Enterprise Objective Monitoring and Control Services

Puerto Rico Medicaid Program

Documentation Management Plan Aid

V1.0

GOVERNMENT OF PUERTO RICO
Department of Health
Medicaid Program

Submitted by:

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Revision History

The Puerto Rico Medicaid Program's (PRMP's) Program Management Office (PgMO) will store the approved Documentation Management Plan Aid and any approved revisions on the PRMP PgMO SharePoint site or in an alternative location specified by PRMP. PRMP and PRMP's PgMO will make the plan available to project stakeholders as needed.

Table 1 presents the revision history for this document. When changes occur, PRMP PgMO will increment the version number and the date. PRMP PgMO will also record the name of the person making the change and a description of the change in the revision history.

Table 1: Revision History

Date	Document Version	Description	Author(s)
06/22/2022	1.0	Initial delivery	BerryDunn PgMO Team

1.0 Introduction

PRMP is committed to successful operations for the residents of Puerto Rico, by influencing others and developing a sense of commitment in all persons contributing to or involved in PRMP's projects and operations.

PRMP has established a PgMO to provide guidance, support, and oversight for Vendors' projects within the Medicaid Enterprise. As part of this initiative, The PRMP PgMO has created plan aids to assist in effectively and efficiently executing projects. Project management involves applying best practice processes, tools, and techniques.

These aids provide guidance for more predictable and consistent plans, processes, and practices, which will result in meeting the goals and objectives of stakeholders and the projects in general.

If the Vendor finds that there is no plan aid for the services they need to perform, PRMP expects the Vendor to develop and submit a plan for approval before performing the tasks. Vendors should contact PRMP's PgMO with any questions they may have or guidance they may need when creating their plans to help ensure expectations are met.

The Introduction section of this document provides information on the Documentation Management Plan Aid's purpose and objectives, scope, standards, assumptions, dependencies, and constraints. To help ensure an understanding of what documentation management is, Table 2 provides a definition for documentation based on *A Guide to the Project Management Body of Knowledge* (*PMBOK® Guide*).[1]

Table 2: Documentation Management Definitions

Term	Definition
Documentation	Documentation is the material that provides official information or evidence or that serves as a record; the process of classifying and annotating text

1.1 Purpose and Objectives

The Project Management Institute® (PMI®), in its *PMBOK® Guide*, defines Documentation Management as the management of deliverable documentation required by stakeholders to work with, operate, and sustain the solution. This may include system overview documentation, user guides/help, training manuals, and operations guidelines, etc.

Each Vendor is expected to provide to their partnering PRMP project team and PRMP's PgMO a Documentation Management Plan for review and approval before the execution of the project.

Document-related activities should be broken into smaller, more discrete activities when developing the plan. These discrete activities are referred to as document implementation phases. The logical sequence of these phases is preparation, review, update, approval, and refresh.

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[1] Unless otherwise noted, all references to the *PMBOK Guide®* are for the sixth edition.

The purpose of the PRMP Documentation Management Plan is to:

- Guide Vendors in the documentation delivery expectations of the PRMP PgMO
- Provide safe storage and backup of project's documents in a project library
- Provide easy access to the PRMP Medicaid Enterprise Systems (MES) Program Director and PgMO Director and Program Leads to the project library
- Provide clarity regarding which version of a deliverable is the latest version
- Provide a clear record of approved deliverables over the life of the project
- Provide measures to maintain restricted access to confidential documents
- Provide an accurate and complete archive of project documents at the end of the project

1.2 Scope

Project scope in the Documentation Management Plan can be defined as a part of project planning that includes figuring out and documenting a detailed list of deliverables or features that are to be involved in the execution of the project. In other words, project scope is defining the goals of the project and what needs to be done to achieve them.[2]

1.2.1 In Scope

Vendors should identify all documentation that would be included, related to documentation management, and considered as part of the scope.

Any scope inclusions must be in alignment with the Request for Offers (RFO), Vendor's proposal, and the final signed contract.

Vendors can use their own Documentation Management Plan processes, but they should ensure that their processes adhere to the guidelines provided in this document.

1.2.2 Out of Scope

Vendors should identify work that is over and beyond the current scope of the Documentation phase. Any scope exclusions must be in alignment with the RFO, Vendor's proposal, and the final signed contract.

1.3 Approach

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[2] Sandeep Kashyap, Project Scope Management – Definition, Importance, Processes & Tips, https://www.proofhub.com/articles/project-scope-management

The Documentation Management Plan takes into consideration the assumptions, dependencies, and constraints as described in this section

1.3.1 Assumptions

Per the *PMBOK® Guide*, an assumption is a factor expected to be in place or to be in evidence. The assumption made related to the development of a Documentation Management Plan is:

- Vendors shall coordinate their processes with their partnering PRMP project leads and provide transparency to the PRMP PgMO.

1.3.2 Constraints

Per the *PMBOK Guide®*, a constraint is the state, quality, or sense of being restricted to a given course of action or inaction. It can be defined as, an applicable restriction or limitation, either internal or external to the project, that will affect the performance of the project or a process. No constraints are identified for this Documentation Management Plan Aid.

1.3.3 Dependencies

Per the *PMBOK Guide®*, a dependency is a logical relationship between two activities, or between an activity and a milestone. For example, an activity that cannot begin until another activity has been finished has a dependency. Dependencies identified for this Documentation Management Plan Aid should be completed and approved before this Documentation Management Plan is approved.

- Once the Deliverable Management Plan is approved with a consistent framework and deliverable management processes are in place, the Documentation Management Plan can be established

1.3.4 Standards and References

PRMP's PgMO and Vendors are expected to use the appropriate standards and references for MES projects. The PRMP MES Program Director and PRMP's PgMO will review and approve the methodologies and best practices. PRMP's PgMO may request the Vendor incorporate additional standards and references if appropriate for the content of a project management plan (PMP). Vendors are expected to monitor applicable standards and industry best practices. Vendors should plan to work with the PRMP PgMO to determine if updates are required to their PMP—when a new applicable standard (or version of a standard) is released.

- *PMBOK® Guide*, Sixth Edition, PMI®

2.0 Roles and Responsibilities

This section describes the primary roles and responsibilities of stakeholder groups as they relate to documentation management, including project staff, sponsors, and stakeholders. Table 3 illustrates which stakeholders are responsible (R), accountable (A), consulted (C), and informed (I), defined as:

- **Responsible:** This stakeholder does the work to complete the task area. This stakeholder might also serve as an accountable stakeholder for some task areas.
- **Accountable:** This stakeholder delegates work and is the last one to review the task area before it is deemed complete. According to best practice, one stakeholder (or the lowest number possible) should be deemed accountable.
- **Consulted:** This stakeholder provides input based on how the task area will impact the future work of the project and the stakeholder's expertise.
- **Informed:** This stakeholder should be aware of the progress associated with the task area.

Table 3 provides insight into how PRMP Leadership and its PgMO will interact with documentation management processes and responsibilities. The Vendor should propose its own stakeholder groups and RACI matrix according to its team's organizational structure. Table 3 provides Vendors with the RACI matrix for PRMP and/or PgMO responsibilities. This matrix can be edited from this baseline if deviations are discussed with PRMP PgMO and the PRMP Project Leads to determine what is appropriate for the project.

Table 3: RACI Matrix for Documentation Management

Task Area	PRMP Leadership	PRMP Program Director	PRMP PgMO	PRMP Project Lead	Vendor Project Manager
ID Document's Need	I	I	I	A	R
Work w/ Draft	I	I	I	A	R
Revisions	I	I	I	A	R
Approval	R	I	I	A	C
Use	I	I	I	A	R
Archival	I	I	C	A	R

2.1 PRMP Leadership

PRMP is the Medicaid agency responsible for administering the Medicaid Program in Puerto Rico, including the Children's Health Insurance Program. and a waiver-based section 1915(a) program. PRMP is an agency within the Puerto Rico Department of Health (PRDoH). While leadership roles might vary between projects, in general, the PRMP leadership stakeholder group refers to the PRDoH Secretary, PRMP Executive Director, and the PRMP Executive Steering Committee.

2.2 PRMP MES Program Director

An important aspect of the PRMP Program Director's role is to assess the documentation management processes and to provide guidance on documentation management and needs.

2.3 PRMP Program Leads

PRMP appoints a Program Lead to oversee each of the Puerto Rico Medicaid Enterprise Systems projects under PRMP programs utilizing the defined PRMP's PgMO processes. The Program Lead collaborates with the Vendor's project manager to help ensure the project execution and implementation is in accordance with the approved schedule and processes defined by PRMP's PgMO.

2.4 PRMP PgMO

PRMP's PgMO provides program management guidance and collaborative oversight for its IT initiatives. As part of this responsibility, PRMP has developed this Documentation Management Plan Aid as a guide for project-specific Documentation Management Plans.

Each Vendor shall create a Documentation Management Plan to manage its project's documents and shall collaborate with PRMP's PgMO to gain approval of the process. PRMP's PgMO is responsible for helping to identify and document program-level documentation needs and communicating with the project team; however, the PRMP Project Lead and Vendor(s) have primary responsibility for identifying project-level documentation management needs.

2.5 Vendor Roles

Vendors implementing one or more IT projects or supporting other PRMP activities are responsible for developing a project-specific Document Management Plan, obtaining The PRMP MES Program Director and PRMP's PgMO approval of the plan, and managing documents in accordance with that plan. The Vendor Project Manager is responsible for reporting any issues to the PgMO Program Lead.

PRMP anticipates that Vendors will maintain adequate documentation standards, which includes a documentation library status report. The Vendor Project Manager will consult with the PRMP Project Lead when identifying, and determining documentation needs, as well as raising documentation issues with PRMP's PgMO Leads as needed.

3.0 Documentation Management Plan

The Documentation Management Plan Aid is a living document intended to provide PRMP Vendors with guidance on PRMP's expectations regarding management of the project documentation. Vendors should be prepared to develop and submit a Documentation Management Plan to the PRMP PgMO for review and approval. Vendors will need to reference this document when creating their Documentation Management Plans to help ensure the PRMP's PgMO expectations are met and a common understanding between the PgMO the Vendor exists. PRMP's PgMO will update this Documentation Management Plan Aid when new applicable standards (or versions of a standard) are released or when there are changes to PRMP PgMO policies that affect documentation management.

Generally defined as the practices and procedures used to create, distribute, and store various types of project documentation, the Documentation Management Plan will describe how project documentation will be managed and should include, but not be limited to:

- Project types, including but not limited to (in both paper and electronic media):
  - Deliverables
  - Acceptance criteria
  - Meeting materials
  - Artifacts
  - Operations manuals
  - Training materials
  - User guides

Document management is designed to meet the following goals and objectives:

- To provide a mechanism for document production and control without adding substantial process overhead
- To provide standardized formats and templates for document production
- To promote collaboration and consensus through a structured process for document review and approval
- To facilitate document retrieval and accessibility
- To minimize documentation errors through version control and secured access
- To help ensure that all documents are current, and that distribution is timely

3.1 Document Development

The purpose of this Documentation Management Plan Guide Aid is to help ensure that all Vendor deliverables are clear, consistent, and compliant with PRMP's PgMO standards and processes.

3.2 Document Templates

By using standardized document templates, the task of documenting project activities will be simplified by reducing the time formatting new documents, which creates additional time for the author to focus on content quality and helps to ensure all documents are standardized across all projects managed within the PRMP PgMO.

3.3 Document Reviews (Life Cycle)

As documents may pass through a number of revisions before their final version, and also through a number of tools, such as word processing software, file sharing and storage solutions, e-signature apps, and more, all documents go through the following stages: Requirements Analysis, Designing Phase / Content Development, Editing/Proofreading, Publishing, Maintenance Archival or Destruction.

Each stage has distinct characteristics to ensure that documents correspond to the PRMP's standards.

Vendors must initially submit and then update deliverables as required within their contract or as is necessary, and/or at the request of PRMP.

Each document must follow a well-established life cycle, with the following defined steps for document development and revision before publication:

- Requirements Analysis – Collect specific information regarding the product, subject matter experts, and clients. A Requirements Document must be produced and reviewed/accepted by PRMP, before entering the phase of designing/content development.
- Designing / Content Development – Design the document or content by using proper template with the layout, format, and style plus the Requirements Document already defined.
- Editing/Proofreading – Validate the document, as per PRMP's PgMO requirements. Reviewers verify technical portions of text, figures, general content, grammar, punctuation, and document format.
- Publishing – Release and print the document.
- Maintenance – An update in the process triggers an update in the document, which passes through the life cycle of documentation until the document is re-published.

Project documents, previously defined as deliverables, will be managed by a Deliverable Expectations Document (DED), approved by PRMP, where expectations for the delivery, and acceptance criteria will be defined, detailing the requirements that PRMP expects the documents to meet.

3.4 Approved Document Storage

For documentation to flow smoothly and efficiently, a well-designed filing system and secure, categorized storage for documents is required. The storage portion of the digital document life cycle involves using multiple levels of electronic storage which is designed to easily retrieve documents and allows long-term storage (archiving) for those that are less frequently used.

Version control is important when creating documents to track any changes and identifies when any key decisions were made. This is especially critical when managing documents that undergo substantial revisions and redrafting, such as annual reviews, or when multiple users are required to manage information contained within a single document.

3.5 Document Naming Conventions

Users should use standardized naming conventions to ease document lookups and retrieval. Simple naming conventions help maintain consistency in naming standards.

The PRMP PgMO SharePoint limits the length of the file path to 255 characters. The file path includes the entire location, not starting at the PRMP PgMO location

If you have a filename that incorporates a date, enter the date in YearMonthDay format (20200304 versus 03042020). If the file contains a recurring document such as meeting minutes, status reports, etc., by entering the date in the YearMonthDay format, your files will automatically be sorted. See Table 4 as an example.

Table 4 - File Name Format

YearMonthDay format	Monthly_Status_20200105 Monthly_Status_20201008 Monthly_Status_20190415 Monthly_Status_20200810 Monthly_Status_20190104	SORTS TO	Monthly_Status_20190104 Monthly_Status_20190415 Monthly_Status_20200105 Monthly_Status_20200810 Monthly_Status_20201008
MonthDayYear format	Monthly_Status_01052020 Monthly_Status_10082020 Monthly_Status_04152019 Monthly_Status_08102020 Monthly_Status_01042019	SORTS TO	Monthly_Status_01042019 Monthly_Status_01052020 Monthly_Status_04152019 Monthly_Status_08102020 Monthly_Status_10082020

3.6 Document Recovery and Backup

For document recovery and backup, Vendors should use their own procedures ensuring that the minimum standards below are met.

The purpose of a backup and restore plan is to allow recovery after a mishap. The first stage of the recovery process must be the analysis of what needs to be restored. Once the extent of what needs to be restored has been determined, recovery can begin by loading the last full weekly backup followed by the last incremental backup. For important and time-critical data, a mirror system, or at least a mirror disk, may be suggested for a quick recovery. Any vendor contact working with the main vendor is also subject to the same recovery and backup requirements to ensure a complete restore of needed data.

Backups should conform to the following best practice procedures:

- All files must be adequately and systematically backed up, including updates
- Records of what is backed up and where it is backed up must be maintained
- The backup media must be precisely labelled, and accurate records must be maintained of completed backups
- Copies of the backup media, together with the backup record, should be stored safely in a remote location for their retention period
- Regular tests of restoring data/software from the backup copies should be undertaken, to help ensure that they can be relied upon for use in an emergency

3.7 Document Security

Document security includes maintaining all essential documents stored, filed, backed up, processed, and delivered with the necessary safeguards to reduce the probability of unauthorized access. It is integral as documents often include confidential information that can leave companies open to potential threats. Sensitive data such as protected health information—which the Health Insurance Portability and Accountability Act (HIPAA) strictly regulates—is the most targeted, valued, and frequently stolen by hackers.

Document security can utilize access restriction to help ensure only qualified business personnel have access to certain documents, reducing the risk of leaked information, which in return reduces the risk of lawsuits and fines.

To comply with this, Vendors should provide their plans/actions/reports to provide security to all documentation related to the project (both hardcopies and electronic copies), including vendors they use.

As part of those plans, what constitutes sensitive Information should be defined, along with the required procedures to protect it. Documentation and working papers should always be stored within PRMP's SharePoint designated folders, instead, for example, on working computers or phones.

The approved data sharing method for sensitive data is to use encrypted email.

Appendix A: Acronyms and Abbreviations List

Table 4 presents acronyms and abbreviations used in this document.

Table 5: Common Acronyms and Abbreviations

Acronym	Definition
MES	Medicaid Enterprise Systems
KL	KnowledgeLink
PMP	Project Management Plan
PgMO	Program Management Office
PMBOK® Guide	*A Guide to the Project Management Body of Knowledge*
PMI®	Project Management Institute®
PRDoH	Puerto Rico Department of Health
PRMP	Puerto Rico Medicaid Program
RFO	Request for Offers