

# Florida Health Care Connections (FX) S-1 FX Governance Plan

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## Revision History

DATE	VERSION	DESCRIPTION	AUTHOR
02/14/18	001	S-1 FX Governance Plan initial draft PowerPoint version	Brian Knapp, Suhas Hiremagalur
03/27/18	002	S-1 FX Governance Plan second draft version	Suhas Hiremagalur, Brian Knapp
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2/28/2020	201	Revision in preparation for operational transition to the Agency	Austin Williams
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06/30/2020	400	Incorporated Agency feedback for final version	Kim Koegel

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

## Quality Review History

DATE	REVIEWER	COMMENTS
04/09/19	Robby Cunningham	QA Review of 101 submission
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## SECTION 1 INTRODUCTION TO FX

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

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

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

### 1.1 BACKGROUND ON THE SEAS VENDOR AND GOVERNANCE IMPLEMENTATION

The Agency contracted with North Highland Worldwide Consulting in 2017 to serve as the Strategic Enterprise Advisory Services, or “SEAS,” Vendor to strategically guide FX and AHCA’s transformation of the FMMIS to a modular environment. As part of this transformation the SEAS Vendor developed and implemented the initial FX Governance structure to facilitate this enterprise transformation and its intersecting information technology and business priorities, including people, processes, and operations.

In March of 2020, after piloting two initial iterations of the FX Governance structure, the SEAS vendor transitioned operations and management of FX Governance to the Agency. This transition coincides with a second revision to the FX Governance structure and membership to continue to optimize and improve Governance operations.

The Implementing Bill for Fiscal Year 2020-2021 required an update to the governance model, to include an Executive Steering Committee. This update was contingent to FX funding and necessitated this most recent update to the Governance Plan in June 2020.



## 1.2 PURPOSE AND SCOPE OF THIS PLAN

The purpose and scope of this FX Governance Plan is to develop the structure and processes, tools, and templates to facilitate the decision-making required for planning, procuring, and implementing FX solutions.

This FX Governance Plan articulates an enterprise governance framework for the Agency in two discrete tiers to enable effective decision-making by the Secretary and the Secretary's designee(s) for project implementation, as well as afford effective program oversight to help ensure adequate resources and collaboration across the HHS agencies. The iterative processes used to develop these revision themes in the FX Governance Plan help to ensure the Plan's effectiveness, efficiency, and customization to the Agency. The FX Governance Plan will continue to evolve as we work with our partners and stakeholders to best suit the needs of the transformation.

## 1.3 REFERENCED DOCUMENTS

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

- FX Strategic Plan (S-3)
- SEAS Management Plan (O-1)
- FX Project Management Standards (P-2)
- Strategic Project Portfolio Management Plan (S-4)
- FY 2020-21 Implementing Bill (establishing the FX Executive Steering Committee (ESC))
- FX Decision Memo #269 (related to FX Governance being conducted in two tiers) and FX Decision Memo #270 (related to FX Governance body membership for the FX Implementation Team and the FX Executive Steering Committee)



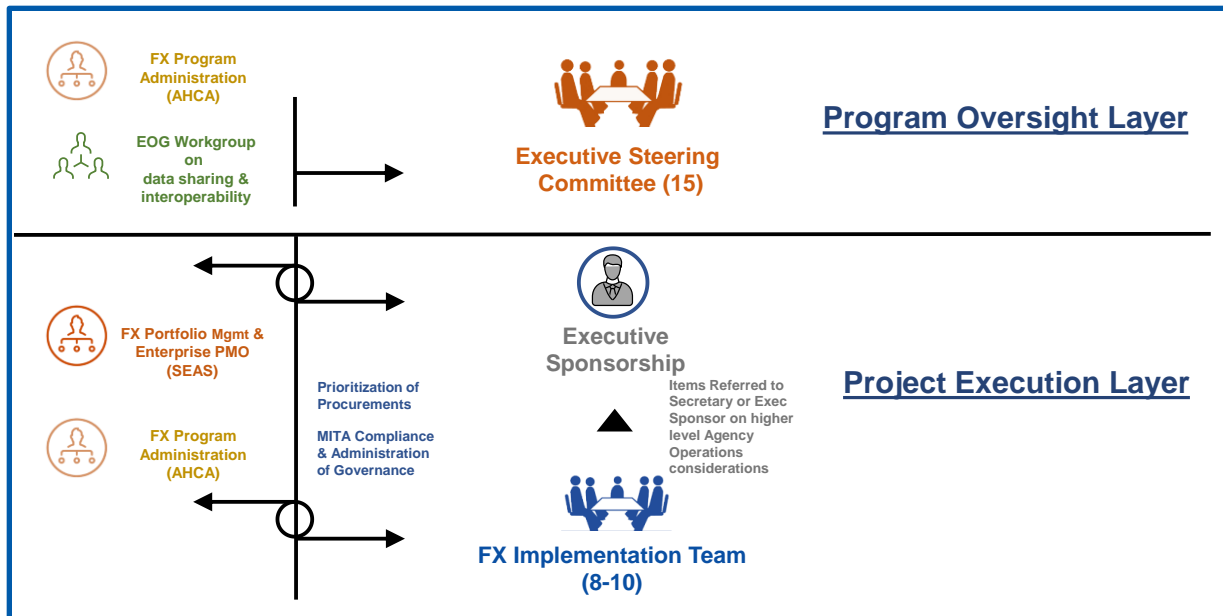
## SECTION 2      FX GOVERNANCE STRUCTURE

During Quarter 4 of 2020, the FX Governance Plan was updated to align with the need to incorporate a legislative mandate for the FX Executive Steering Committee. The following key principles were factored into developing an effective FX Governance Structure:

- Two-tiered governance structure that includes a Project Execution Layer and a Program Oversight Layer
- Interagency participation in alignment with the FY 2020-21 Implementing Bill and the creation of the FX Executive Steering Committee
- Simplicity, transparency, and open communication
- Visible executive and stakeholder involvement
- Breaking down silos within and between organizations
- Enterprise alignment around the FX strategy
- Limited number and size of required meetings
- Limited number of governance bodies
- Continuous improvement
- Compliance with Chapter 286, Florida Statutes (F.S.), Sunshine Law requirements

### 2.1 GOVERNANCE STRUCTURE APPROACH AND EXPLANATION

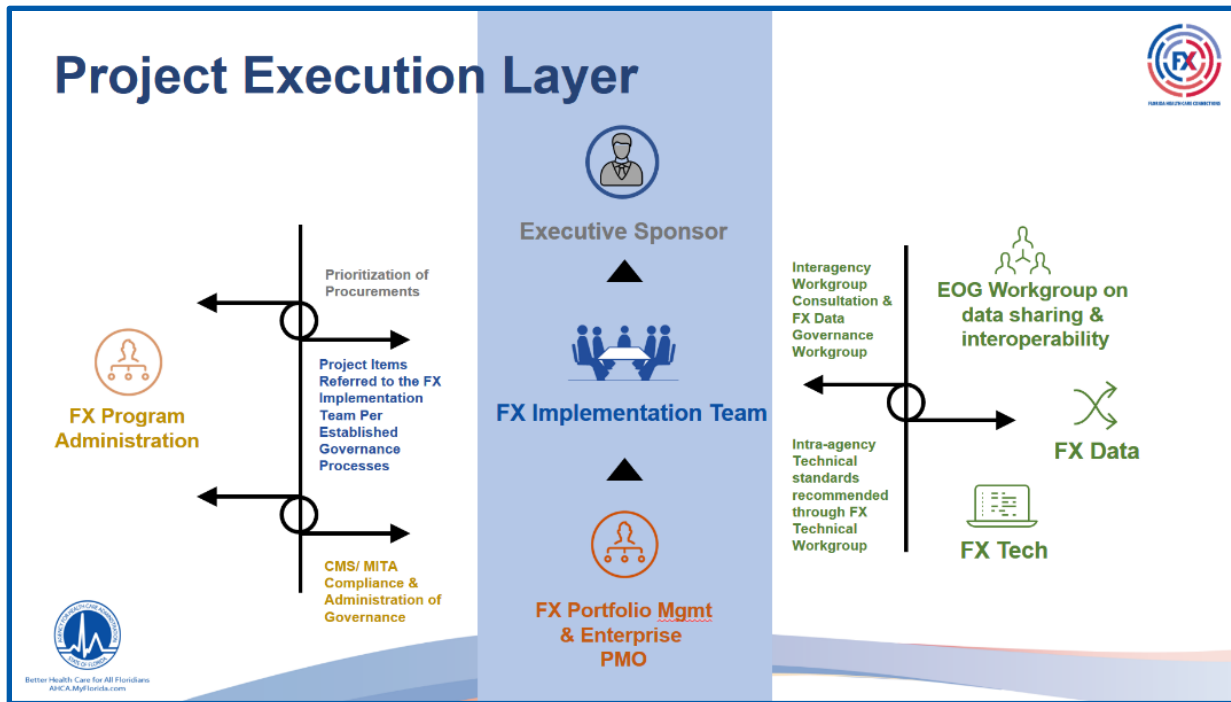
All decision-making authority for the execution of FX ultimately rests with the Secretary of the Agency, or with the Secretary's appointed designee(s). Given the volume and subject matter diversity of the decision-needs that originate from FX, the goal of the FX Governance structure (visualized below in Error! Reference source not found.) is to develop an organized flow of analysis and recommendations that equips the Secretary or a designee to make holistic and well-informed decisions in a timely manner.



**Exhibit 2-1: FX Governance Structure**

FX Governance consists of a two-tiered structure. The lower tier, FX Project Execution, is shown in **Exhibit 2-2: FX Governance: Project Execution Layer** below, and includes three components: (1) the FX Implementation Team which includes members that are appointed/updated annually and consists of representation from active FX projects and highly impacted bureaus (the intent is also to avoid membership overlap with the FX Executive Steering Committee, with the exception of the Assistant Deputy Secretary of Medicaid Operations); (2) Project Teams, which are approved by the FX Implementation Team to work on those projects approved to fulfill the FX Strategic Roadmap (these project teams may include other agency membership for affected agencies); and (3) the FX Program Administration Team, which includes the office of the FX Director. The Project Execution Layer has the responsibility for coordination, analysis, and discussion on FX Governance topics and decisions appropriate for the project level.

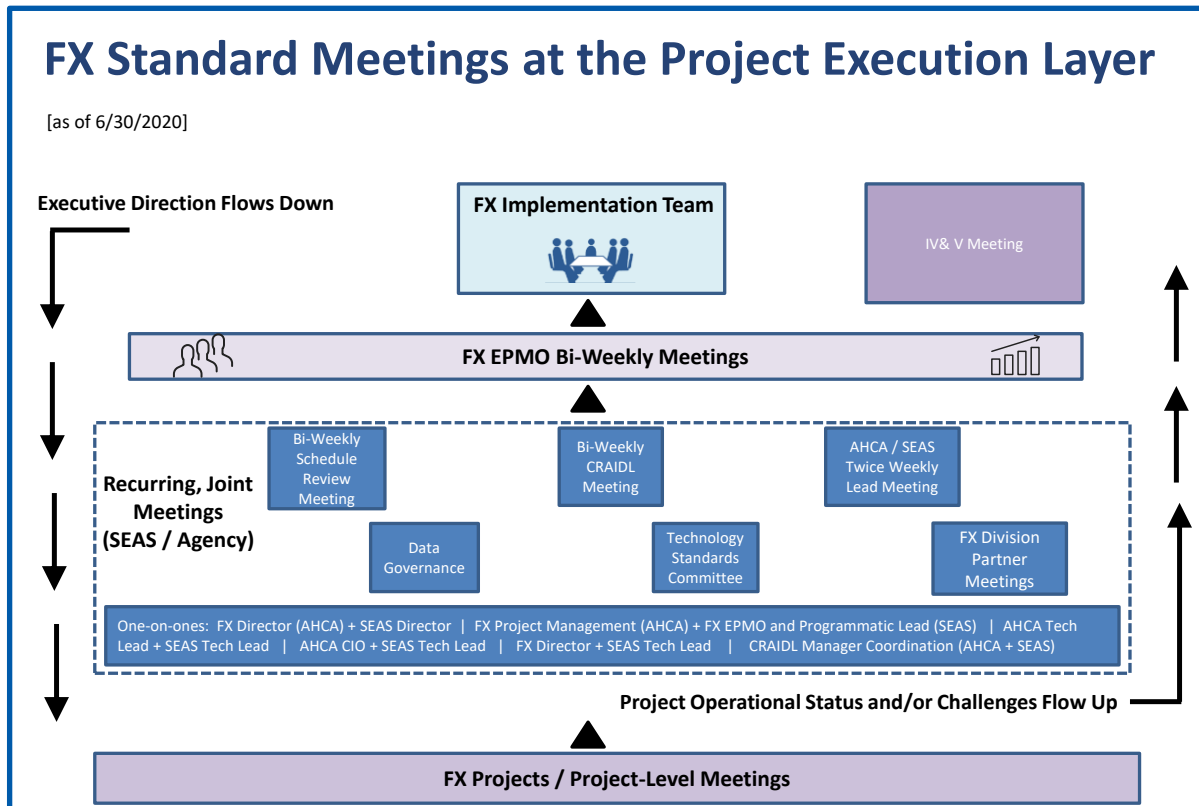
The FX Director sits as the Chair of the FX Implementation Team and is the designated decision maker by the Secretary. The FX Executive Sponsor provides an additional level of decision-making authority prior to escalation to the Program Oversight Layer. The below visualizations (**Exhibit 2-2: FX Governance: Project Execution Layer**, **Exhibit 2-3:** ) illustrate the Project Execution Layer and its components along with the FX Portfolio Management and FX EPMO, to help ensure a disciplined approach to project initiation and execution.



**Exhibit 2-2: FX Governance: Project Execution Layer**

The Project Execution Layer includes multiple recurring, joint meetings between the Agency, SEAS, and IV&V as part of operational activities to support the implementation of executive direction.





**Exhibit 2-3: FX Standard Meetings at the Project Execution Layer**

As part of the Project Execution Layer, the Agency is aligning with responsibilities in the FY 2020-21 Implementing Bill, as described in **Exhibit 2-4: Agency Responsibilities & Compliance per FY 2020–21 Implementing Bill** below (Items a – g):

	REQUIREMENT	COMPLIANCE
(a)	Prioritize procurements for the replacement of the current functions of FMMIS and the responsibilities of the current Medicaid fiscal agent, to minimize the need to extend all or portions of the current fiscal agent contract.	Florida Health Care Connections (FX) will update and publish an FX Strategic Roadmap outlining the anticipated timeline for the implementation and transition of fiscal agent functionality to FX modules.
(b)	Comply with and not exceed the Centers for Medicare and Medicaid Services funding authorizations for the FX system.	FX will complete and maintain approved Advanced Planning Documents outlining federally approved funding; secure legislative approval of project funding through the Legislative Budget Request process; maintain and submit to the Legislature monthly reports regarding status of expenditures.
(c)	Ensure compliance and uniformity with published MITA framework and guidelines.	FX will maintain MITA status information and perform periodic State Self Assessments (SSA).



	REQUIREMENT	COMPLIANCE
(d)	Ensure that all business requirements and technical specifications have been provided to all affected state agencies for their review and input, as well as approved by the executive steering committee.	Based on the FX Strategic Roadmap created by the Agency FX Governance, an FX Project Team is established to develop the procurement. Within each procurement project schedule, there will be checkpoints to receive input from affected agencies and the EOG Interoperability Workgroup. Business and technical specifications are then included in the solicitation and provided to the ESC prior to release.
(e)	Consult with the Executive Office of the Governor's (EOG) working group for interagency information technology integration for the development of competitive solicitations that provide for data interoperability and shared information technology services across the state's Health and Human Services agencies.	In addition to the response to (d) above, the FX Director will attend the HHS Data Interoperability Roadmap and Strategy workgroup meetings along with the Agency CIO. FX updates will be provided at these meetings.
(f)	Implement a data governance structure for the project to coordinate data sharing and interoperability across state healthcare entities.	<p>FX established a project to conduct data modeling in FY 2019-20. FX will create a Data Governance body within the Agency and operationalize Data Governance through the Integration Services/ Integration Platform vendor and the Enterprise Data Warehouse Vendor.</p> <p>The AHCA CIO will participate actively with the Executive Office of the Governor's working group for interagency information technology integration.</p>
(g)	Implement a project governance structure that includes an executive steering committee.	S-1: Governance Plan to incorporate the 15-member committee into the existing plan.

**Exhibit 2-4: Agency Responsibilities & Compliance per FY 2020–21 Implementing Bill**

The upper tier, FX Program Oversight, is represented by the FX Executive Steering Committee and includes specific responsibilities as described in the FY 2020–21 Implementing Bill. The FX Executive Steering Committee will meet on a quarterly basis, or as required. The responsibilities associated with the Implementing Bill and the implementation of the FX Executive Steering Committee are listed in the table below along with the Agency's approach in complying with each area.

As part of the Program Oversight layer, the Agency is aligning with responsibilities in the FY 2020–21 Implementing Bill, as described in **Exhibit 2-5: FX ESC Responsibilities & Compliance per FY 2020–21 Implementing Bill** below (Items a – e):



	REQUIREMENT	COMPLIANCE
(a)	Identify and recommend to the Executive Office of the Governor, the President of the Senate, and the Speaker of the House of Representatives any statutory changes needed to implement the modular replacement to standardize, to the fullest extent possible, the state's healthcare data and business processes.	<p>The Executive Office of the Governor's working group for interagency information technology integration will advise and inform the ESC on recommendations to standardize, to the fullest extent possible, the state's healthcare data and business processes.</p> <p>There will be representation from the Department of Management Services to bridge the coordination between these groups.</p>
(b)	Review and approve any changes to the project's scope, schedule, and budget which do not conflict with the requirements of Subsections (1) and (2) of the Implementing Bill.	FX will present for ESC review any changes that impact the FX Strategic Roadmap to ensure the resolution of the fiscal agent contract. These would include any changes in the high-level scope of any module or shifts between modules, as well as any schedule shifts or delays. Budget changes will be addressed through the Agency's Legislative Budget Request and Quarterly Budget Amendment processes.
(c)	Ensure that adequate resources are provided throughout all phases of the project.	FX will, prior to each Legislative Session, provide to the Executive Steering Committee a review of the FX Strategic Roadmap, Operational Workplan (including FX Organizational Structure), and Spending Plan, as well as a high-level timeline of all decisions coming before the ESC for the fiscal year.
(d)	Approve all major project deliverables.	FX will develop major project deliverables for inclusion in the solicitation document, which will be provided to the ESC for approval prior to release. The committee will receive updates on major deliverables included in periodic FX Program Dashboards.
(e)	Approve all solicitation-related documents associated with the replacement of the current FMMIS and Medicaid fiscal agent.	<p>FX will provide a high-level overview of each solicitation for the purchase of modular solutions to the Executive Steering Committee for approval prior to the submission to CMS for its approval.</p> <p>Specific solicitations for review will be determined in the first ESC meeting of each fiscal year.</p>

**Exhibit 2-5: FX ESC Responsibilities & Compliance per FY 2020–21 Implementing Bill**

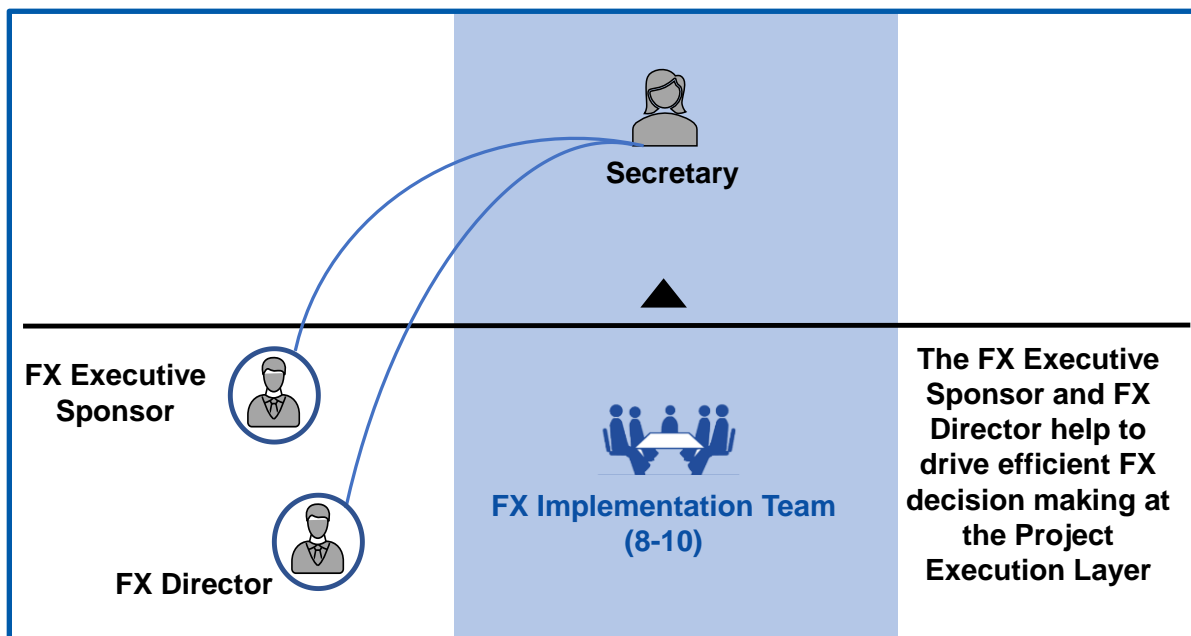
The FX Executive Steering Committee also coordinates with FX Program Administration and the EOG Workgroup on Data Sharing and Interoperability as part of supporting program oversight.

While exceptions exist, most decision-needs will be referred to FX Governance from two major sources. Individual project teams from within the FX Enterprise Program Management Office (FX EPMO) will refer decision-needs escalated from ongoing projects to the FX Implementation Team. The FX Portfolio maintains a master list of potential FX projects, and, as appropriate,

will also refer decision-needs to the FX Implementation Team related to Portfolio assessments, project initiation, and prioritization.

Several other groups are associated with FX Governance, as they may provide specialized input or analysis on specific topics that require subject matter expertise. As needed, the FX Implementation Team can initiate workgroups including Agency subject matter experts (SMEs) and stakeholders to direct research and analysis concerning any discrete decision or topic of relevance to the team. Two permanent workgroups, FX Tech and FX Data, exist to establish and advise on FX enterprise-level technology and data standards.

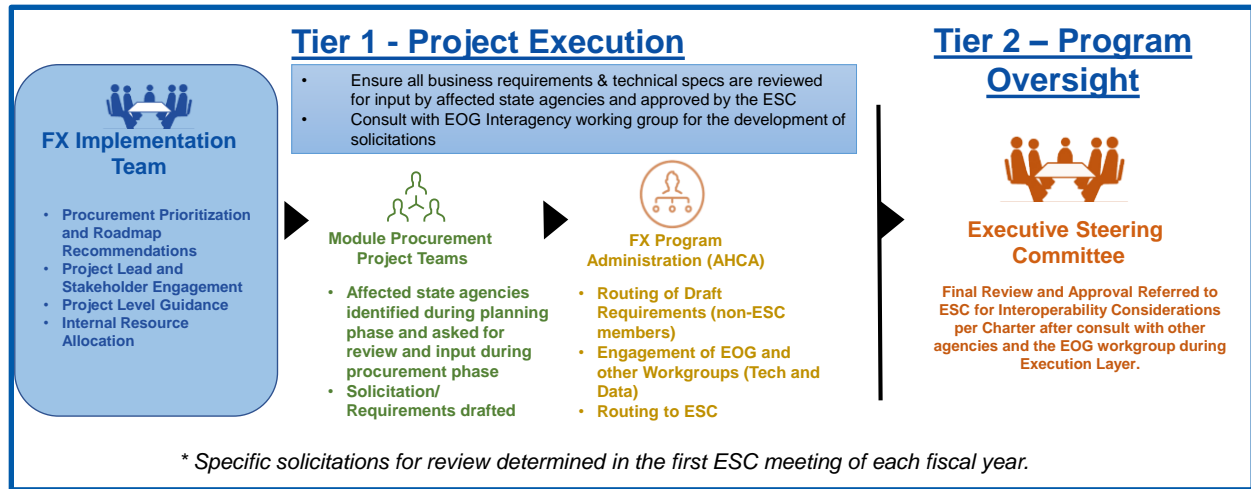
Per the FY 2020-21 Implementing Bill language, which specifically designates certain decisions to the Agency, all decisions made at the Project Execution Level (Tier 1) must be operational and within the parameters of the annually approved FX Strategic Roadmap and high-level scope. With this in mind, and as illustrated by **Exhibit 2-6: FX Secretary Decision Designees** below, the Secretary has designated an Executive Sponsor and a FX Director at the Project Execution Layer to make decisions, allowing project-related topics to be resolved more quickly at the most appropriate level of management.



**Exhibit 2-6: FX Secretary Decision Designees**

To a great extent, tactical work occurs at the Project Execution Layer with leadership advisement and decisions coming from the FX Executive Sponsor and the FX Director. As demonstrated in **Exhibit 2-7: Solicitation Review Process** below, these designees support the completion of activities such as aligning and prioritizing procurements with the FX Strategic Roadmap, drafting solicitation requirements, working across other affected agencies to request input into the requirements, routing of the draft requirements, and engagement with the EOG

working group and other working groups as needed. Once this work is finalized, the FX Executive Steering Committee, which includes the Secretary of the Agency, completes the final review and approval tasks for the solicitation before submission to CMS. Delegating authority at the Project Execution Layer allows for the majority of required work items to be managed and completed ahead of the final review and approval tasks at the Program Oversight layer.



### Exhibit 2-7: Solicitation Review Process

## 2.2 COMMITTEE OVERVIEWS

### 2.2.1 FX EXECUTIVE STEERING COMMITTEE

Governance Committee	FX Executive Steering Committee
Responsibility	The FX Executive Steering Committee is responsible for (1) identifying and recommending to the Executive Office of the Governor, the President of the Senate, and the Speaker of the House of Representatives any statutory changes needed to implement the modular replacement to standardize, to the fullest extent possible, the state's healthcare data and business processes; (2) reviewing and approving any changes to the project's scope, schedule, and budget which do not conflict with the requirements of Subsections (1) and (2) of the Implementing Bill; (3) ensuring that adequate resources are provided throughout all phases of the project; (4) approving all major project deliverables; and (5) approving all solicitation-related documents associated with the replacement of the current FMMIS and Medicaid fiscal agent.



<p>Membership</p>	<p><b>AHCA Membership:</b></p> <ul style="list-style-type: none"> <li>▪ The Secretary of Health Care Administration, or the executive sponsor of the project</li> <li>▪ Two employees from the Division of Medicaid (Medicaid Director and Asst. Director of Medicaid Operations)</li> <li>▪ A representative of the Division of Health Quality Assurance</li> <li>▪ A representative of the FL Center for Health Information &amp; Transparency</li> <li>▪ A representative of the Division of Operations</li> <li>▪ The Chief Information Officer or designee</li> </ul> <p><b>External Agency Membership:</b></p> <ul style="list-style-type: none"> <li>▪ The Asst. Secretary for Child Welfare of DCF or designee</li> <li>▪ The Asst. Secretary for Economic Self-Sufficiency of DCF or designee</li> <li>▪ The State CIO or designee</li> <li>▪ Deputy Secretary for CMS of DOH or designee</li> <li>▪ APD representative with waiver prep and submission experience</li> <li>▪ A representative of Florida Healthy Kids Corp</li> <li>▪ A representative of DOEA with Medicaid Program Experience</li> <li>▪ A representative of DFS with state financial process and PALM experience</li> </ul>
<p>Meeting Frequency</p>	<p>Quarterly or as requested by the Chair</p>

**Exhibit 2-8: FX Executive Steering Committee**

**2.2.2 FX IMPLEMENTATION TEAM**

<p>Governance Committee</p>	<p>FX Implementation Team</p>
<p>Responsibility</p>	<p>The FX Implementation Team has discussion and analysis responsibility related to operational project decisions. The FX Director is the Chair of this committee and facilitates the decision-making process at this level. For those items that need additional input or escalation, the FX Director will escalate to the Secretary's designee, the FX Executive Sponsor for decision at the Project Oversight Layer.</p>
<p>Membership</p>	<ul style="list-style-type: none"> <li>▪ FX Director (Chair)</li> <li>▪ Asst. Dept Secretary Medicaid Operations (Vice Chair)</li> <li>▪ Information Technology Representative</li> <li>▪ Provider Management Sponsor</li> <li>▪ Data Governance Representative</li> <li>▪ Medicaid Fiscal Agent Operations Chief</li> <li>▪ Unified Operations Center Sponsor</li> <li>▪ Medicaid Program Analytics Bureau Chief</li> <li>▪ HQA Director's Office Representative</li> </ul>



Governance Committee	FX Implementation Team
Meeting Frequency	Bi-monthly on the first and third Wednesday of each month. Meeting dates may change at the discretion of the FX Director.

**Exhibit 2-9: FX Implementation Team**

**2.2.3 WORKGROUPS, FX TECH, AND FX DATA**

Governance Committee	Workgroups, FX Tech, and FX Data
Responsibility	Decision-needs referred to FX Governance will occasionally require specialized subject matter expertise and a more robust time commitment to effectively analyze options and develop recommendations for the Secretary, or designee. On these occasions either Governance tier may refer these topics to an ad-hoc workgroup, or to either one of the permanent workgroups: FX Technology or FX Data.
Membership	<p>The FX Technology workgroup is chaired by the Agency CIO and comprised of Agency and SEAS staff to advise on the eight documented FX Technical Standards.</p> <p>The FX Data workgroup is in development and will consist of a chair, data stewards, and custodians representing the MES.</p> <p>Ad hoc workgroups are created upon request and staffed per Governance.</p>
Meeting Frequency	As necessary when topics are referred from Governance or the FX EPMO. If subject matter experts identify issues of relevance to Governance, they can raise these topics with the relevant Governance committee and request a workgroup referral.

**Exhibit 2-10: Workgroups, FX Tech, and FX Data**





## SECTION 3      FX GOVERNANCE OPERATIONALIZATION

### 3.1    AGENCY GOVERNANCE OPERATIONALIZATION RESPONSIBILITIES

The Agency, under the direction of the FX Director, will plan, schedule, conduct, facilitate, and document the necessary FX Implementation Team Governance meetings as follows:

- Set the date, time, and room location at AHCA Headquarters (**Note:** If a virtual meeting is required, the Agency will coordinate the meeting logistics and related virtual meeting links)
- Coordinate room set-up, as applicable
- Develop the meeting agenda
- Send the meeting invitation and agenda to FX Implementation Team members and other invited guests
- Source meeting materials from the project teams or other relevant SMEs and distribute the meeting materials electronically in advance of the meeting
- Document and upload meeting materials onto the FX Projects Repository
- Print and distribute meeting discussion materials for review in the meeting
- Confirm the meeting objectives and agenda
- Facilitate the meeting
- Confirm and document Secretary or designee decisions and any action item resulting from the meeting discussion

The Agency, under the direction of the FX Director will plan, schedule, conduct, facilitate, and document the recurring FX Executive Steering Committee meetings as follows:

- The FX Director, with the FX Executive Sponsor, will prepare the agenda
- The FX Executive Sponsor chairs the FX Executive Steering Committee; however, the FX Director is responsible for conducting the meeting as a non-voting participant
- The FX Director will update the FX Executive Steering Committee on matters related to the FX Program scope, schedule, and budget made by the Project Execution Layer and resources and other relevant Program information
- The FX Director prepares and distributes the agenda, status reports, and other applicable documents for review prior to the meeting to FX Executive Steering Committee members
- A quorum of the FX Executive Steering Committee consists of at least 11 members present





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- The FX Executive Steering Committee action shall be taken by a vote from at least 10 affirmative votes with the Chair voting on the prevailing side
  - The FX Executive Steering Committee meetings will be scheduled at least two weeks in advance with FX Executive Steering Committee members, and publicly noticed at least one week prior to the meeting date
  - The FX Executive Sponsor will allow for public comment before any FX Executive Steering Committee actions are taken by vote
  - A meeting agenda will be provided when the meeting is noticed