AHCA Florida Health Care Connections (FX)

<<Insert Project Name Here>>

Business Process and Rules Management Plan

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Author: [Author]

Submitted To: AHCA FX Project Management

Revision History

DATE	VERSION	DESCRIPTION	AUTHOR
MM/DD/YYYY	001	<<Insert Project Name Here>> Business Process and Rules Management Plan first draft version	

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

Quality Review History

DATE	REVIEWER	COMMENTS
MM/DD/YYYY		

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SECTION 1   INTRODUCTION

1.1   BACKGROUND

The Florida Agency for Health Care Administration (AHCA or Agency) is adapting to the changing landscape of health care administration and increased use of the Centers for Medicare and Medicaid Services (CMS) Medicaid Information Technology Architecture (MITA) to improve the administration and operation of the Florida Medicaid Enterprise. The current Florida Medicaid Enterprise includes services, business processes, data management and processes, technical processes within the Agency, and interconnections and touchpoints with systems that reside outside the Agency necessary for administration of the Florida Medicaid program. The current Florida Medicaid Enterprise System (MES) includes the Florida Medicaid Management Information System (FMMIS), Decision Support System (DSS), and other systems operated by different vendors. These systems in the MES, interface primarily through the exchange of data files, via Secured File Transfer Protocol. These point-to-point interfaces become more complex and costlier as the number of systems and applications increase. The future of the Florida Medicaid Enterprise integration is to allow Florida Medicaid to secure services that can interoperate and communicate without relying on a common platform or technology.

During the strategic visioning session held on December 13, 2017, the executive team determined that this project should be focused much more broadly than just a FMMIS replacement, indicating that the project should "Transform the Medicaid Enterprise to provide the greatest quality, the best experience, and the highest value in healthcare."

To articulate this far-reaching scope, the MES Procurement Project was re-named Florida Health Care Connections (FX) in the summer of 2018.

The Agency contracted with the Strategic Enterprise Advisory Services (SEAS) Vendor, in September 2017 to develop the technology standards and propose solutions for FX in accordance with the CMS Conditions and Standards, including MITA 3.0, and to provide strategic, programmatic, and technical advisory services for the Agency. The 17 initial deliverables were accepted by the Agency in FY 2017-18. The SEAS Vendor is now executing to those deliverables and performing the annual refresh as required by the SEAS Contract, MED191.

1.2   PURPOSE

The Business Process and Rules Management Plan describes the processes for managing the business requirement and business rule modifications related to an FX project. Business rules, business processes, and data management are highly intertwined and together provide a foundation for a service-oriented architecture.

This document also provides, user requirements, and functional/nonfunctional requirements for the project. It may also contain use case scenarios to help clarify the business and rules management processes required for the project.

1.3 SCOPE STATEMENT

<Instructions: Provide a high-level overview of the project. Include how the requirements and rules will be traced to the appropriate deliverables in the development and testing phases to ensure that all requirements are properly implemented and tested.>

1.4 GOALS AND OBJECTIVES

<Instructions: Identify the goals and objectives for this plan.>

- Goal #1 – The goal of this plan is to <insert language>
    › Objective #1 – <insert objective>
    › Objective #2 – <insert objective>
- Goal #2 – The goal of this plan is to <insert language>
    › Objective #1 – <insert objective>
    › Objective #2 – <insert objective>

1.5 REFERENCED DOCUMENTS

The following documents were used as input to the development of the Business Process and Rules Management Plan and provided valuable information to produce the procedures and processes.

- Centers for Medicare and Medicaid Services, MITA Part 1, Appendix C, Business Process Model Details
- Business Rules Management – An Introduction, From: CogNIAM Finance, Authors: Inge Lemmens, John Bulles, Popke Rein Munniksma, Date: October 14th, 2013 Version:1.0
- <add additional, as needed>

SECTION 2   ROLES AND RESPONSIBILITIES

Exhibit 2-1: Roles and Responsibilities identify the roles and responsibilities for the primary stakeholders that maintain or use this document.

<Instructions: Specify each major role (not name of the individual) and the major activities related to this document.>

ROLE	RESPONSIBILITY
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	▪
	▪
	▪
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Exhibit 2-1: Roles and Responsibilities

SECTION 3 BUSINESS PROCESS MANAGEMENT APPROACH

Business process management (BPM) focuses on modelling, managing, and potentially executing, the sequence of activities in a business process, separating the process logic from the business logic implemented in applications.

3.1 MODIFICATION TO MITA BUSINESS PROCESSES

MITA business processes are documented in a defined structure using the template in Appendix A. Modifications to FX business processes should continue to follow the structure of the MITA business process templates.

<Instructions: Describe the methods, processes, tools, and techniques that will be used to elaborate, define, modify, and retire MITA business processes, and how they will integrate with other project processes.>

3.2 MAINTAINING MITA BUSINESS PROCESS DOCUMENTATION

<Instructions: Describe the methods, processes, tools, and techniques that will be used for business process documentation.>

3.3 CROSS-ORGANIZATIONAL BUSINESS PROCESSES

<Instructions: Describe the methods, processes, tools, and techniques that will be used for business processes that cross system or organizational boundaries.>

3.4 DOCUMENTATION OF BUSINESS PROCESSES

<Instructions: Describe the methods, processes, tools, and techniques that will be used for business process and rules management, and how they will integrate with other project processes.>

3.5 AUTOMATION OF BUSINESS PROCESSES

<Instructions: Describe the current level of automation and the future level of automation of business processes.>

3.6 BUSINESS PROCESS MANAGEMENT TOOL

<Instructions: Describe the automated business process management tool used to manage workflows performed by the FX Project.>

3.7 COMPLIANCE WITH BPMN

<Instructions: State the project's adherence to the standard to use Business Process Model and Notation (BPMN) format for workflows that cross system and organizational boundaries. Describe which business processes require cross organizational workflows.>

3.8 BUSINESS PROCESS LEARNING

<Instructions: Describe the methods, processes, tools, and techniques used to learn business processing by evaluating processes used. Specify any automated technique used to define business processes.>

3.9 ENABLING ARTIFICIAL INTELLIGENCE (AI) PROCESSING

<Instructions: Describe any methods, processes, tools, and techniques that will be used to enable Artificial Intelligence based execution of business processes.>

SECTION 4   BUSINESS RULES MANAGEMENT APPROACH

4.1   DEFINITION OF BUSINESS RULES MANAGEMENT (BRM)

Business Rules Management (BRM) is the discipline that aims at explicitly specifying business rules and managing them independently of their different usages (implementation). That is, BRM is about making the business rules explicit in such a manner that they are understandable by the business (and hence can be managed by the business) and are also formal enough to automate them in a consistent manner (if required). BRM gives an organization insight into the rules that determines its behavior. Having insight into these rules leads to a consistent and transparent application of them, which in turn increases customer satisfaction. Moreover, the increased awareness about and understanding of business rules that apply also increases the effectiveness of the organization since interpretation errors and misunderstandings are prevented as much as possible.

4.2   USE OF BUSINESS RULES ENGINE

<Instructions: Describe the use of a Business Rules Engine for automated decision-making. Describe the software used and software implementation of business rules engines used. If rules are provided for use by multiple rules engines, indicate supported rules engines.>

4.3   BUSINESS RULES REPOSITORY

It is required for FX Project Owners to store business rules in one central repository used by all FX projects. It is important that there is a single definition of business rules, in close connection to their usage, potentially distributed throughout the organization but centrally coordinated such that together they form one single point of truth. Business rules can be managed in different modules or environments, but the complete resulting set of business rules should be coordinated in such a way that all pieces together form a consistent whole.

 <Instructions: Describe the repository used to store and maintain business rules. If rules are distributed from a central repository or coordinated with the business rules of other FX projects, describe the coordination process between repositories.>

4.4   BUSINESS RULE TYPES

<Instructions: Provide an overview of the types of business rules defined or modified by the project and the approach to manage each business rule type.>

4.4.1   CONSTRAINTS - GOVERN THE DATA AND BEHAVIORS

<Instructions: Describe constraint type business rules.

Constraints are statements about the enterprise that are or should always be true. Constraints are either integrity rules or behavioral rules and act on the information used by the organizations in the enterprise.>

4.4.2 PROCESS RULES - GUIDE THE BUSINESS PROCESSES

<Instructions: Describe process rule type business rules.

Process rules describe process logic, i.e., the sequence of process steps execution, often referred to as ECA (event, condition, action) rules.>

4.4.3 DERIVATION RULES - DERIVE NEW INFORMATION BY CALCULATION OR MAKING DECISIONS

<Instructions: Describe derivation rule type business rules.

Derivation rules are statements that specify how new information is derived from other information.>

4.5 BUSINESS RULE SERVICES

<Instructions: Describe the creation of reusable business rule services related to this project. Provide an inventory of business rule services. Describe the business rule service creation and testing process used specifically for the FX Project.>

4.6 BUSINESS RULE REUSE

<Instructions: Describe the strategy to reuse business rules across systems and organizations.>

4.6.1 BUSINESS RULE CONTENT

<Instructions: Describe the reuse of business rule content to ensure a single source of policy truth. Describe if the project will provide business rules as content for health plans, providers, or external organizations to use.>

4.6.2 BUSINESS RULE SERVICE REUSE

<Instructions: Describe the reuse of business rule services provided by the project.>

4.7   BUSINESS RULE TESTING

<Instructions: Describe the methods, processes, tools, and techniques used to test business rules.>

4.8   BUSINESS RULE GOVERNANCE

<Instructions: Describe business rule organizational structure, governance processes, participants, and tools.>

The structure surrounding business rules management needs to be defined and established. Organizational structures, supporting communication, and processes should be defined and established to ensure consistent management of business rules.

4.9   BUSINESS RULE MANAGEMENT PRACTICES AND EXCEPTIONS

<Instructions: Describe any business rule management practices and practice exceptions used by the project.>

4.9.1   BUSINESS RULE VERSIONING

<Instructions: Describe the methods, processes, tools, and techniques that will be used for business process and rules management, and how they will integrate with other project processes.>

4.9.2   DYNAMIC DATA RETRIEVAL

Run-time retrieval of information needed for business rules engine decision-making is generally discouraged. Input data to business rule processing should be provided and validated prior to business rules engine invocation to allow rapid throughput of rules engine decision-making.

<Instructions: Describe any use of dynamic data retrieval in decision-making and the strategy for data access, data validation, and rules engine capacity and performance.>

4.10   METHODS AND TOOLS

<Instructions: Describe the methods, processes, tools, and techniques that will be used for business rules management, and how they will integrate with other project processes.>

PROCESS	TOOLS & TECHNIQUES
	▪

PROCESS	TOOLS & TECHNIQUES
	▪
	▪

Exhibit 4-1: Methods and Tools

APPENDICES

Appendix A - MITA Business Process Template (BPT)

Table A-1 below shows the format of the BPT utilized by the MITA team. The title and tier number of the business process link to the business areas shown in the next section.

In the BPM, the business processes represent the typical operations of a State Medicaid Agency (SMA). These processes evolve over time. As the SMA matures, some processes transform, and others are replaceable. Stakeholders develop new business processes for effectiveness and efficiency.

Table A-1 illustrates the MITA BPT.

Tier 1: Business Area Abbreviation - Tier 2: Business Category Title	
Tier 3: Business Process Title	
Item	**Details**
Description	A brief statement that describes active roles and the activity of the role during the business process.
Trigger Event	• One or more events that directly start a business process (e.g., receive a request, phone call, or a scheduled date). • The trigger is defined information.
Result	• One or more outcomes from the execution of the business rules (results define *data in motion* and are the immediate output from the business process, not the ultimate, downstream result). • The result is defined information.
Business Process Steps	A sequence of steps that execute the successful completion of the business process (steps start with a verb).
Shared Data	Shared data is *data at rest* (i.e., data stores accessed to complete a step in the business process). Shared data is a defined data store with specific information.
Predecessor	The preceding business process to the activity conducted in this process. The result of the previous business process is a trigger to this business process.

Successor	The succeeding business process to the activity conducted in this process. The result of this business process is a trigger for the next business process.
Constraints	Conditions that CMS expects states to meet for this generalized process to execute (e.g., enrolling institutional providers requires different information from enrolling pharmacies).
Failures	An identification of the exit points throughout the business process where the business rule specifies that the process terminates because of the failure of one or more steps.
Performance Measures	A Key Performance Indicator (KPI) may include the following: • **Quantitative indicators** are usually numerical. • **Practical indicators** are those that interface with existing processes. • **Directional indicators** specify whether an agency is getting better or not. • **Actionable indicators** are sufficiently in an agency's control to effect change. • **Financial indicators** are those the SMA and CMS use in performance measurement and when looking at an operating index. Measures that describe what the SMA can measure, but that are not specific.

Tier 1: Business Area Abbreviation - Tier 2: Business Category Title
Tier 3: Business Process Title

Item	Details
	Measures themselves, such as the following examples: • Time to complete process (e.g., real-time response = within ___ seconds; batch response = within ___ days) • Accuracy of decisions = ___% • Consistency of decisions and disposition = ___% • Error rate = ___% or less The MITA business template specifies the type of measure but not the actual benchmark. See CMS MITA Part I, Appendix D, Business Capability Matrix Details for specific benchmarks for business capabilities.

Table A-1. MITA Business Process Template

The MITA Team uses the following definitions when defining the BPT:

▪ Trigger designations:

- › **Environment-based** – An interaction caused by a staff interacting with a system or some other environmental occurrence (e.g., staff deciding to query a system; daily notification sent out at 2 a.m.). Environment based trigger events include a textual description of the real-world event, as there is no more formal way of defining them.

  - › **Interaction-based** – An interaction caused by the receipt of another interaction (e.g., query response). Interaction-based trigger events reference the interaction that triggers them.

  - › **State transition-based** – An interaction caused by a change in status (e.g., putting a repeating order on hold to suspend action on that order). State transition-based trigger events reference the association with static model, class, and state transition.

- ▪ Transaction designations:

  - › **Receive Inbound Transaction** – Receive message, validate, and authenticate inbound Electronic Data Interchange (EDI) transactions from internal or external system. Inbound messages contain encryption methods.

  - › **Send Outbound Transaction** – Create message and send outbound EDI transactions to internal or external systems. Outbound messages contain encryption methods.

- ▪ Communication designations:

  - › **EDI** – The automated exchange of data and documents in a standardized format.

  - › **Email** – Electronic mail communicated electronically between systems.

  - › **Facsimile** – A fax (short for facsimile) is a document sent over a telephone line.

  - › **Mail** – Letters and packages conveyed by the postal system.

  - › **Mobile device** – A portable electronic device used for processing, receiving, and sending data without the need to maintain a wired connection with the internet.

  - › **Publication** – A copy of a printed work offered for distribution.

  - › **Telephone** – An electronic device used for two-way talking with other people. This also includes interactive voice response technology.

  - › **Web** – An Internet site that offers text, graphics, sound, and animation resources through the hypertext transfer protocol.

- ▪ Message designations:

  - › **Notification** – A communication (e.g., EDI, email, fax, mobile device, publication, telephone, and web), which gives notice of event to a role (i.e., actor or system).

  - › **Alert** – A signal created to indicate a condition exists within a system. Can be a variety of solutions such as flag marked, state change, report executed, or message sent.

- Business Process Step designations:
  - › **START** – The triggers for the business process to begin.
  - › **END** – The results the business process achieves.