

**EAaTS Business Initiative Project (Waterfall) Methodology**

3/2/2021

<b>DIT-T Unit:</b> Enterprise Application & Testing Services			<b>Methodology Owner/Contact:</b> Carl Pickney				<b>Date Methodology Initially Added:</b> 03/02/2021		
<b>Methodology Name:</b> Business Initiative			<b>Quality Management Plan Used:</b> Enterprise				<b>Date Last Updated:</b> 03/02/2021		
<b>Methodology Type:</b> Waterfall			<b>Deliverable Repository:</b> Support Unit Share Drive, SharePoint site, and/or ServiceNow				<b>Comments:</b>		
						<b>Operational</b>		<b>Mapping</b> Red Text = Differences from E-SDLC	
						<b>Non-PMO Project (Medium Risk)</b>			
<b>Phase</b>	<b>ID</b>	<b>Key Deliverable</b>	<b>Minimum Requirement</b>	<b>Req'd for Audit</b>	<b>Audit Control</b>		<b>Req'd</b>	<b>Phase</b>	<b>Key Deliverable</b>
Business Concept	1	Work Request		Y	ITGC03	Y	Y	Business Concept	Work Request_[WR#_business application]
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	Preliminary Business Case or Business Project Request or Work Request_[business application]
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	Contained in Technical Solution Requirement Document/TSRD
Initiation	6	Scope of Work Approval	DOT Business & DIT-T approval required	Y	ITGC03	Y	Y	Initiation	Approval contained in Technical Solution Requirement Document/TSRD
Initiation	7	Business Case			ITGC03			Initiation	Business Case or Business Project Request or Work Request_[business application]
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	Cost Estimate Workbook_[business application]
Initiation	12	Schedule			ITGC03	Y	Y	Initiation	Schedule_[business application] in MS Project
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	Contained in Enterprise Quality Management Plan
Initiation	18	Risk Assessment/Mitigation Plan			ITGC03			Initiation	Risk Assessment/Mitigation Plan_[business application] Contained in Support Unit Share Drive or SharePoint site, and/or ServiceNow
Initiation	19	Issues Log			ITGC03			Initiation	Contained in Support Unit Share Drive or SharePoint site, and/or ServiceNow
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	Privacy Threshold Analysis/PTA_[business application]
Initiation	21	Initiation Exit Quality Review	Approval required.		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							

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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				
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	Technical Solution Requirements Document/TSRD or Requirements Traceability Matrix/RTM_[business application]
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	Contained in TSRD, RTM or ServiceNow
Planning & Design	30	Requirements Traceability Matrix						Planning & Design	Requirements Traceability Matrix/RTM_[business application]
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	Architecture Exception Request_[business application]
Planning & Design	38	NCID Exception Request	If required, complete DIT Approval Required		ITGC01	Y	Y	Planning & Design	NCID Exception Request_[business application]
Planning & Design	39	Security Exception Request	If required, complete DIT Approval Required		ITGC01	Y	Y	Planning & Design	Security Exception Request_[business application]
Planning & Design	40	Design Document	<b>Min. (includes functional and non-functional details, process and system flow diagrams, Use Cases, Technical Documentation Notes (TDN))</b>	Y	ITGC03	Y	Y	Planning & Design	Technical Solution Requirement Document/TSRD_[business application] or Functional Design Document/FDD or Technical Documentation Notes/TDN_[business application]
Planning & Design	41	Design Approval	Business and other stakeholders approvals	Y	ITGC03	Y	Y	Planning & Design	Contained in TSRD, FDD, TDN or ServiceNow
Planning & Design	42	Business Continuity Plan	If required		ITGC03			Planning & Design	Business Continuity Plan_[business application]
Planning & Design	43	Disaster Recovery Plan	If required		ITGC03			Planning & Design	Disaster Recovery Plan_[business application]
Planning & Design	44	Training Plan	If required		ITGC03			Planning & Design	Training Plan_[business application]
Planning & Design	45	Test Plan				Y	Y	Planning & Design	Test Plan_[business application]
Planning & Design	46	Acceptance Process and Criteria			ITGC03	Y	Y	Planning & Design	Acceptance Process and Criteria/APC_[business application]
Planning & Design	47	Acceptance Process and Criteria Approval	Must be approved by Business and other stakeholders		ITGC03	Y	Y	Planning & Design	Contained in APC or ServiceNow
Planning & Design	48	Operational Level Agreement (OLA)	Required if there are changes to the current OLA.		ITGC04	Y	Y	Planning & Design	Operational Level Agreement/OLA_[business application]
Planning & Design	49	Operational Level Agreement (OLA) Approval	If required Must be approved by IT Stakeholders		ITGC04	Y	Y	Planning & Design	Contained in OLA or ServiceNow

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Phase	ID	Key Deliverable	Minimum Requirement	Req'd for Audit	Audit Control	Non-PMO Project (Medium Risk)	Req'd	Phase	Key Deliverable	
Planning & Design	50	Business Approval to Exit P&D			ITGC03					
Planning & Design	51	P&D Exit Quality Review			ITGC04					
Planning & Design		<b>If RFP required, deliverables below:</b>							<b>If RFP required, deliverables below:</b>	
Planning & Design	52	RFP Request for Commodity/Service Form			ITGC04	Y	Y	Planning & Design	RFP Request for Commodity/Service Form	
Planning & Design	53	RFP Disaster Recovery Assessment			ITGC04	Y	Y	Planning & Design	RFP Disaster Recovery Assessment	
Planning & Design	54	RFP Sourcing Exception Request	If required for the RFP		ITGC04	Y	Y	Planning & Design	RFP Sourcing Exception Request	
Planning & Design	55	RFP Hosting Exception Request	If required for the RFP		ITGC04	Y	Y	Planning & Design	RFP Hosting Exception Request	
Planning & Design	56	RFP and Attachments			ITGC03 ITGC04	Y	Y	Planning & Design	RFP and Attachments	
Planning & Design	57	RFP Proposal Evaluation Plan			ITGC03 ITGC04	Y	Y	Planning & Design	RFP Proposal Evaluation Plan	
Planning & Design	58	RFP Content Submission						Planning & Design	RFP Content Submission	
Planning & Design	59	RFP Individual Evaluation Workbooks			ITGC03 ITGC04	Y	Y	Planning & Design	RFP Individual Evaluation Workbooks	
Planning & Design	60	RFP Oral Presentation/Demonstration Guide			ITGC03 ITGC04	Y	Y	Planning & Design	RFP Oral Presentation/Demonstration Guide	
Planning & Design	61	RFP Consensus Evaluation Workbook			ITGC03	Y	Y	Planning & Design	RFP Consensus Evaluation Workbook	
Planning & Design	62	RFP Evaluation Report with Award Recommendation			ITGC03 ITGC04	Y	Y	Planning & Design	RFP Evaluation Report with Award Recommendation	
Planning & Design	63	RFP Evaluation Report Approvals	Business and other stakeholders approvals required.		ITGC03 ITGC04	Y	Y	Planning & Design	RFP Evaluation Report Approvals	
Planning & Design	64	RFP CIO Presentation				Y	Y	Planning & Design	RFP CIO Presentation	
Planning & Design	65	RFP Evaluation Review Checklist						Planning & Design	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		<b>If Invitation for Bid (IFB) required, deliverables below:</b>							<b>If Invitation for Bid (IFB) required, deliverables below:</b>	
Planning & Design	68	IFB Request for Commodity/Service Form			ITGC03 ITGC04	Y	Y	Planning & Design	IFB Request for Commodity/Service Form	
Planning & Design	69	IFB Disaster Recovery Assessment	If required for IFB		ITGC03 ITGC04	Y	Y	Planning & Design	IFB Disaster Recovery Assessment	
Planning & Design	70	IFB Sourcing Exception Request	If required for IFB		ITGC04	Y	Y	Planning & Design	IFB Sourcing Exception Request	
Planning & Design	71	IFB Hosting Exception Request	If required for IFB		ITGC04	Y	Y	Planning & Design	IFB Hosting Exception Request	
Planning & Design	72	IFB and Attachments			ITGC03 ITGC04	Y	Y	Planning & Design	IFB and Attachments	
Planning & Design	73	IFB Statement of Work	May be required for Extensive Services		ITGC03 ITGC04	Y	Y	Planning & Design	IFB Statement of Work	
Planning & Design	74	IFB Bid Review Checklist				Y	Y	Planning & Design	IFB Bid Review Checklist	
Planning & Design	75	IFB Award Approval	Business and other stakeholders approvals required.		ITGC04	Y	Y	Planning & Design	IFB Award Approval	
Planning & Design		<b>IF Request for Quote (RFQ) required, deliverables below:</b>							<b>IF Request for Quote (RFQ) required, deliverables below:</b>	

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Phase	ID	Key Deliverable	Minimum Requirement	Req'd for Audit	Audit Control	Non-PMO Project (Medium Risk)	Req'd	Phase	Key Deliverable	
Planning & Design	76	RFQ Request for Commodity/Service Form			ITGC03 ITGC04	Y	Y	Planning & Design	RFQ Request for Commodity/Service Form	
Planning & Design	77	RFQ Disaster Recovery Assessment	If required for RFQ		ITGC03 ITGC04	Y	Y	Planning & Design	RFQ Disaster Recovery Assessment	
Planning & Design	78	RFQ Sourcing Exception Request	If required for RFQ		ITGC04	Y	Y	Planning & Design	RFQ Sourcing Exception Request	
Planning & Design	79	RFQ Hosting Exception Request	If required for RFQ		ITGC04	Y	Y	Planning & Design	RFQ Hosting Exception Request	
Planning & Design	80	RFQ and Attachments			ITGC03 ITGC04	Y	Y	Planning & Design	RFQ and Attachments	
Planning & Design	81	RFQ Market Research			ITGC03 ITGC04	Y	Y	Planning & Design	RFQ Market Research	
Planning & Design	82	RFQ Estimate or Unofficial Quote			ITGC04	Y	Y	Planning & Design	RFQ Estimate or Unofficial Quote	
Planning & Design	83	RFQ Statement of Work			ITGC03 ITGC04	Y	Y	Planning & Design	RFQ Statement of Work	
Planning & Design	84	RFQ Quote Review Document			ITGC03 ITGC04	Y	Y	Planning & Design	RFQ Quote Review Document	
Planning & Design	85	RFQ Award Approval	Business and other stakeholders approvals required.		ITGC04	Y	Y	Planning & Design	RFQ Award Approval	
Planning & Design		<b>If Contract Modifications through Amendment required, deliverables below:</b>							<b>If Contract Modifications through Amendment required, deliverables below:</b>	
Planning & Design	86	Amendment Request for Commodity/Service Form			ITGC03 ITGC04	Y	Y	Planning & Design	Amendment Request for Commodity/Service Form	
Planning & Design	87	Amendment Disaster Recovery Assessment	May be required if change in scope of work		ITGC03 ITGC04	Y	Y	Planning & Design	Amendment Disaster Recovery Assessment	
Planning & Design	88	Amendment Sourcing Exception Request	If required for Amendment		ITGC04	Y	Y	Planning & Design	Amendment Sourcing Exception Request	
Planning & Design	89	Amendment Hosting Exception Request	If required for Amendment		ITGC04	Y	Y	Planning & Design	Amendment Hosting Exception Request	
Planning & Design	90	Amendment and Attachments			ITGC03 ITGC04	Y	Y	Planning & Design	Amendment and Attachments	
Planning & Design	91	Amendment Market Research			ITGC03 ITGC04	Y	Y	Planning & Design	Amendment Market Research	
Planning & Design	92	Amendment Estimate or Unofficial Quote			ITGC03 ITGC04	Y	Y	Planning & Design	Amendment Estimate or Unofficial Quote	
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	Amendment Statement of Work	
Planning & Design	94	Amendment Approval	Business and other stakeholders approvals required.		ITGC04	Y	Y	Planning & Design	Amendment Approval	
Planning & Design		<b>IF Request for Information (RFI), deliverables below:</b>							<b>IF Request for Information (RFI), deliverables below:</b>	
Planning & Design	95	RFI			ITGC03 ITGC04	Y	Y	Planning & Design	RFI	
Execute & Build	31	Application Architecture Design (AAD)	DIT-T Architecture Approval Required	Y	ITGC01 ITGC02	Y	Y	Execute & Build	Application Architecture Design/AAD_[business application]	
Execute & Build	96	Code Structural Quality Analysis (CAST) Report	If required					Execute & Build	Code Structural Quality Analysis/CAST Report_[business application]	

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Phase	ID	Key Deliverable	Minimum Requirement	Req'd for Audit	Audit Control	Non-PMO Project (Medium Risk)	Req'd	Phase	Key Deliverable
Execute & Build	97	Component Integration Test (CIT) Approved		Y	ITGC02	Y	Y	Execute & Build	Contained in APC or ServiceNow
Execute & Build	98	System Integration Test (SIT) Approved		Y	ITGC02	Y	Y	Execute & Build	Contained in APC or ServiceNow
Execute & Build	99	Performance Testing Approved	If required			Y	Y	Execute & Build	Contained in APC or ServiceNow
Execute & Build	100	IT Testing Complete Approval		Y	ITGC02	Y	Y	Execute & Build	Contained in APC or ServiceNow
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	Test Cases_[business application]
Execute & Build	102	Sponsor Approved UAT		Y	ITGC03	Y	Y	Execute & Build	Contained in APC or ServiceNow
Execute & Build	103	Implementation Plan						Execute & Build	Implementation Plan_[business application]
Execute & Build	104	Go Live Readiness Assessment		Y	ITGC03	Y	Y	Execute & Build	Go Live Readiness Assessment_[business application]
Execute & Build	105	Go Live Approval	Business and other Stakeholders approval	Y	ITGC03	Y	Y	Execute & Build	Contained in Go Live Readiness Assessment
Execute & Build	106	Project Go Live Readiness DP Quality Review	If required						
Execute & Build	107	EPMO Go Live Readiness DP Approval	If required.						
Execute & Build	108	E&B Exit Quality Review	EPMO approval						
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	Lessons Learned Survey_[business application]
Closeout	113	EPMO Lessons Learned							
Closeout	114	EPMO Closeout Report							
Closeout	115	Closeout Quality Review							