely resolution and alignment with FX Program objectives and legislative mandates.

- **Initiation:** The escalation process is initiated when a governance item requires input and awareness from multiple stakeholders.
- **Review and Resolution:** The escalated item is carefully reviewed by the designated vendor and/or governance body, taking into account input from stakeholders. Decisions are made to address the issue in accordance with legislative mandates and project objectives.
- **Communication:** Once an outcome is reached, it is communicated back to team members and impacted stakeholders. Clear and transparent communication ensures that all governing bodies are informed of the resolution, facilitating alignment and coordination across the FX Program as mandated by the legislative bill.

FX decisions and changes are initiated by project teams in conjunction with their assigned Delivery Assurance team member. The project teams utilize an Impact Scoring Matrix to determine the governance tier a decision or change must escalate through. Details about the change process are found in the *Change Request* process definition located in the FX Projects Repository (FXPR) at FX-HUB > Reference Repository > Process Definitions > Process Category: Change Management > FX-ProcDef-Change Request-[current version]. Additional information can be found in the *S-4: Strategic Project Portfolio Management Plan*.



### 3.3 ESCALATION CRITERIA

The project sponsor is responsible for determining the timing to escalate an item from Tier 1 to Tier 2 when the criteria below is met. The chair of the FX Program Finance and Contracting Working Group is responsible for determining the timing to escalate an item within the scope of Tier 3. The chair is responsible for presenting to Tier 3 and may be supported by project team members.

In addition to the impact score, other criteria may automatically trigger an escalation. These are:

- Any change impacting FX Program's scope, schedule, or budget routes to the FX Program Finance and Contracting Working Group for recommendation, then to Tier 3 for decision or approval.
- Any decision or change involving a transition, realignment, or addition of FX Project staffing resources would escalate to the FX Program Finance and Contracting Working Group. Other internal processes that involve an Agency FTE are not in scope of FX Governance.
- Any notification to legacy vendors to transition and turnover services to an incoming vendor route to the FX Program Finance and Contracting Working Group for recommendation.