North Carolina

Department of Information Technology

Transportation

Methodology Exception Instructions

Version 1.1

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Document Version Control

Ver	Date	Revised By	Description
1.0	3/20/2020	Cheryl Ritter	Initial Release
1.1	7/14/2020	Cheryl Ritter	Changes identified during pilot

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1 Overview

1.1 Purpose

The purpose of this document is to define how project managers will document exceptions to unit's methodologies.

If DIT-T teams use the Enterprise SDLC Deliverables or their unit's methodology (as approved), they are not required to complete the Methodology Exception template.

1.2 Introduction

It is recommended that you review the DIT-T Enterprise Quality Management Plan before completing the Methodology Exception template.

A Systems Development Lifecycle (SDLC) is a description of the phases, tasks, and deliverables that provide a framework for developing and managing a project from the receipt of the work request through the completion of the project. DIT-T uses a deliverable based SDLC model. A deliverable based approach is not specific to any one SDLC (i.e., Agile, Waterfall, etc.).

The key deliverables are the most important deliverables and may have multiple tasks or smaller deliverables included in their production. For example, a key deliverable is Requirements Approval; to complete this key deliverable end-users and IT are signing a document that indicates the requirements meet the needs of the areas they represent. Tasks involved in completing this key deliverable include requirements gathering, requirements definition, peer reviews, etc. Because the tasks are different depending on the development methodology used, tasks are defined by the DIT-T teams' development methodology.

Key deliverables are assigned to the four (4) DIT-T project types identified by IT Senior Management as representative of the most frequently use DIT-T project sizes. The key deliverable assignments are based on the size and risk associated with the project type.

2   Methodology Exception Process
2.1   Project Start (Initiation Phase)

Approved Methodology Mapping documents are available on the DIT-T Enterprise SDLC site on Connect.

Project Managers should select one of the following to use on their project from the approved Methodology Mapping documents:
1. DIT-T Enterprise SDLC Deliverables
2. Their unit's mapped methodology
3. Another unit's mapped methodology

If a mapped methodology is used, the columns shaded in blue explain the methodology deliverables. The other columns to the left are the DIT-T Enterprise SDLC deliverables associated with the project type mapped to. For details on the columns (in gray) see Appendix A. In the example below the project type is the PMO Enterprise.

DIT-T Unit: PMO			Methodology Owner/Contact: Cheryl Ritter					Date Methodology Initially Added: 3/16/2020			
Methodology Name: Enterprise Project			**Quality Management Plan Used:** Enterprise					**Date Last Updated:** 7/14/2020			
Methodology Type: Waterfall			**Deliverable Repository:** Project's Team Site in '_Key Project Documentation' folder					**Comments:**			
							PMO		**Mapping** Red Text = Differences from E-SDLC		
Phase	**ID**	**Key Deliverable**	**Minimum Requirement**		**Req'd for Audit**	**Audit Control**	**Enterprise (High Risk)**	**Req'd**	**Phase**	**Key Deliverable**	
Business Concept	1	Work Request			Y	ITGC03	Y	Y	Business Concept	Business Project Request	

Below are the steps a project manager should complete at the first of the project:

1. Project managers should review the methodology (shaded in blue) to determine if their project will follow this methodology or a different methodology should be selected.
2. Once the methodology is selected, the project manager should select the Project Exception template for the methodology used, for example the above Enterprise Project methodology would use the template titled '*Template_Methodology Exceptions – PMO Enterprise Project (Waterfall)*' to record exceptions in the project.
3. During the Initiation phase, project managers should update the Methodology Exception document to explain planned exceptions to the methodology. This would include approved exclusions, adding additional deliverables, etc. Enter explanation in the *Exceptions to Methodology* field for the specific deliverable.
4. If a key deliverable will be produced with no changes, leave the *Exceptions to Methodology* field blank. See a sample of a completed Methodology Exception document in Appendix B or in the Training folder on the DIT-T Enterprise SDLC Connect site.

Below is the Methodology Exception template for the Methodology above:

DIT-T Unit: PMO			Methodology Owner/Contact: Cheryl Ritter			Date Methodology Initially Added: 03/16/2020				Project Name:	
Methodology Name: PMO Enterprise			**Quality Management Plan Used:** Enterprise			**Date Last Updated:** 07/14/2020				**Project Manager:**	
Methodology Type: Waterfall			**Deliverable Repository:** Project Team Site in '_Key Project Documentation' folder			**Comments:**				**Comments:**	
						PMO		**Mapping** Red Text = Differences from E-SDLC		**Exceptions to Methodology**	
Phase	**ID**	**Key Deliverables**	**Minimum Requirements**		**Req'd for Audit**	**Enterprise (High Risk)**	**Req'd**	**Phase**	**Key Deliverable**	**Exception Reason** N/A = Deliverable completed Blank = Deliverable is pending	
Initiation	21	Initiation Exit Quality Review				Y	Y	Initiation	Initiation Stage Exit Checklist		

2.2   On-going Maintenance

During the Business Concept phase through the Closeout phase, project manages should monitor and maintain the Methodology Exception document.

If a key deliverable is produced with no changes, enter 'N/A' in the *Exceptions to Methodology* field. See a sample of a completed Methodology Exception document in Appendix B or in the Training folder on the DIT-T Enterprise SDLC Connect site.

3   Document Availability

The Methodology Exception document should be saved in the project's deliverables repository and available for audit purposes. It should be name as follows: '*_Methodology Exception_XXXX*', where XXXX is the project name or acronym. An underscore at the beginning of the document name ensures it will be the first document listed in the repository making it easy for auditors and others to find it.

Appendix

Appendix A – DIT-T Enterprise SDLC Deliverables Content

For reference the picture below shows the columns included in the DIT-T Enterprise SDLC Deliverables list, followed by an explanation of the columns.

A	B	C	D	E	F	H	I	K	L
						PMO		Operational	
Phase	ID	Key Deliverable	Minimum Requirement	Req'd for Audit	Audit Control	Enterprise (High Risk)	Lite (Medium Risk)	Non-PMO Project (Medium Risk)	Change Request (Low Risk)

The content of the columns is summarized below. For more details, See the DIT-T Enterprise Quality Management Plan for details.

Column	Column Header	Column Description
A	Phase	Phase name the deliverable is initiated in.
B	ID	Deliverable reference number.
C	Key Deliverable	Name of the deliverable.
D	Minimum Requirement	Minimum requirements when completing the deliverable.
E	Req'd for Audit	Indicates the deliverable is required for audits.
F	Audit Control	Indicates the audit control satisfied by the deliverable.
H	*PMO - Enterprise	'Y' indicates the deliverable is required for PMO – Enterprise projects. Blank indicates the deliverable is not required.
I	*PMO - Lite	'Y' indicates the deliverable is required for PMO – Lite projects. Blank indicates the deliverable is not required.
K	*Operational - Non-PMO Project	'Y' indicates the deliverable is required for Operational – Non-PMO projects. Blank indicates the deliverable is not required.
K	*Operational - Non-PMO Project	'Y' indicates the deliverable is required for Operational – Non-PMO projects. Blank indicates the deliverable is not required.
L	*Operational - Change Request	'Y' indicates the deliverable is required the Operational – Change Request projects. Blank indicates the deliverable is not required.

*Project Types

Appendix B – Methodology Exception Document Sample

Date Methodology Initially Added: 03/16/2020			Project Name: IT Service Management (ITSM)
Date Last Updated: 03/16/2020			Project Manager: Viswanathan Krishnan
Comments:			Comments: Project was nearly complete when this process was applied, part of the work was pre-Touchdown and while Touchdown startup issues were fixed, many new process requirements along the way (project started in 2014).
		Mapping Red Text = Differences from E-SDLC	Exceptions to Methodology
Req'd	Phase	Key Deliverable	Exception Reason N/A = Deliverable completed Blank = Deliverable is pending
Y	Business Concept	Business Project Request	N/A
Y	Business Concept	Alternatives Analysis	Not required by EPMO
Y	Business Concept	Preliminary Business Case	Became a required document after project past this point.
Y	Business Concept	Business Concept Stage Exit Checklist	Became a required document after project past this point.
Y	Initiation	Project Charter	N/A
Y	Initiation	Approval contained in Project Charter	N/A
Y	Initiation	Business Case	N/A
Y	Initiation	Benefits SharePoint List on project site	N/A
Y	Initiation	Business Case DP Checklist	Became a required document after project past this point.
Y	Initiation	EPMO Business Case Approval	Step completed; No document because step was completed in prior project management tool (PPM).
Y	Initiation	Cost Estimate Workbook	N/A
Y	Initiation	Schedule available in MS Project	N/A