

EaATS Change Management 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> Change Management			<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, & ServiceNow				<b>Comments:</b>		
						<b>Operational</b>		<b>Mapping Red Text = Differences from E-SDLC</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>Change Request (Low Risk)</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_[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	Work Request_[WR#_business application]
Initiation	6	Scope of Work Approval	DOT Business & DIT-T approval required	Y	ITGC03	Y	Y	Initiation	Approval contained in Work Request or ServiceNow
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				
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	19	Issues Log			ITGC03	Y	Y	Initiation	Contained in ServiceNow or Support Unit SharePoint site
Initiation	20	Privacy Threshold Analysis (PTA)	Required if application not previously documented and/or if changing any privacy information. DIT-T Security & DIT Approval required.	Y	ITGC01	Y	Y	Initiation	Privacy Threshold Analysis/PTA_[business application]
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	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 RTM or ServiceNow	
Planning & Design	30	Requirements Traceability Matrix								
Planning & Design	32	Architecture Design			ITGC01 ITGC02					
Planning & Design	33	Architecture DP Quality Review	If required by EP MO							
Planning & Design	34	EP MO Architecture DP Approval	If required by EP MO DIT Architecture Approval required		ITGC01 ITGC02					
Planning & Design	35	Security DP Quality Review	If required by EP MO							
Planning & Design	36	EP MO Security DP Approval	If required by EP MO DIT Approval Required		ITGC01 ITGC02					
Planning & Design	37	Architecture Exception Request	If required, complete DIT Approval Required							
Planning & Design	38	NCID Exception Request	If required, complete DIT Approval Required		ITGC01					
Planning & Design	39	Security Exception Request	If required, complete DIT Approval Required		ITGC01					
Planning & Design	40	Design Document		Y	ITGC03	Y	Y	Planning & Design	Functional Design Document/FDD_[business application]	
Planning & Design	41	Design Approval	Business and other stakeholders approvals	Y	ITGC03	Y	Y	Planning & Design	Contained in FDD or ServiceNow	
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								
Planning & Design	46	Acceptance Process and Criteria			ITGC03			Planning & Design	Acceptance Process Criteria/APC_[business application]	
Planning & Design	47	Acceptance Process and Criteria Approval	Must be approved by Business and other stakeholders		ITGC03			Planning & Design	Contained in APC or ServiceNow	
Planning & Design	48	Operational Level Agreement (OLA)	Required if there are changes to the current OLA.		ITGC04					
Planning & Design	49	Operational Level Agreement (OLA) Approval	If required Must be approved by IT Stakeholders		ITGC04					
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					
Planning & Design	53	RFP Disaster Recovery Assessment			ITGC04					
Planning & Design	54	RFP Sourcing Exception Request	If required for the RFP		ITGC04					

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Planning & Design	55	RFP Hosting Exception Request	If required for the RFP		ITGC04					
Planning & Design	56	RFP and Attachments			ITGC03 ITGC04					
Planning & Design	57	RFP Proposal Evaluation Plan			ITGC03 ITGC04					
Planning & Design	58	RFP Content Submission								
Planning & Design	59	RFP Individual Evaluation Workbooks			ITGC03 ITGC04					
Planning & Design	60	RFP Oral Presentation/Demonstration Guide			ITGC03 ITGC04					
Planning & Design	61	RFP Consensus Evaluation Workbook			ITGC03					
Planning & Design	62	RFP Evaluation Report with Award Recommendation			ITGC03 ITGC04					
Planning & Design	63	RFP Evaluation Report Approvals	Business and other stakeholders approvals required.		ITGC03 ITGC04					
Planning & Design	64	RFP CIO Presentation								
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		<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					
Planning & Design	69	IFB Disaster Recovery Assessment	If required for IFB		ITGC03 ITGC04					
Planning & Design	70	IFB Sourcing Exception Request	If required for IFB		ITGC04					
Planning & Design	71	IFB Hosting Exception Request	If required for IFB		ITGC04					
Planning & Design	72	IFB and Attachments			ITGC03 ITGC04					
Planning & Design	73	IFB Statement of Work	May be required for Extensive Services		ITGC03 ITGC04					
Planning & Design	74	IFB Bid Review Checklist								
Planning & Design	75	IFB Award Approval	Business and other stakeholders approvals required.		ITGC04					
Planning & Design		<b>If Request for Quote (RFQ) required, deliverables below:</b>							<b>If Request for Quote (RFQ) required, deliverables below:</b>	
Planning & Design	76	RFQ Request for Commodity/Service Form			ITGC03 ITGC04					
Planning & Design	77	RFQ Disaster Recovery Assessment	If required for RFQ		ITGC03 ITGC04					
Planning & Design	78	RFQ Sourcing Exception Request	If required for RFQ		ITGC04					
Planning & Design	79	RFQ Hosting Exception Request	If required for RFQ		ITGC04					

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Planning & Design	80	RFQ and Attachments			ITGC03 ITGC04					
Planning & Design	81	RFQ Market Research			ITGC03 ITGC04					
Planning & Design	82	RFQ Estimate or Unofficial Quote			ITGC04					
Planning & Design	83	RFQ Statement of Work			ITGC03 ITGC04					
Planning & Design	84	RFQ Quote Review Document			ITGC03 ITGC04					
Planning & Design	85	RFQ Award Approval	Business and other stakeholders approvals required.		ITGC04					
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					
Planning & Design	87	Amendment Disaster Recovery Assessment	May be required if change in scope of work		ITGC03 ITGC04					
Planning & Design	88	Amendment Sourcing Exception Request	If required for Amendment		ITGC04					
Planning & Design	89	Amendment Hosting Exception Request	If required for Amendment		ITGC04					
Planning & Design	90	Amendment and Attachments			ITGC03 ITGC04					
Planning & Design	91	Amendment Market Research			ITGC03 ITGC04					
Planning & Design	92	Amendment Estimate or Unofficial Quote			ITGC03 ITGC04					
Planning & Design	93	Amendment Statement of Work	May be required for additional work within scope of work in existing contract		ITGC03 ITGC04					
Planning & Design	94	Amendment Approval	Business and other stakeholders approvals required.		ITGC04					
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					
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	CAST Report_[business application]	
Execute & Build	97	Component Integration Test (CIT) Approved		Y	ITGC02	Y	Y	Execute & Build	Contained in Test Plan, APC, or ServiceNow	
Execute & Build	98	System Integration Test (SIT) Approved		Y	ITGC02	Y	Y	Execute & Build	Contained in Test Plan, APC, or ServiceNow	
Execute & Build	99	Performance Testing Approved	If required					Execute & Build	Contained in Test Plan, APC, or ServiceNow	
Execute & Build	100	IT Testing Complete Approval		Y	ITGC02	Y	Y	Execute & Build	Contained in Test Plan, APC, or ServiceNow	

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Phase	ID	Key Deliverable	Minimum Requirement	Req'd for Audit	Audit Control	Change Request (Low Risk)	Req'd	Phase	Key Deliverable	
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	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. 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	Lessons Learned Survey_[business application]	
Closeout	113	EPMO Lessons Learned								
Closeout	114	EPMO Closeout Report								
Closeout	115	Closeout Quality Review								