



State of Tennessee

Division of Health Care Finance and Administration

Tennessee Technical Advisory Services (TN TAS)

Program Governance Management Plan

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1. Executive Summary

1.1. Project Background

The State of Tennessee Department of Finance and Administration, Division of Health Care Finance and Administration (HCFA), hereinafter referred to as the “State” or “HCFA”, is the single state agency that operates the federal Medicaid program in Tennessee known as “TennCare” through its Bureau of TennCare (Bureau), pursuant to Waivers granted by the federal Centers for Medicare and Medicaid Services (CMS). HCFA also operates the federal Children’s Health Insurance Program (CHIP) in Tennessee known as “CoverKids” (collectively referred to herein as “CoverKids” or “CHIP”). Eligibility determination and related responsibilities for TennCare and CoverKids are handled through a combination of State staff and HCFA contractors, as are operation and maintenance of the State’s Medicaid Management Information System (MMIS). In addition, HCFA oversees other health care related functions and services, including the Tennessee Office of eHealth Initiatives (OeHI) and the Strategic Planning and Innovation Group.

Pursuant to federal law and CMS requirements, HCFA is undergoing a Medicaid Modernization Program (MMP or Program) which includes both:

- Information technology (IT) systems relating to TennCare and CoverKids (including the MMIS), and
- The TennCare and CoverKids eligibility determination processes.

The MMP must incorporate and comply with all applicable Federal and State laws, rules, regulations, sub-regulatory guidance, executive orders, CMS TennCare Waivers, and all current, Court decrees, orders or judgments applicable to the TennCare and CHIP programs (collectively referred to herein as the Applicable State and Federal Requirements). These include, but are not limited to, the Patient Protection and Affordable Care Act (PPACA), Health Insurance Portability and Accountability Act (HIPAA), CMS Medicaid Information Technology Architecture (MITA 3.0), and CMS Seven Conditions and Standards.

The EMP represents the State’s highest current priority in the MMP Program. Major features of the TEDS solution include a rules-based decision engine, enabling eligibility determinations that are fully compliant with the Affordable Care Act, CMS requirements and all applicable State and Federal regulations. The new system shall be able to interface with the Federal Data Services Hub (FDSH) associated with the Federally Facilitated Marketplace (FFM) to perform eligibility information verifications and make real-time TennCare and CHIP eligibility determinations.

1.2. Purpose of this Document

The MMP is a large-scale and complex transformation of the State Medicaid program and enabling systems requiring significant oversight and control. Governance of MMP will differ from governance of typical HCFA projects because MMP is a complex, multi-year undertaking. Effective and appropriate program governance is a requirement for ensuring the alignment of MMP projects with HCFA business objectives, strategy and direction.

This Program Governance Management Plan (PGMP or “Plan”) document provides a blueprint to establish appropriate MMP governance and the roadmap to implement it. Governance is the exercise of authority and control (planning, monitoring and enforcement) over a designated management plan or program. MMP governance assists in managing benefits realization, quality, risks, resources and stakeholders across the program life cycle. The PGMP specifies the control and direction setting framework for how people, processes and technology will work together to achieve the effective planning, decision-making and oversight of MMP projects and their subsequent operations and maintenance. Once implemented, the governance bodies and processes designed by the PGMP will enable the MMP program to achieve its goals and objectives.

Development of this initial iteration of the PGMP has been funded under the HCFA Technical Advisory Services Contract – the PGMP framework deliverable. Implementation of the PGMP within the context of the overall governance picture is outlined in Chapter 7 and will be funded in part under the following TAS contract framework and start-up deliverables:

- Strategic Program Management Office (SPMO) start-up and Governance Deployment
- Organizational Change Management (OCM) and Training Plan

1.3. Objectives

The overall objectives for the PGMP and its implementation include:

- Enhance HCFA’s ability to govern and control strategic investments, programs and project portfolios
- Provide project sponsors greater confidence that project investments will be well managed through their direct engagement in Governance
- Provide the program owners accountable for program outcomes with greater ability to control investments across MMP projects
- Provide program and project managers with clearer direction from leadership on strategic directions and priorities.

2. Program Governance Management Plan (PGMP) Overview

The PGMP prescribes the MMP Governance Framework to be established for how people, processes and technology work together for effective planning, decision-making and oversight of MMP projects. MMP is a major HCFA initiative, and proper governance of MMP projects will be essential to ensure successful achievement of the overall business strategy and direction of Medicaid Modernization.

The scale of the MMP transformation is unprecedented in its size and complexity. The PGMP assumes that it will require several iterations of governance implementation to scale the current governance processes of HCFA to be able to oversee and control the range of projects within the scope of MMP. To create this initial PGMP iteration, the Technical Advisory Services (TAS) consultants engaged with the MMP Governance Working Group (“working group”) to assess current State program governance practices and frameworks against industry-leading best practices. Based on this assessment, the working group rejected the idea of implementing a full program governance framework at the outset.

The working group recommended that the PGMP prescribe a governance framework that establishes the necessary governance roles, structures and processes sufficient to govern the Eligibility Modernization Project (EMP) as the most urgent MMP priority. This initial governance framework will establish the foundation for refinement over several iterations to encompass additional MMP projects over the course of the program. Over time, the plan will be collaboratively enhanced to evolve the MMP governance framework in support of the full scope of the program and suite of MMP projects.

The PGMP will also be coordinated and integrated with changes in other management plans and will be continually aligned to the evolving role of the SPMO as governance administrator. The PGMP will also plan and prioritize the build-out of the complete MMP governance framework. The plan will prescribe how governance will support decision-making through appropriate business and technical governance bodies, structures, roles, instruments and interactions. The State, the SPMO and the OCM and training team will all be engaged and responsible to ensure that the prescribed governance approach is implemented throughout the MMP.

2.1. Scope

The PGMP provides the design and roadmap for the multiple dimensions of program governance:

- Governance framework and the role of program governance relative to portfolio, program and project management of MMP change initiatives
- Governance dashboards including the instruments required to direct and control MMP change initiatives so as to establish new or changed capabilities for Medicaid Modernization
- The necessary role of senior leadership in MMP governance

- The role of governance in the management of PSDLC and Gate reviews
- The required IT and architecture governance
- The sustainment of the governance framework for operational governance once changes are implemented

The MMP requires governance structures, instruments and procedures to oversee program delivery. The PGMP prescribes the governance structure and project accountability to the program so that the MMP will sustain its potential to deliver value. It designs the necessary governance program elements, including the required governance roles, bodies and membership as well as an implementation roadmap. By following and implementing the PGMP, MMP governance issues can be dealt with effectively and the program will function smoothly to achieve its intended outcomes.

The PGMP clarifies the governance roles and responsibilities within the MMP and HCFA, so that management at all levels will understand their role and accountability. It directs members of the MMP, whether State employees or contractors, to the guidelines for issue resolution. It defines the structure and processes that direct and control the program and the decision making authorities of each governance role.

Iteration 1 Scope

This Iteration 1 of the PGMP clarifies the governance roles and responsibilities based on a transitional governance plan scoped to oversee the EMP. This initial governance iteration brings together key stakeholders of the EMP within a governance framework that will evolve and expand to accommodate the extended suite of MMP projects as they are brought into MMP scope. Based on this understanding, the scope of PGMP Iteration 1 is as follows:

- **Project Steering Committee**

Establish the EMP Project Steering Committee (PSC) to provide governance and overall direction for the EMP Project Core Team, reflecting the priorities to achieve the functionality necessary for FFM integration and PPACA compliance. The committee will oversee implementation of an effective issue escalation and resolution process and the governance instrumentation to ensure important issues are escalated appropriately and resolved in a timely manner. The committee will serve as the Change Control Board for changes impacting project schedule, budget and scope.

- **Technical Architecture Review Board**

Establish the Technical Architecture Review Board (TARB) as the sponsor of the technical architecture within HCFA. This strategic governance body will evolve over time to become part of the HCFA operational governance structure. The TARB will oversee implementation of the Design Review process and governance instrumentation to effectively direct and control the operational and technical fit of technology enhancements into the overall State architecture. In addition, the Board will be aligned with the Information Security Steering Committee (ISSC) which has been recently established as an operational governance body within HCFA.

- **Gate Reviews**

Align the Design Review process with the Gate Review process being established under the Project & Systems Development Lifecycle framework deliverable. A standard approach to the use of Gate Reviews on each MMP project will provide a framework for enhanced IT governance through rigorous application of industry leading practices, project management principles, and sound investment decisions.

PGMP Iteration 1 does not include program governance scenarios beyond these governance structures, processes and instruments, nor does it include operational governance and management covered under ITSM practices in framework deliverable Project & Systems Development Lifecycle Management Plan.

2.2. Referenced Documents

A number of MMP framework deliverables are interrelated with the Program Governance Management Plan (PGMP) framework deliverable as illustrated in the following table. These deliverables have been considered in the design of PGMP Iteration 1 and the PGMP will continue to be aligned to these and other relevant MMP management plans in future PGMP Iterations.

Table 1: Referenced Documents

#	Document Name	Content Overview
1.	EA- Management Plan	Enterprise Architecture Business Operating Model Framework
2.	Project & System Development Lifecycle Management Plan	Project Lifecycle & System Development Lifecycle (PSDLC) Framework Roles, Standards and Tools
3.	Business Case / Fund Management Plan	Support for creation and maintenance of APD and State procurement documents and other submissions to CMS
4.	Organizational Change Management & Training Plan	Plan and coordinate execution of organization change activities and training
5.	MMP Issues, Risks Action Item Assessment	Approach to program issues, risks and action item registers and technologies
6.	SPMO Startup / Governance Deployment	Structure and align the SPMO with the overall Program governance structure and governance deployment
7.	Business and IT Capability	Assessment and Roadmap for Business and IT

#	Document Name	Content Overview
	Assessment / Roadmap	capabilities
8.	Request for Qualifications for Systems Integration (SI) Services (RFQ # 32101-15557)	RFQ defining the State's requirements for an SI Contractor to develop, operate and maintain the Tennessee Eligibility Determination System (TEDS)

3. MMP GOVERNANCE FRAMEWORK GOALS AND STRUCTURE

The PGMP helps HCFA define good MMP governance and implement the structure, processes and instruments to oversee and direct the MMP. By ensuring the plan is kept consistent with MMP goals, objectives and priorities, HCFA will provide clear direction to State staff and contractors, system integrators and the program stakeholder community as to what value the program is intended to achieve and how it will be controlled. The MMP governance framework prescribed by the plan enables periodic review of the program's interim results and identification of necessary adjustments to ensure MMP outcomes.

3.1. MMP Governance Goals

The goals of MMP governance are to:

- Define the appropriate level of guidance provided by the levels of program governance and how issues are escalated for resolution between layers
- Detail the governance instruments (policies, standards, principles) by which projects will be managed, designs will be documented and communicated, and key decisions will be made
- Assign decision rights and authorities to appropriate roles and governance bodies
- Establish the governance instruments, dashboards and processes to track progress against objectives and key performance indicators
- Be able to direct and control the allocation of human and financial resources to each MMP project to ensure the overall delivery of MMP value
- Be able to proactively oversee and control program and project scope

The PGMP specifies the necessary MMP governance framework required to achieve these goals within the visibility and control of the HCFA organization. Consequently, HCFA will need to validate these MMP governance goals at a leadership level and agree to enact the plan to deliver on the transformational change objectives of the MMP. In Iteration 1 of the PGMP, these goals are contextualized to the EMP scope.

3.2. MMP Governance Framework Structure

The MMP governance structure organizes the individuals providing program direction, control and oversight to establish clear lines of authority and accountability. Key MMP governance stakeholders and bodies are delineated by decision making authority. To ensure the program is effectively overseen the governance structure clearly defines how decisions are expected to be made by each of the program's governance roles, including decisions affecting the overall delivery of MMP value.

To define a feasible governance structure, the MMP governance framework divides the work of program governance across governance bodies in reasonable and equitable ways. It prescribes when issues need to be escalated to higher levels of governance authority and

responsibilities for resolution by oversight and decision making bodies. These MMP governance bodies are charged with the responsibility to control the strategic impact of changes that occur throughout design and implementation of the program and to provide direction to maintain alignment of the MMP with the State’s vision and guiding principles and realization of anticipated benefits. The governance framework also establishes the processes, standards, and expectations by which decisions will be made throughout the program.

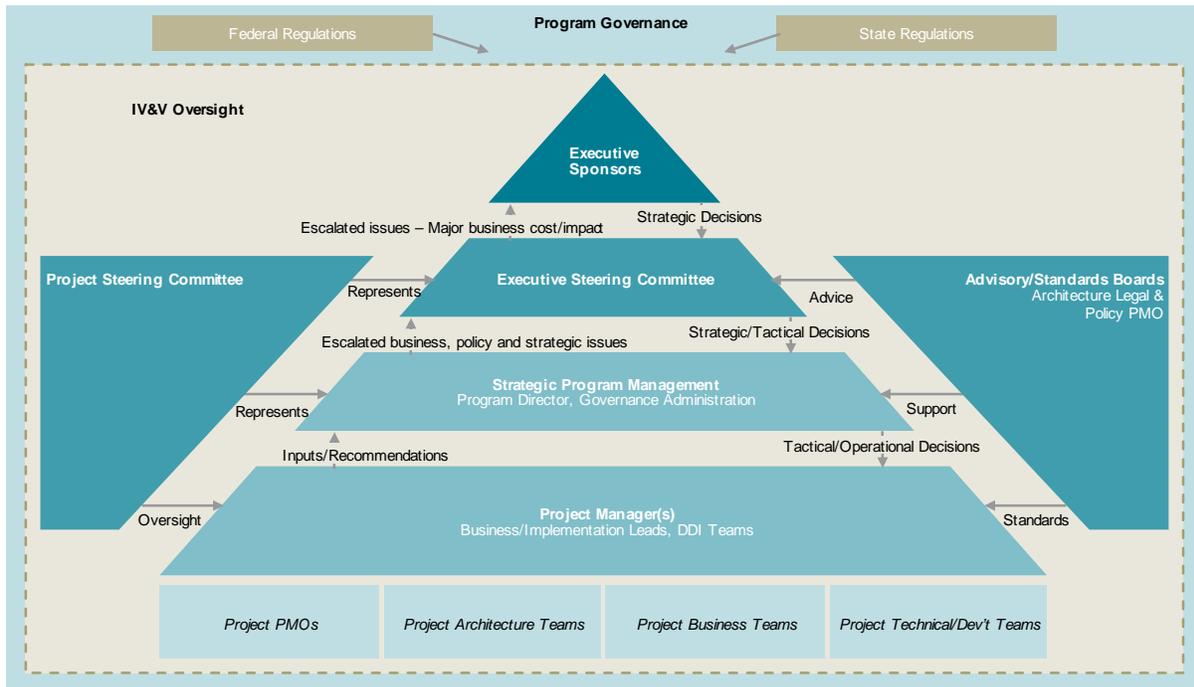


Figure 1: MMP Governance Framework

The MMP governance framework divides the work of governance and identifies the key governance roles, structures, and committees, and the tools to support them. The priority order for implementing the framework and the scope of responsibilities and membership of the governance bodies will be prescribed across the PGMP iterations. The framework will be promoted across MMP and HCFA through OCM initiatives and training that support adoption and understanding.

Governance Framework Tiers

The MMP governance framework diagram depicts the various layers or tiers of governance structure required. Placement of governance boards in a particular governance tier is indicative of a match with the governance board responsibilities and membership.

1. **Executive Governance Tier** – includes executive level committee(s) that direct and control large-scale decisions regarding MMP direction & outcomes.
2. **Strategic Governance Tier** – includes committees that control changes in MMP project direction, scope or scale e.g., a Project Steering Committee; as well as boards that oversee standards and policies e.g., an Architecture Review Board.

- 3. Operational Governance Tier** – includes day-to-day oversight of program and project operations e.g., a Technical Change Control Board.

Executive Sponsor

The primary role of the executive sponsor is to steer the MMP as necessary and to ensure the program makes an appropriate contribution to the overall HCFA business strategy. The executive sponsor is accountable for providing resources and ensuring the program's success. The senior executive sponsor is the designated final decision maker, with other executives serving as members of an executive steering committee.

Executive and Project Steering Committees

Steering committees serve as governance bodies empowered to make decisions regarding scope, budget, and schedule as well as to resolve escalated issues, risks and change requests. MMP is a large transformational program that spans multiple functional areas with far reaching impact. Within the context of the overall business strategy and direction, MMP requires steering committees through which all impacted stakeholders can reach agreement on a direction that will result in desired outcomes for everyone. A forum is also required where stakeholders can raise issues and adjust direction, resources or timing by consensus as required. The Committee's Charter is an essential document for defining the Committee scope, members, mandate and responsibilities (refer to APPENDIX B: Governance Body Charter Specification).

Advisory and Standards Boards.

Advisory and Standards Boards serve as governance bodies empowered to validate, recommend and approve principles, policies and standards to govern MMP solutions. Within the context of the applicable principles, policies and standards, these governance bodies also manage exceptions and record decisions to ensure the greatest possible alignment of MMP projects and solutions with the HCFA's business and technical strategies and direction. The Board's Charter is an essential document for defining the Board scope, members, mandate and responsibilities (refer to APPENDIX B: Governance Body Charter Specification).

Portfolio / Program Management Office

The SPMO shall provide administrative and logistical support for MMP governance bodies and project management teams. Accountable to the Program Director, the SPMO has responsibility for administering MMP governance processes and procedures including the development and distribution of meeting agendas, scheduling meetings, collecting requested information, maintaining documentation records, management of the project's central repository of project documentation and generating status reports. The SPMO shall designate an administrator as central point of contact for each governance body as appropriate.

IV&V Oversight

In the case of governance, Independent Verification and Validation (IV&V) is a process performed by an independent contractor responsible for verifying that effective governance is occurring and will continue to occur effectively in the future. IV&V provides objective evidence that all governance requirements have been implemented correctly and completely. This

includes evidence that the governance is administered appropriately and produces the intended oversight and control results.

Federal and State Regulators

CMS and the State provide financial participation to MMP according to authorized and appropriate match rates. The MMP governance processes and procedures will align with and support CMS gate reviews, reporting to the appropriate CMS and State governance bodies, and periodic auditing by external entities.

Program Governance vs. Project Management

As a complex transformational change program, MMP links to organizational priorities and strategic direction and drivers through the SPMO. The SPMO will regularly review the portfolio of change initiatives to ensure the components within it meet HCFA objectives (and if they don't determine why not). The impact of MMP projects on other portfolio components (and vice versa) will be reviewed on a regular basis by the Program Director and the SPMO.

As a governance body within the program, a project steering committee oversees scope, schedule and budget for a specific project and resolves escalated issues, risks and change requests. A major obstacle to good program governance is ensuring that governance bodies and project managers are able to delineate their different responsibilities. Governance sets the program's accountabilities, direction, goals, and limits while management allocates resources and oversees the day-to-day program and project operations. The differences and distinction between program governance and project management are contrasted in the following table.

Table 2: Distinguishing Program Governance from Project Management

Program Governance	Project Management
Resolves significant issues and provides guidance across program governance tiers	Plans, organizes, directs and controls project effort
Tracks transformation progress against program objectives and Key Performance Indicators (KPIs)	Manages for on-time delivery of specific project outputs
Directs and controls work within the program governance framework	Manages work within the project plan framework and in accordance with the Project Charter
Oversees accountabilities	Manages technical staff and contractors

The PGMP defines the framework and implementation roadmap for MMP governance. The MMP project management approach is based on industry best practices and standards prescribed in the State's Business Solutions Methodology (TBSM).

3.3. MMP Governance Bodies

MMP governance activities will be carried out by means of various governance bodies. These governance bodies (e.g., steering committees, review boards) will meet on a regular schedule to ensure that each body is providing adequate program and project oversight. Governance bodies such as project steering committees will support stakeholders such as MMP project sponsors to ensure that the intended value is realized from each project. The project sponsor defines the value that the MMP project is intended to provide. The role of each governance body is to ensure that the MMP outcomes or project outputs do in fact meet the requirements of the executive or project sponsor.

Assigning Governance Responsibilities

Each governance body must have the appropriate set of responsibilities. In addition, the responsibilities across the different governance bodies (PSC, TARB, ISSC) must be synergistic and aligned. Each governance body will charter its responsibilities at the outset and periodically review and refine its responsibilities as deemed necessary for completeness and synergy across the governance framework.

Structuring Governance Bodies

The Charter for each MMP governance body documents a number of key characteristics: (refer to APPENDIX B: Governance Body Charter Specification):

- Statement of purpose and principles that focus the governance body
- Set of participating members that are empowered to make decisions
- Set of responsibilities that are appropriate to the membership and the focus of the governance body (executive, strategic or operational governance body focus)
- Requisite procedures for obtaining information, making decisions and sharing outputs

To ensure each existing or newly established governance body is structured appropriately, each of the following will be assessed during PGMP implementation or review:

- Fit to the current transformational governance needs as well as future operational governance.
- Proposed governance body members (voting) and those who should be attending meetings (non-voting).
- Degree of balance, whether the members have appropriate skills and whether it is responsive and considering the right issues for the program.
- Ensuring that minority or dissenting views are heard and addressed
- Ensuring the right number of members on the Governance Body to make effective progress (use of sub-committees or working groups will be considered as a useful supporting structure).

Additionally, a number of options for structuring Governance bodies require consideration:

- Including heads of core business units as voting members, and others, as non-voting members as needed
- Including functional unit heads, as voting members as appropriate.
- The use of existing or new sub-committees to augment program governance should be considered:
- To establish whether a sub-committee is appropriate, its responsibilities will be assessed to ensure they are well understood and they are synergistic and aligned to overall MMP governance
- Consider whether new sub-committees are required; a short term task force or working group may be a better means to address specific issues.
- Typically sub-committees will be empowered only to make recommendations.

In designing sub-committees or advisory boards, a number of potential options require consideration:

- Apply delegation to maximize the efficiency of a Governance body (e.g., Executive Steering Committee) by establishing sub-committees, advisory boards or working groups.
- Members of the Governance body (e.g., Executive Steering Committee) may identify a delegate to participate in hands-on activities in sub-committees, advisory boards, working groups
- Assess the activities of the sub-committee and select only those participants whose presence is absolutely required to ensure success; confirm that there are no more than seven to eight members.

Governance Body Interrelationships

When chartering each MMP governance body, its interrelationships with other governance bodies will be examined to establish a Charter that is synergistic within the overall governance framework:

- Specify the degree of Governance Body interrelationships within each Charter
- Align each Charter and membership against the availability and skills of the members.

Options:

- Set a threshold value for governance body decision making:
- e.g., change impacts over a threshold \$ amount or certain level of impact require Project Steering Committee review and approval;
- e.g., exceptions to approved technical standards require Technical Architecture Review Board review and approval

3.4. MMP Governance Iteration 1 Structure

As shown in the following figure, Iteration 1 MMP Governance Framework Structure consists of:

- Project Steering Committee
- Project Core Team
- Technical Architectural Review Board
- Information Security Steering Committee
- SPMO guided by the State’s Program Director.

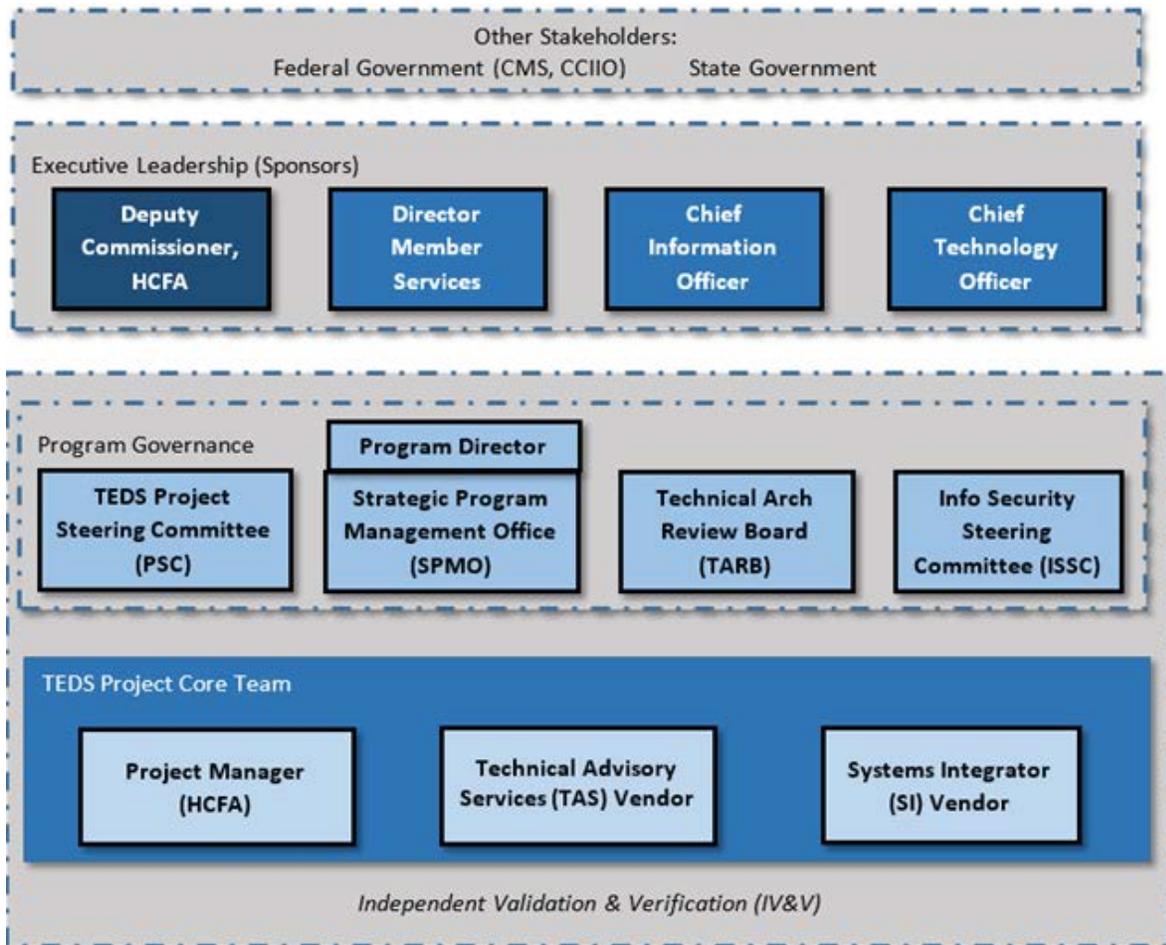


Figure 2: Iteration 1 MMP Governance Framework Structure

The Iteration 1 MMP Governance Framework Structure:

- Depicts the tiered relationship of the roles, boards and processes involved in EMP governance
- Prescribes the decision processes and criteria to be used including decision authority and accountability
- Prescribes how MMP governance will facilitate Business and IT decision support
- Lays a foundation for how State contractors should align their related plans
- Identifies the SPMO role as overall MMP governance administrator.
- Identifies the State's Program Director role as coordinating the overall MMP governance framework and evolution.

The PGMP will be evaluated and adjusted over the life of the MMP in future iterations to build on lessons learned and further evolve the effectiveness of the MMP Governance Framework.

Project Steering Committee

The design of this governance body is described below and its implementation is prescribed in Chapter 7 – MMP Governance Implementation and Iterations. This governance body will be chartered as part of implementation using the Governance Body Charter Specification (refer to APPENDIX B: Governance Body Charter Specification).

Committee Purpose & Principles

The Project Steering Committee provides governance and overall direction for the project core team, reflecting the priorities to achieve the functionality necessary for FFM integration and PPACA compliance. This governance body will be formally established in implementation of Iteration 1 of the PGMP and its exact responsibilities identified through its charter. However, in general the committee will:

- Provide guidance on project priorities
- Facilitate communication between internal and external stakeholders
- Provide advice and feedback on scope, schedule, cost, and quality concerns
- Approve changes that have been escalated beyond the scope of the project teams
- Oversee issue resolution and risk mitigation

Committee Agenda and Meeting Frequency

The Steering Committee is expected to meet bi-weekly during the initial planning, design and development stages of the project and includes several additional members representing each respective project stakeholder. The committee may convene virtually for status reporting etc. The Committee operations will be decided at implementation and documented in the Project Steering Committee Charter. The Charter will be regularly reviewed and updated as necessary by the Committee.

Project Steering Committee Membership

- Committee Membership will be prescribed by the Project Steering Committee Charter implemented through execution of this plan (refer to APPENDIX B: Governance Body Charter Specification).

Committee Responsibilities

The Steering Committee will review all key management, budget and technical decisions, and provide direction and support to the project core team. Complete responsibilities of the committee will be defined in the Project Steering Committee Charter.

The Technical Architecture Review Board

The TARB will be implemented in iteration 1 to oversee technical architecture within HCFA. This strategic governance body will become part of the HCFA operational governance structure over time. Initially it will be focused on the MMP as priority. The focus of the TARB will be technical architecture governance including State standards and policies, as well as necessary CMS conditions and standards and MITA. Ensuring the compliance of MMP projects with the enterprise architecture standards, policies and principles is an essential aspect of architecture governance.

The design of this governance body is described below and its implementation is prescribed in Chapter 7 – MMP Governance Implementation and Iterations. This governance body will be chartered as part of implementation using the Governance Body Charter Specification (refer to APPENDIX B: Governance Body Charter Specification).

TARB Purpose & Principles

HCFA will charter and implement a TARB to provide a fundamental control mechanism for ensuring the effective implementation of State and Federal architecture standards and policies including MITA and CMS conditions and standards. This governance body will be formally established through implementation of Iteration 1 of the PGMP and its exact responsibilities identified through its charter. However, in general the TARB will:

- Approve reference architectures
- Approve standards including SDLC process and gating
- Enforce compliance of IT designs and standards
- Grant or withhold exceptions to IT standards
- Provide architecture guidance to the MMP project teams.

TARB Agenda and Meeting Frequency

The TARB will meet regularly (as agreed by its members in TARB Charter) to govern implementation and management of the TEDS architecture by the project core team and selected systems integrator.

TARB Membership

The TARB is chaired by the Chief Technology Officer and the Governance and Architecture Working Groups have identified members of the architecture board to inform the draft TARB Charter. TARB Membership will be prescribed by the approved TARB Charter implemented through execution of this plan (refer to APPENDIX B: Governance Body Charter Specification).

TARB Responsibilities

The TARB will provide the basis for all decision-making with regards to MMP architecture policies and standards and will oversee compliance of project solution architectures with technical architecture standards, policies and principles. Complete responsibilities of the TARB will be defined in the TARB Charter.

The Information Security Steering Committee

The ISSC has recently been established as an operational governance body within HCFA. Refer to the Information Security Steering Committee Charter for its current mandate and responsibilities. Any adjustments to the ISSC Charter will need to be considered in context of the overall MMP Governance Framework. Alignment and interdependencies of the TARB with the ISSC will need to be addressed in the TARB Charter.

Strategic Program Management Office (SPMO)

Under the guidance of the State's Program Director, the SPMO will act as the MMP governance administrator. It will facilitate the aggressive build schedule required by the CMS to transfer MAGI eligibility determination from the FFM to HCFA in support of the PPACA and to improve alignment with CMS seven conditions and standards.

The SPMO will operate under the governance of the Executive Project Leadership that represents key EMP stakeholders. The SPMO will interact closely with the Project Steering Committee and the TARB. An important asset in an SPMO approach will be the scalability of its structure and the ability to respond quickly to effectively address resource fluctuations in the project's phasing.

The SPMO will serve in the role of program governance administrator to integrate each tier of MMP governance. The SPMO provides the conduit between the governance tiers to address any and all issues that may arise between the various governance bodies at each level. The SPMO strives for consensus decision making and escalates issues to the executive tier only when they cannot be resolved at lower governance and management levels.

Independent Verification & Validation (IV&V)

IV&V is an independent third party organization not involved in the TEDS development and responsible for verifying that effective governance is occurring and will continue to occur effectively in the future.

Project Core Team

The Project Core Team is governed under the Iteration 1 MMP governance structure. This includes the Systems Integrator (SI) in its design, development, test and implementation roles as well as the Technical Advisory Services (TAS) Contractor in its TEDS related architecture role. The TAS Contractor also plays a separate role in the planning and implementation of MMP governance and iterating this PGMP.

3.5. MMP Governance Future Iterations Structure

Future iterations of the MMP governance framework structure will include additional Project Steering Committees and Project Core Teams as the MMP expands. The Technical Architecture Review Board will become more closely aligned with Strategic Technology Solution (STS) governance at the State Level. It is expected that an Executive Steering Committee will be established to more effectively govern the full range of MMP projects and other advisory boards and committees may be formed.

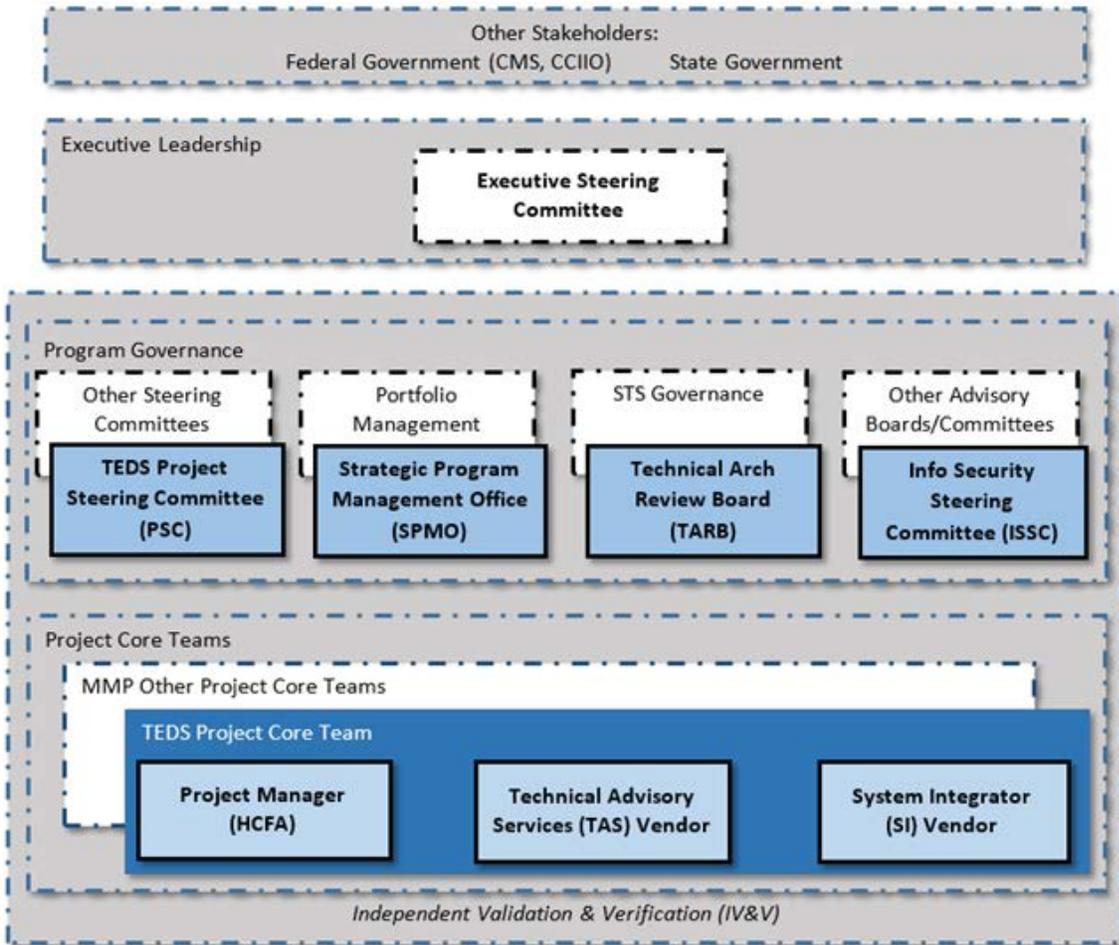


Figure 3: Future Iterations of MMP Governance Blueprint

Future iterations of the MMP Governance Framework structure will:

- Depict the relationship of the roles, boards and processes involved in MMP governance
- Prescribe the decision processes and criteria to be used including decision authority and accountability at the Executive Steering Committee tier of governance
- Prescribe how MMP governance will facilitate Business and IT decision support
- Lays a foundation for how State Contractors should align their related plans

The PGMP will be evaluated and adjusted over the life of the MMP in subsequent iterations.

4. MMP GOVERNANCE MANAGEMENT PLAN ITERATIONS

The PGMP assumes several iterations of MMP governance framework design and implementation. These iterations will scale current HCFA governance processes for effective risk management and timely escalation of issues to governance bodies that oversee the large-scale MMP transformation projects during the course of the program. The initial iteration of MMP governance is focused on EMP and accommodates current HCFA organizational dynamics.

The PGMP specifies MMP governance in terms of:

- The physical governance structures to be established: e.g., Executive Project Sponsor, Project Steering Committee, Architecture Review Board
- The accountabilities and processes of each of the groups within the governance structure (e.g., the Project Steering Committee is accountable for approving change requests escalated by the project)
- The themes that will be within the scope of each governance entity: e.g., Eligibility Modernization; Care Coordination; Technical Standards etc.

Due to historically low levels of technical change, the focus of current HCFA governance processes is predominantly on operational contractor management, but MMP represents a complex undertaking of business and technical change. Hence, a significant HCFA cultural shift is required to implement an effective, prioritized MMP governance framework over time as illustrated in the following table.

Table 3: Transition to Target State Transformational Governance

Current State: Incremental Operational Governance	Domain	Iteration 1 Transition State	Target State: Program Governance
Incremental change control	<i>Scope of change</i>	Business capability change	Transformational changes to business and IT solutions
Project governance	<i>Governance focus</i>	EMP Governance	MMP Governance
Contractor contract management	<i>Management focus</i>	Large-scale project management and gating	Program, portfolio and project management

4.1. MMP Governance – Iteration 1

Iteration 1 of the PGMP has been designed, reviewed and revised with the Governance Working Group to accommodate the low level of current HCFA transformational maturity relative to MMP goals and objectives, This iteration is designed with consideration to an overall top down MMP governance framework and intent to implement the full target state for MMP governance over subsequent PGMP iterations.

The Eligibility Modernization scope efficiently moves MMP forward to achieve FFM integration and compliance with MAGI eligibility standards. Iteration 1 brings together key stakeholders of the EMP within a governance framework that will evolve to accommodate the extended suite of MMP projects as they are brought into MMP scope for implementation. The TEDS solution will conform to State technical standards as well as Federal standards, including MITA and the CMS Seven Conditions and Standards. This initial phase of the program establishes the foundational governance structure for a full scale system modernization for Medicaid Eligibility.

4.2. MMP Governance – Iteration 1

Eligibility Modernization will establish the MMP governance framework within the HCFA culture. Subsequent iterations of the PGMP will build on the initial governance framework to design the broader scope of MMP governance, as well as the implementation roadmap as described in the following table.

Table 4: Iterative Approach to PGMP Development

PGMP Iteration	Iteration Focus
Iteration 1 & 2	Initial project governance focus (EMP), evolving to full MMP program governance (e.g., including HIE, MMIS etc.)
Iteration 3 & 4	Multi- program governance focus. For example, expanding governance beyond MMP to other related program areas such as: <ul style="list-style-type: none"> • Integrated Eligibility across HHS programs under DHS leveraging the Federal A87 waiver funding
Iteration 5 & 6	Continuous improvement and sustainment of the governance framework within HCFA

This initial iteration of the PGMP establishes the Iteration 1 plan. The PGMP will:

- Be reviewed and iteratively maintained and updated on approximately a six (6) month cycle.
- Prioritize MMP governance framework specifications based on urgency and importance for MMP projects
- Iteratively improve the MMP governance framework specifications and alignment to other MMP management plans based on results from governance of initial MMP projects

5. MMP GOVERNANCE PROCESSES

The PGMP defines and plans the development and implementation of MMP governance processes to allow governance body members to successfully execute their responsibilities and realize the value of program governance. MMP governance activities include issue resolution, design reviews and gate reviews. The PGMP prescribes the high-level governance processes to define how information flows within and between governance bodies so that members have the information they need to facilitate and enable effective decision-making and increase confidence in the governance decisions made.

The following table illustrates that decisions made to resolve a majority of issues are to be made at the level of the MMP project core team within scope of each MMP project charter. Without approval of the project charter there is effectively no project as the approval of the charter formally authorizes the project and the project manager to apply resources to project activities. More critical issues will be escalated to higher tiers of MMP governance as deemed appropriate by each governance body's charter and facilitated by governance processes.

Table 5: Issue Resolution by Governance Tier

MMP Governance Tier		% Issues Resolved	Issues Handled
Executive	Executive Level Committees	5%	Drive toward Guiding principles Approve Schedule, Cost and Scope Impacts/changes Account for overall Program success
Strategic	Project Steering Committees Review Boards	10%	Drive toward Guiding principles Integrate Cross Project Implementation Build Consensus on Direction
Operational	Project Core Teams Technical Change Control Boards	85%	Escalate issues Report Progress Collaboration on Enterprise direction Communicate Policies, Procedures, and direction within Project

5.1. Issues Escalation Process

This plan prescribes the definition, implementation and use of an MMP Issue Escalation process to ensure important MMP project issues are escalated appropriately and resolved in a timely manner. The process is closely linked to the Project Steering Committee and ensures issues are assigned to the appropriate governance body for action and are tracked to resolution.

The Issue Escalation process will ensure important MMP project issues are escalated appropriately. A variety of MMP project meetings and project stakeholder activities including analysis, design, document reviews and workshops etc., may all give rise to issues requiring resolution. The majority of issues are expected to be raised directly by project team members or the Systems Integrator (SI). When the project core team cannot reach resolution, the issue will be escalated through the Issue Escalation Process to ensure critical issues are raised for a timely decision to be made to avoid undesirable impacts to the MMP.

The SPMO will be central to the successful implementation of this governance process starting with Iteration 1 of the PGMP. The process defines and includes procedures used to manage issue escalation throughout the life cycle of an MMP project. The process will document the standard operating procedures to identify and analyze an issue, how to escalate the issue and how to document resolutions.

Iteration 1 of the PGMP establishes the Issues Escalation Process. Instrumentation of this governance process is prescribed in Chapter 6, MMP Governance Instruments, and its implementation is prescribed in Chapter 7, MMP Governance Implementation and Iterations. This governance process will be designed as part of implementation using the Issues Escalation Process Specification (see APPENDIX F: Issues Escalation Process Specification).

5.2. Design Review Process

The PGMP prescribes the definition, implementation and use of a design review process to enable the review of an architecture design against established design principles, policies and standards. Design reviews ensure individual projects are aligned to business objectives and the process serves as an effective forum to review architecture design alternatives and solution options. Business stakeholders can provide additional guidance and validation that business needs and objectives are indeed being met by the design. Iteration 1 of the PGMP prescribes the implementation of a Technical Design Review process that is closely linked to the role of the TARB.

Goals of the design review process include, but are not limited to:

- Identify errors in the design early, including validating design against requirements, to reduce the cost and risk of changes required later in the MMP project lifecycle.
- Identify design impacts and conflicts across teams and MMP projects.
- Ensure the application of architecture standards and best practices.
- Provide a summary overview of the compliance of a design to architecture standards.

- Identify where the architecture standards themselves may require modification.
- Communicate to management the status of the technical readiness of a project.

It is expected the design review process will identify exceptions to architecture policies and standards. This may include unavoidable non-compliance to standards. Policy and standards exception risk must be accepted by the TARB. This process also allows for the identification of alignment or opportunities for re-alignment in direction, re-use of existing architectures, integration into existing solutions, and the identification of interdependencies between MMP projects and solutions.

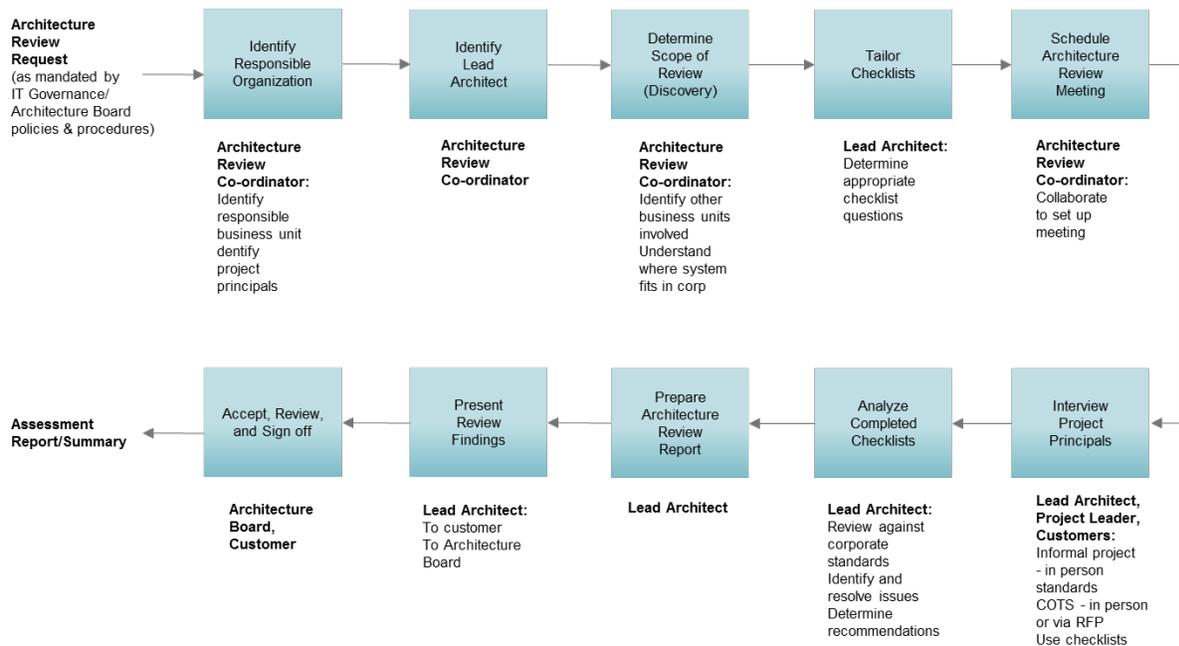


Figure 4: Sample Design and Compliance Review Process (TOGAF)

Design reviews will be coordinated with the Gate Review process. Detailed checklists will be used to facilitate a review. Reviews will be targeted to align with CMS mandated Gate Reviews where the MMP projects have a firm design and the solution architecture is taking shape, but well before its completion. Finding an optimum review point where the design is firm enough to correct major shortcomings or errors will be an implementation objective. Design reviews will also be included where significant changes to the design or scope of an MMP project occur.

Iteration 1 of the PGMP establishes the Design Review Process. Instrumentation of this governance process is prescribed in Chapter 6, MMP Governance Instruments, and its implementation is prescribed in Chapter 7, MMP Governance Implementation and Iterations.

This governance process will be designed as part of implementation using the Design Review Process Specification (see APPENDIX G: Design Review Process Specification).

5.3. Gate Review Process

Gate reviews offer a framework to enhance MMP governance through rigorous application of sound investment and project management principles and industry leading practices. The Project and Systems Development Lifecycle Management Plan prescribes the appropriate State and Federal Gate Reviews to ensure MMP projects follow defined processes and standards and CMS required compliance processes. The Project Steering Committee is accountable for Gate reviews and project related interactions with CMS (they may choose to delegate responsibility for a Gate review as appropriate e.g., to the TARB) and the SPMO will serve as governance administrator in preparing for and overseeing execution of the Gate Review.

Gate Reviews are carried out at key decision points in the MMP project life cycle. Regardless of the project management methodology utilized, CMS requires that MMP projects participate in the Gate Review process in order to help ensure that the IT investment provided for by Federal Financial Participation (FFP) is being managed properly. A Gate Review may be performed in conjunction with CMS, and include the participation of various members of the State’s MMP project teams, and its contractors.

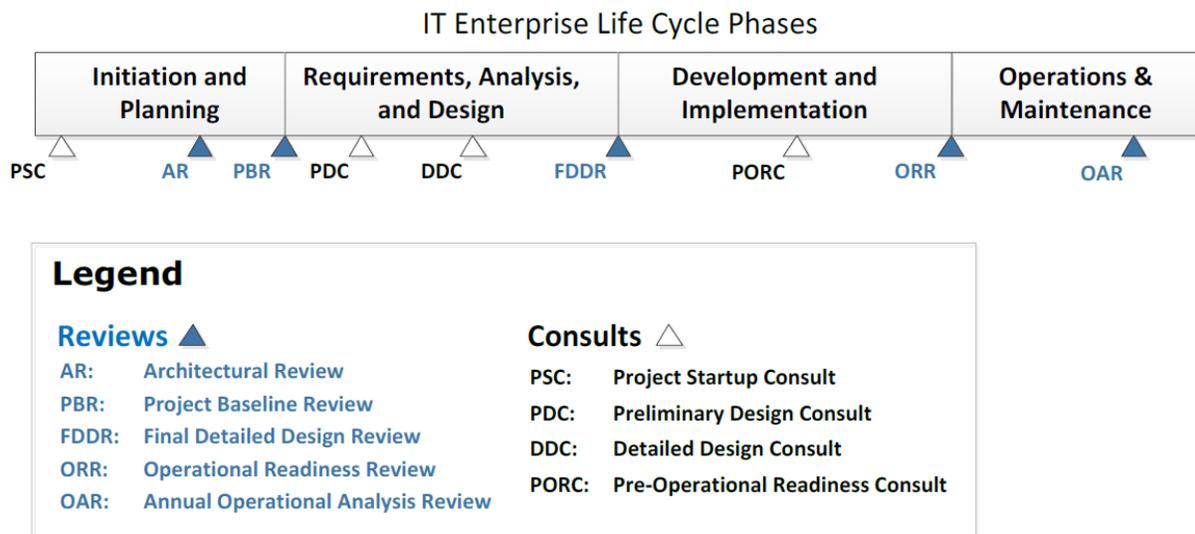


Figure 5: Sample Phases & Gate Review Process (CMS)

Gate Reviews

Each Gate Review contains requirements for document submission so that HCFA and CMS may gain proper insight into the MMP project’s progress relative to expectations. The further along that an MMP project is in its life cycle, the more documentation is required for the Gate Review, however; the same documentation may be required in multiple Gate Reviews, with a different expected status (preliminary, baseline, final, or updated).

Consultations with CMS

For EMP, CMS may seek to have one or more consultations in advance of a formal CMS Gate Review. The goal of a consultation is to lessen the burden of the actual Gate Review by providing a mid-phase checkpoint and an in-flight understanding of project progress and compliance with CMS and other standards and requirements. In cases where a consultation is requested, any documentation for the upcoming Gate Review that is available will be provided to CMS for review. After reviewing this information, one or more calls may be held to discuss the data and to provide feedback. This feedback will also be provided in writing to the State. Consultations are normally in advance of the larger gate reviews, such as the Detailed Design Review (DDR). IV&V will be a participant in any consultations with CMS.

The Gate Review process is specified in the Project and SDLC Management Plan. Iteration 1 of the PGMP prescribes alignment of the Design Review Process with this plan. Instrumentation of governance processes are prescribed in Chapter 6, MMP Governance Instruments, and implementation is prescribed in Chapter 7, MMP Governance Implementation and Iterations.

6. MMP GOVERNANCE INSTRUMENTS

MMP governance provides control and overall responsibility for the work and actions of the program. Governance instruments will ensure that MMP outcomes can be achieved by providing the means to exercise decision authority through direction and control.

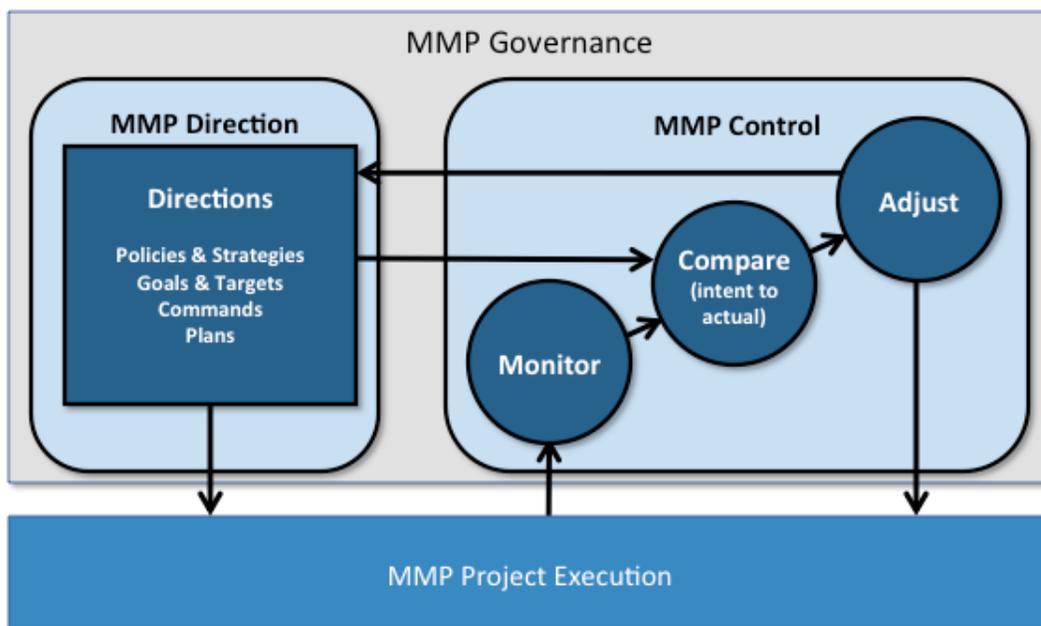
Two important types of decisions for successful transformation are illustrated through the program governance model:

- MMP Direction

What direction is to be followed and what governance bodies or roles have the mandate to set direction

- MMP Control

How is deviation to be identified and what governance bodies or roles have the mandate to accept deviations or to decide the corrections to be taken?



Source: Adapted ISO/IEC 38500:2008 & TOGAF working group generic governance pattern

Figure 6: Program Governance Model

Directing and executing the MMP without control will have little chance to succeed. Directions may prove impractical in the program context or simply be misinterpreted by those responsible for MMP project execution. Other priorities may intervene, project execution may be poorly done or those responsible for execution may simply choose not to comply (e.g., with direction given through policies, standards or principles).

Monitoring project execution and outcomes and comparison to the directions documented and given will provide the means to ensure feedback and adjustment as required. As illustrated, the PGMP prescribes a “monitor – compare – adjust” approach as the means to control MMP project execution to achieve successful program outcomes and to deliver value to the business and IT.

6.1. Governance Direction Instruments

MMP direction setting instruments include internal and external policies, standards and principles that must be adhered to by MMP projects and the overall program.

- **Internal direction setting instruments**

Will be established, approved and enforced by each governance body, and readily available to those expected to be compliant. The PGMP prescribes specifications for policies, standards and principles to support the development and implementation of these instruments (see appendices for policy, standard and principle specifications).

- **External direction setting instruments**

Are set and approved by external governance bodies, such as those within CMS. The most recent version of these external policies and standards must be adhered to by the MMP projects and it will be the responsibility of the appropriate HCFA and MMP governance bodies to oversee compliance. Examples include: MARS-E, MITA and the CMS seven conditions and standards.

PGMP implementation will ensure the use of internal and external governance direction instruments through training and communication supported by collaborative tools (such as SharePoint) to promote access to the instruments. Where externally established policies and standards are adopted for MMP compliance, it will be the responsibility of each of the MMP governance bodies to monitor for changes and updates to these direction setting instruments and/or new best practices.

6.2. Governance Control & Status Instruments

Governance control and status instruments provide governance bodies and roles with the visibility to monitor MMP project execution and compare intent to actual performance.

- **Control instruments**

Will be established, approved and enforced by each governance body. Control instruments will include design review submissions and results aligned with SDLC gates, review checklists, issue resolution decisions, change orders and design exception decisions at a minimum. The Governance Body Charter operations will reference control instruments.

- **Status and reporting instruments**

Will be established to include governance dashboards, KPIs, risk logs, weekly project status reports, compliance reports or weekly project budgeting reports. Each status instrument provides a view into the health and progress of the MMP project initiatives. The Governance Body Charter operations will reference status and reporting instruments.

PGMP implementation will ensure the use of governance control, status and reporting instruments through training and communication supported by tools (such as SharePoint) to promote and provide access to the instruments. The SPMO as governance administrator will support and facilitate implementation and effective use of governance instruments.

6.3. Iteration 1 Governance Body Instrumentation

Project Steering Committee

The following direction setting instruments will be considered under the scope of the Project Steering Committee mandate set out in its Charter:

Table 6: Project Steering Committee Direction Setting Instruments

Direction Instrument		Description
Internal	MMP Project Schedule	Individual project schedule which lists the key milestones and sequential tasks (dependency, duration), and the integration of MMP required gates
	MMP Policies & Standards	Internal direction setting instruments will be established, approved and enforced by the Project Steering Committee
External	Federal Policies & Standards	External instruments will be set and approved by external governance bodies within CMS etc., and enforced by HCFA and MMP governance bodies. e.g., MARS-E, MITA and CMS seven conditions and standards, CMS Gate Review policies

At a minimum, the following control monitoring instruments will be considered under the scope of the Project Steering Committee mandate set out in its Charter:

Table 7: Project Steering Committee Control Monitoring Instruments

Control Instrument	Description
MMP Project Status Reports	Weekly (typically) summary of project progress listing accomplishments, concerns, next steps, approaching key milestones, risks, issues, change orders

At a minimum, the following status instruments will be considered under the scope of the Project Steering Committee mandate set out in its Charter:

Table 8: Project Steering Committee Status and Reporting Instruments

Status Instrument	Description
MMP Project Dashboard	Project reporting website with a standard set of project tracking metrics defined by the SPMO and Project Steering Committee.
MMP Project Risk / Issues Log	Date driven (open, closed, next decision point) project logs which list the 'Risk' or 'Issue' encountered, providing a brief description of the item, current status or discussion points, escalation and/or resolution

Technical Architecture Review Board

At a minimum, the following direction setting instruments will be considered under the scope of the TARB mandate set out in its Charter. It is recommended that the policies, standards and principles enforced by TARB are stored in a standards repository that can be easily accessed within the organization, similar to or within the Architecture Artifact Repository specified in the Enterprise Architecture (EA) – Business Operating Model (BOM) Management Plan.

Table 9: TARB Direction Setting Instruments

Direction Instrument		Description
Internal	EA-BOM	TARB will have oversight responsibility for the implementation, operation and maturation of the EA-BOM Management Plan. The EA-BOM Management Plan specifies how the organization will achieve the target architecture, documents the processes and specifies the EA products that will be used to build the target architecture. MMP projects will execute the method and use the specifications to design the target state.

Direction Instrument		Description
	Organizational Policies & Standards	HCFA architecture policies, standards and HCFA reference models are set at the discretion of TARB and/or the ISSC. These types of policies and standards will be regularly reviewed to ensure their positive contribution to HCFA, MMP and architectural goals and objectives.
	Architecture Principles	Architecture principles will be established by TARB to guide the MMP project architecture deliverables towards architecture goals and objectives. Architecture principles will align to HCFA or business level principles and may apply generically across all architecture domains or within a specific domain (business, data, application, technology or security).
External	Legal and Regulatory Policies & Standards	External policies and standards must be met by target architectures without exception. Examples include external direction on protection of privacy or freedom of information legislation. TARB will be accountable for organizational compliance to these types of legal and regulatory technical policies and standards.
	Industry Standards	External standards include MITA, CMS, modeling standards (BPMN 2.0, UML etc.) or security standards (MARS-E etc.) that are adopted and monitored by TARB for compliance or reasonable exceptions to the standard.

At a minimum, the following control monitoring instruments will be considered under the scope of the TARB mandate set out in its Charter:

Table 10: TARB Control Monitoring Instruments

Control Instrument	Description
Design Reviews aligned to SDLC Gates	TARB will align with SDLC gates to monitor MMP project compliance with architecture standards and policies.
Design Review Checklists	The review board is responsible for approving checklists that will be used to conduct a design review. Checklists are highly dependent on the architecture domain that is being reviewed. TOFAF 9.1 provides example templates in the standard on architecture compliance.

Control Instrument	Description
	Checklists should focus on high-risk items and not focus on style or development methodology, but on what is right or wrong with the design. Other issues that are outside of the scope of the architecture review board may come to light during the review and should be escalated through the issue escalation process.
Design Review/ Compliance Report	The purpose for a compliance assessment report is to report whether an architectural design is realizing the architecture vision for the program and the business goals and drivers. Although it can focus on whether standards are being met, the value of the review is to ensure that the target architecture meets business goals and that it is actually being implemented. See EA-BOM Management Plan for the Compliance Report Specification.
Design exception decisions	<p>Architectural exceptions can be granted by the review board, especially where a choice must be made between two architectural principles. Exemptions can also be granted for a period of time during which a design or project will become compliant.</p> <p>Where an exemption is granted, the board should record the decision in board meeting minutes. The board will establish guidelines over which decisions must be escalated to TARB level governance, for example if a decision has a significant cost or scope impact to a project or program.</p>

At a minimum, the following status instruments will be considered under the scope of the TARB mandate set out in its Charter:

Table 11: TARB Status and Reporting Instruments

Status Instrument	Description
MMP Project Dashboard	Project reporting website with a standard set of project tracking metrics defined by the SPMO and Project Steering Committee.
MMP Project Risk / Issues Log	Date driven (open, closed, next decision point) project logs which list the 'Risk' or 'Issue' encountered, providing a brief description of the item, current status or discussion points, escalation and/or resolution

7. MMP GOVERNANCE IMPLEMENTATION AND ITERATIONS

Implementation of MMP governance will be a process of continuous improvement. Top down support and oversight, combined with effective mechanisms for communicating, monitoring and following up will be leveraged to ensure successful implementation of MMP governance bodies, policies and procedures. HCFA leadership will play a key role in ensuring that governance changes are accomplished and an effective, prioritized MMP governance framework is implemented over time.

The priority order for implementing the MMP governance framework and the scope of responsibilities and membership of the governance bodies will be prescribed across PGMP iterations. Iteration 1 of the PGMP designs a transition state in support of the TEDS IAPD & RFQ procurement process. Subsequent plan iterations will update this initial MMP governance design and implementation roadmap.

7.1. Overall Governance Implementation

The overall governance context for implementing the PGMP within HCFA includes transformation and operational governance as well as business and information technology governance as illustrated in the following diagram. It will take time for this overall governance picture to be fully realized within the HCFA organization.

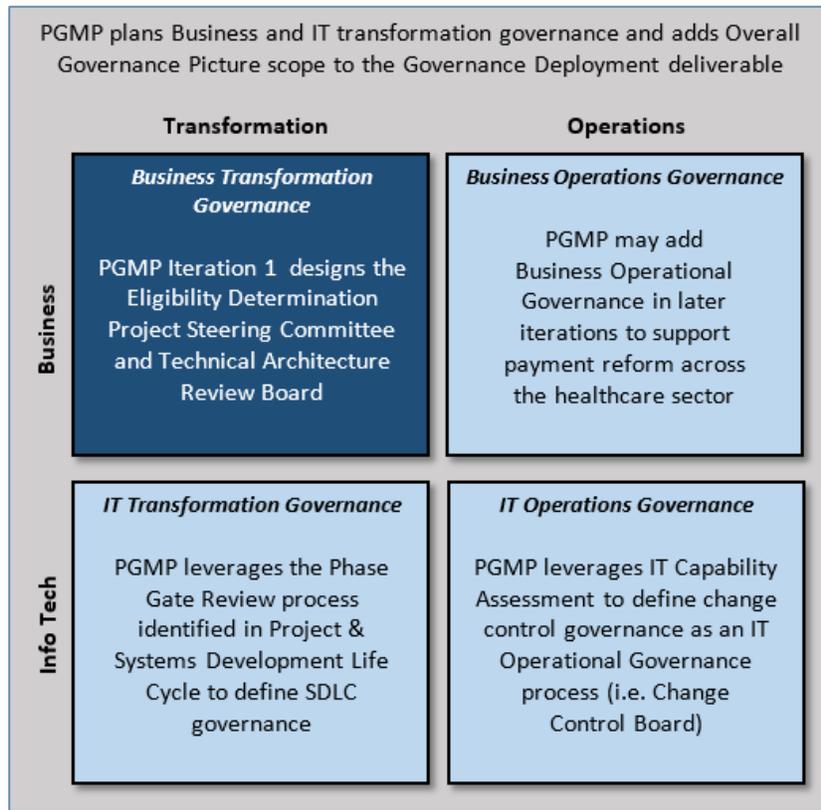


Figure 7: Overall MMP Governance Picture

It will also take time for governance bodies, policies and measures to become common practice and rooted within the HCFA culture. This Iteration 1 of the PGMP has been delivered under the PGMP framework deliverable and:

- Designs the Project Steering Committee and Technical Architecture Review Board as the initial business transformation governance bodies
- Adds IT transformation governance scope by leveraging Phase Gate review processes identified in the Project & System Development Lifecycle Management Plan`
- Adds IT Operational scope for change control governance by leveraging the Business and IT Capability Assessment / Roadmap (i.e., Change Control Board)
- Adds Strategic Program Management Office/Governance Deployment scope (i.e., overall governance picture)
- May later add business operational governance scope in subsequent PGMP iterations (e.g., supporting the governance of payment reform across the healthcare sector)

7.2. Iteration 1 Governance Implementation

This iteration of the PGMP prescribes timelines for attaining specific MMP governance milestones as shown in the following table. Once implementation is underway the governance changes will be communicated to stakeholders both internally and externally.

To support governance adoption and understanding, the implementation of planned governance bodies will be enabled and promoted across MMP and HCFA through OCM and training initiatives, as well as through the SPMO as governance administrator. Funding for deployment of iteration 1 of the PGMP is budgeted under SPMO Startup and Governance Deployment. The ongoing feedback received from all stakeholders will enable HCFA leadership to direct subsequent modification of the PGMP in future iterations to fit current and emerging governance needs, demands and realities.

Table 12: PGMP Iteration 1 Governance Body Implementation Milestones

Milestone	Project Steering Committee	Architecture Review Board
Draft Charter complete	End Jan 2016	Mid Feb 2016
Initial Governance Body Meeting Held	Mid Feb 2016	End Feb 2016
Iteration 1 Governance Body Implementation complete	End Mar 2016	End Mar 2016

Governance Body Implementation Scope

To meet the needs of Eligibility Modernization governance, Iteration 1 of the PGMP prescribes the implementation of two governance bodies. The Project Steering Committee will be fully established and operating to direct and control the project core team on the priorities to achieve the functionality necessary for FFM integration and PPACA compliance. The TARB will be established and operating to direct and control the HCFA Technical Architecture and to ensure MMP project compliance with State and Federal technical architecture policies and standards. Refer to APPENDIX H: Project Steering Committee Implementation Scope, and APPENDIX I: Technical Architecture Review Board Implementation Scope, for specification of the scope of implementation for each of these Iteration 1 governance bodies.

SPMO Governance Implementation Support

The SPMO will develop and implement risk and issue management processes aligned with the MMP Governance Framework. Alignment of these management processes to the framework will facilitate the necessary adoption and organizational change management to ensure MMP success. In the near term, the SPMO will establish templates and improve status reporting to help drive visibility into governance issues and seed the implementation of the PGMP. The SPMO will also provide administrative management including: scheduling, minutes, materials distribution and dashboard creation related to governance bodies.

Governance Communication and Training Support

In support of PGMP implementation, the overall, OCM and Training strategy will focus on the cultural changes that need to occur to mobilize key governance stakeholders, including those expected to serve as governance body members. Implementation activities will include:

- Governance stakeholder analysis (Organizational Change and Training Management Plan) to identify and confirm stakeholders needs
- Define, communicate (Communication Management Plan) and train (Organizational Change and Training Management Plan) on governance roles and responsibilities
- Working with key stakeholders to define governance roles and responsibilities, expectations and engagement process
- Identify stakeholder needs to stand up and operationalize the Project Steering Committee and the Technical Architecture Review Board
- Collaborate with the governance implementation team to define the operating procedures and guidelines for the Project Steering Committee and Technical Architecture Review Board
- Communicate governance roles and responsibilities and interaction process to impacted stakeholders

Internal governance stakeholders, project core team and external SI Contractor(s) will need to be oriented and trained on the MMP governance framework. This training will inform each group on the structure of program governance that will monitor and assess progress during MMP project execution to ensure governance compliance. It will educate each group on the need and process for aligning expected project deliverables to coincide with the designated governance control gates. The State governance perspective will be called out in the governance section of the RFQ to support the tender process and add contractual clarity with all potential contractors.

Implementing Governance Policies & Procedures

OCM will be needed to align Governance and IT leadership and help manage communication around the policy and procedures that MMP projects will require. Communication will include the definition of roles & responsibilities, project steering expectations, and the functional engagement process when interacting with the governance team and the project steering committees.

Implementing Governance Instrumentation

Implementation of the PGMP will need to ensure the use of internal and external governance (direction, control, status and reporting) instruments through training and communication supported by tools to promote access to the instruments. Where externally established policies and standards are adopted for MMP compliance, it will be the responsibility of each of the MMP governance bodies to monitor for changes and updates to these direction setting instruments and/or new best practices. The SPMO as governance administrator will be instrumental to supporting and facilitating the implementation and effective use of .governance control and status instruments.

Appendix A: ACRONYMS

Table 13: Acronyms Defined

Acronym	Definition
BOM	Business Operating Model
CHIP	Children’s Health Insurance Program
CMS	Centers for Medicare and Medicaid Services
DDR	Detailed Design Review
EA	Enterprise Architecture
EMP	Eligibility Modernization Project
FDSH	Federal Data Services Hub
FFM	Federally-Facilitated Marketplace
FFP	Federal Financial Participation
HCFA	Health Care Finance and Administration
HIPAA	Health Insurance Portability and Accountability Act
IAPD	Implementation Advanced Planning Document
ISSC	Information Security Steering Committee
IT	Information Technology
ITSM	IT Service Management
IV&V	Independent Verification & Validation
KPI	Key Performance Indicator
MAGI	Modified Adjusted Gross Income
MITA	Medicaid Information Technology Architecture
MMP	Medicaid Modernization Program

Acronym	Definition
OCM	Organizational Change Management
OeHI	Office of eHealth Initiatives
PGMP	Program Governance Management Plan
PPACA	Patient Protection and Affordable Care Act
PSC	Project Steering Committee
PSDLC	Project Lifecycle & System Development Life Cycle
RFQ	Request for Quotation
SDLC	System Development Life Cycle
SI	System Integrator
SPMO	Strategic Program Management Office
STS	Strategic Technology Solutions
TARB	Technical Architecture Review Board
TAS	Technical Advisory Services
TBSM	Tennessee Business Solutions Methodology
TEDS	Tennessee Eligibility Determination System
TOGAF	The Open Group Architecture Framework

Appendix B: GOVERNANCE BODY CHARTER SPECIFICATION

A Governance Body Charter is an essential document for defining the scope, purpose and authority of a governance body. A key purpose of the Charter is to ensure a common understanding of the governance body across all stakeholders. Without a charter, the governance body's value, scope, and success criteria may be unclear to individuals in the MMP and HCFA, which will result in unrealistic stakeholder expectations and poor acceptance and performance of the governance body itself.

The Charter must be aligned to HCFA/MMP goals and must provide a clear mandate for the body concerning its span of direction and control. A Charter is a living document that will evolve with the overall governance framework. However, once established, substantive revisions to the Charter are subject to the consensus of the governance body members. The Charter should be drafted with input from as many key stakeholders as possible to increase stakeholder acceptance.

Table 14: Governance Charter Specification

Charter Section	Description
Mandate and Principles	<p>The mandate and principles section of the governance body Charter will prescribe:</p> <ul style="list-style-type: none"> • What the governance body directs and controls (should be aligned with availability and skills of the members) • What explicitly the governance body will do • The principles that will guide the governance body members in their decisions
Composition & Structure	<p>The composition and structure section of the governance body Charter will prescribe:</p> <ul style="list-style-type: none"> • How governance body members are appointed • Where the governance body members are accountable to • Governance body members and their role (select participants based on the activities of the governance body) • Governance body member accountability and obligations (voting rights and terms of reference) • Criteria the members must meet
Operational Guidelines	<p>The governance body Charter will prescribe:</p> <ul style="list-style-type: none"> • The normative agenda of a governance body meeting • The frequency with which the governance body will meet

Charter Section	Description
	<ul style="list-style-type: none"> • The procedures that will be used to coordinate and conduct governance body meetings • Criteria for putting items on the governance body agenda • Control, status and reporting instruments.
Responsibilities	<p>The governance body members acts collectively to exercise its powers and responsibilities as a group.</p> <p>The responsibilities section of the governance body charter will prescribe the required responsibilities of the governance body members to ensure the successful fulfillment of the mandate.</p>

Steering Committee Composition and Structure

- Usually chaired by appropriate Executive Business Sponsor
- Functional executives e.g., CxOs, SVPs, VPs, Directors (depending on the governance level of the steering committee e.g., Executive or Project)

Steering Committee Responsibilities

- Provide strategic direction and guidance
- Provide leadership within the organization by articulating and supporting the case for change
- Monitor and validate progress towards goals and objectives

Architecture Review Board Composition & Structure

- Typically chaired by CIO or CTO
- Representatives of all key stakeholders in the architecture.

Architecture Review Board Responsibilities

- Direct the Enterprise Architecture (EA) capability and approve its key deliverables:
- Establish EA capability purpose, direction, scope and decision making authority
- Monitor performance and compliance of architecture related activities
- Review and approve/reject architecture compliance exceptions
- Review and approve/reject exceptions to the approved technology stack
- Approving and monitoring compliance with EA policy and EA operating procedures
- EA performance and value measurement plan
- EA organization role definitions
- Serve as an escalation point for project gate review issues

Appendix C: GOVERNANCE POLICY SPECIFICATION

Governance policies establish the intent to guide governance decisions for each project in the MMP. Each governance body will be responsible for establishing the policies that they will apply to their domain, communicate and enforce through the governance review process.

Table 15: Governance Policy Specification

Policy Section	Description
Owner	Party accountable for policy updates
Type	The type of policy: <ul style="list-style-type: none"> • e.g., Program Governance; IT Governance; Architecture
Purpose	The purpose section of the policy will identify: <ul style="list-style-type: none"> • What the policy is intended to ensure and to what ends.
Scope	The scope section of the policy will identify the: <ul style="list-style-type: none"> • Stakeholders to whom the policy applies (e.g., employees, contractors etc.) • Stakeholder context within which the policy applies (e.g. to those engaged in development, acquisition etc. of technology solutions) • What is required of the stakeholders under this policy (e.g. to comply with EA principles and target state architecture)
Inclusion Criteria	The inclusion criteria section of the policy will guide the: <ul style="list-style-type: none"> • Scope of inclusion for this policy (e.g., externally procured solutions must be approved by the TARB in accordance with the design review process)
Roles & Responsibilities	The roles and responsibilities section of the policy will identify the: <ul style="list-style-type: none"> • Relevant roles and responsibilities (e.g., the role responsible for verifying compliance with the policy)
Compliance Exceptions	The compliance exceptions section of the policy will identify the: <ul style="list-style-type: none"> • Means to gain an exception from this policy (if any)

Appendix D: GOVERNANCE STANDARDS SPECIFICATION

Governance standards establish the content expectations required at unique stages of progression for each project in the MMP. Each governance body must operate within their charter, which indicates their responsibility establishing the standards that they will apply to their domain and enforced through the governance review process. Standards will be considered and may be required for architecture content, information security, project management, implementation content etc.

Standards may be performance based, prescriptive or both. A performance-based (objective) standard states goals and objectives to be achieved and describes methods that can be used to demonstrate whether or not products and services meet the specified goals and objectives. A prescriptive standard, typically prescribes materials, design and construction methods frequently without stating goals and objectives.

The extent to which a standard can be performance based rather than prescriptive depends on the ease of judging whether or not MMP project deliverables meet its goals and objectives. When performance based requirements lead to costly and complicated testing procedures, prescriptive requirements should be considered, possibly with alternate performance based requirements.

Table 16: Governance Standard Specification

Standards Section	Description
Type	The type of standard: <ul style="list-style-type: none"> E.g., Performance based; Prescriptive; Performance and prescriptive
Name	The name of the standard will identify: <ul style="list-style-type: none"> A unique short name commonly used to refer to the standard.
Description	The description section of the standard will: <ul style="list-style-type: none"> Provide a non-technical description of the standard and the purpose for which it is intended
Details	The details section of the standard will: <ul style="list-style-type: none"> Specify the details of the standard, sufficient for those responsible to comply with the standard to clearly discern if they are in compliance
Scope of applicability	The scope of applicability section of the standard will guide the: <ul style="list-style-type: none"> Scope of applicability and any special notes regarding when the

Standards Section	Description
	standard might not apply
Owner	The owner section of the standard will identify: <ul style="list-style-type: none"> • The group appointed as the responsible owner of the standard
Interdependencies	The interdependencies section of the standard will identify: <ul style="list-style-type: none"> • Any standards that relate in a meaningful way to this standard e.g., this standard may be dependent upon those standards or vice versa
Exceptions	The exceptions section of the standard will identify: <ul style="list-style-type: none"> • The means to gain an exception from this standard (if any)

Appendix E: GOVERNANCE PRINCIPLES SPECIFICATION

Governance principles establish the guidelines and requirements to which governance stakeholders will adhere to ensure that HCFA achieve its goals and objectives for MMP. Principles will be aligned across governance tiers, e.g., architecture principles must align to HCFA or business level principles and used to guide decisions where conflicts arise across tiers. Architecture principles can apply generically across all architecture domains or within a specific domain (business, data, application, technology or security).

Table 17: Governance Principles Specification

Principle Section	Description
Name	<p>The name of the principle:</p> <ul style="list-style-type: none"> Clearly represents the principle and is easy to remember – e.g., Compliance with Laws and Regulations; Buy Before Build; or Data is an Asset etc.
Statement	<p>The principle statement will identify:</p> <ul style="list-style-type: none"> The description of the principle in clear language – e.g., Data is an asset that has value to the enterprise and is managed accordingly.
Rationale	<p>The rationale for the principle will identify:</p> <ul style="list-style-type: none"> The list of business benefits attributable to adhering to the principle, and a cross-reference to other principles that may take precedence in decision making – e.g., accurate, timely data is critical to accurate timely decisions
Implications	<p>The implications section of the principle will identify:</p> <ul style="list-style-type: none"> Specific requirements or costs that must be met in order to meet the principle – e.g., data stewards are responsible for data quality
Name	<p>The name of the principle:</p> <ul style="list-style-type: none"> Clearly represents the principle and is easy to remember – e.g., Compliance with Laws and Regulations; Buy Before Build; or Data is an Asset etc.
Statement	<p>The principle statement will identify:</p> <ul style="list-style-type: none"> The description of the principle in clear language – e.g., Data is an asset that has value to the enterprise and is managed accordingly.

Appendix F: ISSUES ESCALATION PROCESS SPECIFICATION

The issues escalation process will be developed as part of the implementation of the program governance management plan, led by the SPMO.

Appendix F.1: Process Scope

The scope of the Issues Escalation process includes:

- The approach to identify and analyze issues, how to escalate issues and how to document resolutions. An issue is a previously unanticipated event that will happen or is happening, which may have a detrimental effect on the program or project schedule, cost or quality.
- The procedures used to manage issues and escalation throughout the life cycle of an MMP project.

Appendix F.2: Procedures

Procedures within the Issues Escalation process include:

Table 18: Issue Escalation Process Specification

Procedure	Description
Identification	How issues are identified and recorded throughout the MMP’s life cycle.
Validation and Prioritization	How issues are deemed valid How the desired issue resolution or concern is clearly stated How issues are reviewed and prioritized for escalation
Issue Analysis	How issues are analyzed for completeness and impact at the MMP project level How issues are analyzed to develop a recommendation / solution by the governance body including the use of sub-committees or working groups What impacts are to be assessed for an issue including: scope impacts, cost and schedule impacts, resource impacts, stakeholder impacts, risk impacts How potential resolutions are evaluated, recommended, documented and reviewed How the appropriate governance body approves the issue resolution How the approved issue resolution is actioned

Procedure	Description
Tracking and Reporting	<p>How new issues are documented and reported</p> <p>How resolved issues are documented and reported</p> <p>Who owns an issue through to resolution</p>
Escalation	<p>What circumstances result in the escalation of issues</p> <p>What situations and circumstances require the emergency escalation of issues</p> <p>How governance bodies are convened and notified so as to resolve escalated issues</p> <p>What types of issues are escalated to each governance body (e.g., Project Steering Committee receives issues related to policy, schedule, program impacts, gating, contractor, stakeholder, funding, etc.)</p>
Resolution	<p>How escalated issues and solution alternatives are reviewed</p> <p>How recommended resolutions are approved or dismissed</p> <p>How resources are committed to support the resolution</p> <p>How expedited response and direction on issues are provided which may impact the scope or schedule of the MMP project activities</p> <p>How resolutions are documented and tracked</p>

Appendix G: DESIGN REVIEW PROCESS SPECIFICATION

The design review process will be developed as part of the implementation of the program governance management plan, led by TAS.

Appendix G.1: Process Scope

The scope of the Design Review process includes:

- The approach to identify compliance to architecture standards
- Ensure alignment to enterprise target state
- Ensure alignment to strategic and business objectives
- Identify architecture expectations, dependencies, risk and areas that require alignment

Appendix G.2: Procedures

Procedures within the Design Review process include:

Table 19: Design Review Process Specification

Procedure	Description
Request architecture	As mandated by IT governance policies and procedures. Identify responsible part of organization and relevant project principals. Identify Lead Enterprise Architect and other architects.
Determine scope of review	Identify which other business units/departments are involved. Understand where the system fits in the corporate architecture framework.
Tailor checklists	To address the business requirements
Schedule Design Review Meeting	Interview project principals to get background and technical information: <ul style="list-style-type: none"> • For internal project: in person • For COTS: in person or via RFP
Analyze completed checklists	Review against corporate standards Identify and resolve issues Determine recommendations
Prepare compliance report	May involve supporting staff
Present and review findings	To customer and architecture review board Accept review and sign off Send assessment report/summary to Design Review Coordinator

Appendix H: PROJECT STEERING COMMITTEE IMPLEMENTATION SCOPE

Table 20: Project Steering Committee Implementation Scope

RACI Example

Element	Description	
Governance Need	MMP requires the PSC to be fully established and operating to direct and control the project core team on the priorities to achieve the functionality necessary for FFM integration and PPACA compliance.	
Implementation Objectives	The project steering committee will be chartered to ensure business objectives are being met. Committee members will take on responsibilities according to the Charter and provide overall direction and guidance to the project. The Issue Escalation and resolution process will be designed and implemented and overseen by PSC members. Governance communication and training will be designed and delivered to stakeholders to ensure important project issues (e.g., scope, budget, risk, and schedule) are escalated appropriately and resolved in a timely manner. Governance instrumentation will be built, implemented and monitored.	
Stakeholder Benefits	The following groups have a stake in the successful implementation of the Project Steering Committee and Issue Escalation process	
	Project Steering Committee Members	<p>Committee members are able to make decisions to effectively direct and control the project to achieve the functionality necessary.</p> <p>Committee members are better able to monitor, understand and govern project issues and risks.</p>
	Project Core Team including SI	<p>Project team is able to effectively deliver the project outputs to achieve the functionality necessary for FFM integration and PPACA compliance</p> <p>Project team understands the process and when to escalate issues for resolution to mitigate project risks</p>
	Governance	Implementation team is able to monitor and

Element	Description	
	Implementation & Operations Team	<p>continuously improve project governance performance</p> <p>Operations team is able to efficiently and effectively administer project governance</p>
Implementation Deliverables	PSC composition and constitution	Identify and agree on who will fill each project steering committee member role
	Member responsibilities	Define member accountabilities and responsibilities (i.e., what is expected of each member aligned with project steering committee mandate.) RACI
	Meeting Requirements	Agree frequency, duration, location and modality of meetings
	Charter	<p>Draft Final Charter as per charter spec – see Governance Body Charter specification in Appendix B</p> <p>Review Charter with Stakeholders.</p> <p>Approve Charter – Executive business sponsor</p>
	Principles, policy and procedure	<p>Establish governance policies and principles instruments and governance body procedures and issue escalation process</p> <ul style="list-style-type: none"> • This includes key principles and policies that the project steering committee and individual members should adhere to when providing direction and guidance to the project team. • This includes the procedures associated to escalating issues to the project steering committee, issuing approvals etc. • See Issue Escalation Process specifications in Appendix F
	Instruments	Create key performance indicators, design reporting dashboards, design monitoring protocols

Element	Description	
	Communication and Training	Update the training and communication plans. Implement these plans, including: <ul style="list-style-type: none"> • design and delivery of governance training to stakeholders • how project steering committee Charter, processes, instruments and implementation, will be communicated • how stakeholders will be orientated and comply with project governance.

Appendix I: TECHNICAL ARCHITECTURE REVIEW BOARD IMPLEMENTATION SCOPE

Table 21: Technical Architecture Review Board Implementation Scope

Element	Description	
Governance Need	MMP requires the TARB to be fully established and operating to direct and control the HCFA Technical Architecture and to ensure MMP project compliance with State and Federal technical architecture policies and standards.	
Implementation Objectives	The TARB will be chartered to ensure technical architecture objectives are being met. Board members will take on responsibilities according to the Charter and provide overall direction and guidance to MMP projects. The Design Review process will be designed (including alignment to SDLC) and implemented and overseen by TARB members. Governance communication and training will be designed and delivered to stakeholders to ensure important architecture issues are escalated appropriately and resolved in a timely manner. Governance instrumentation will be built, implemented and monitored.	
Stakeholder Benefits	The following groups have a stake in the successful implementation of the TARB and Design Review process aligned to SDLC:	
	TARB Members	<p>Board members are able to make decisions to effectively ensure MMP project compliance with State and Federal technical architecture policies and standards.</p> <p>Committee members are better able to monitor, understand and govern technical architecture issues and risks.</p>
	MMP Project Teams including SI	<p>MMP Project teams are able to effectively deliver the project outputs in compliance with Technical Architecture policies and standards.</p> <p>MMP Project teams understand the design review process and produce compliant solution design deliverables to mitigate technical architecture risk.</p>

Element	Description	
	Governance Implementation & Operations Team	<p>Implementation team is able to monitor and continuously improve technical architecture governance performance</p> <p>Operations team is able to efficiently and effectively administer technical architecture governance</p>
Deliverables	TARB Implementation kick off	<p>Conduct the kick-off and orientation meeting with stakeholders</p> <p>Present initial draft version of the charter – see Governance Body Charter specification</p>
	TARB composition and constitution	Identify and agree on who will fill each member role
	TARB Member responsibilities	Define member accountabilities and responsibilities (i.e., what is expected of each member) RACI
	TARB Meeting Requirements	Frequency, duration, agenda and location of meetings
	TARB Charter	<p>Draft Final Charter as per charter spec – see Governance Body Charter specification in APPENDIX B: Governance Body Charter Specification</p> <p>Review TARB Charter with Stakeholders. This review could be done in iterations as the other elements of the TARB are built out (e.g., TARB principles, design review process etc.)</p> <p>Obtain final approval of TARB charter from Business and IT executive sponsors</p>
	Principles, policy and procedure	<p>Establish TARB principles, policy and procedures including:</p> <ul style="list-style-type: none"> • Key principles and policies that the TARB and individual members should adhere to when approving and reviewing standards, architectures, solution designs etc.

Element	Description	
		<ul style="list-style-type: none"> • Procedures associated to submitting a TARB review request, obtain approval, escalation of issues etc. <p>Please refer to the Issue Escalation Process specifications in APPENDIX G: Design Review Process Specification</p>
	KPIs and Reporting Requirements	<p>Create key performance indicators</p> <p>Design and implement reporting dashboards and monitoring protocols</p>
	Design Review Process	<p>Define and communicate review process for architecture solution design (see Section 6.2 and associated process specification in APPENDIX G: Design Review Process Specification)</p>
	Communication & Training	<p>Update the training and communication plans. Implement these plans, including:</p> <ul style="list-style-type: none"> • design and delivery of governance training to stakeholders • how TARB Charter, processes, instruments and implementation, will be communicated • how stakeholders will be orientated and comply with design governance.