AHCA Florida Health Care Connections (FX)

FX Artifact Management Standards (AMS)

Version: 300

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Author: The SEAS Vendor

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Revision History

DATE	VERSION	DESCRIPTION	AUTHOR
2/19/2020	001	FX Artifact Management Standards (AMS) Development Draft Version	Carol Williams
4/2/2020	002	FX Artifact Management Standards (AMS) remediation to address Agency review comments	Carol Williams
4/13/2020	100	FX Artifact Management Standards (AMS) approved by the Agency	Carol Williams
5/11/2020	101	FX Artifact Management Standards (AMS) – Q4 draft update	FX EPMO
5/26/2020	102	Q4 DET Updates: • Added ACHA IV&V Contract Manager Role • Updated Process Diagrams to include IV&V (Exhibit 5-1 & 8-1) • Included IV&V Role & Responsibilities	Jeff Jones
7/21/2020	103	Updated based Agency feedback (DETs and other comments)	Jeff Jones
9/15/2020	200	FX Artifact Management Standards (AMS) Q3/Q4 approved final	Carol Williams
11/30/2022	201	FX Artifact Management Standards (AMS) draft refresh – updates made as follows: ▪ Added new Section 3.2.3 *Naming Convention for Task Orders* per DET #524 ▪ Updated FXPR breadcrumb path references to reflect the **FX-HUB** throughout per DETs #498 and #502 ▪ Added new Section 7.1.1 *FX Vendor Presentations to Agency Executives* per DET #490 providing FX vendors guidance to review all presentations/documents with the FXPA prior to presentation to Agency Executives ▪ Updated Section 8.1.2 with (1) standard review cycle for deliverables per DET #482; and (2) adding an additional review cycle for larger deliverables and logging an issue for escalation if cannot be approved after third review cycle per DET #576 ▪ Added Section 8.1.2.1 in accordance with DET #446 for Agency review period for templates and process definitions ▪ Removed the word *quarterly* from the DET process per DET #514 throughout ▪ Added Section 10.1.2 in accordance with DET #443 to add how updated standards	Carol Williams

DATE	VERSION	DESCRIPTION	AUTHOR
		get posted to the Agency's external FX website ▪ Updated Section 10.3.1 per DET #511 with vendor site DET repository and location	
2/2/2023	202	FX Artifact Management Standards (AMS) remediation of Agency reviewer comments and updated the following per new DET #588 regarding AHCA FX Contract Manager responsibilities with artifact reviews: ▪ Exhibit 2-1: *Roles and Responsibilities* ▪ Section 5.4.2 *DED Submission and Storage* ▪ Section 7.3 *Artifact Submission Standard*	Carol Williams
3/28/2023	203	FX Artifact Management Standards (AMS) remediation of Agency reviewer comments	EPgMO Team
4/10/2023	204	FX Artifact Management Standards (AMS) remediation of Agency reviewer comments	EPgMO Team
6/5/2023	300	FX Artifact Management Standards (AMS) approved final	Carol Williams

Quality Review History

DATE	REVIEWER	COMMENTS
10/27/2019	Tara Kyvik	Content peer review
10/29/2019	Sean Gibbs	Content review
1/23/2020	Eric Steinkuehler	Conducted QC review
4/2/2020	Tara Kyvik	Reviewed remediation updates
6/1/2020	Tara Kyvik	Conducted peer review
6/2/2020	Palmer White	Conducted QC review
8/14/2020	Florence Ferre	Conducted QC review
11/16/2022	Michael Stephens	Conducted peer review
2/2/2023	Michael Stephens	Conducted peer review

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SECTION 1   INTRODUCTION

1.1   FX BACKGROUND

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

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

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

1.2   PURPOSE

The purpose of the FX Artifact Management Standards (hereafter the *Standards*) is to establish standardization in quality management processes and document (hereafter *artifacts*) management processes executed by FX Project teams, FX vendors, and the Agency. Additionally, the Standards will serve as a companion document to the *P-2: FX Project Management Standards*, located in the FX-HUB.

The Standards provide the approach, standards, and processes encompassing all aspects of deliverable and artifact management required to support current and future FX projects and meet Agency expectations.

1.2.1   GOAL AND OBJECTIVES FOR ARTIFACT REVIEW AND APPROVAL

Goal – To minimize Agency review and FX Project Team revision times and provide an efficient and effective method for the development, review, and approval of FX Project artifacts. This will be accomplished by achieving the following objectives:

- **Objective #1** – Identify all steps necessary to support the efficient and effective review and approval of project artifacts.

- **Objective #2** – Establish agreement as to the content and layout of the FX Project artifact.

- **Objective #3** – Streamline and develop an efficient review process to minimize impact on staff workload.

- **Objective #4** – Establish clear roles and responsibilities throughout the process.

- **Objective #5** – Establish guidelines for the appropriate assignment of roles.

- **Objective #6** – Establish a standard format for review comments.

- **Objective #7** – Provide for timely artifact approval (i.e., within pre-determined timeframes).

- **Objective #8** – Provide timely, accurate, and complete comments back to the FX Project Manager (PM).

- **Objective #9** – Establish a collaborative working relationship between the project teams during development to facilitate artifact quality and accuracy with the first submission.

1.3 SCOPE STATEMENT

To ensure effective direction of project deliverables and artifacts (i.e., deliverables and work products) and to minimize Agency review and FX Project Team revision times, FX projects shall perform artifact management for each deliverable and artifact. Each deliverable and artifact should be oriented, branded, and presented as the property of the Agency as each shall become a permanent organizational asset of the Agency.

FX deliverables (i.e., artifacts specifically designed as deliverables in the contract) shall be developed and provided by the FX Project as specified by the deliverable requirements identified in the FX Project's contract with the Agency. The Standards apply to all FX projects.

The Standards explain the following:

- Roles and Responsibilities

- Artifact Standards (artifact naming convention, version control, templates)

- Quality Management of Artifacts (quality management standard and artifact management)

- Deliverable Expectations Process (deliverable expectations document (DED), review, approval criteria)

- Artifact Development (guidance, format, content)

- Artifact Submission Process

- Artifact Review Process

- Artifact Approval Process (approval and evolution of updates)
- Management of Approved Artifacts (access and storage, archiving, and retention)

1.4 REFERENCED ARTIFACTS

The following artifacts were used as input to the development of the Standards and provided valuable information to produce the procedures and processes.

- The Department of Management Services (DMS) Florida Information Technology Project Management and Oversight Standards described in Florida Administrative Rule 60GG-1.001 through 60GG-1.009, Florida Administrative Code (F.A.C.)
- P-2: FX Project Management Standards
- Strategic Enterprise Advisory Services (SEAS) Vendor Contract MED191
- FX Program Style and Writing Guide
- The Agency's Statewide Medicaid Managed Care (SMMC) Program Style Guide

SECTION 2   ROLES AND RESPONSIBILITIES

This section identifies the roles and responsibilities for all the stakeholders involved with the Standards.

ROLE	RESPONSIBILITY
FX Project Team	▪ Term used that groups all or most of the roles listed below as appropriate
FX Artifact Developer	▪ Partner with the FX Project Manager and develop the FX artifact ▪ Participation in working meetings as appropriate ▪ Partner with the AHCA FX Contract Manager (when applicable) or FX Enterprise Program Management Office (EPgMO) for use of appropriate template prior to artifact development ▪ Collaborate with appropriate stakeholders (e.g., Agency, SEAS Vendor) to create the Deliverable Expectations Document (DED) ▪ Submit draft DED to the FX Project Manager for submission to the Agency, in the case of vendor-led projects, this will be via the AHCA FX Contract Manager ▪ Participate in the Deliverable Expectations Meeting(s) and make updates to the DED as identified ▪ Develop the artifact ▪ Submit the artifact for internal peer review ▪ Submit the artifact to the FX Project Quality Assurance (QA) Manager/Lead to conduct an internal QA review prior to submission to the Agency ▪ Submit the artifact to the FX Project Manager to submit to the Agency, in the case of vendor-led projects, this will be via the AHCA FX Contract Manager ▪ Work with FX Project Manager, FX Deliverable Review Team Lead, and FX EPgMO (and other project leads) as appropriate to resolve issues ▪ Incorporate review changes to the artifact ▪ Submit the revised artifact to the FX Project Manager to submit to the Agency, in the case of vendor-led projects, this will be via the AHCA FX Contract Manager (**Note:** for the SEAS Vendor only, all submissions to the Agency are done by the Program and Administrative Support Coordinator or the SEAS Project Director)

ROLE	RESPONSIBILITY
FX Project Manager (FX PM) (Vendor or Agency)	▪ Request authorization to commence work from the AHCA FX Contract Manager prior to deliverable development (**Note:** This does not apply to work products, and all contractual deliverables require an approved DED prior to deliverable development, unless otherwise directed by the Agency or contract) ▪ Responsible for following the Standards for the planning, development, naming, management, submission, review, approval, and storage of project artifacts ▪ Review project delivery processes, artifacts, requirements, and reports for appropriateness and accuracy ▪ Collaborate and communicate quality standards, measures, processes, and awareness across the FX Project Team and stakeholders as appropriate ▪ Responsible for the quality and timeliness of FX Project deliverables, documentation, reports, and other artifacts as described in the contract ▪ Participation in working meetings as appropriate ▪ Responsible for and leads development of FX artifacts ▪ Coordinate and/or perform preliminary review of artifacts to confirm they meet contract requirements and comply with vendor's *Quality Control Process* according to the project's *Quality Management Plan* ▪ Schedule and facilitate the Deliverable Expectations Meeting(s) ▪ Submit DEDs and artifacts to the Agency for review and approval, in the case of vendor-led projects, this will be via the AHCA FX Contract Manager ▪ If the deliverable is large, submit deliverable sections for approval per the agreed upon DED (or plan) ▪ Submit plan to the Agency for logical break-up of large artifacts in the DED (if needed), in the case of vendor-led projects, this will be via the AHCA FX Contract Manager ▪ Schedule and facilitate a deliverable (or artifact) walk-through to orient reviewers to the artifact ▪ Provide written artifact review comments from reviewers, as received, to the FX Artifact Developer ▪ Confirm reviewer comments are addressed prior to resubmission of the artifact to the Agency, in the case of vendor-led projects, this will be via the AHCA FX Contract Manager ▪ Store artifacts and other related documentation in the FX Projects Repository

ROLE	RESPONSIBILITY
FX Deliverable Review Team Lead	- Partner with the FX PM and/or FX Artifact Developer in development of the FX Project artifact - Make assignment to conduct Quality Control (QC) activities (e.g., spelling, grammar, and format) for each artifact review - Review FX Deliverable Review Team roles with team members and act as their point of contact (POC) throughout the artifact review - Identify artifact stakeholders - Participate in working meetings as appropriate - Act as POC for the FX PM - Participate in the Deliverable Expectations Meeting(s) - Advise on how the FX Project Team should break up large deliverables into manageable sections - Distribute the artifact to the FX Deliverable Review Team members for their review - Manage the *Deliverable Review and Approval Process* with the FX Deliverable Review Team - Responsible for maintaining and adhering to the deliverable review timeline and task durations through coordination with the AHCA FX Contract Manager - Facilitate communication among deliverable stakeholders - Review artifact comments and recommendations from the FX Deliverable Review Team to ensure consistency, completeness, quality, and accuracy of comments and shall resolve any conflicting comments, and provide recommendations to the AHCA FX Contract Manager - Responsible for supporting definition of expectations and approval criteria through coordination with the AHCA FX Contract Manager - Participate in comment resolution process and use appropriate escalation processes as needed for deliverable content issues - Escalate irresolvable issues in accordance with the issue resolution process - Accept or reject the artifact (to include DEDs) and make a formal recommendation to the AHCA FX Project Contract Manager and communicate the disposition to the AHCA FX Contract Manager and the FX EPgMO
Subject Matter Experts (Agency and SEAS Vendor)	- Contribute domain-specific knowledge upon request - Contribute to facilitate alignment with current Agency practices and/or to facilitate adaptation of current processes to align with developing practices - Participation in working meetings is encouraged and optional unless a member of the FX Deliverable Review Team, then as appropriate **Note:** A SEAS Vendor SME must be a member of every FX Deliverable Review Team to provide a content review

Role	Responsibility
FX Deliverable Review Team (Agency, SEAS Vendor, and Other Vendors as requested by the Agency)	▪ Consist of some of the roles listed above, and others as assigned by the FX Deliverable Review Team Lead ▪ Participate in Deliverable Expectations Meeting(s) is optional and upon availability ▪ Participate in deliverable development as a source of information for the FX Artifact Developer (**Note:** FX Deliverable Review Team members should not participate in the actual development (i.e., writing sections) of the artifact they will be asked to review) ▪ Individuals in this role shall review the FX artifact, to include DEDs, according to assigned role and based on their subject matter expertise in the business area to which the artifact pertains and knowledge of the technical requirements of the artifact ▪ Individuals in this role shall review the artifact content for correctness, completeness, appropriate level of detail, and adherence to the associated and approved DED ▪ Individual(s) assigned to conduct QC activities shall review the artifact for spelling, grammar, and format ▪ Identify and record revision comments in required format and within the established review period ▪ Partner with the FX Deliverable Review Team Lead, who is the POC, for any questions/concerns during review of an artifact ▪ Participate in comment resolution ▪ Review updates after the FX Artifact Developer has made changes to the draft deliverable confirming the final deliverable meets established expectations ▪ Send comments and an artifact recommendation to the FX Deliverable Review Team Lead
FX EPgMO (SEAS Vendor)	▪ Partner with the FX Deliverable Review Team Lead and FX PM ▪ Provide guidance for use of appropriate templates ▪ Participation in working meetings as appropriate
Independent Verification & Validation (IV&V) Vendor	▪ As part of oversight, IV&V reviews all deliverables and work products in parallel with the Agency and SEAS Vendor ▪ IV&V provides comments as a reviewer of draft artifacts ▪ IV&V provides independent and objective assessments of all task orders, spending plans, and Operational Work Plans (OWP)
Centers for Medicare & Medicaid Services (CMS)	▪ CMS reviews selected artifacts
FX Project Quality Assurance (QA) Manager/Lead (Vendor or Agency)	▪ Partner with the FX PM to ensure adherence to quality standards ▪ Perform preliminary QA review of artifacts (including DEDs, deliverables, reports, etc.) to ensure they meet basic quality standards (e.g., correct template, format, spelling, and grammar) prior to submission to the Agency ▪ Perform QC review and confirm reviewer comments are addressed prior to resubmission of artifacts

ROLE	RESPONSIBILITY
AHCA FX Contract Manager	- Identify and assign the FX Deliverable Review Team members - Partner with the FX Deliverable Review Team Lead and FX PM - Issue the authorization to commence work to the FX PM via dated email - Conduct receipt criteria review of submitted deliverables and ensure the FX Project artifact adheres to the approved DED and meets contract requirements - Distribute artifact to the FX Deliverable Review Team Lead and the FX Deliverable Review Team, to include CMS and IV&V Vendor as appropriate, for review - Act as liaison between the FX PM and the FX Deliverable Review Team Lead, providing written artifact review comments from reviewers, as received, to the FX PM - Participation in working meetings is optional - Notify the FX PM via dated email of approval/rejection of the artifact and communicate the disposition to the Vendor's Contract Manager - After artifact approval, prepares for invoice payment
AHCA IV&V Contract Manager	- Identify and assign the IV&V FX Deliverable Review Team members - Act as liaison between the Agency, SEAS Vendor, FX vendors, and IV&V

Exhibit 2-1: Roles and Responsibilities

SECTION 3   ARTIFACT STANDARDS

This section defines key artifact standards to include the definition of deliverables and work products, the artifact naming standards, criteria for artifact versioning, guidelines for using templates, and editing an artifact in the FX Projects Repository (hereafter referred to as the FXPR).

General Guidance for Artifact Development

Always:

- Use a fresh template to start development of an artifact.

- Start each new *Section* on a new page—this does not apply to subsections.

- Define acronyms/abbreviations with first use in all artifacts.

- Use one space between sentences and after punctuation.

- Use italics or boldface in lieu of quotation marks for emphasis—use quotation marks for quotable text only.

- Use italics when referencing named artifacts and section titles in artifacts (Example: *T-3: Data Standards*, Section 3.2.1 *Overview*).

- Use the cross-reference feature of MS Word for referring to exhibits, strategic topics, and other diagrams (refer to Section 2.19.1 *Cross-Referencing Exhibits* in the *FX Program Style and Writing Guide*).

- Do not copy/paste, which can change formatting, but rather when you copy data, right click where you want to paste that data and select *Keep Text Only* (refer to Section 2.17 *Rules for Copy and Paste* in the *FX Program Style and Writing Guide).*

For additional guidance, refer to the Standards and the *FX Program Style and Writing Guide*.

3.1   DELIVERABLES VS. WORK PRODUCTS GUIDANCE

Provided below is an explanation of what is a deliverable versus what is considered a work product.

- **Deliverables** – Deliverables are artifacts produced for or provided to the Agency that are explicitly identified and categorized as *deliverables* in the Contract, Statement of Work (SOW), or in the deliverables section of a subsequent task order. All contractually identified deliverables require a DED prior to deliverable development. Refer to Section 5.2 *Deliverable Expectations Document (DED) Standard* below for more information regarding DEDs.

- **Work Products** – Work products are tangible project artifacts required for a project team to complete the project scope of work. Here are some examples of work products: meeting agenda and minutes, presentation decks, status reports, project schedules,

and business cases. Work products do not require an approved DED prior to development.

Note: Both deliverables and work products are considered project artifacts.

3.2 ARTIFACT NAMING STANDARD

3.2.1 OVERVIEW

All FX Project artifacts shall use a standard naming convention to provide consistency in the way all FX artifacts are named and must be named in line with the artifact naming convention when uploaded to the FXPR. (For more information regarding the definition of an artifact, refer to Section 3.1 *Deliverables vs. Work Products Guidance* above.) The artifact naming standards applies to all users posting artifacts to the FXPR. The guidance in this section provides the standard naming conventions that should be used for all artifacts posted to the FXPR. **Note:** All artifacts are permanent products of the Agency and are not vendor owned.

3.2.2 ARTIFACT NAMING CONVENTION

Below are the naming conventions to identify and index FX Project artifacts for storing in the FXPR and support artifact management goals for standardization, searchable criteria, and version control. Because an FX Project artifact can possibly be made available to many different stakeholders inside and outside of the project, the naming convention of an artifact should be meaningful and reflect the expected artifact content. (For information on updating an artifact's naming convention, refer to Section 3.5.2 *Updating an Artifact's Naming Convention* below.)

The artifact naming convention used on FX is:

FX-[BUSINESS AREA]-[TEAM (*optional*)**]-[DEL#-ARTIFACT NAME]-[VERSION]**

- Do not use underscores or spaces in the naming convention, always use hyphens instead.
- Do not add text or details to the artifact naming convention (e.g., no initials, change details, date).
- The FXPR has a character limit, which considers not only the artifact name but the whole file path where the artifact is placed.
  › When the file path name is too long, it will prevent an artifact from opening.

Note: Ignoring the naming standards compromises the usability of the FXPR. Long file names could cause the file and folder path to exceed the FXPR's 260-character limit.

Below are examples of the deliverable and work product (i.e., artifacts) naming convention:

- Deliverable naming convention with deliverable number (final version example):

> › FX-SEAS-T-3-Data Standards-100
>
> > − **Note:** For deliverables, do not include the "[Team (*optional*)]" element as part of the naming convention

- Work product naming convention (first draft example):
  - › FX-SEAS-Artifact-Management-Standards-001

Below is a description for each element of the artifact naming convention:

- **FX** – All artifacts belong to the Agency and an FX-related artifact must begin with **FX**. **FX** is not a changeable field.

- **[BUSINESS AREA]** – Acronym for the corresponding FX Portfolio Roadmap business area (e.g., EDW, IS/IP, SEAS, etc.) as approved through Portfolio and shown on associated project management plan (PMP) or charter. (**Note:** for IS/IP use ISIP since the slash character (/) cannot be used in the naming convention when saving an IS/IP-related artifact. Use no space (i.e., ISIP) for use in the naming convention only.)

- **[TEAM** (*optional*)**]** – This is an optional element and is not to be used for deliverables, just for work products and is used to identify the project team or functional area, only if deemed appropriate (e.g., OCM).

- **[DEL#-ARTIFACT NAME]** – The deliverable number, if applicable, (e.g., FX Project Vendor Deliverable ID per the contract or SOW), and name of the artifact. Always use hyphens instead of underscores and no spaces. Additional text or details to the artifact naming convention will not be added (no initials, change details, date, etc.). Abbreviate the artifact name to the degree that it is still meaningful (e.g., PMP for Project Management Plan).

- **[VERSION]** – This is the version tracking number. The project has a standardized version control for all project artifacts where **001** is used for first drafts and **100** for first final/approved artifacts. Version number is incremented by one (1) for each subsequent submittal until another final/approved version (e.g., 101 and next final/approved version number would be 200). For more information regarding artifact versioning, see Section 3.3 *Artifact Version Control Standard* below.

Note: The use of dates within artifact naming convention is discouraged (see Section 3.2.4 *Artifact Naming Convention with Date* below for exceptions for date-named artifacts) and the FXPR associates a date and version to the artifact each time it is saved in the FXPR as denoted in the document's *Version History*. To view a document's version history, right click on the document and click on *Version History*. For more information about the FXPR's inherent version control, refer to Section 3.3.1 *FXPR (SharePoint) Inherent Version Control* below.

3.2.3 ARTIFACT NAMING CONVENTION FOR TASK ORDERS

Below is the naming convention standard for Task Orders (TOs) and is applicable to all TO artifact types to include deliverables.

The artifact naming convention used on FX for TOs is:

FX-[BUSINESS AREA]-[Solution/Module-TO #]-[DEL#-ARTIFACT NAME]-[VERSION]

- Do not use underscores or spaces in the naming convention, always use hyphens instead.

- Do not add text or details to the artifact naming convention (e.g., no initials, change details, date).

Below is an example of a TO deliverable or work product (i.e., artifacts) naming convention:

- Below are draft version examples for the TO naming convention:
    - › FX-CPAR-ISIP-0003-WS-8-System-Design-Document-001
    - › FX-CPAR-EDW-0001-Deliverable-1-General-System-Design-001

Below is a description for each element of the artifact naming convention:

- **FX** – All artifacts belong to the Agency and an FX-related artifact must begin with **FX**. **FX** is not a changeable field.

- **[BUSINESS AREA]** – Acronym for the corresponding FX Portfolio Roadmap business area (e.g., CPAR, EDW, IS/IP, SEAS, etc.) as approved through Portfolio and shown on associated project management plan (PMP) or charter. (**Note:** for IS/IP use ISIP since the slash character (/) cannot be used in the naming convention when saving an IS/IP-related artifact. Use no space (i.e., ISIP) for use in the naming convention <u>only</u>.)

- **[Solution/Module-TO #]** – This is the vendor solution/module acronym and associated Task Order number.

- **[DEL#-ARTIFACT NAME]** – The deliverable number or work product number, if applicable, (e.g., FX Project Vendor Deliverable ID per the contract, TO, or SOW), and name of the artifact. Always use hyphens instead of underscores and no spaces. Additional text or details to the artifact naming convention <u>will not</u> be added (no initials, change details, date, etc.). Abbreviate the artifact name to the degree that it is still meaningful (e.g., PMP for Project Management Plan).

- **[VERSION]** – This is the version tracking number. The project has a standardized version control for all project artifacts where **001** is used for first drafts and **100** for first final/approved artifacts. Version number is incremented by one (1) for each subsequent submittal until another final/approved version (e.g., 101 and next final/approved version number would be 200). For more information regarding artifact versioning, see Section 3.3 *Artifact Version Control Standard* below.

3.2.4 ARTIFACT NAMING CONVENTION WITH DATE

Below is the naming convention standard for using a date in the artifact naming convention and is only applicable for the following artifact types and <u>not</u> to be used for deliverables or work products:

FX-[BUSINESS AREA]-[TEAM (*optional*)**]-[ARTIFACT NAME]-[YYMMDD]-[VERSION]**

- FX Executive Governance Brief (Dashboard)
- Monthly Status Report
- Schedule
- Misc. and internal functional area artifacts (e.g., meeting minutes, meeting agenda, etc.)

Note: The date used is the artifact/report due date or the as of date depending on the artifact. The date format of 2-digit year, 2-digit month, and 2-digit day (i.e., **YYMMDD**) is to be used when including the date in the naming convention. Functional areas should also follow this date format and naming convention for their unique artifacts requiring a date.

3.2.5 TEMPLATE NAMING CONVENTION

As noted in Section 3.2.2 *Artifact Naming Convention* above, the same general naming convention standards apply to templates when they are created and approved. **Note:** Prior to template development, refer to the *Developing and/or Updating FX Templates* process definition located in the FXPR at FX-HUB > Process Definitions > Process Category: Template Management.

The template naming convention used on this project is:

FX-TMPL-[TEMPLATE NAME]-[VERSION]

Below is the definition for each element of the template naming convention:

- **FX** – Templates are for program-wide use by all FX Projects and **FX** is not a changeable field.
- **TMPL** – Abbreviation for *template* and this field is not changeable since it is what defines the document as a template.
- **[TEMPLATE NAME]** – Name of the template and always use hyphens instead of underscores and no spaces. Additional text or details to the template naming convention will not be added (no initials, change details, date, etc.).
- **[VERSION]** – This is the version tracking number. The project has a standardized version control for all project artifacts where **001** is used for first drafts and **100** for first final/approved artifacts. Version number is incremented by one (1) for each subsequent submittal until another final/approved version (e.g., 101 and next final/approved version number would be 200). See Section 3.3 *Artifact Version Control Standard* below for more information on versioning artifacts.

Finalized templates are stored in the *Templates* document library in the FXPR at FX-HUB > Templates.

Below are *examples* of finalized templates using the template naming convention:

- FX-TMPL-Deliverable-100

- FX-TMPL-Non-Status-Meeting-Minutes-100
- FX-TMPL-DED-200

As noted in Section 3.4 *FX Program Templates Standard* below, templates are stored in the *Templates* document library in the FXPR at FX-HUB > Templates.

3.2.6 HOW TO CORRECTLY OPEN / USE AN FX TEMPLATE

To correctly open an FX template for use, follow these steps:

1. Click on your selected template in the FX-HUB to initially open the desired template.

2. Next, in accordance with the example shown in **Exhibit 3-1: How to Download a Template in the FX-HUB** below, click on the ellipsis (three dots that appears at top right), then select the **Download** option but <u>do not open</u> the downloaded template yet.

Exhibit 3-1: How to Download a Template in the FX-HUB

3. Now go to the *Downloads* folder on your desktop and right click on the downloaded document and click **New** to open and then click on *Enable Editing*.

4. Using the artifact naming convention and versioning standards, now you can save and rename this document to your desktop by clicking on **File** (top left) then click on **Save As** and then **This PC** and enter the name of your artifact and click **Save**.

5. Next, you must upload your new draft artifact to the appropriate working area or folder in the FXPR for development and not work offline.

Note: Following this process not only ensures the integrity of the selected template but defaults the downloaded template to the correct file extension (i.e., for a Word Document the default is the *.docx file extension).

For more information about using templates, refer to Section 3.4 *FX Program Templates Standard* below and the *Creating, Updating, and/or Using FX Templates* process definition (located in the FXPR at FX-HUB > Process Definitions > Process Category: Template Management).

3.3 ARTIFACT VERSION CONTROL STANDARD

All FX Project artifacts shall use a standard versioning convention and must follow the 001-100 guidance provided below. The project has a standardized version control for all FX Project artifacts, which provides consistent deliverable and work product artifacts versioning. The following steps must be followed for each FX Project artifact:

- Each new draft artifact will start at version 001.
  › The version number will increment by one (1) each time the artifact is submitted to the Agency for review until the Agency has approved the artifact (e.g., 001, 002, etc., until final). For example, when an artifact is submitted to the Agency for review the first time it is version number 001—does not matter how many internal reviews have been conducted, the first submission to the Agency is always 001. After the Agency returns the artifact for comments and the artifact has been updated, the next submission to the Agency will be version 002.
  › Use version 100 for the first Agency approved version.
  › When revisions are made to an approved final version artifact (e.g., annual deliverable refresh, etc.), increment by one (e.g., 101, 102, etc.) until another Agency approval, which would then be version 200 and representing a new approved version of the artifact.
    − Incremented artifacts should be placed in a *Working* folder in the FXPR while artifacts are being updated; once an updated artifact is approved and version is final, move the prior final version to the *Archive* folder and then upload the new final version to the *Final* folder in the FXPR. For more information about the deliverable file folder structure, refer to Section 10.2.1.1 *Deliverable Folder Structure in the FXPR* below.
  › Continue this pattern, as necessary.

Note: An artifact's naming convention, *Cover Page* (when applicable), and *Revision History* table must always reflect the same current version number. For more information about the *Revision History* table, refer to Section 3.6 *Revision History and Quality Review History Tables Standard* below.

3.3.1 FX PROJECTS REPOSITORY (FXPR) INHERENT VERSION CONTROL

The FXPR is the Agency's artifact repository, via Microsoft (MS) SharePoint. The FXPR associates a date and version to an artifact each time the artifact is updated and saved, which is reflected in the artifact's inherent version history via SharePoint.

To view an artifact's version history, from the FXPR, right click on the artifact and click on *Version History* and a window will appear listing all versions of the artifact as shown in **Exhibit 3-2: Example of the Version History Window** below. From there you can hover over any of the versions listed and from the drop-down menu that appears next to that version you can *View*, *Restore*, or *Delete* a version of an artifact, as shown in graphic below.

Exhibit 3-2: Example of the Version History Window

3.4 FX PROGRAM TEMPLATES STANDARD

All approved templates for use on the FX Program reside in the *Templates* document library in the FXPR at FX-HUB > Templates. When developing a new artifact from a template, the artifact version number, on both the *Cover Page* and in the *Revision History* table, is already set to 001, which reflects a first draft. In accordance with the *Developing and/or Updating FX Templates* process definition, (located in the FXPR at FX-HUB > Process Definitions > Process Category: Template Management > FX-NH-ProcDef-Template-[*current version*]), find and download the appropriate template for your artifact and save to your desktop using the artifact naming convention, described in Section 3.2 *Artifact Naming Standard* above. Ensure that you do not make any updates to an actual *template* (refer to Section 3.2.6 *How to Correctly Open / Use an FX Template* above for guidance). When saving and renaming an MS Word artifact from a template, be sure the document file extension reflects an MS Word document (i.e., *.docx for Word Document) and not the MS Word Template file extension (i.e., *.dotx for Word Template). Then upload your new artifact to the appropriate folder in the FXPR.

Best practice is to **always** use a fresh template every time you are creating an artifact to ensure you are using the most current and approved template. This ensures you will not have a corrupted artifact or experience formatting issues. Do not use an existing artifact and update with new data, as doing so can cause formatting issues, plus you do not know whether you are starting with a corrupt artifact or not. FX projects may engage the FX EPgMO for guidance on use of the appropriate template prior to artifact development.

Note: To create a new template or modify an existing template, follow the *Developing and/or Updating FX Templates* process definition located in the FXPR at FX-HUB > Process Definitions > Process Category: Template Management > FX-NH-ProcDef-Template-[*current version*].

3.4.1 GENERAL TEMPLATE FOR ARTIFACT DEVELOPMENT

The *FX-TMPL-Deliverable-[current version]* template is the most widely used general template for creating an MS Word document for most artifacts. This template includes the initial draft versioning of 001, as noted above in Section 3.4 *FX Program Templates Standard*.

- The deliverable template is available in the FXPR at FX-HUB > Templates > Category: EPMO > FX-TMPL-Deliverable-[*current version*]

3.5 EDITING AN ARTIFACT IN THE FXPR STANDARD

Once a new artifact has been created and uploaded to the FXPR, or you need to edit an existing artifact in the FXPR, use the FXPR's collaborative capability to make your updates and do not download or save a new version of the artifact to your desktop, make edits, then upload the artifact back to the FXPR. This practice leads to the risk of having multiple files, which causes users to question *what is the current version?* Refer to Section 3.5.1 *Opening and Editing Artifacts in the FXPR* below for guidelines on opening and editing an artifact.

The FXPR has a *Check Out* feature to activate only when you need to lock a document, which prevents others from using the artifact, while you are making edits. If you use the *Check Out* functionality, be sure you check the artifact back in and do not leave it checked out if you are going to step away from it for more than an hour, and especially do not leave it checked out overnight. Be sure to refresh FXPR when you check an artifact back in. For more information regarding the *Check Out* functionality, refer to Section 3.5.1.1 *Using the FXPR's Collaborative and Inherent File Versioning Capabilities* below. For information regarding making updates to previously approved artifacts and using the track changes capability, refer to Section 10.1.1 *Tracking Changes and/or Updates to Approved Artifacts* below.

Note: Artifacts should not be sent as attachments to an email, but rather a link to the artifact(s) in the FXPR should be provided in the email (i.e., right click on the artifact and select **Copy link**, next copy the link, then in the email highlight the word(s) where you want to paste the link, right click and select **Link** from the menu and paste the copied URL (internet/website) address into the **Address** box and click **OK**. For more information, please refer to Section 2.22.2 *How to Link an Artifact Within the Body of an Email* in the *FX Program Style and Writing Guide* located in the FXPR at FX-HUB > Reference Materials > FX-SEAS-Style-&-Writing-Guide-[*current version*].

3.5.1 OPENING AND EDITING ARTIFACTS IN THE FXPR

As noted in Section 3.5 *Editing an Artifact in the FXPR Standard* above, do not download/save a new version of an artifact to your desktop, make edits, then upload the artifact back to the FXPR. This practice not only puts into question what version the current version is, but any previously generated URLs will possibly lead to an old version of the artifact and could cause confusion. This also disables the FXPR's document collaboration capability when not working with the artifact in FXPR and will cause the loss of other collaborative edits made.

3.5.1.1 USING THE FXPR'S COLLABORATIVE AND INHERENT FILE VERSIONING CAPABILITIES

The FXPR has a collaborative capability allowing more than one user to view/edit an artifact. Additionally, the FXPR has an inherent file versioning capability (see Section 3.3.1 *FXPR (SharePoint) Inherent Version Control* above for explanation). When editing an artifact in the FXPR –

- Always open an artifact by right clicking on it and selecting **Open**, then **Open in app**, and click on **Open Word** (or **Open Excel**, etc.) to edit the artifact (**Note:** Never select **Open in browser** and start editing as this may corrupt formatting)

- Never download, change the naming convention (e.g., update the version number), and upload to the FXPR—this practice overwrites the version history, and the new version will lack the history generated in the earlier version(s)

- Always stick to a single file/version and leverage the FXPR's version history to limit risk and confusion

- Remember to **Save** often!

  › You may enable the **AutoSave** feature (located top left above the *Home* ribbon command bar) by clicking on it and then clicking on it again to turn the feature off

  › **Note:** The SharePoint *AutoSave* functionality creates a new *minor* version on FXPR as work on the deliverable progresses. This could cause confusion when viewing the artifact's version history. In addition, there is a SharePoint limitation to the number of minor versions of an artifact and the only way to avoid this is to *Publish* a version prior to working on it if you are using AutoSave. (Refer to the *How to Publish an Artifact in the FXPR* section of the *FX Program Style and Writing Guide* for more information.)

If you must disable the FXPR's collaboration capability and edit an artifact, follow these steps below:

- Right click on the artifact, click on **More** then click on **Check out**. After you refresh (reload) the page, you will see that the artifact is now checked out to you as noted by the red circle with a white arrow () to the right of the artifact's name—this process locks the artifact so that others cannot make any edits/updates.

  › To open and edit the checked-out artifact, right click on the artifact, and select **Open**, then **Open in app**, and click on **Open Word** (or **Open Excel**, etc.) to edit the artifact and *save* as usual.

  › To check the artifact back in and enable the FXPR's collaboration functionality, right click on the artifact, and click on **More** then click on **Check in**.

    – This opens the *Check In* window and then click **OK** (this will accept the default settings of being a minor version (draft), and then ensure that you check **No** so that you <u>do not</u> retain your check out)

- Remember that if you use the *Check Out* functionality, be sure you check the artifact back in and do not leave it checked out if you are going to step away from it for more than an hour, and especially do not leave it checked out overnight. Be sure to refresh (reload) the page when you check an artifact back in.

- If you must update the artifact's version number in the naming convention, follow the guidelines in Section 3.5.2 *Updating an Artifact's Naming Convention* below.

Note: If you checked out an artifact and want to cancel that checkout without saving any changes you may or may not have made, simply right click on the artifact, and select **More** then click on **Disregard check out** and click on **OK**. This will restore the version prior to your checkout.

3.5.2 UPDATING AN ARTIFACT'S NAMING CONVENTION

First, do not download/save a version of an artifact to your desktop with a new name then upload the artifact back to the FXPR. Best practice is to right click on an artifact and click on **Rename**. Update the name as appropriate, including the correct version number, and click on **Save**. This updates the artifact naming convention without overwriting the version history, to include changing the draft version number (e.g., 001, 002, etc.) to a final version number (e.g., 100, 200, etc.).

3.6 REVISION HISTORY AND QUALITY REVIEW HISTORY TABLES STANDARD

Each deliverable and most artifacts will have both a *Revision History* table and a *Quality Review History* table that follows the *Cover Page*. The *Revision History* table allows a reviewer to see when an artifact was created and what has changed since the first draft and finalized version(s). The *Quality Review History* table is proof that the artifact has gone through the QA process prior to being submitted to the Agency.

Note: There is boilerplate verbiage between the *Revision* and *Quality Review History* tables and does not belong in all artifacts (e.g., example of expired language: *Modifications to the approved baseline version (100) of this artifact must be made in accordance with the Change Control process that is part of the Scope Management Plan*). Ensure that the verbiage used is appropriate to the artifact (e.g., example of current language for most artifacts: *Modifications to this artifact must be made in accordance with the FX Artifact Management Standards*). For guidance, see the FX EPgMO for assistance.

3.6.1 REVISION HISTORY TABLE

The artifact's *Revision History* table, as shown in **Exhibit 3-3: Sample Revision History Table** below, contains the artifact's revision data: version number, artifact description, and name of the author. As stated earlier in sections above, versioning always starts with 001. During initial draft artifact development, the *Revision History* table may be used to help track internal drafts and reviews. However, once an artifact is submitted for QC review, the internal versioning listed in the table should be removed and only version 001 remains, especially for deliverables.

Revision History

DATE	VERSION	DESCRIPTION	AUTHOR
M/D/YYYY	001	Deliverable #: Deliverable Name Development Draft Version	Your name here
M/D/YYYY	002	Deliverable #: Deliverable Name Final Draft Version	Your name here
M/D/YYYY	100	Deliverable #: Deliverable Name Approved Baseline Version	Your name here

Exhibit 3-3: Sample Revision History Table

3.6.1.1 ELEMENTS OF THE REVISION HISTORY TABLE

- **Date** – use single digits, do not use any leading zeros. See examples below:
  - › Incorrect: 03/05/2022
  - › Correct: 3/5/2022
  - › The date used is the artifact/report due date or the *as of* date depending on the artifact.

- **Version** – this is the artifact's version number. (An artifact's naming convention, *Cover Page* (when applicable), and *Revision History* table must all reflect the same current version number.)
  - › Version number will always start with version 001.
  - › If versioning for internal reviews is listed in the *Revision History* table, it must be removed prior to submitting for QC review. Only submitted and approved versions will be included and have updated version numbers. (For more information about versioning, refer to Section 3.3 *Artifact Version Control Standard* above.)

- **Description** – this is the artifact name and if artifact is a deliverable, will include the associated deliverable number (description field may also be auto-populated from data entered on the *Cover Page*). As shown in **Exhibit 3-3: Sample Revision History Table** above, the description field also denotes whether the artifact is a draft, final, etc. The description field is also used to list noteworthy updates made to an artifact, such as Deliverable Evolution Topics (DETs).

- **Author** – This is the name of the author or team member name(s).

Note: For first drafts, remove any version history data that may be pre-populated in the table below the version 001 row. The remaining fields are for future use (i.e., future draft and final versions) to be updated/populated later.

3.6.2 QUALITY REVIEW HISTORY TABLE

The artifact's *Quality Review History* table, as shown in **Exhibit 3-4: Sample Quality Review History Table** below, contains the artifact's quality review history data: date, name of person who performed the quality review, and any review comments (e.g., Conducted peer review, conducted QC review, etc.).

Quality Review History

DATE	REVIEWER	COMMENTS
M/D/YYYY		

Exhibit 3-4: Sample Quality Review History Table

3.6.2.1 ELEMENTS OF THE QUALITY REVIEW HISTORY TABLE

- **Date** – use single digits, do not use any leading zeros. See examples below:
  - › Incorrect: 03/05/2022
  - › Correct: 3/5/2022
  - › The date is the date the artifact was reviewed.
- **Reviewer** – this is the name of the person performing the peer review or QC review.
- **Comments** – place comments such as *conducted peer review* or *conducted QC review* in this area.

3.7 FX PROJECTS GLOSSARY STANDARD

The *FX Projects Glossary* (Glossary) is a comprehensive list of project relevant terms and definitions most pertinent to their context within FX. The Glossary is a tool to help standardize the language used across all FX projects and in all FX Project artifacts. The Glossary is located in the FXPR and can be accessed at FX-HUB > Project Glossary.

3.7.1 ADDING REFERENCE TO FX PROJECTS GLOSSARY IN ARTIFACTS

<u>Do not</u> add a glossary section containing a list of acronyms or terms to any artifact. <u>Do</u> point to the Glossary located in the FXPR. Here is suggested standard text to use in your artifact:

> For a definition of terms and acronyms used throughout this document, refer to the *FX Projects Glossary* located in the FX Projects Repository at FX-HUB > Project Glossary.

3.7.2 GLOSSARY UPDATES

Glossary updates are event driven. All unique terms used in an artifact, and not defined in the Glossary, must be submitted for inclusion in the Glossary during artifact development in accordance with the *Updating the FX Projects Glossary* process definition located in the FXPR at FX-HUB > Process Definitions > Process Category: Glossary > FX-ProcDef-Updating-Project-Glossary-[*current version*].

The most common recommended actions or needed changes to the Glossary include:

- **Additions** – Create an entry in the Glossary for a term that is not currently included in the Glossary
- **Updates** – Modify an existing entry in the Glossary
- **Replacements** – Retire a previously used term and indicate what term should be used instead moving forward

› Reasons a term is retired include changes in Agency word choice preference or guidance from FX Governance

SECTION 4 QUALITY MANAGEMENT STANDARDS

4.1 QUALITY MANAGEMENT STANDARDS OVERVIEW

Quality Assurance and *Quality Control* are two aspects of quality management and share some interrelated activities, but the two are defined differently, as explained below in Section 4.1.1 *Quality Assurance (QA)* and Section 4.1.2 *Quality Control (QC)*.

The following two (2) standard principles of QA listed below shall be included in the QC Process:

- **Fit for purpose** – the product or service should be suitable for the intended purpose
- **Right the first time** – eliminate mistakes

4.1.1 QUALITY ASSURANCE (QA)

QA is process oriented and refers to the quality approach used during the creation of artifacts. QA is a proactive approach ensuring quality in the artifact development process to prevent defects. The goal of QA is to design processes that are inherently reliable in producing high-quality artifacts. QA takes a holistic approach to identify all the factors that might have some impact on the quality of artifacts. QA activities are determined prior to artifact development.

4.1.2 QUALITY CONTROL (QC)

QC is more a reactive approach and refers to quality related activities associated with the creation of artifacts and is based heavily on artifact review (i.e., inspection) to find errors and deficiencies prior to submission to the Agency and ensuring quality. QC is artifact oriented and checks the quality of an artifact with a focus on the QA activities used to fulfill quality requirements. In addition, QC is a practice that follows a set of QA procedures intended to ensure an artifact adheres to a defined set of QA criteria and meets the requirements of the Agency. QC activities are performed after the development and peer review of an artifact. For examples of QA activities, refer to Section 4.2.1 *Quality Assurance Activities* below.

4.2 QUALITY MANAGEMENT STANDARD

FX projects shall employ an internal QC Process prior to submitting a deliverable or artifact to the Agency for review according to the project's *Quality Management Plan* section of the *Project Management Plan* (PMP) and the Standards outlined here. This best practice includes all artifact submissions whether draft, final, or an artifact update. (**Note:** QC review may include the resubmission of artifacts after Agency comments have been addressed.) Refer to Section 7.2 *Internal QC and Peer Review Standard* below for more information.

FX projects should plan for and allow enough internal review time, prior to the submission due date to the Agency, to allow for remediation and re-review of artifacts.

4.2.1 QUALITY ASSURANCE ACTIVITIES

FX projects shall conduct QA activities according to their contract, the established Standards, the FX Project's PMP, and the *Quality Assurance* process definition located in the FXPR at FX-HUB > Process Definitions > Process Category: Quality Assurance Management > FX-ProcDef-Quality Assurance-[*current version*]. Examples of where FX projects shall conduct QA activities include:

- Review of project delivery processes for appropriateness and accuracy
- Review of artifacts (e.g., project schedules, requirements documentation, reporting from FX tools)
- Review of end-to-end requirements traceability ensuring appropriateness and accuracy compliance
- Review of performance metrics
- Review of complete testing traceability, appropriateness, and accuracy compliance to include both functional and non-functional testing
- Collection, review, and integration of project lessons learned

FX projects shall collaborate and communicate quality standards, measures, processes, and awareness to key project stakeholders as appropriate and as described in the FX Project's PMP.

4.3 QUALITY CONTROL STANDARD

FX projects shall follow their *Quality Management Plan* as set forth in their project's PMP. Additionally, FX projects should perform an internal peer review and QC prior to submitting artifacts to the Agency for review. Each artifact shall be approved in accordance with the project's *Quality Management Plan* and the Standards. The Agency retains final approval authority for all artifacts. For more information about the *Artifact Submission Process* and *Artifact Review Process*, refer to Section 7 *Artifact Submission Standards* and Section 8 *Artifact Review Standards*.

4.3.1 QUALITY CONTROL REVIEW

Prior to submitting an artifact to the Agency for their review, FX projects shall perform an internal peer review of artifacts for content, completeness, compliance, and correctness conducted by a person(s) other than the FX Artifact Developer (e.g., a SME). Additionally, an internal proofread and edit for proper spelling, grammar, and formatting shall be conducted by the vendor's QA Manager/Lead (or designee)—in accordance with the *FX Program Style and Writing Guide* and the Agency's *SMMC Program Style Guide*—prior to submitting an artifact to the Agency for review.

The purpose of the initial QC review is to facilitate an efficient and effective review by project stakeholders upon artifact submission. This review examines QA items such as:

- Compliance with the associated DED (for deliverables)

- Compliance with the Standards to include artifact naming convention, versioning, quality standards, and use of approved project templates where applicable

- Artifact review is in sync with review cycle (e.g., submission, draft, final, etc.)

- All sections in the artifact appear to contain reasonable and agreed-upon content

- Formatting complies with applicable contract requirements and appears reasonable

- The artifact review schedule is consistent with/matches the review schedule documented in the DED, if applicable

- Spelling and grammar check

As necessary, the FX PM will review the completed *Content & Quality Checklist* with the FX Artifact Developer and other stakeholders as appropriate.

The FX PM shall submit artifacts, as defined in Section 3.1 *Deliverable vs. Work Products Guidance*, to the Agency for review and approval.

4.3.1.1 CONTENT & QUALITY CHECKLIST TEMPLATE

A *Content & Quality Checklist* template is available in the FXPR and used by the SEAS Vendor to document the SME peer review and to guide and document the QC review of artifacts. The *Content & Quality Checklist* is a suggested template for use by FX Projects as a best practice and helpful tool. This template is mandatory for use by the SEAS Vendor and is available in the FXPR at FX-HUB > Templates > Category: EPMO.

The *Content Review Checklist* tab of the *Content & Quality Checklist* template (see example in **Exhibit 4-1: Example of Content Review Checklist** below) is used to document the peer review conducted for an artifact. The *QA Checklist* tab of the *Content & Quality Checklist* template (see example in **Exhibit 4-2: Example of Quality Assurance Checklist** below) is used to guide the QA Manager/Lead (or designee) while conducting their QC review of an artifact. The *EPMO-Quality Metrics Checking* tab of the *Content & Quality Checklist* template (see example in **Exhibit 4-3: Example of EPMO-Quality Metrics Checking** below) is used by the QA Manager/Lead (or designee) to capture metrics regarding the number of instances the same error is found within an artifact. This data is useful to identify where additional training opportunities may be needed. For more information regarding the use of the *Content & Quality Checklist* template, please see the FX EPgMO QA Coordinator.

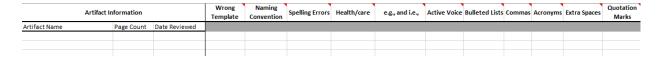| Content Review Checklist		
Name of Artifact under Review:		
Name of Individual Completing Content Review:	**Date:**	
Quality Criteria	**Yes/No or N/A**	**Comments**
Does the artifact fully answer the contract requirements, ITN requirements, SOW requirements, etc.?		
If applicable, does the deliverable satisfy each point in the jointly (with AHCA) developed DED?		
Is the information in the artifact clear and accurate?		
Does the flow, section order, and format make sense for the content of the artifact?		
Is the language concise (i.e., have all redundancies between this artifact and others been removed)?		
Have all terms and acronyms been defined in the artifact?		
Have new FX Project-specific terms/acronyms been sent to the Glossary Owner in the FX Strategic Domain for suggested inclusion in the Project Glossary? (**Note:** Refer to the *Updating the FX Projects Glossary Process Definition* for instructions.)		
Has the deliverable owner talked with the client and addressed or incorporated client feedback?		
Are subject matter specific acronyms and abbreviations correctly defined (ETL = Extract, Transform, Load, rather than something else; or PMBOK = Project Management *Body* of Knowledge rather than Project Management *Book* of Knowledge)?		
Is the subject matter specific content accurate (e.g., aligned with industry standards)?		

Exhibit 4-1: Example of Content Review Checklist

Quality Assurance Checklist		
Name of Artifact under Review:		
Name of Person Completing Review:	Date:	
Name of Individual who Completed Content Review:	Date:	
Quality Criteria	**Yes/No or N/A**	**Comments**
Did the artifact follow the template identified in the QA Request Submission Email? And is the template identified the correct template for the artifact?		
Is the Formatting/Style consistent (i.e., are headings the same font and size; is the same border used on tables throughout the artifact)?		
Are Headers following template?		
Are Footers following template?		
Has the artifact's autocorrect functionality been turned on?		
Have all spelling errors been corrected?		
Have all grammatical errors been corrected?		
Are grammatical instances in line with Style Guide (i.e., are rules for capitalizing *state* , adding a comma after the second to last item in a list, and using *shall* vs. *will* being followed)?		
Is Active Voice present throughout the artifact?		
Are all references to *healthcare* and *health care* in line with the Style Guide (i.e., is *healthcare* used when used as a modifier and *health care* used when a noun)?		
Does the artifact consistently refer to Plans (Sub-plans) as defined in the Style Guide (i.e., are previously delivered deliverables referenced using the proper deliverable number and name)?		
Does the artifact use proper meeting names for recurring meetings as defined in the Style Guide and include meeting frequency?		
Does the artifact consistently refer to Roles as defined in the Style Guide (i.e., is NH referred to as the SEAS Vendor; is the IV&V provider referred to as the IV&V Vendor)?		
Are all references to MES in line with the Style Guide (i.e., acronym spelled out as Medicaid Enterprise System with no *s* at the end of *System*)?		
Does the artifact consistently refer to the SharePoint site as FX Projects Repository or FXPR as defined in the Style Guide?		
Have all potentially unknown terms (technical, project management, contract, etc.) been defined in the artifact?		
Have all acronyms been fully defined at least once in the artifact before the stand-alone acronym is used?		
Does the artifact follow the Artifact Naming Standards for file naming protocols?		
If applicable, has the deliverable (or Work Product) number been incorporated on the cover page? (Deliverable numbers should appear in the contract or subsequent task orders)		
Does the Deliverable satisfy each point in the jointly (with AHCA) developed DED?		

Exhibit 4-2: Example of Quality Assurance Checklist

Artifact Information			Wrong Template	Naming Convention	Spelling Errors	Health/care	e.g., and i.e.,	Active Voice	Bulleted Lists	Commas	Acronyms	Extra Spaces	Quotation Marks
Artifact Name	Page Count	Date Reviewed											

Exhibit 4-3: Example of EPMO-Quality Metrics Checking

Using the *Content & Quality Checklist* is helpful to verify the deliverable follows the approved DED and that artifacts adhere to quality standards. **Note:** To request a QC review of an artifact, SEAS Team members shall submit a QA request to the FX EPgMO QA Coordinator using the *Quality Control Request Email* template and attach a *Content & Quality Checklist* with the *Content Review Checklist* tab filled out.

Templates:

- *Content & Quality Checklist* template (FX-TMPL-Content-&-Quality-Checklist-[*current version*]) available in the FXPR at FX-HUB > Templates > Category: EPMO

- *Quality Control Request Email* template (FX-TMPL-QA-Request-[*current version*]) available in the FXPR at FX-HUB > Templates > Category: EPMO

Reference Materials:

- *FX Program Style and Writing Guide* available in the FXPR at FX-HUB > Reference Materials > Category: Administration
- Agency's *SMMC Program Style Guide* available in the FXPR at FX-HUB > Reference Materials > Category: Administration

4.4 ARTIFACT MANAGEMENT STANDARD

Closely monitored through the Quality Management Process are the Artifact Management activities of the FX Project Teams. In addition to the *Artifact Review Process*, FX Project Teams shall perform the following activities following guidance from the AHCA FX Contract Manager or the FX EPgMO:

- Accessing and using official program templates
- Managing the creation, development, proofreading, and submission of FX Project artifacts
- Naming artifacts
- Uploading, storing, and archiving of FX Project artifacts
- Versioning deliverables and other project-related artifacts
- Meeting statutory requirements by coordinating archival and retention of artifacts

FX Project Teams shall follow the Standards, as outlined in this section, prior to submitting an artifact to the Agency for review. This process serves to verify the artifact has been developed and submitted in the required format—for deliverables only, also as agreed to in the approved DED—using the Standards established in this section, FX Contract, *FX Program Style and Writing Guide*, and the Agency's *SMMC Program Style Guide*. The purpose of the initial QC review is to facilitate an efficient and effective review by the Agency and the FX Deliverable Review Team upon submission of an artifact.

SECTION 5 DELIVERABLE EXPECTATIONS STANDARDS

5.1 DELIVERABLE EXPECTATIONS STANDARDS OVERVIEW

FX projects, as authorized through the *FX Portfolio Management Process*, shall construct deliverables that address project requirements as outlined in the contract, or subsequent task order(s), with the Agency[1]. After an FX PM receives an authorization to commence work from the AHCA FX Contract Manager, then the FX PM shall have 30 days to draft and submit a *Deliverable Expectations Document* (DED). Once the DED is approved, then development of the draft deliverable may begin.

FX projects, through effective performance of deliverable management, shall complete deliverables within the specified time and scope requirements, which align with the project schedule.

Below are the areas covered in this section.

- Deliverable Expectations Document (DED)
- Deliverable Expectations Meeting(s)
- Deliverable Expectations Submission, Review, and Approval Criteria Process
- Approval Criteria

Note: (1) If during the process of developing a DED, it is determined that additional scope or time will be required to complete the associated deliverable, then the FX PM shall initiate the *Change Control Process,* according to the project's PMP; and (2) if during or after deliverable development a change is necessary to update an approved DED, the updated DED will be required to go through the *Submission, Review, and Acceptance Process* again. For more information refer to Section 5.4 *Deliverable Expectations Submission, Review, and Acceptance Criteria Standard* below.

5.2 DELIVERABLE EXPECTATIONS DOCUMENT (DED) STANDARD

The DED is a tool used to record high-level scope of service requirements for a deliverable and to establish clear expectations and acceptance criteria for the scope and content of an artifact (i.e., content, format, review team, review timeframe, and acceptance criteria). Also recorded in the DED is the developer's approach to meeting the requirements for the deliverable and the deliverable acceptance criteria. FX projects shall, as required in the approved statement of work (SOW), submit a DED and draft deliverables for review.

The DED will be used to achieve the following:

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[1] For Agency-led efforts, it is recommended that the Agency use DEDs for their deliverables.

- Work with the Agency and FX Project Team to define the level of detail expected in each deliverable, outline the table of contents for the deliverable, and identify the FX Deliverable Review Team for the deliverable
- Identify the proposed format
- Include a high-level description of the content for each section of the deliverable
- Define the expectations for the approach for developing the deliverable
- Identify contractual requirements from statement of work associated with the deliverable
- Identify the acceptance criteria for the entire deliverable to be used during the *Deliverable Review and Acceptance Process*
- Identify the deliverable review period <u>based on the anticipated size and complexity</u> of the deliverable and once approved, shall override the standard review timeline (this review period shall be incorporated into the schedule baseline)
  - › **Note:** Refer to Section 8.1.2 *Artifact Review Timeline Guidelines* for deliverable review period timeline standard

Note: For deliverables consisting of multiple components, files, documents, etc., the number and type of products to be submitted must also be identified in the DED. The AHCA FX Contract Manager or FX EPgMO can advise on how the FX Project Team should break up large deliverables into manageable sections. The plan for the logical break-up of large deliverables must be included in the associated DED.

This will help ensure at the onset of the FX Project that all stakeholders have a clear understanding of the approach the project team will take to develop a deliverable.

5.2.1 FX DELIVERABLE REVIEW TEAM SELECTION

The FX Deliverable Review Team Lead (hereafter *Review Team Lead*) identifies the FX Deliverable Review Team (hereafter *Review Team*) members, as approved by AHCA FX Contract Management, and assigns roles to include a role for conducting QC of the artifact. (**Note:** a SEAS Vendor SME must be included as an optional member of the Review Team for every artifact to conduct a content review.) Once the members of the Review Team have been approved, the Review Team Lead will review the roles and responsibilities for the review and acceptance activities with each team member.

5.3 DELIVERABLE EXPECTATIONS MEETING(S) STANDARD

Prior to the start of deliverable development, the FX PM shall send an informal copy of the draft DED to the Review Team Lead and schedule the Deliverable Expectations Meeting(s) with key deliverable stakeholders. The intent of the Deliverable Expectations Meeting(s) is to formally establish expectations for the development of the deliverable. Expectations should focus on identifying and agreeing upon the *who*, *what*, *why*, *when*, and *how* for the development of the deliverable and should include the deliverable acceptance criteria.

The FX PM shall schedule and facilitate the Deliverable Expectations Meeting(s) in a timely manner sufficient to define, draft, and approve the DED to achieve the scheduled deliverable milestones set in the project's planning stage.

5.4 DELIVERABLE EXPECTATIONS SUBMISSION, REVIEW, AND ACCEPTANCE CRITERIA STANDARD

The purpose of the *Deliverable Expectations Submission, Review, and Acceptance Process* is to define how the development, submission, review, and approval of DEDs will be performed and managed (refer to the process diagram in Error! Reference source not found. above). The deliverable expectations *Submission, Review, and Acceptance Process* identifies the steps, processes, and resources necessary to efficiently develop, submit, effectively review, and accept the DED (refer to the associated *Deliverable Expectations and Review* process definition located in the FXPR for more information).

5.4.1 DED DEVELOPMENT

A DED shall be developed using the FX Program *DED* template.

- A DED template is available for use and is located in the *Templates* document library in the FXPR at FX-HUB > Templates > Category: EPMO > FX-TMPL-DED-[*current version*].

5.4.2 DED SUBMISSION AND STORAGE

Upon reaching an agreement on the expectations, acceptance criteria, and review timeline, the FX Artifact Developer shall update the draft based on the outcome from the Deliverable Expectations Meeting(s) and submit the DED to the FX PM. The FX PM shall ensure appropriate updates are made before submitting the DED to the AHCA FX Contract Manager for acceptance according to the *Deliverable Submissions* section in the project's PMP.

The FX PM shall, according to contractual obligations, formally submit DEDs via an email to the AHCA FX Contract Manager and provide a link to the DED requiring review. The AHCA FX Contract Manager will perform a pass/fail DED receipt criteria review and when accepted will submit the DED to the Review Team Lead and the Review Team for review. For more information regarding submission of deliverables and other artifacts, refer to Section 7 *Artifact Submission Standards* below.

Note: At the sole discretion of the Agency, the Agency's review period may be extended with providing notice to the FX PM from the AHCA FX Contract Manager via dated email.

The DED (including draft and final versions) will be stored in the FXPR.

5.4.3 DED ACCEPTANCE CRITERIA

In addition to specific DED requirements, all DEDs are subject to the following acceptance criteria:

- The DED meets the Agency's requirements for timeliness, meaning the DED is completed and submitted by the required due date
- The DED meets the Agency's requirement for completeness, meaning the required components are present in the DED
- Any revisions requested by the Agency from the review of the initial draft of the DED have been incorporated into the final version

SECTION 6   ARTIFACT DEVELOPMENT STANDARDS

6.1   ARTIFACT DEVELOPMENT STANDARDS OVERVIEW

FX Project Teams shall develop artifacts according to any constraints as defined in their project's charter[2]. The FX Artifact Developer shall interact with their FX PM and designated Review Team Lead, FX EPgMO PM, and other FX Project Team members as appropriate for seeking input, expertise, decisions, and ongoing review of draft artifacts. For *deliverables*, the FX PM may schedule interim draft deliverable reviews with the FX Project Team, as necessary.

The key to a successful artifact review is the involvement of the FX Project Team during deliverable development and their interaction with the FX Artifact Developer and FX PM by providing input, expertise, decision-making, and ongoing review of the artifact. Significant artifact development contributors, those who have authored sections of the artifact, should not be part of the Review Team since artifact development contributors cannot be reviewers of their own effort(s).

During artifact development, decisions may be agreed upon by the FX Project Team that may conflict with and impact the approved DED. When this occurs, the FX Artifact Developer is responsible for making the updates to the approved version of the DED and submitting the revised DED to the FX PM for resubmission to the Agency. The FX PM is responsible for managing the *Review and Acceptance Process* for the updated DED. (**Note:** If the approved DED changes project scope, schedule, or cost, the FX PM shall initiate the *Change Control Process* according to the project's PMP.) For more information regarding the DED, refer to Section 5.1 *Deliverable Expectations Standards Overview* above.

Note: All artifacts must follow the Standards set forth in Section 3 *Artifact Standards* above.

6.2   ARTIFACT FORMAT AND CONTENT STANDARD

All project artifacts (e.g., deliverables, work product artifacts, spreadsheets, presentations, charts, databases, etc.) will be provided in a format approved by the Agency (i.e., MS Office Suite) using FX Program templates and as documented in the associated DED for deliverables. The content and format of the artifacts will be in accordance with relevant industry standards and *best practices* and as documented in the associated DED for deliverables.

6.2.1   REFERENCING EXTERNAL SOURCES

It is best to avoid the use of links to other artifacts located in the FXPR within an artifact, especially since links are easily broken when an artifact location gets changed. Do not embed links in artifacts (i.e., links contained within text), except for links to websites. Below are suggested guidelines for referencing external sources:

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[2] FX Project Vendors should plan accordingly to contractual stipulations regarding the use of Agency staff in project work.

- Add a reference directing the reader to an item or location (e.g., file path—Example: SEAS > Example File Path > Example File Name), as demonstrated throughout this Standards artifact.

- Write brief but meaningful text for website links or URLs to always let a reader know where they will land when they click on a website link or open a URL.

- You may embed an artifact in lieu of a link (refer to the *How to Embed an Artifact* section in the *FX Program Style and Writing Guide* for guidance).

6.2.2 INTERIM DRAFT ARTIFACT WALK-THROUGH

During artifact development, the Agency or SEAS Vendor may request an interim draft artifact walk-through(s) with the FX PM, who will then schedule the interim draft walk-through with the FX Artifact Developer, Agency FX Project Team, SEAS Vendor, and other key stakeholders, as deemed necessary. The FX PM (or designee) will facilitate the walk-through(s) of the interim draft content to assist the review process. This interim review provides a quick overview of progress on the artifact prior to submission and provides a face-to-face forum to gain feedback from the FX Project Team. **Note:** this interim walk-through is informal, not mandatory, and should not to be confused with the walk-through conducted after the draft artifact has been submitted to the Agency for review and acceptance as illustrated in Error! Reference source not found. below (refer to Section 8.1.3 *Artifact Walk-through*).

6.2.3 TRACKING CHANGES AND/OR UPDATES TO ARTIFACTS IN DEVELOPMENT

For those artifacts where either an iterative informal review process is employed as part of the artifact development approach, or during a formal artifact review, a process for tracking changes for both the informal and formal reviews of artifacts will need to be defined. Using the MS Office track changes and comment capabilities within the artifact can be used more broadly as a tool for tracking deferred comments, making notes specific to sections of an artifact or processes relative to the future finalization of the artifact, in addition to noting clarification questions or discussions that need to take place, etc. A copy of any artifact submitted to the Agency for an informal review by the FX PM follows the same process as a formal submission along with any tools used in the informal reviews. For more information regarding artifact submission, refer to Section 7.3 *Artifact Submission Standard* below.

SECTION 7   ARTIFACT SUBMISSION STANDARDS

7.1   ARTIFACT SUBMISSION STANDARDS OVERVIEW

This section addresses key standards for submission of artifacts and conducting internal peer review and QC of artifacts prior to formal submission to the Agency for review and acceptance. This section also addresses use of the *Submission Email* template, final artifact submission and review, and rejection of an artifact.

7.1.1   FX VENDOR PRESENTATIONS TO AGENCY EXECUTIVES

Prior to any presentation made to Agency Executives, all FX vendors much first submit said presentations/artifacts to the AHCA FX Program Administration (FXPA) Team for review and acceptance, to include the FX Director.

7.2   INTERNAL QC AND PEER REVIEW STANDARD

It is required that FX projects follow the Standards outlined in Section 4 *Quality Management Standards* above. FX projects shall conduct an internal peer review and QC prior to submitting an artifact to the Agency for review and acceptance according to the project's *Quality Management Plan* section of the *Project Management Plan (PMP)* and the Standards. As noted in Section 4.1 *Quality Management Standards Overview* above, this process serves to verify that the artifact has been developed and submitted in the required format and the internal peer reviews and QC are to facilitate an efficient and effective review by the Review Team upon submission of an artifact. Refer to Error! Reference source not found. diagram below for a high-level view of the submission steps and review.

When the artifact has been updated after both the internal peer reviews and QC, then the artifact is ready for the FX PM to submit to the AHCA FX Contract Manager via email with a link to the artifact. If the artifact does not pass the AHCA FX Contract Manager's receipt criteria review, the artifact will be returned to the FX PM for remediation. The FX PM shall work with the FX Artifact Developer to ensure the criteria for submission of the artifact is fully understood. The FX Artifact Developer shall remediate and resubmit the artifact for another QC review and if necessary, shall include another peer review. For more information about QC review, refer to Section 4.3 *Quality Control Standard* above.

7.3   ARTIFACT SUBMISSION STANDARD

Submission of each artifact for review and acceptance by the Agency and key project stakeholders shall be in accordance with the approved FX Project's PMP and project schedule.

The FX PM shall submit all artifacts for Agency review and acceptance to the AHCA FX Contract Manager who will conduct a pass/fail receipt criteria review, based on the Agency's predefined checklist, and if the artifact passes, the AHCA FX Contract Manager will send the artifact via a link in an email to both the Review Team Lead and the Review Team. For FX Project deliverables, the DED will have a complete list of the individuals assigned to the

Review Team and their roles. **Note:** The Agency's *Artifact Review Process* is initiated when the FX PM (or designee) submits an artifact for review and acceptance.

Artifacts consisting of multiple components (i.e., supporting documentation) must be submitted in full prior to the start of the review cycle. The artifact will only be considered submitted and the review cycle will only start when all components have been submitted.

As part of this first draft submission, the FX PM will send an email, using the *Deliverable Submission Email* template (for deliverables and work products) located in the FXPR (see *Templates* below), to the AHCA FX Contract Manager with the FX vendor name (developer), artifact name, current version number, and provides a summary of the artifact, identifying the content, and to initiate feedback from the reviewers within the agreed upon review period. As noted above, email will be the default delivery method, with the link to the artifact for review located in the FXPR included within the email.

Artifacts submitted in formats other than MS Word (e.g., Excel, PowerPoint, Visio, etc.) must be submitted with an associated comment tracking worksheet, using the *Comment Tracker* template located in the FXPR (see *Templates* below), to capture reviewer suggested edits and comments and will also be used for remediation updates to those artifacts. For more information, refer to Section 8.2.1 *Artifact Review Comments* below.

Note: Subsequent submissions for acceptance will include all edits and comments, from previous submissions, via the track changes and comment capabilities. Only when an artifact is ready to be finalized and versioned to 100, in accordance with the guidance provided in Section 3 *Artifact Standards* above, will the track changes (edits and comments) be accepted, and tracking stopped.

Templates:

- The *Deliverable Submission Email* template is available in the *Templates* document library in the FXPR at FX-HUB > Templates > Category: EPMO > FX-TMPL-Deliverable-Submission-Email-[*current version*]

- The *Comment Tracker* template is available in the *Templates* document library in the FXPR at FX-HUB > Templates > Category: EPMO > FX-TMPL-Comment-Tracker-[*current version*]

7.4   FINAL ARTIFACT SUBMISSION AND REVIEW STANDARD

The final artifact submission and review is intended to confirm and validate that corrections required as a result of the preceding draft review have been made. The final submission and review will also serve as a cursory review or *spot check* of the overall artifact. As such, to manage expectations and expedite the final *Artifact Review and Acceptance Process*, the final artifact will not differ materially from the preceding draft artifact submitted for the Agency's review.

Note: For more information regarding the *Artifact Review Process*, which includes issue escalation when a review is not timely or a deliverable is rejected, refer to Section 8*Artifact Review Standards* below.

7.5   ARTIFACT REJECTION STANDARD

The Agency may reject an artifact (draft or final) that has significant spelling, grammatical, punctuation, format, and/or pagination errors, or if it otherwise does not meet acceptance criteria defined in the DED. If the artifact is rejected on this basis, all errors will be corrected by the FX Artifact Developer, and another QC review will be conducted before the artifact is resubmitted to the Agency. The Review Team's review cycle will begin based on the resubmission date and not on the original submission date. For more information, refer to Section 8.6.1 *Rejection of an Artifact* below.

SECTION 8   ARTIFACT REVIEW STANDARDS

8.1   ARTIFACT REVIEW AND ACCEPTANCE STANDARD

There are three major processes that make up the Artifact Review and Acceptance Process:

1. The **Deliverable Expectations Process** defines the tasks, responsible actors, and outputs for establishing the contractual acceptance criteria, format, and content expectations for project deliverables as noted in Section 5 *Deliverable Expectations Standards* above.

2. The **Artifact Review Process** defines the tasks, responsible actors, and outputs for the submission, receipt, review and timeline, and feedback of draft artifacts and the resolution of review feedback for acceptance of a final artifact draft.

3. The **Artifact Acceptance Process** defines the tasks, responsible actors, and outputs for the approval and invoice payment of a final deliverable.

Refer to the *Deliverable Review and Acceptance Process* in the *Deliverable Expectations and Review* process definition, located in the FXPR at FX-HUB > Process Definitions > Process Category: Deliverable Management, for detailed information.

8.1.1   REVIEW TEAM

The Review Team members are approved by AHCA FX Contract Management and listed in the associated DED for deliverables. The FX Review Team Lead assigns roles to include a role for conducting QC of the artifact. (**Note:** a SEAS Vendor SME must be included as an optional member of the Review Team for every artifact to conduct a content review.) The Review Team Lead manages the artifact review with the Review Team and is responsible for maintaining and adhering to the deliverable review timeline and task durations through coordination with the AHCA FX Contract Manager. For more information, refer to Section 5.2.1 *FX Deliverable Review Team Selection*.

8.1.1.1   OVERSIGHT PARTICIPATION

In addition to the approved Review Team, the IV&V Vendor participates in deliverable and work product reviews. Their involvement will be in parallel with the Review Team. The AHCA FX Contract Manager will send the artifact for review via a link in an email to the AHCA IV&V Contract Manager, the IV&V Contract Manager and the Review Team Lead simultaneously. The IV&V Vendor is to complete their review within the designated review timeframe. **Note:** IV&V's participation in a vendor's quality review is at the direction of the Agency to support the Agency PM Lead.

8.1.2   ARTIFACT REVIEW TIMELINE GUIDELINES

An artifact review timeline provides the structure necessary to ensure the artifact review is completed within the specified review period. The artifact timeline is according to the

associated and approved DED and/or baselined schedule. The standard review timeline for artifacts is 10 days for the Agency's first review, five days for the vendor's remediation, five days for Agency's second review, three days for vendor's remediation, and three days for the Agency's final review (10-5-5-3-3 business days), with one day for contract manager review upon each submission/resubmission to the Agency. **Note:** For deliverables, the deliverable's associated DED shall be followed for the review timeline and overrides this review timeline standard.

Note: If the Agency cannot approve an artifact within three review cycles, then the Agency will log an issue to escalate. For deliverables, the deliverable's associated DED shall be followed for the agreed to review timeline and if the deliverable cannot be approved within the agreed to timeline, then the Agency will log an issue to escalate.

8.1.2.1 REVIEW TIMELINE FOR PROCESS DEFINITIONS AND TEMPLATES

The standard review timeline for process definitions is five days for the Agency's first review, three days for the vendor's remediation, and two days for the Agency's final review (5-3-2 business days) or as determined by the Agency. For templates, the standard review timeline is three days for the Agency's first review, two days for the vendor's remediation, and two days for the Agency's final review (3-2-2 business days) or as determined by the Agency. The FXPA Team reviews and approves the updates made to process definitions and templates.

8.1.3 ARTIFACT WALK-THROUGH

Once the draft artifact has been submitted to the Agency for review and acceptance, the FX PM shall schedule an artifact walk-through with the Review Team within two (2) business days of submission. The FX PM (or designee) shall facilitate the artifact walk-through and provide a high-level overview of content and field any questions the Review Team may have.

8.2 ARTIFACT REVIEW STANDARD

The artifact review is initiated when the FX PM submits an artifact to the Agency for review and acceptance. The artifact should be 100% complete and in final format prior to submission. When an artifact is submitted to the Agency for review and acceptance, the AHCA FX Contract Manager will perform a pass/fail receipt criteria review to ensure the artifact meets the requirements of the Agency and to confirm the acceptance criteria, as outlined in the associated DED, has been met. If the AHCA FX Contract Manager determines the artifact does not meet minimum expectations, the artifact will be rejected and returned to the FX PM via email for remediation and the artifact must be formally submitted again for review and acceptance (for more information, refer to Section 8.6.1 *Rejection of an Artifact* below). **Note:** For large artifacts, each of the sections submitted, in accordance with the agreed upon DED (or plan), will be managed as an individual artifact. Once the review of each of the sections is complete, a final review will be conducted over the whole artifact to ensure there are no gaps between the sections.

The AHCA FX Contract Manager will send the accepted artifact for review to the Review Team Lead, the AHCA IV&V Contract Manager, and the IV&V Contract Manager via email. The

Review Team Lead sends the artifact via email to the Review Team. The Review Team will review the artifact within the agreed upon timeframe as established by the project schedule and in the respective DED (see the FX Project's PMP for more information). Unless otherwise specified, if notification of artifact acceptance or rejection has not been provided to the FX PM in the required review period, the FX PM will log a project issue, naming the Review Team Lead as the issue owner, and the *Issue Escalation Process* will be followed (for details on issue resolution, see Section 8.6 *Issue Escalation/Resolution Standard* below). If the Review Team requests changes, the suggested changes will be submitted based on Section 8.2.1 *Artifact Review Comments* below. Refer to Section 7.5 *Artifact Rejection Standard* above and Section 8.6.1 *Rejection of an Artifact* below if an artifact has been rejected.

8.2.1 ARTIFACT REVIEW COMMENTS

Each Review Team member should clearly understand the role they have been assigned prior to providing review comments and shall partner with the Review Team Lead, who is their POC, for questions that may arise during an artifact review. The Review Team Lead shall coordinate with the FX PM to provide necessary clarification so the Review Team may provide a more actionable comment(s). The Review Team shall use SharePoint's collaboration capability and not download a version of the artifact to their desktop, which may overwrite edits made by other reviewers. All edits and comments are to be made directly in the MS Word artifact posted in the FXPR via the track changes and comment capabilities (see Section 3.5.1 *Opening And Editing Artifacts in the FXPR* above). **Note:** for artifacts other than MS Word (e.g., Excel, PowerPoint, Visio, etc.), the associated comment tracking worksheet shall be used to capture reviewer suggested edits and comments and subsequently will also be used for remediation updates to those artifacts (for more information regarding the comment tracker, refer to Section 7.3 *Artifact Submission Standard* above).

If any member of the Review Team encounters a problem or concern while reviewing an artifact (such as fundamental acceptance criteria not met, extremely poor quality, or major variance from the commitments agreed upon in the DED), the concern should be raised immediately to the Review Team Lead and AHCA FX Contract Manager for a determination, and not held for an artifact review comment. The Review Team Lead will log an issue if the concern has an immediate impact on scope, schedule, cost, or quality of the project. If the concern rises to a level preventing further review of the material, then the artifact should be rejected and sent back to the vendor.

When the Review Team has completed their review, the Review Team Lead is responsible for clarifying discrepancies in comment feedback throughout the artifact. Where in-line comments and track changes are used to provide artifact review feedback (or via an associated comment tracker when an artifact is not in MS Word format – see Section 7.3 *Artifact Submission Standard* for more information above), the Review Team Lead is responsible to ensure that the updated artifact is legible, content insertions are clear and organized, comments are actionable, and vague language has been clarified. The Review Team Lead submits the reviewed artifact to the AHCA FX Contract Manager via email.

The AHCA FX Contract Manager will submit the reviewed artifact to the FX PM via email for remediation. The FX PM may schedule a meeting with the Review Team Lead to seek

clarification and/or resolution to the artifact review comments. Or, if necessary, the FX PM, along with the FX Artifact Developer will conduct a comment review meeting during which the Review Team may discuss their findings.

8.3   ARTIFACT REMEDIATION STANDARD

All review comments (and associated edits) must remain in an artifact through the final review and can only be removed after the artifact has been accepted by the Agency. Once the artifact has been accepted, only then is the artifact finalized and comments removed (see Section 10.1 *Management of Approved Artifacts Standards Overview* below).

When an artifact has been returned to the FX PM and FX Artifact Developer for remediation, the FX Artifact Developer shall review all edits and comments made, then update and address each comment in-line using the MS track changes and comment capabilities within the agreed upon timeframe. **Note:** All edits and comments made/addressed must remain until artifact is accepted and made final.

For artifacts in MS formats other than MS Word (e.g., Excel, PowerPoint, Visio, etc.), the associated comment tracker (as noted in Section 7.3 *Artifact Submission Standard* above) will be used to capture artifact remediation details.

The artifact's *Revision History* table shall be updated with a summary of the modifications made to the artifact and the version number incremented based on Section 3 *Artifact Standards* above. Changes requested by the Review Team not recommended by the FX PM and FX Artifact Developer will be marked as *Rejected* with a detailed explanation.

8.3.1   COMMENT DEFERMENT

Some artifacts, such as SEAS Vendor deliverables, have annual update cycles, or as directed by the Agency, as part of their standard life cycle. A minor comment can be deferred to the next planned update, with the Review Team Leads approval. The update will be marked with an in-line comment of *Deferred* within the artifact. The FX PM and FX Artifact Developer are responsible for ensuring the comment is incorporated in the next review cycle by creating a new DET (see Section 10.2 *Deliverable Evolution Topics (DET) Standard* below for more information).

8.4   ARTIFACT FINAL REVIEW STANDARD

As discussed in Section 8.3 *Artifact Remediation Standard* above, the FX Artifact Developer will remediate and update the artifact within the approved timeframe using the MS Word track changes and comment capabilities (or via the associated comment tracker).

The FX PM will resubmit the remediated artifact (and associated comment tracker if applicable) to the AHCA FX Contract Manager for final review and acceptance of the updated modifications based on the review feedback from the Review Team and the IV&V Vendor. Upon receipt of modifications, the Review Team and IV&V Vendor will review the artifact to

confirm the modifications within the timeframe provided by the project schedule. If the Review Team finds comments that were rejected by the FX Artifact Developer, and the Review Team or IV&V Vendor does not agree with the FX Artifact Developer's explanation for the rejection, this comment will follow the *Issue Escalation Process* defined in the FX Project's PMP (refer to Section 8.6 *Issue Escalation/Resolution Standard* below).

8.5   ARTIFACT REVIEW PERIOD STANDARD

Review periods for artifacts are according to the baselined schedule. Review periods for deliverables are according to the approved DED and timeframe will be reflected in the baselined schedule. However, at the sole discretion of the Agency, the Agency's review period may be extended by providing notice to the FX PM from the AHCA FX Contract Manager via dated email.

8.5.1   SINGLE CYCLE REVIEW CONCEPT

The Standards *Artifact Review and Acceptance Process* promotes a single-cycle review process. This facilitates a process wherein artifacts are reviewed and accepted without unnecessary delay. The single-cycle concept requires commitment from the FX Project Team to conduct a thorough and informed review of the artifact during the interim reviews and at the time of submission. Subsequent reviews will be focused on ensuring comments documented in the initial review were addressed to the team's satisfaction. The success of the single-cycle review concept also depends on artifacts being 100% complete prior to submission.

8.6   ISSUE ESCALATION/RESOLUTION STANDARD

Throughout the *Artifact Review Process*, the Review Team Lead will work with the FX PM, FX Artifact Developer, and other artifact stakeholders to resolve issues as they arise. For example, if at any time during the Artifact Review Process, the Review Team determines the artifact does not meet minimum expectations to a level where the artifact must be rejected, they will communicate their objections to the Review Team Lead. If the Review Team Lead, FX PM, and FX Artifact Developer are unable to come to an agreement, the Review Team Lead will log an issue and escalate according to the escalation path described in the FX Project's PMP.

Note: If it is determined an artifact does not meet expectations and is rejected, the review cycle will end immediately. The Review Team Lead will manage a high-level review of the artifact to find any other fatal flaws then begin the *Issue Escalation Process*. Part of the *Issue Resolution Process* will be to determine how to move forward with the artifact and the effects on the project schedule.

8.6.1   REJECTION OF AN ARTIFACT

Prior to formal artifact review by the Review Team, the AHCA FX Contract Manager will perform a pass/fail receipt criteria review of all artifacts submitted to the Agency for review and acceptance. All FX Project deliverables must be reviewed by the AHCA FX Contract Manager to ensure the artifact meets the requirements of the Agency and to confirm that the acceptance

criteria, as outlined in the associated DED, has been met. If the AHCA FX Contract Manager determines the artifact does not meet minimum expectations, the artifact will be rejected and then must be remediated and resubmitted by the FX PM, as noted above in Section 8.2 *Artifact Review Standard*.

Note: When an initial draft artifact (version 001) has been remediated after rejection by the AHCA FX Contract Manager—prior to review by the Review Team—the resubmitted artifact version will be incremented (version 002) based on Section 3 *Artifact Standards* above, noted on the *Version History* table, and resubmitted to the AHCA FX Contract Manager as a *clean* version (i.e., no track changes or comments). Only subsequent versions of the artifact submitted after the Review Team has reviewed will contain track changes and comments.

If the Review Team and the Review Team Lead recommend the rejection of an artifact, the Review Team Lead will provide the Agency and Vendor Contract Managers, FX PM, and FX EPgMO with notification via email, along with documentation (feedback) of the reasons for the rejection. If warranted, the FX PM, along with the FX Artifact Developer, will schedule a debrief session with the Agency, Review Team, and other key reviewer(s) to discuss the reason(s) for rejection.

When rejection of an artifact occurs, the project schedule will need to be updated to reflect progress of the artifact. The FX Artifact Developer will update the artifact, with guidance from the FX PM, using track changes or via an associated comment tracker. Once updated, the artifact will undergo the full *Submission* and *Review* processes again.

8.7   ARTIFACT RESUBMISSION STANDARD

The FX Artifact Developer, with guidance from the FX PM, will be responsible for responding to the feedback provided from the Review Team, including making changes to the artifact, as necessary. If the FX Artifact Developer makes changes to the artifact in response to comments and feedback, such changes must be identified in the resubmitted version as follows:

- For MS Word artifacts, the FX Artifact Developer will activate the MS track changes capability to capture and highlight all changes (additions and deletions) made to the artifact's text

- For artifacts other than MS Word, the FX Artifact Developer must respond via comments addressing the changes made to the artifact using the associated comment tracker

- The FX Artifact Developer must also prepare responses to each of the feedback items provided to them (i.e., address and respond to each comment made by the Review Team)

- Depending on the nature and severity of the feedback received on the artifact, one or more levels of internal review may be required prior to an artifact's resubmission

Note: Resubmitted artifacts shall follow the *Submission Process* as noted in Section 7 *Artifact Submission Standards* and Section 8.4 *Artifact Final Review Standard* above.

Once an artifact is ready to be resubmitted, after internal and QC reviews have been completed, it may be necessary for the FX PM to meet with the Review Team Lead prior to resubmitting the artifact. The objective of this meeting would be to reach agreement on whether the artifact has been updated accordingly and addresses all Review Team feedback and ready for resubmission. At this meeting, the FX PM will review the responses to each feedback point, and the related changes made to the artifact. In the event the FX PM and the Review Team Lead are unable to reach agreement on remediation regarding any comments or changes requested, the issues should be escalated according to the FX Project's PMP and Section 8.6 *Issue Escalation/Resolution Standard* above. **Note:** This resubmission review meeting may also take place to include the Review Team after the artifact has been resubmitted for final review and acceptance.

The purpose of the final review, conducted by the Review Team after an artifact has been resubmitted having addressed Review Team feedback, is to validate that all Review Team comments have been adequately addressed and that the artifact was remediated accordingly. (Refer to Section 8.4 *Artifact Final Review Standard* above.)

SECTION 9   ARTIFACT APPROVAL STANDARDS

9.1   ARTIFACT APPROVAL STANDARDS OVERVIEW

The *Artifact Approval Standards* section outlines the steps taken to officially approve an artifact and authorize a deliverable for payment. Once the *Artifact Review Process* is complete, and Review Team is satisfied that the FX Project artifact has met all contractual obligations, the Review Team Lead will provide the Review Team's acceptance/rejection recommendation to the AHCA FX Contract Manager. If Review Team's recommendation is *rejection*, refer to Section 7.5 *Artifact Rejection Standard*.

The AHCA FX Contract Manager finishes the *Approval Process* by notifying the FX PM, FX EPgMO, and the Agency and Vendor Contract Managers of the artifact approval. The AHCA FX Contract Manager will prepare for invoice payment for deliverables.

9.2   ARTIFACT APPROVAL CRITERIA STANDARD

An artifact can only be approved when:

- The artifact meets the Agency's requirement for accuracy –
  - › meaning the deliverable conforms to the Agency-approved DED, as applicable
  - › the deliverable functions as expected and is fit for use

9.2.1   ARTIFACT APPROVAL WITH SUBDIVIDED ARTIFACTS

There are situations in which the Agency may agree to subdivide artifacts for review or other purposes. When this occurs for artifacts that trigger payment upon acceptance, an inventory of the components that comprise the artifact will be agreed upon by the Review Team Lead and the Agency and Vendor Contract Managers. This will serve as a record of the components that must be accepted to trigger payment.

SECTION 10   MANAGEMENT OF APPROVED ARTIFACTS STANDARDS

10.1 MANAGEMENT OF APPROVED ARTIFACTS STANDARDS OVERVIEW

For deliverables and artifacts approved by the AHCA FX Contract Manager, the artifact will be prepared to be finalized (according to the steps outlined in the *Artifact Change Control* process definition) and located in the FXPR. All tracked changes are to be accepted and the track changes capability turned off, comments removed, AutoSave capability turned off, correct versioning and naming convention applied as specified in the Standards, and a PDF version of the final artifact created. The final version of an artifact is stored in the *Final folder* in the FXPR and for SEAS Vendor deliverables and process definitions the PDF version is moved to the FX-HUB (refer to Section 10.2.1.1 *Deliverable Folder Structure in the FXPR* below). **Note**: Work products are stored in their associated execution folder; vendor deliverables are saved in their vendor site's *Final* folder; FX Project deliverables are stored in the project's associated Project Artifact Directory (PAD); and the SEAS Vendor stores final FX templates with the template file extension in the FX-HUB with the final editable version stored in the SEAS Vendor site Templates *Final* folder.

10.1.1 BROADCAST AND POST APPROVED FX PROGRAM ARTIFACTS IN THE FX-HUB

FX Program Only: Once FX Program deliverables and artifacts have been approved and finalized, the FX EPgMO QA Coordinator shall post artifact(s) in the FX-HUB and send a broadcast email to the SEAS Vendor, FXPA Team (to include AHCA FX Project Contract Managers and AHCA SharePoint Administrators), IV&V Vendor, and other Agency stakeholders as appropriate. Broadcast email shall contain a link to the approved artifact(s) and include a brief description of the update(s) made.

10.1.2 POST FX PROGRAM ARTIFACTS IN THE VENDOR RESOURCE LIBRARY

Once an artifact has been posted in the FX-HUB and the broadcast email has been sent by the FX EPgMO QA Coordinator, that is the trigger for the FX Program OCM Team to send a request to the AHCA Medicaid Web Content Developer to push the artifact live to the Vendor Resource Library in the Agency's external FX website, as deemed applicable by the Agency. Not all standards, plans, templates, etc. are posted—only those that apply. The AHCA Medicaid Web Update Team posts the artifact in the FX Vendor Resource Library and the AHCA Medicaid Web Content Developer notifies the FX Program OCM Team when the artifact has posted. The Agency's Vendor Resource Library is located in the Agency's external FX website at: ahca.myflorida.com > Florida Health Care Connections > Resources > Vendor Resource Library (https://ahca.myflorida.com/medicaid/FX/fx_rcs_lib.shtml),

10.2 UPDATES TO APPROVED ARTIFACTS STANDARD

At least annually, or at the direction of the Agency, the SEAS Vendor reviews FX Project Standards and plans for updates, according to the project schedule or at the direction of the Agency, to identify where an artifact update(s) is necessary. Proposed revisions to approved

artifacts shall be authorized as directed by the Agency. DETs are created to inventory and track proposed artifact updates (see Section 10.3 *Deliverable Evolution Topics (DET) Standard* for more information on DETs).

To start an update from a previously approved artifact, always start with the most recent version of the artifact located in the *Final* folder in the FXPR for the associated artifact and add a copy of this version to the *Working* folder, versioned according to the Standards, and start making your updates. Once the updated artifact is ready to be submitted to the Agency for their review and acceptance, move the version from the *Working* folder to the *Review* folder using the *Move To* capability, in accordance with the artifact folder structure noted in Section 10.2.1.1 *Deliverable Folder Structure in the FXPR* below.

10.2.1 TRACKING CHANGES AND/OR UPDATES TO APPROVED ARTIFACTS

For those artifacts that have scheduled updates as part of their standard life cycle, as well as for those artifacts that may require changes based on upstream or downstream modifications to other integrated artifacts in the schedule, it is necessary to track those changes as they occur. When to update an accepted and baselined artifact should be agreed upon prior to artifact development. For deliverables, updates would be made in accordance with the DED, or as noted in the contract or task order. Prior to updating a final artifact, deliverables shall follow the established DET process and for other artifacts not a deliverable, a decision will need to be logged in the *Decision Log* awaiting approval. For information regarding how to properly open and edit an artifact in the FXPR, refer to Section 3.5 *Editing an Artifact in the FXPR Standard* above.

Approved and baselined artifacts are posted and stored in the FXPR in the artifact's associated *Final* folder (and PDF version of final artifact posted in the FX-HUB). Subsequent updates and changes to approved and baselined project artifacts will be tracked and updated based on the Standards set forth in this document. Additionally, the *Revision History* table in the artifact will be updated to reflect the applied changes and a new version of the artifact will be sent to the Agency for review and acceptance in accordance with the Standards.

Note: It is imperative that when updating a formerly approved artifact that the MS track changes functionality be turned <u>on</u> to capture updates and comments made for all in-line edits. Once all updates have been made, this *track changes* version is not considered a *clean* version but will be the version submitted to the Agency for review and acceptance allowing the reviewer(s) to see what has been changed in the artifact. Once an artifact has been approved, finalize the artifact in accordance with the Standards (refer to Section 10.1 *Management of Approved Artifacts Standards Overview* above).

10.2.1.1 DELIVERABLE FOLDER STRUCTURE IN THE FXPR

Every deliverable has its own folder in the FXPR, and each contains the following folders: DED, Draft, Final, and Working. Each Draft, Final, and Working folder should contain an *Archive* folder. Below is the new file folder structure and description for each deliverable folder in the FXPR.

- **DED** – this folder contains the approved DED for the associated deliverable.

- **Review** – this folder contains an updated artifact awaiting Agency review and there should only be one version in the *Review* folder at all times; when moving a deliverable from the *Working* folder to the *Review* folder and a prior version already exists in the *Review* folder, the prior version must be moved to the associated *Archive* folder (if no *Archive* folder exists then create one to house the archived version). (**Note:** this folder was formerly the *Draft* folder.)

- **Final** – this folder contains the final Agency approved version of an artifact. **Note:** there should only be one version in the *Final* folder at all times; if a prior version exists, then move the prior version to the associated *Archive* folder. For SEAS Vendor deliverables, a PDF of the finalized artifact will be moved to the FX-HUB.

- **Working** – this folder contains an artifact currently being updated or developed. When an approved artifact is ready to be updated, use the *Copy To* capability or download a copy of the most recent version from the *Final* folder to your desktop and update the version number according to the Standards; then upload this version to the *Working* folder and start making your updates. When updates are complete and ready to send to the Agency for review and acceptance, *move* the updated version to the *Review* folder using the *Move To* capability. **Note:** once an artifact has been *moved* to a destination folder (e.g., *Review* folder), it no longer exists in the origination folder (e.g., *Working* folder).

  › **Archive** – this folder is a subfolder within each *Review*, *Final*, and *Working* folders and contains prior version(s) of an artifact.

Note: FX projects deliverables shall be stored in their associated PAD in the FXPR.

10.3 DELIVERABLE EVOLUTION TOPICS (DET) STANDARD

10.3.1 DET OVERVIEW

A Deliverable Evolution Topic (DET) is a proposed update to an approved FX Project or FX Program artifact to be considered for the next update of that artifact. Approved FX deliverables are not immediately updated as a change becomes known, but rather updated annually, according to the project schedule, or as requested by the Agency, and generally not event driven. The DET process is only applicable to the SEAS Vendor and the DET repository contains a deliverable list specific to their contract and is maintained in the FXPR. The DET repository for SEAS Vendor deliverables is located in the FXPR as follows: SEAS Organization > Quick Links > Deliverable Evolution Topics. The purpose of the repository of DETs is to inventory and track status of all DETs for consideration per artifact.

For more information regarding DETs and the *DET Process*, refer to the *Deliverable Evolution Topics (DETs)* process definition located in the FXPR at FX-HUB > Process Definitions > Process Category: Deliverable Management > FX-ProcDef-Deliverable-Evolution-Topics-[*current version*].