Artifact Approval Process Via Email

The following directions are according to one of two roles: IT Project Manager or HUD Approver.[1]

IT Project Manager

1. The IT Project Manager (IT PM) is responsible for ensuring all required approvals are received for each artifact before the artifacts are submitted for review by the Technical Review Sub-Committee (TRC). The Artifact Signature Matrix lists the signatures required, by artifact, for submittal.

2. Once each artifact is ready for final approval, reference the Artifact Signature Matrix and identify the necessary "Approvers" whose approval is required. Note that the artifact should be in its "final" version with all comments addressed. The signoff process should not have to be halted and re-started due to additional changes to the artifact recommended by an Approver. (As much as possible, all edits should be addressed before this approval process is initiated).

3. Start the approval process by sending an email with the artifact attached. All members of the approval team should be cc'd on all emails throughout the process. The final Approver should send the email back to you at the conclusion of the approval process. The following details must be included in your initial email:
    - **Order of approval**: State the order of review by Approver name and IPT role. The IPT role is what is listed on the Artifact Signature Matrix (which can be found on the PPM V2.0 webpage under PPM V2.0 Governance). Approvals will be collected in a serial manner, not a parallel manner.
        1. Approver A
        2. Approver B
    - **Approving the artifact:** In your initial email note to Approvers, note that once an Approver receives an artifact via email, he/she must "**Reply All**" to the email chain with the following language in the body of the email:
      "I have reviewed the attached artifact titled **<insert file name>** and approve the content within. This artifact is considered final from the standpoint of my role on the IPT and is ready for TRC review at the next control gate review." The next Approver on the list created by the IT PM will then follow this same process until all approvals are received. The last Approver sends the email chain with attachment back to the IT PM.
    - **Approval timing:** Please note in your initial email to Approvers that each Approver has **three business days** from the time of receipt to approve and forward on the artifact in the approval chain. If no response is received, you as the IT PM are expected to first follow up with a phone call to the Approver. If no response is received via phone, you are responsible for forwarding on the original approval email with a follow up email stating that if no confirmation is received within **three business days** of the follow up email, the document is deemed approved. *If an Approver is out of the office throughout the process, it is his or her responsibility to designate someone to approve PPM artifacts in his or her stead.*

[1] *Each Approver should be checking email trails to make sure no Approver was taken off the list when responses come back and that the email chain integrity stays in place. Ultimate responsibility and accountability for this process lies with the IT Project Manager.*

- **If changes need to be made**: In your initial email note that Approvers should contact you to determine how to incorporate changes into an artifact if the Approver determines a change is needed. At that point, the approval process is halted if a change needs to be made. If a change is made to the artifact, a new approval process is started. You have ultimate authority on artifact changes during the approval process.

4. The IT Project Manager should "print as PDF" the entire email approval chain. Email text and attachments should be viewable in PDF. The title name of the file should be clear in the PDF so that from an audit standpoint, the approval text can be matched to the file name.

5. The IT Project Manager should upload a PDF of the email approval chain, a PDF of the artifact, and the MS Word version of the artifact to the TRC SharePoint site, found at: TRC SharePoint.

HUD Approvers

1. The IT Project Manager (IT PM) is responsible for ensuring all required approvals are received for each artifact before the artifacts are submitted for review by the Technical Review Sub-Committee (TRC). The Artifact Signature Matrix lists the signatures required, by artifact, for submittal.

2. Once each artifact is ready for final approval, the IT PM will reference the Artifact Signature Matrix to determine necessary Approvers and send out the artifact in its "final" version, with all comments addressed, as an attachment to an introductory email. The goal is for the signoff process not to be halted and re-started due to additional changes to the artifact recommended by an Approver (this should have been done before "final" approval is initiated).

3. Note all directions in that initial email, specifically: order of approval, how changes to the artifact are to be dealt with, approving the artifact, and approval timing.

4. Review the email chain when you receive it from the previous Approver, to ensure all previous Approver language is included in the chain.

5. If all previous Approver language is not included in the email chain, send it to the IT PM notifying him or her of this absence.

6. If approval language is present, open the artifact when you receive it from the previous Approver. "Reply all" to the email chain with the following language in the body of the email to approve: *"I have reviewed the attached artifact titled <insert file name> and approve the content within. This artifact is considered final from the standpoint of my role on the IPT and is ready for TRC review at the next control gate review."* The next Approver on the list created by the IT PM will then follow this same process until all approvals are received. **If you are the last Approver on the signature process, you must send the artifact back to the IT Project Manager.**

7. Your Approval is complete once the artifact has been received by the IT Project Manager.