

EAS HiCAMS Non-PMO Project (Waterfall) Methodology

4/1/2021

| DIT-T Unit: HiCAMS | | | Methodology Owner/Contact: Paul Robinson | | | | Date Methodology Initially Added: 03/02/2021 | | |
|-----------------------------|----|---------------------------------------|---|-----------------|---------------|-------------------------------|---|------------------|------------------------------------|
| Methodology Name: Waterfall | | | Quality Management Plan Used: DIT-T Enterprise Quality Mgmt Plan | | | | Date Last Updated: 03/02/2021 | | |
| Methodology Type: Waterfall | | | Deliverables Repository: | | | | Comments: | | |
| | | | Operational | | | | Mapping Red Text = Differences from E-SDLC | | |
| Phase | ID | Key Deliverable | Minimum Requirement | Req'd for Audit | Audit Control | Non-PMO Project (Medium Risk) | Req'd | Phase | Key Deliverable |
| Business Concept | 1 | Work Request | | Y | ITGC03 | Y | Y | Business Concept | Sqa |
| Business Concept | 2 | Alternatives Analysis | If required | | ITGC03 | | | | |
| Business Concept | 3 | Preliminary Business Case | Min: Scope of Work, Resource Plan, Cost Plan, Start/End Dates | | ITGC03 | | | | |
| Business Concept | 4 | Business Concept Exit Quality Review | | | | | | | |
| Initiation | 5 | Scope of Work | Min: Work Definition, Resources, Estimated Cost, Start/End Dates | Y | ITGC03 | Y | Y | Initiation | Sqa |
| Initiation | 6 | Scope of Work Approval | DOT Business & DIT-T approval required | Y | ITGC03 | Y | Y | Initiation | Sqa Assignment |
| Initiation | 7 | Business Case | | | ITGC03 | | | | |
| Initiation | 8 | Benefits | | | ITGC03 | | | | |
| Initiation | 9 | Business Case Quality Review | | | | | | | |
| Initiation | 10 | EPMO Business Case DP Approval | DIT EPMO & OSBM approved required | | | | | | |
| Initiation | 11 | Cost Plan | | | ITGC03 | | | | |
| Initiation | 12 | Schedule | | | ITGC03 | Y | Y | | |
| Initiation | 13 | Change Management Plan | | | ITGC03 | | | | |
| Initiation | 14 | Procurement Plan | If procuring resources, products, services | | ITGC03 | | | | |
| Initiation | 15 | Communication Plan | | | ITGC03 | | | | |
| Initiation | 16 | Organization Chart | | | ITGC03 | | | | |
| Initiation | 17 | Quality Management Plan | | Y | ITGC03 | Y | Y | Initiation | Enterprise Quality Management Plan |
| Initiation | 18 | Risk Assessment/Mitigation Plan | | | ITGC03 | | | | |
| Initiation | 19 | Issues Log | | | ITGC03 | | | | |
| Initiation | 20 | Privacy Threshold Analysis (PTA) | Required if application not previously documented and/or if changing any privacy information. DIT-T Security & DIT | Y | ITGC01 | Y | Y | Initiation | N/A - Not applicable |
| Initiation | 21 | Initiation Exit Quality Review | | | ITGC04 | | | | |
| Planning & Design | 22 | Project Change Request Log | | | | | | | |
| Planning & Design | 23 | Project Change Request | DIT-T and Business Approval | | ITGC03 | | | | |
| Planning & Design | 24 | Project Change Request Quality Review | | | | | | | |
| Planning & Design | 25 | EPMO Change Request DP Approval | EPMO and/or OSBM approval (if required) | | | | | | |
| Planning & Design | 26 | SAP Cost Exception Report | | | | | | | |
| Planning & Design | 27 | Requirements Management Plan | | | ITGC03 | | | | |

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| Planning & Design | 28 | Requirements | Must be approved by Business and other stakeholders, including Architecture, Security, Infrastructure, etc. | Y | ITGC01 ITGC02 ITGC03 | Y | Y | Planning & Design | Business Rule Document |
| Planning & Design | 29 | Requirements Approval | Required on all sizes of work except on small operational work, this may be included in Work Definition. | Y | ITGC01 ITGC02 ITGC03 | Y | Y | Planning & Design | N/A - Not applicable |
| Planning & Design | 30 | Requirements Traceability Matrix | | | | | | | |
| Planning & Design | 32 | Architecture Design | | | ITGC01 ITGC02 | | | | |
| Planning & Design | 33 | Architecture DP Quality Review | If required by EPMO | | | | | | |
| Planning & Design | 34 | EPMO Architecture DP Approval | If required by EPMO DIT Architecture Approval required | | ITGC01 ITGC02 | | | | |
| Planning & Design | 35 | Security DP Quality Review | If required by EPMO | | | | | | |
| Planning & Design | 36 | EPMO Security DP Approval | If required by EPMO DIT Approval Required | | ITGC01 ITGC02 | | | | |
| Planning & Design | 37 | Architecture Exception Request | If required, complete DIT Approval Required | | | Y | Y | | |
| Planning & Design | 38 | NCID Exception Request | If required, complete DIT Approval Required | | ITGC01 | Y | Y | | |
| Planning & Design | 39 | Security Exception Request | If required, complete DIT Approval Required | | ITGC01 | Y | Y | | |
| Planning & Design | 40 | Design Document | | Y | ITGC03 | Y | Y | Planning & Design | N/A - Maintenance mode primarily |
| Planning & Design | 41 | Design Approval | Business and other stakeholders approvals | Y | ITGC03 | Y | Y | Planning & Design | N/A - Maintenance mode primarily |
| Planning & Design | 42 | Business Continuity Plan | If required | | ITGC03 | | | | |
| Planning & Design | 43 | Disaster Recovery Plan | If required | | ITGC03 | | | | |
| Planning & Design | 44 | Training Plan | If required | | ITGC03 | | | | |
| Planning & Design | 45 | Test Plan | | | | Y | Y | | |
| Planning & Design | 46 | Acceptance Process and Criteria | | | ITGC03 | Y | Y | | |
| Planning & Design | 47 | Acceptance Process and Criteria Approval | Must be approved by Business and other stakeholders | | ITGC03 | Y | Y | | |
| Planning & Design | 48 | Operational Level Agreement (OLA) | Required if there are changes to the current OLA. | | ITGC04 | Y | Y | | |
| Planning & Design | 49 | Operational Level Agreement (OLA) Approval | If required Must be approved by IT Stakeholders | | ITGC04 | Y | Y | | |
| Planning & Design | 50 | Business Approval to Exit P&D | | | ITGC03 | | | | |
| Planning & Design | 51 | P&D Exit Quality Review | | | ITGC04 | | | | |
| Planning & Design | | If RFP required, deliverables below: | | | | | | | If RFP required, deliverables below: |
| Planning & Design | 52 | RFP Request for Commodity/Service Form | | | ITGC04 | Y | Y | | |
| Planning & Design | 53 | RFP Disaster Recovery Assessment | | | ITGC04 | Y | Y | | |
| Planning & Design | 54 | RFP Sourcing Exception Request | If required for the RFP | | ITGC04 | Y | Y | | |
| Planning & Design | 55 | RFP Hosting Exception Request | If required for the RFP | | ITGC04 | Y | Y | | |

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| Planning & Design | 56 | RFP and Attachments | | | ITGC03 ITGC04 | Y | Y | | | |
| Planning & Design | 57 | RFP Proposal Evaluation Plan | | | ITGC03 ITGC04 | Y | Y | | | |
| Planning & Design | 58 | RFP Content Submission | | | | | | | | |
| Planning & Design | 59 | RFP Individual Evaluation Workbooks | | | ITGC03 ITGC04 | Y | Y | | | |
| Planning & Design | 60 | RFP Oral Presentation/Demonstration Guide | | | ITGC03 ITGC04 | Y | Y | | | |
| Planning & Design | 61 | RFP Consensus Evaluation Workbook | | | ITGC03 | Y | Y | | | |
| Planning & Design | 62 | RFP Evaluation Report with Award Recommendation | | | ITGC03 ITGC04 | Y | Y | | | |
| Planning & Design | 63 | RFP Evaluation Report Approvals | Business and other stakeholders approvals required. | | ITGC03 ITGC04 | Y | Y | | | |
| Planning & Design | 64 | RFP CIO Presentation | | | | Y | Y | | | |
| Planning & Design | 65 | RFP Evaluation Review Checklist | | | | | | | | |
| Planning & Design | 66 | EPMO RFP Review DP Approval | DPMO Approval Required | | | | | | | |
| Planning & Design | 67 | EPMO Contract Award Review DP Approval | DPMO Approval Required | | | | | | | |
| Planning & Design | | If Invitation for Bid (IFB) required, deliverables below: | | | | | | | If Invitation for Bid (IFB) required, deliverables below: | |
| Planning & Design | 68 | IFB Request for Commodity/Service Form | | | ITGC03 ITGC04 | Y | Y | | | |
| Planning & Design | 69 | IFB Disaster Recovery Assessment | If required for IFB | | ITGC03 ITGC04 | Y | Y | | | |
| Planning & Design | 70 | IFB Sourcing Exception Request | If required for IFB | | ITGC04 | Y | Y | | | |
| Planning & Design | 71 | IFB Hosting Exception Request | If required for IFB | | ITGC04 | Y | Y | | | |
| Planning & Design | 72 | IFB and Attachments | | | ITGC03 ITGC04 | Y | Y | | | |
| Planning & Design | 73 | IFB Statement of Work | May be required for Extensive Services | | ITGC03 ITGC04 | Y | Y | | | |
| Planning & Design | 74 | IFB Bid Review Checklist | | | | Y | Y | | | |
| Planning & Design | 75 | IFB Award Approval | Business and other stakeholders approvals required. | | ITGC04 | Y | Y | | | |
| Planning & Design | | IF Request for Quote (RFQ) required, deliverables below: | | | | | | | IF Request for Quote (RFQ) required, deliverables below: | |
| Planning & Design | 76 | RFQ Request for Commodity/Service Form | | | ITGC03 ITGC04 | Y | Y | | | |
| Planning & Design | 77 | RFQ Disaster Recovery Assessment | If required for RFQ | | ITGC03 ITGC04 | Y | Y | | | |
| Planning & Design | 78 | RFQ Sourcing Exception Request | If required for RFQ | | ITGC04 | Y | Y | | | |
| Planning & Design | 79 | RFQ Hosting Exception Request | If required for RFQ | | ITGC04 | Y | Y | | | |

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| Planning & Design | 80 | RFQ and Attachments | | | ITGC03 ITGC04 | Y | Y | | |
| Planning & Design | 81 | RFQ Market Research | | | ITGC03 ITGC04 | Y | Y | | |
| Planning & Design | 82 | RFQ Estimate or Unofficial Quote | | | ITGC04 | Y | Y | | |
| Planning & Design | 83 | RFQ Statement of Work | | | ITGC03 ITGC04 | Y | Y | | |
| Planning & Design | 84 | RFQ Quote Review Document | | | ITGC03 ITGC04 | Y | Y | | |
| Planning & Design | 85 | RFQ Award Approval | Business and other stakeholders approvals required. | | ITGC04 | Y | Y | | |
| Planning & Design | | If Contract Modifications through Amendment required, deliverables below: | | | | | | | If Contract Modifications through Amendment required, deliverables below: |
| Planning & Design | 86 | Amendment Request for Commodity/Service Form | | | ITGC03 ITGC04 | Y | Y | | |
| Planning & Design | 87 | Amendment Disaster Recovery Assessment | May be required if change in scope of work | | ITGC03 ITGC04 | Y | Y | | |
| Planning & Design | 88 | Amendment Sourcing Exception Request | If required for Amendment | | ITGC04 | Y | Y | | |
| Planning & Design | 89 | Amendment Hosting Exception Request | If required for Amendment | | ITGC04 | Y | Y | | |
| Planning & Design | 90 | Amendment and Attachments | | | ITGC03 ITGC04 | Y | Y | | |
| Planning & Design | 91 | Amendment Market Research | | | ITGC03 ITGC04 | Y | Y | | |
| Planning & Design | 92 | Amendment Estimate or Unofficial Quote | | | ITGC03 ITGC04 | Y | Y | | |
| Planning & Design | 93 | Amendment Statement of Work | May be required for additional work within scope of work in existing contract | | ITGC03 ITGC04 | Y | Y | | |
| Planning & Design | 94 | Amendment Approval | Business and other stakeholders approvals required. | | ITGC04 | Y | Y | | |
| Planning & Design | | IF Request for Information (RFI), deliverables below: | | | | | | | IF Request for Information (RFI), deliverables below: |
| Planning & Design | 95 | RFI | | | ITGC03 ITGC04 | Y | Y | | |
| Execute & Build | 31 | Application Architecture Design (AAD) | DIT-T Architecture Approval Required | Y | ITGC01 ITGC02 | Y | Y | Execute & Build | Application Architecture Design (AAD) |
| Execute & Build | 96 | Code Structural Quality Analysis (CAST) Report | If required | | | | | | |
| Execute & Build | 97 | Component Integration Test (CIT) Approved | | Y | ITGC02 | Y | Y | Execute & Build | Unit Testing |
| Execute & Build | 98 | System Integration Test (SIT) Approved | | Y | ITGC02 | Y | Y | Execute & Build | Regression Testing |
| Execute & Build | 99 | Performance Testing Approved | If required | | | Y | Y | | |
| Execute & Build | 100 | IT Testing Complete Approval | | Y | ITGC02 | Y | Y | Execute & Build | Test Plans and Results |

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| Execute & Build | 101 | User Acceptance Plan and Script | IT management involves users in the design of applications, selection of packaged software and testing thereof. | Y | ITGC03 | Y | Y | Execute & Build | UAT | |
| Execute & Build | 102 | Sponsor Approved UAT | | Y | ITGC03 | Y | Y | Execute & Build | UAT Feedback | |
| Execute & Build | 103 | Implementation Plan | | | | | | | | |
| Execute & Build | 104 | Go Live Readiness Assessment | | Y | ITGC03 | Y | Y | Execute & Build | UAT Feedback / Team Review | |
| Execute & Build | 105 | Go Live Approval | Business and other Stakeholders approval | Y | ITGC03 | Y | Y | Execute & Build | Manager Approval | |
| Execute & Build | 106 | Project Go Live Readiness DP Quality Review | If required | | | | | | | |
| Execute & Build | 107 | EPMO Go Live Readiness DP Approval | If required. EPMO approval | | | | | | | |
| Execute & Build | 108 | E&B Exit Quality Review | | | | | | | | |
| Implementation | 109 | Business Approval to Close the Project | | | ITGC03 | | | | | |
| Implementation | 110 | Implementation Exit Quality Review | | | | | | | | |
| Closeout | 111 | SAP Commitments Reconciled | | | | | | | | |
| Closeout | 112 | Lessons Learned Survey | | | | | | | | |
| Closeout | 113 | EPMO Lessons Learned | | | | | | | | |
| Closeout | 114 | EPMO Closeout Report | | | | | | | | |
| Closeout | 115 | Closeout Quality Review | | | | | | | | |