

Information Services Division

System Development Life Cycle Manual – Applications Systems

Version 18.0 – May 4, 2010



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System Development Life Cycle

1.0 Introduction

The System Development Life Cycle (SDLC) is an organized, structured methodology for designing, developing, testing, implementing, and continuing support of a system. It is defined by interrelated phases characterized by predefined tasks, roles and responsibilities and work products. The purpose of an SDLC is to provide a structured framework against which system development activities occur. Employing a structured framework facilitates coordination, control and management of all system development efforts, including the development of new systems and enhancements to existing systems.

The SDLC places a strong emphasis on documentation, especially in the early phases. Documentation provides communication between all groups during the development effort and it serves as a historical record of the development effort at given points in time. This is important for future development efforts, cross training of system staff, and audit purposes.

The process described in this document is required for all system development activities performed by the Information Services (IS) Division of the Department of Social Services (DSS) for the Applications systems. System development activities include the following:

- Modification to existing functionality for existing systems;
- Addition of new functionality to existing systems; and
- Creation of new systems.

System development activities may be initiated for various reasons, such as government legislation, production problems, secretary mandates, research inquiries, etc.

Exhibit 1.1, the System Development Life Cycle, provides a diagram of the sequential phases of the SDLC methodology. Although the diagram implies that the phases of the life cycle are linear, in reality, the phases tend to overlap. The phases defined for the SDLC methodology for the Applications systems area include:

- **Planning and Tracking:** The establishment of plans for performing and managing the tasks and activities related to the development effort. This phase spans the entire life cycle.
- **Business Modeling:** Identification and assessment of business requirements. Business requirements specify the high-level capability of the system that is necessary to deliver a benefit to the Customer Agency community.
- **Analysis and Design:** Analysis of business requirements and translation into functional and technical requirements. Functional requirements specify *what* the system must be able to do to deliver a benefit to the Customer Agency community and technical requirements specify *how* this will be achieved by the system.
- **Development and Unit Test:** Creation and/or modification of components for a new or modified system and detection of defects via testing of individual components.
- **System Test:** Verification that the new or modified components perform correctly as a complete system and do not adversely affect existing modules.
- **User Acceptance Test:** Demonstration that the new or modified system complies with the Customer Agency's expectations and design objectives.
- **Implementation:** Installation of an enhanced or new system. New procedures are implemented and the system is fully operational with appropriate staff training.
- **Maintenance and Support:** Identification and resolution of issues with the system on an on-going basis.

The IS Division SDLC Manual serves as the defining document for DSS [Policy 5-01 Information Technology Applications Process Management](#) that can be located on the DSS intranet, at the DSS Policy Management System link, select the DSS tab, under Chapters select DSS Policy Manual, under DSS Policy Manual select 5 – INFORMATION TECHNOLOGY, then select [Policy 5-01 Information Technology Applications Process Management](#). All roles and responsibilities, processes, and procedures associated with the design and development, maintenance, and enhancement of systems is contained in the IS SDLC Manual. It is the purpose of DSS [Policy 5-01 Information Technology Applications Process Management](#) to identify the documentation and tools that define the SDLC for

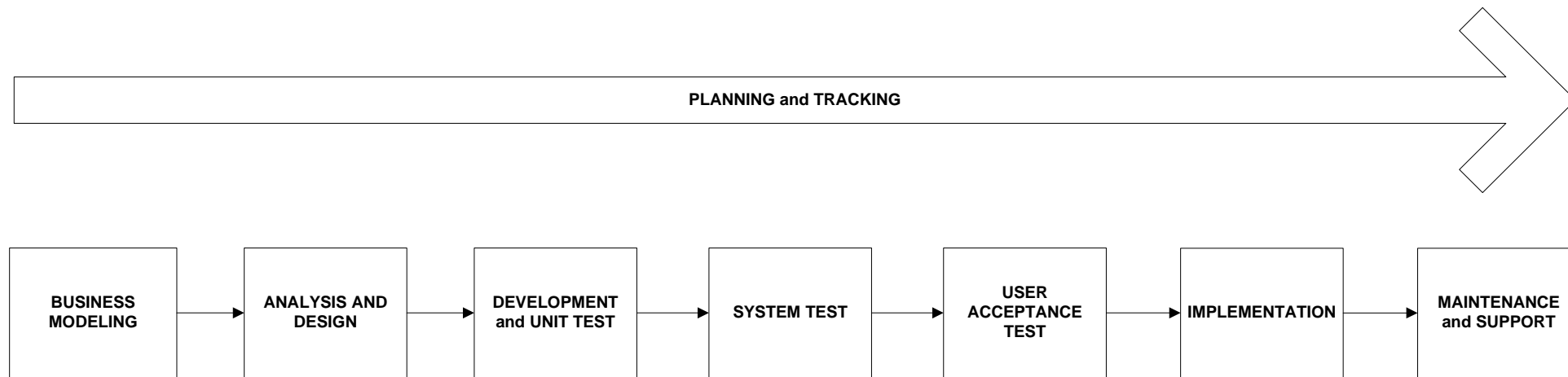
the IS Division including: processes, activities, roles and responsibilities, workflows, work products, and support documents necessary to complete the application system requirements definition, design, development, testing, implementation, enhancement, and maintenance services.

Certain areas may be exempt from operating under DSS *Policy 5-01 Information Technology Applications Process Management* and may not utilize all the processes and procedures defined in the IS SDLC Manual. The IS Director may, at his discretion, exempt IS staff from certain governing processes.

A critical policy that correlates to computer security is DSS *Policy 5-03 Computer Security Policy* can be located on the DSS intranet, at the DSS Policy Management System link, select Login tab, after login select the DSS tab, under Chapters select DSS Policy Manual, under DSS Policy Manual select 5 – INFORMATION TECHNOLOGY, then select *Policy 5-03 Computer Security Policy*. Familiarity of the entire policy is necessary for a global view of DSS security. This security policy attempts to address security in a comprehensive manner. This policy has been developed to identify security subcomponents. The subcomponents are:

- 5-03- 1 Computer Security Policy – Access Control
- 5-03- 2 Computer Security Policy – Remote Access
- 5-03- 3 Computer Security Policy – Awareness and Training
- 5-03- 4 Computer Security Policy – Audit and Accountability
- 5-03- 5 Computer Security Policy – Security Assessment and Authorization
- 5-03- 6 Computer Security Policy – Configuration Management
- 5-03- 7 Computer Security Policy – Contingency Planning
- 5-03- 8 Computer Security Policy – Backup and Restore
- 5-03- 9 Computer Security Policy – Identification and Authentication
- 5-03-10 Computer Security Policy – Password Management
- 5-03-11 Computer Security Policy – Incident Response
- 5-03-12 Computer Security Policy – Maintenance
- 5-03-13 Computer Security Policy – Media Protection
- 5-03-14 Computer Security Policy – Physical and Environmental Protection
- 5-03-15 Computer Security Policy – System Security Plans
- 5-03-16 Computer Security Policy – Personal Security
- 5-03-17 Computer Security Policy – Acceptable Use
- 5-03-18 Computer Security Policy – Risk Assessment
- 5-03-19 Computer Security Policy – Information Resource Classification
- 5-03-20 Computer Security Policy – Systems and Services Acquisition
- 5-03-21 Computer Security Policy – Systems Development
- 5-03-22 Computer Security Policy – System and Communication Protection
- 5-03-23 Computer Security Policy – Network Security
- 5-03-24 Computer Security Policy – System and Information Integrity

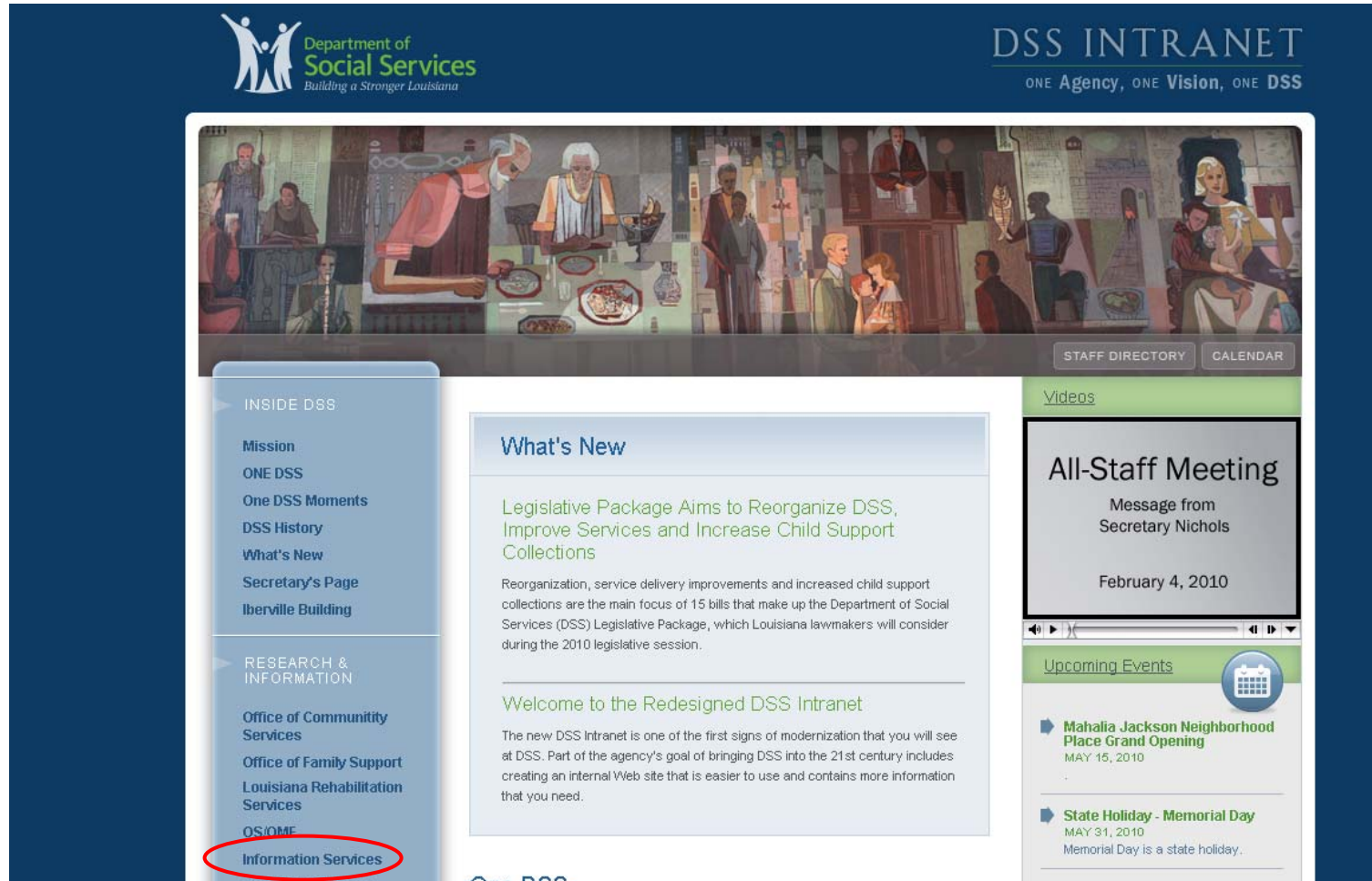
Exhibit 1.1 System Development Life Cycle



1.1. QAO Website Navigation

This manual and additional QAO Tools and Templates, Support Forms and User Guides may be found by following these links: <http://intra/>

Then select the Information Services link or copy and paste the following URL in your internet address bar: <http://intra/IS.aspx>



Then select a link, QAO Overview, SDLC Manual, SDLC Standards, SDLC Support Forms, SDLC Tools & Templates and SDLC User Guides, under the QAO menu.

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- Mission
- ONE DSS
- One DSS Moments
- DSS History
- What's New
- Secretary's Page
- Iberville Building

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- Office of Community Services
- Office of Family Support
- Louisiana Rehabilitation Services

Information Services

Information Services

- [IS Project Information](#)
- [IS Roadmap](#)
- [IS Documents](#)

Operational Forms

- [Operational Forms](#)

Project Management Office (PMO)

- [PMO Overview](#)
- [Flash Report](#)
- [Project-Level Status Reports](#)
- [Project Portfolio](#)
- [Lessons Learned](#)
- [Project Management Guide](#)
- [System Planning and Tracking Guide](#)
- [Communications](#)

Quality Assurance Office (QAO)

- [QAO Overview](#)
- [SDLC Manual](#)
- [SDLC Standards](#)
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- [SDLC Tools & Templates](#)
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QAO Overview: <http://intra/QAO.aspx>

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SDLC Manual	SDLC Standards	SDLC Support Forms
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The Information Services (IS) Division is responsible for developing, implementing and maintaining the automated systems that support the mission of the Department of Social Services (DSS). The IS Division strives to develop creative enterprise technology solutions that enable DSS to best meet the needs of the citizens of Louisiana. In an effort to enhance the quality of services and products provided to DSS, the IS Division established the Quality Assurance Office (QAO). In addition, the establishment of the QAO was a direct response to the Independent Verification and Validation (IV&V) Assessment of the Louisiana Automated Support Enforcement System (LASES) Welfare Reform Project.

The core focus of the QAO is to lead the development of standards that will promote quality in the services and products provided to DSS. QAO will also assist with the oversight of adherence to these standards. The long term objective of the QAO is to establish Quality Assurance (QA) practices and principles throughout the entire organization. The initial scope and focus of the QAO effort is targeted to the Applications life cycle.

The QAO will focus on the System Development Life Cycle (SDLC) methodology employed for designing, developing, testing and implementing Applications systems.

- **A brief history and overview of the SDLC can be viewed by accessing [SDLC Overview Presentation](#).**

The SDLC methodology is defined by phases. Each phase is associated with predefined tasks, roles and responsibilities, and work products. The SDLC will embody standards that promote consistency and QA practices within the Applications systems area: Planning and Tracking - The establishment of plans for performing and managing the tasks and activities related to the development effort. This phase spans the entire life cycle.

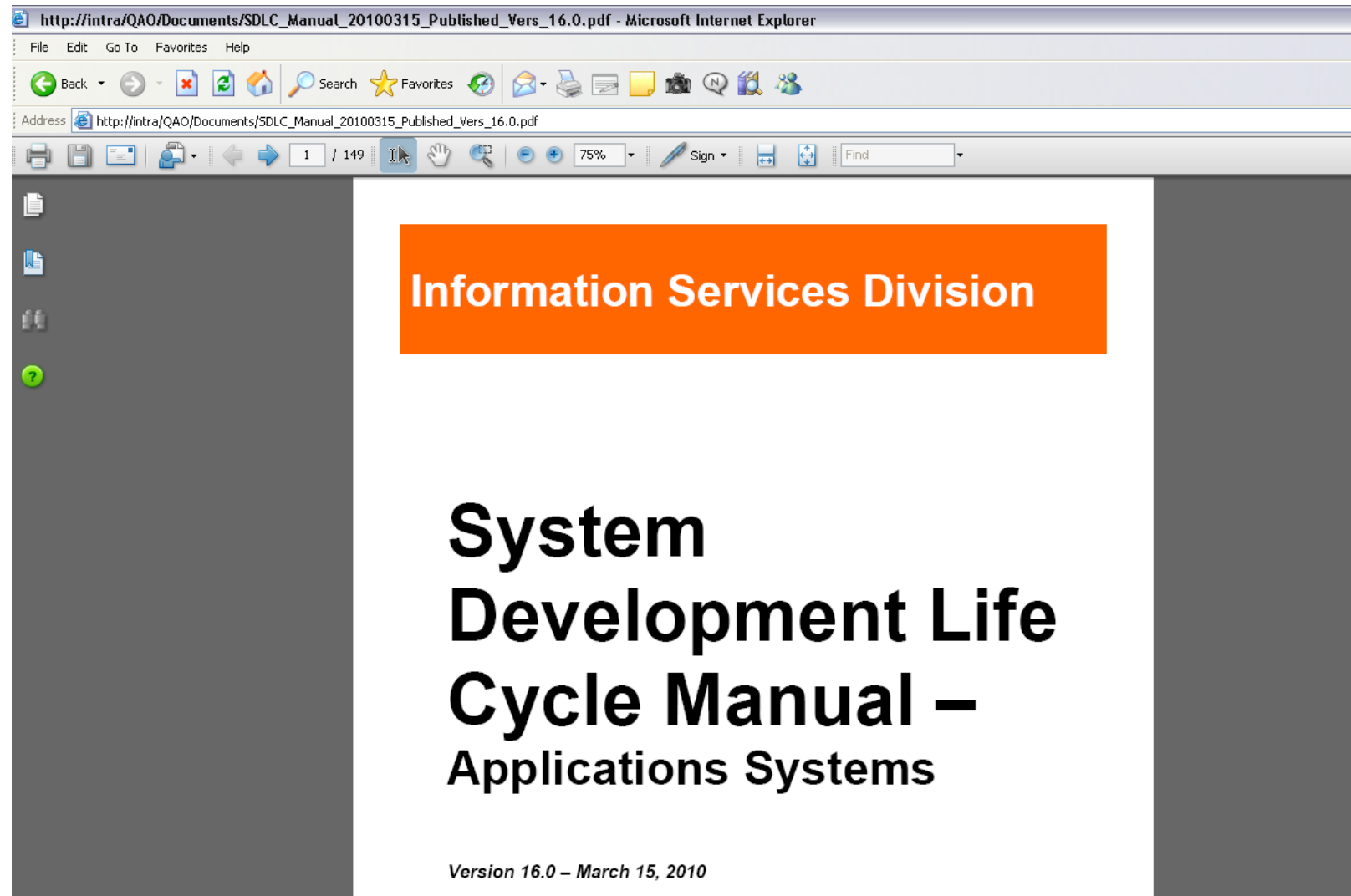
- **Business Modeling** - Identification and assessment of business requirements. Business requirements specify the high-level capability of the system that is necessary to deliver a benefit to the Customer Agency community.
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- **Implementation** - Installation of an enhanced or new system. New procedures are implemented and the system is fully operational with appropriate staff training.
- **Maintenance and Support** - Identification and resolution of issues with the system on an on-going basis.

The DSS IS System Development Life Cycle Manual will provide a detailed explanation of the processes, procedures, and phases of the SDLC methodology for the Applications systems area.

Contact Information: For any questions, comments or feedback regarding the QAO and its activities, please contact Stephen Comeaux, the QAO Director, via email at Stephen.Comeaux@dss.gov or at 225.242.4074.

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QAO Manual: <http://intra/IS.aspx>



QAO Standards: http://intra/QAO_SDLC_Standards.aspx

The screenshot shows the DSS INTRANET website. At the top left is the Department of Social Services logo with the tagline "Building a Stronger Louisiana". At the top right is the text "DSS INTRANET" and "ONE Agency, ONE Vision, ONE DSS". Below the header is a large banner image depicting various people in a community setting. In the bottom right of the banner are two buttons: "STAFF DIRECTORY" and "CALENDAR". On the left side, there is a navigation menu with two main sections: "INSIDE DSS" and "RESEARCH & INFORMATION". Under "INSIDE DSS" are links for Mission, ONE DSS, One DSS Moments, DSS History, What's New, Secretary's Page, and Iberville Building. Under "RESEARCH & INFORMATION" are links for Office of Community Services, Office of Family Support, Louisiana Rehabilitation Services, OS/OMF, and Information Services. The main content area is titled "QAO SDLC Standards" and contains a single bullet point: "• [Java Code Standards](#) (Last Published on 3-24-2009, Version 2009-1)".

QAO Support Forms: http://intra/QAO_SDLC_Support_Forms.aspx

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QAO SDLC Support Forms

Batch Process Forms:

- [Runsheet Form](#) (Last Published on 02-11-2010)
 - [Runsheet Form Detail](#) (Last Published on 02-11-2010)

Database Forms:

- [ADABAS File Maintenance Request Form](#) (Last Published on 11-04-2009)
 - [ADABAS File Maintenance Request Form Detail](#) (Last Published on 02-11-2010)
- [DB2 Data Model Change Request Form](#) (Last Published on 01-08-2010)
 - [DB2 Data Model Change Request Form Detail](#) (Last Published on 02-11-2010)
- [SQL Data Model Change Request Form](#) (Last Published on 01-08-2010)
 - [SQL Data Model Change Request Form Detail](#) (Last Published on 02-11-2010)

Mail Operations Forms:

- [Mail Operations User Request Form](#) (Last Published on 02-26-2010)
 - [Mail Operations User Request Form Detail](#) (Last Published on 02-26-2010)

Middleware Forms:

- [Shadow Maintenance Request Form](#) (Last Published on 10-22-2009)
 - [Shadow Maintenance Request Form Detail](#) (Last Published on 02-18-2010)

Program Maintenance Forms:

- [Program Maintenance Form - COBOL](#) (Last Published on 02-18-2010)
 - [Program Maintenance Form - COBOL Detail](#) (Last Published on 02-18-2010)

Security Forms:

- [Zena Security Access Request Form](#) (Last Published on 02-23-2010)
 - [Zena Security Access Request Form Detail](#) (Last Published on 02-23-2010)

QAO Tools & Templates: http://intra/QAO_SDLC_Templates.aspx

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- Louisiana Rehabilitation Services
- OS/OMF
- Information Services
- Circulars & Memos
- Publications & Reports
- Web Applications
- ACCESS

PROCESS & POLICY

- Human Resources
- IT/Help Desk
- Communications
- Training
- Policy Management

Webmail

QAO SDLC Tools & Templates

Planning and Tracking Phase Tools & Templates

- [SDLC Checklist Template](#) (Last Published on 2-2-2010)

Business Modeling Phase Tools & Templates

- [BRD Template With Instructions](#) (Last Published on 3-31-2009)
- [BRD JAD Guide](#) (Last Published on 2-13-2009)

Analysis and Design Phase Tools & Templates

- [URD Template With Instructions](#) (Last Published on 3-31-2009)
- [URD Template Without Instructions](#) (Last Published on 3-31-2009)
- [URD JAD Guide](#) (Last Published on 2-13-2009)
- [TDD Template With Instructions](#) (Last Published on 3-31-2009)
- [TDD Template Without Instructions](#) (Last Published on 3-31-2009)
- [TDD JAD Guide](#) (Last Published on 2-13-2009)
- [Instructional Guide for Capturing Layouts](#) (Last Published on 2-2-2010)
- [Instructional Guide for Hiding Text](#) (Last Published on 2-2-2010)
- [UAT Plan Template](#) (Last Published on 11-1-2008)

Development and Unit Test Phase Tools & Templates

- [Unit Test Plan Template](#) (Last Published on 11-1-2008)
- [Technical Environment Readiness Checklist Template](#) (Last Published on 3-3-2010)
- [Technical Functionality Checklist](#) (Last Published on 12-1-2004)

System Test Phase Tools & Templates

- [System Test Plan Template](#) (Last Published on 11-1-2008)

User Acceptance Test Phase Tools & Templates

Implementation Phase Tools & Templates

- [Implementation Plan Template](#) (Last Published on 2-1-2006)
- [Document for User Support Center Support](#) (Last Published on 8-1-2005)

INSTRUCTIONS FOR DOWNLOADING TEMPLATES:

1. Right click on link to template.
2. Select "Save Target As" option.
3. Save template to the drive of your choice.

QAO User Guides: http://intra/QAO_SDLC_User_Guide.aspx

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- OS/OMF
- Information Services

QAO SDLC User Guides

- [Rational Build Forge User Guide](#) (Last Published on 12-18-2009, Version 2009-1)
- [Rational ClearCase User Guide](#) (Last Published on 9-18-2009, Version 2009-4)
- [Rational ClearQuest User Guide](#) (Last Published on 01-28-2010, Version 2010-1)
 - [Rational ClearQuest Documentation](#) (Last Published on 3-13-2009, Version 2009-1)
 - [Rational ClearQuest Legacy Users, System Permissions](#) (Last Published on 2-10-2010, Version 2010-2)
- [Rational RequisitePro User Guide](#) (Last Published on 01-28-2010, Version 2010-1)
 - [Rational RequisitePro Legacy Users, Project Permissions](#) (Last Published on 2-10-2010, Version 2010-2)
- [Zena Job Scheduling User Guide](#) (Last Published on 10-15-2009, Version 2009-2)

2.0 Glossary

ADABAS: Software AG's database product Adaptable Data Base System. Currently utilized for application mainframe systems.

Applications Mainframe Legacy Systems: The automated mainframe systems that support the business of the DSS. The systems are identified in the DSS System Documentation document located on the DSS Intranet, at the Information Systems Documents link: http://intra/IS_Documents.aspx

Applications Support Unit (ASU): The unit within the Information Services (IS) Division that is responsible for the technical requirements, technical design, development, unit and system testing, implementation and maintenance of the automated systems that support the business of the Department of Social Services (DSS).

Applications Support Unit Staff

ASU – Contract Support: The non-state employed person(s) in the IS Division's Application Support Unit responsible for the technical requirements, technical design, development, unit, and system testing and implementation related to a work effort.

ASU – Customer Relationship Manager (ASU-CRM): The person(s) within the IS Division that operates as a liaison between the Customer Agency and the Applications Support Unit.

ASU – Lead Analyst (ASU-LA): The person(s) in the IS Division's Application Support Unit responsible for the technical requirements, technical design, development, unit, and system testing and implementation related to a work effort.

ASU – Manager: The person(s) in the IS Division's Application Support Unit responsible for the supervision and oversight of a group of Applications Support Unit Project Leaders.

ASU – Production Control (ASU-PC): The person(s) within the IS Division's Application Support Unit responsible for reruns and fixes to the job schedule; coordination with Customer Agencies about jobs; verification of the schedules for the nightly and daily runs; nightly production runs; completion of special runs (daily and nightly schedules); assisting and maintaining production environments; Zeke and Zena scheduling; receiving and sending cartridges to a number of agencies and departments; and UAT cycles.

ASU – Project Leader (ASU-PL): The person(s) in the IS Division's Application Support Unit responsible for the supervision and oversight of the Application Support Unit staff for a work effort.

Applications Support Unit Roles

ASU Approver: ASU-Manager, ASU-PL staff member who is responsible for approving various SDLC support form request(s).

ASU Requester: ASU-Manager, ASU-PL, ASU-LA or ASU-Contract Support staff member who is responsible for drafting various SDLC support form request(s).

Billing and Tracking System (BATS): The system functions as the Cost Allocation system within the IS Division. The ASU-CRM staff generates a User Request Form (URF) number from BATS and communicates it to the Applications Support and Customer Agencies when a development effort is initiated and moving forward.

Build Forge: See 'Rational Build Forge'.

Business Requirement: A business requirement defines the high-level capabilities of the system that are necessary to deliver benefits to the Customer Agencies. Some examples of a business requirement

include federal, state, parish office requirements, rules, and regulations. This is the highest level of the requirement. It is a general statement of what the effort is attempting to accomplish. The Customer Agency identifies business requirements internally based on policy, legislation, system shortcomings, etc. Business requirements are further refined during information gathering sessions with the ASU-CRM staff. These are very high-level, basic requirements. For each business requirement identified, functional requirements are detailed.

Examples are:

Example 1: Per Action Transmittal 03-01, the system must be able to suspend and stop payment orders

Example 2: The Louisiana Commission for the Deaf requires a vendor database to replace its current paper entry system.

Example 3: The Louisiana Commission for the Deaf requires data entry processing capability of 25,000 forms per month.

Business Requirements Document (BRD): Detailed business requirements document created by the Customer Agency. The BRD defines the high-level capabilities of the system that the Customer Agency desires.

ClearQuest: See 'Rational ClearQuest'.

Client: Adults, children, employers, families, persons who are blind, persons with disabilities, persons who are hearing impaired and service providers who are eligible to receive aid, assistance, other benefits, or supports the various state and federal programs administered and supported by DSS.

Client Server: A network architecture which separates a client (often an application that uses a graphical user interface) from a server. Each instance of the client software can send requests to a *server*. Specific Types of servers include: application servers, file servers, terminal servers, and mail servers. While their purpose varies somewhat, the basic architecture remains the same.

Client Server Systems: The automated systems that support the business of the DSS. The systems are identified below:

- LRS AWARE

Common Business Oriented Language (COBOL): is a programming language utilized by very few of the mainframe legacy application systems, since it is currently being phased out by DSS. The American National Standards Institute (ANSI) developed a standard form of the language in 1968. It can support both online and batch processes, but DSS currently only has batch modules remaining.

Continuity of Operations/Continuity of Government (COOP/COG): The person(s) within the IS Division who is/are responsible for:

- Developing non IT-focused department level procedures and capabilities that address the Departments most critical missions to sustain essential, strategic functions at an alternate site for up to 30 days (COOP);
- Developing IT addressed procedures based on business processes to recover business operations immediately following a disaster (COG); and
- Developing an IT-focused Disaster Recovery Plan (DRP) that identifies detailed procedures to facilitate recovery of capabilities at an alternate site when a major disruption occurs with long-term effects.

CRM: See Applications Support Unit / Applications Support Unit Staff.

Customer Agency: Representatives from the DSS Agencies who are responsible for the business and functional requirements, business design, business workflows and user acceptance testing.

Customer Agency Lead:

Customer Agency PS-1: Program Specialist 1

Customer Agency PS-2: Program Specialist 2

Database Administrator (DBA) Unit: The unit within the IS Division that conducts daily preventive maintenance of the DSS and DHH agency databases which includes the following: file re-orders and file increases; monitoring and adjusting database resources for optimum performance; reviewing and approving new and modified databases, database files, database fields, and database libraries; creating and maintaining database unloads; and processing DBA Unit requests from the Applications Support Unit.

DBA Unit Staff

DB2 Administrator: The DBA Unit staff member responsible for copying, loading, restoring, creating, deleting and modifying DB2 tables and related attributes.

Predict Administrator: The DBA Unit staff member responsible for converting conceptual files to ADABAS files, assigning a file number and completing requests or assigning them to staff for further processing. The staff that generates the data definition module(s) (ddm(s)) utilizing the Predict data dictionary generated by the ASU-PL, ASU-LA, and/or ASU-Contract Support staff. The ddm(s) are then utilized in program code.

SQL Administrator: The DBA Unit staff member responsible for copying, loading, restoring, creating, deleting and modifying SQL tables and related attributes.

DHH: Department of Health and Hospitals.

Disaster Recovery Plan (DRP): See Continuity of Operations/Continuity of Government (COOP/COG).

DSS: Department of Social Services.

DSS Agencies: Customer Agency budget units within the DSS (i.e. Office of the Secretary, Office of Management and Finance, Office of Family Support, Office of Community Services, and Louisiana Rehabilitation Services).

DSS Helpdesk: See Technical Support Unit / TSU DSS / User Support Center.

Functional-Business Requirements Traceability Matrix (Func-Bus RTM): A Func-Bus RTM is a document illustrating the direct relationship between business and functional requirements. The Func-Bus RTM should be built in Rational RequisitePro in conjunction with the creation of the URD. Since the Func-Bus RTM is a view in Rational RequisitePro, it must be converted into a comma-separated values (CSV) file, exported, and saved as an Excel document. This Excel document should then be distributed to the staff members responsible for reviewing the associated URD and Func-Bus RTM.

Functional Requirement: Specify *what* the system must be able to do, that is, the actions that a system must be able to perform against the input and output behavior of a system. A functional requirement is the continued definition, in system terms, of the general business requirement. A functional requirement is defined at the level that is consistent with the URD. These requirements are usually developed through activities such as JAD sessions. The ASU-CRM staff identifies functional requirements during JAD sessions with the Customer Agency and Applications Support Units. For each functional requirement identified, specific design details are broken out and then technical requirements are developed in detail.

Examples are:

Example 1: The LCD Database must provide 24-hour access for vendor data entry.

Example 2: The LCD Database must provide a front-end for data entry of forms.

Example 3: The LCD Database must calculate forms data into one table for all eight vendors.

Generation Data Group (GDG): GDG Is used to add, delete, change, and list generation data group index structures without having to know IBM utilities and catalog block structure. GDG appears as a

full-screen menu and parameter driven system with all actions performed by fill-in the blanks responses to English language questions.

INFOPAC: Mobius's product for "Report Management System (RMS)" online viewing and/or hardcopy reports.

Information Services (IS): The Division in the Department of Social Services that provides system design, development and technical support for the DSS agencies.

Initiative Management Office (IMO): The DSS office that provides overall project management to the initiative teams (i.e., project status and reporting, issue tracking, etc.), coordinating and troubleshooting operational components of initiatives, promoting alignment of initiatives.

Instructional Guide for Capturing Layouts: Provides guidelines on how to capture layouts (i.e. screen shots) of screens, reports, notices, checks, forms, etc. These layouts may be included as Current and Proposed Layout Exhibits in the URD and TDD, and may be used as proof (i.e., "Before" and "After") of testing results. Though capturing "before" and "after" screen shots of executed test scenarios are not required, the QAO recommends doing so. Screen shots provide additional documented verification that a test scenario was executed and they help to facilitate communication and repeatability of the executed test scenario. Screen shots also support the information provided in the Unit Test Plans, System Test Plans, and UAT Plans.

Java: An object-oriented programming language that is platform independent (the same Java program runs on all hardware platforms without modification) developed by Sun. Java is widely used on the Web for both client and server processing.

Job Control Language (JCL): A command language for mainframe operating systems that launches applications. It specifies jobname, jobclass, program modules or utilities to be executed, input and output datasets, print specifications, etc. A scripting programming language used by the IBM mainframe operating systems to instruct the Job Entry Subsystem (that is, JES2 or JES3) to run a batch program or start a subsystem computers, to manage the execution of one or more other programs in a pre-specified sequence; and includes information to control the processing by the other programs and references to specific data entries ("files"). It is used to identify a job to an operating system and to describe the job's requirements. JCL allows the execution of the object code of program modules, or utilities.

Joint Applications Design (JAD): JADs are held to discuss business, functional and technical specifications for the proposed system development efforts. Meetings may be attended by representatives of DSS.

Lightweight Directory Access Protocol (LDAP): A software protocol for querying information directories. Information directories contain information about organizations, individuals, and resources.

Louisiana Rehabilitation Services (LRS): LRS is comprised of the following: AWARE, Blind Services, Deaf Persons, LA Rehab Council, Offices, Vocational Rehabilitation Service.

Mail Operations Section: See Technical Support Unit / TSU DSS / IT Center Operations Unit / Mail Operations Section.

Mainframe: A computer used for mission critical applications, typically bulk data processing such as financial processing and is capable of supporting thousands of users in the Customer Agencies simultaneously.

N2O: Treehouse Software Inc.'s change management tool to migrate Natural source code/ object modules for application mainframe legacy systems.

Natural: Software AG's (SAG's) programming language currently utilized by most of the mainframe legacy application systems.

Office of Community Services (OCS): OCS is comprised of the following services: Adoption Services, Child Protection, Direct Deposit, Family Services, Foster Care, Offices, Louisiana Children's Trust Fund, Mandated Reporters Form, Infant Co-Sleeping Guidelines, Legal Fees In Child Welfare Cases, State and Federal Plans and Reports.

Office of Family Support (OFS): OFS is comprised of the following services: Child Care and Development Fund, Earned Income Tax Credit (EITC), Guides to Marriage/Children, Head Start Collaboration Project, LA TANF State Plan, Offices, Statistics, STEP Video WBRZ and the Stamp Out Fraud Hotline.

Office of Management and Finance (OMF): OMF is comprised of the following services: Budget, Fiscal Services, Human Resources, and Information Services.

Office of the Secretary (OS): OS is comprised of the following departments: Appeals, Audit, Licensing, Press Relations, Quality Assurance, Reforms Management and Strategic Planning.

Operations Section: See Technical Support Unit / TSU DSS / IT Center Operations Unit / Operations Section.

OSAS Library: See Technical Support Unit / TSU DSS / Open Systems Application Support (OSAS) Unit / OSAS Library.

Personal Computing (PC) Applications: PC is stand alone workstation or personal computer based applications. The systems are identified in the DSS System Documentation document located on the DSS Intranet, at the Information Systems link: http://intra/IS_Documents.aspx

Production Control: See Applications Support Unit / Applications Support Unit Staff / ASU - Production Control.

Project Management Office (PMO): The IS Division that manages a number of complex, broad business and technology projects within the Department of Social Services (DSS). The Project Management Office (PMO) develops, implements, and monitors project management practices to improve the success rate of DSS IS projects, delivers an improved quality of services to IS customers and solutions that best meet the needs of our Customer Agencies. In addition, the PMO advances communication efforts in order to improve customer service and employee satisfaction through the utilization of defined processes, procedures, and tools. The PMO focuses its efforts in a number of areas to achieve this result.

Project Manager: The person in the IS Division responsible for the project management (i.e. project plans, status reporting, issue and risk management, change control management, scope control, etc.), project supervision, and project oversight of an entire IS PMO project.

Quality Assurance Office (QAO): The unit within the Information Services (IS) Division that is responsible for leading the development of standards and establishment of practices and principles throughout the entire organization that will promote quality in the services and products provided to DSS. The QAO focuses on the utilization of SDLC methodology for designing, developing and implementing Applications systems. The SDLC methodology is defined by phases. Each phase is associated with predefined tasks, roles and responsibilities, and work products.

Rational Build Forge: An IBM Rational build and release management tool to migrate Java objects/code modules for web application systems.

Rational ClearQuest: An IBM Rational software tool utilized by DSS to assist in the tracking of key dates, approvals, and milestones related to applications development efforts, as well as the ability to prioritize those work efforts. The tool was customized by DSS to allow tracking throughout the SDLC. This tool is a client-server based application. It is desirable that this tool always be in sync with the current Applications SDLC Manual to insure the tracking of all appropriate dates, approvals, and milestones. File folder structures are utilized to allow storage of additional documents or attachments for a related work effort that constitute further system documentation beyond that stored in Rational RequisitePro.

Rational RequisitePro: An IBM Rational software tool utilized by DSS to assist in requirements management. This tool is a client-server based application. The application enables the identification of requirements within BRDs, URDs and TDDs, and subsequently development of the corresponding Requirement Traceability Matrices (RTMs) views. File folder structures are utilized to allow storage of the work products, BRDs, URDs, TDDs, RTM views, and Supplemental Notice/Form documents when required by the Customer Agency.

Rational Toolset: IBM has a suite of Rational software products. The QAO currently utilizes only Rational RequisitePro and Rational ClearQuest as quality assurance tools.

Requirements Traceability Matrix (RTM): The RTM is utilized to trace the business requirements received from the Customer Agency at the inception of the work effort through all phases of the SDLC. Each business requirement may have one or more functional requirements and each functional requirement may have one or more technical requirements. Each business requirement will be mapped to functional requirements, technical requirements, coding, and testing scripts and cases. The process will map these requirements to the work products that support each requirement at each stage of the process, from the business requirements in the Business Modeling Phase, through the functional requirements of the URD in the Analysis and Design Phase, through the technical requirements of the TDD in the Analysis and Design Phase, through the definition of test scenarios and their results in various testing phases, and implementation of these requirements in the Implementation Phase. The RTM exists to ensure that all requirements are addressed, and that there are not gaps in the implemented solutions. The RTM is utilized throughout the process to ensure work products are traced to baseline requirements. The end goal of this process is to increase the quality and consistency of implemented solutions and to put into place established checkpoints to increase communication and understanding as to the desired end products.

Requirements traceability is a process to verify that the requirements received at the inception of the work effort are addressed throughout the SDLC. During the requirements traceability process all requirements are identified and tracked through all phases.

RequisitePro: See 'Rational RequisitePro'.

Security Unit: See Technical Support Unit / TSU DSS / Security Unit.

Shadow: DataDirect's middleware that is a mainframe integration product that allows an open system application to communicate with the mainframe. Shadow serves as a transportation of data to and from ADABAS via data maps (local statements), parameters, and call statements. All of the processing or business logic still remains on the mainframe through Natural subprograms.

Subject Matter Expert (SME): SMEs provide program functional expertise and they may be called upon for their assistance. Normally, SMEs are identified in the Customer Agencies, although Subject Matter Experts can be identified anywhere.

Supplemental Notice/Form Document: An ancillary document to the URD and TDD that documents a graphic image of a notice/form to portray specialized formatting (i.e. page breaks, centering, font sizes, styles, etc.). It is utilized only when requested by the Customer Agency.

System Development Activities: Include the following: modification to existing functionality for existing systems; addition of new functionality to existing systems; and creation of new systems. These activities may be initiated for various reasons such as, but not limited to, DSS Secretary or executive staff mandates; federal or state government legislation; federal or state government mandates; production problems; and research inquiries.

System Development Life Cycle (SDLC): An organized, structured methodology for designing, developing, testing, implementing, and continuing support of a system. It is defined by interrelated phases characterized by predefined tasks, roles and responsibilities and work products. The purpose of an SDLC is to provide a structured framework against which system development activities occur. Employing a structured framework facilitates coordination, control and management of all system development efforts, including the development of new systems and enhancements to existing systems.

System Test Plan: A document that identifies and guides system testing. It provides documentation on the system test scenarios that were executed and the results that were achieved.

System Testing: The process of testing executable code modules as integrated components by the Applications Support Unit to verify they provide the functionality specified by the functional and technical requirements and that they work correctly.

Technical Design Document (TDD): Detailed technical requirements document created by the Applications Support Unit upon receipt, review and approval of the URD. The TDD which includes the Tech-Func RTM, provides detailed specifications for processing logic, interfaces, input/output methods, etc.

Technical Environment Readiness Checklist (TERC): Identifies standardized activities to prepare technical environments.

Technical Environment Readiness Checklist - Environments Matrix: This is a section of the TERC document. Identifies responsible party and date of completion of standardized activities, as they are completed in each technical environment

Technical-Functional Requirements Traceability Matrix (Tech-Func RTM): A Tech-Func Requirement Traceability Matrix is a document illustrating the direct relationship between functional and technical requirements. The Tech-Func RTM should be built in Rational RequisitePro in conjunction with the creation of the TDD. Since the Tech-Func RTM is a view in Rational RequisitePro, it must be converted into a comma-separated values (CSV) file, exported, and saved as an Excel document. This Excel document should then be distributed to the staff members responsible for reviewing the associated TDD and Tech-Func RTM.

Technical Functionality Checklist: An aid that may be used when reviewing Code Modules and Unit and System Test Plans. The checklist contains questions that may help to identify defects and omissions.

Technical Requirements: Specify *how* the system is going to perform, that is, the action(s) that need(s) to be performed to achieve the desired behavior of the system. Technical requirements are the continued definition of functional requirements into how specific actions will be completed by the system to obtain desired results. A technical requirement is defined at the level that is consistent with the TDD. These requirements are usually developed by the Applications Support Unit based on the interpretation and conversion of the functional requirements communicated through the URD into specific system terms. Technical requirements are identified by the Applications Support Unit based on the business and functional requirements identified in the URD and during JAD sessions with the ASU-CRM and Customer Agencies.

Examples are:

Example 1: The system will compare current arrears to past month arrears to determine if payee is in default.

Example 2: The system will compare the current user id table to the entered user id to authenticate VPN (Virtual Private Network) access.

Technical Support Unit (TSU): The unit responsible for assessing, procuring, testing, configuring, installing, maintaining, and supporting all computer hardware and software for DSS, statewide.

TSU DSS (Department of Social Services):

Contract Support: The non-state employed staff in the IS Division's Technical Support Unit responsible for assisting with assessing, procuring, testing, configuring, installing, maintaining, and supporting all computer hardware and software for DSS, statewide.

Database Administrator (DBA)Unit: The staff in the IS Division's Technical Support Unit that provides a centralized collection of information (data) in a repository (Adabas, DB2, SQL) for all agencies within the Department of Social Services, as well as the

Department of Health and Hospitals. The DBA provides the following services: database maintenance (i.e. restoring a database); file maintenance (i.e. file reorders, file increase, adding fields to a file, removing fields from a file); generating DDM's in PREDICT; backing up and restoring files etc; monitoring and assisting the ASU-PLs, ASU-LAs, or ASU-Contract Support with movement of data and programs between Adabas, DB2, and SQL; building of databases; provides service support to DSS 24 hours a day, 7 days a week through monitoring the databases(s) and reviewing and approving new design or modifications (i.e. system design, file design, and library design) of Application Systems; consults with management to determine needs and develop strategies, and implementation schedules; consults with clients (customers), and administrators to discuss and resolve goals and strategies, issues and/or problems of a complex nature; provides on-call assistance for Adabas, DB2, and SQL after regular work hours and weekends. All DSS DBA work is subject to / under management scrutiny of the state DBA IT Technical Support Supervisor and Manager.

IT Center Operations Unit: includes the Operations Section and Mail Operations Sections.

Operations Section: The staff in the IS Division that provides support for batch production for over 50 DSS/DHH programs running over 500 batch jobs per night; system monitoring of DSS/DHH mainframe computer systems which include Databases and Online Systems; DSS/DHH IT printing using IBM 4000 mainframe printers for parish, region, vendor and clients associated; batch production; and system on-call.

Mail Operations Section:

Insert and Seal: The staff in the IS Division that prints notices, checks letters, invoices etc.; sorts mail; inserts and mails system generated printed output.

Mail Messenger Service: The staff in the IS Division that delivers mail in house, delivers mail to other locations, and delivers mail to the United States Postal Service.

Open Systems Application Support (OSAS) Unit: includes a number of subunits which are described below. These subunits include: Mission Applications, Printing Support, Messaging and Managed Services, and Enterprise Application and Client.

OSAS Enterprise Application and Client: The roles and responsibilities for OSAS-Client include: building of NAL applications; desktop applications version control; support of desktop applications, third-party software; and remote access to users computers to provide service.

OSAS Library: The staff within the Information Services (IS) Division that is responsible for the support of Mobius Corporation's product INFOPAC, a report management system. The tool allows for hardcopy reports and/or online viewing and versioning of reports. This unit provides support in the setup of these reports within the tool; in handling special requests for printing of reports; in the retrieval of reports from archive; and/or in the addition/revision of recipients of reports.

OSAS Messaging and Managed Services: Focus of the area is on messaging and managed services, deals with all areas including: messaging, calendar, communication to the outside world including fax, aircards at shelters, internal/GroupWise messenger.

OSAS (Mission Applications) MA: OSAS-Mission Applications is responsible for providing support of specialized software for specialized projects, technical support to users of multiple third party applications, and is responsible for client/server applications like Rational, Websphere, and Adobe.

OSAS Printing Support: The OSAS-Printing Support area is responsible for maintaining, troubleshooting, installing, supporting and creating printers; providing support to users in getting reports recognized to the on-line report distribution system Infopac; sweeps, prints, reprints, maintenance updates; and Authorization of Production forms.

Security Unit: The Security area is responsible for creating, maintaining and deletion of user id's for the network, mainframe and various applications (moving, transferring, deleting) for approximately 60 applications. Responsible for virus scans, spyware removal, patch management, audits, LDAP security, PC investigations, FTP processes, laptop/wireless security, network security, define new application security, supporting current security, and supporting security activities on projects; internet usage reporting, network access monitoring, mainframe violation reports; internal vulnerabilities network scan assessments; rouge software installation reporting; and certificate management.

User Support Center (USC): The Unit within the IS Division that is responsible for monitoring and reporting activities of a data network center by performing as the liaison for the Customer Agency and vendor community. The Help Desk assists in the installation, service, and configuration of telecommunication and PC equipment in the network. The Help Desk responds to Customer Agencies with problems via telephone and Microsoft Office Outlook for problem resolution and utilizes the AR Remedy System to record and track user issues from recognition to resolution.

TSU DOA (Division of Administration)

Unit Test Plan: A document that identifies and guides unit testing. It provides documentation on the unit test scenarios that were executed and the results that were achieved.

Unit Testing: The process of testing an executable code module by the Applications Support Unit to verify that it provides the functionality specified by the functional and technical requirements and that it works correctly.

User Acceptance Test (UAT): The process of testing the functionality of the code by the Customer Agency to validate a new application or changes to an existing system prior to implementation.

User Acceptance Test (UAT) Plan: The UAT Plan guides testing activities and it provides documentation on the testing that was conducted and the results that were achieved.

User Interface: The junction between a user and a computer application. A user interface is a set of commands or menus that controls a display for the user and allows the user to interact with the application.

User Request Form Number (URF #): A number generated in BATS and used for Cost Allocation purposes. The number is retrieved by the ASU-CRM and communicated to the Applications Support Unit and Customer Agencies when a development effort is initiated and moving forward. This number serves as an identifier on work products, such as URDs and TDDs, and correspondences. This number used to be recorded on the User Request Form, which is now obsolete.

User Requirements Document (URD): Detailed functional requirements document created by the ASU-CRM. The URD, which includes the Func-Bus RTM, provides the system needs and outcomes that the Customer Agency desires.

User Support Center (USC): See Technical Support Unit / TSU DSS / User Support Center.

Web Applications: Web based applications are internet and/or intranet accessible. The systems are identified in the DSS System Documentation document located on the DSS Intranet, at the Information Systems link: http://intra/Information_Systems/index.html

Zeke: Allen Systems Group Inc.'s (ASG's), mainframe based enterprise scheduling tool. Zeke is a scheduling system that automates the production control process by scheduling and dispatching events. Zeke allows you to schedule manual tasks for remote users at work centers. Zeke interfaces completion of these manual tasks, such as entering job parameters (dates, data set names, routing, etc.) with tasks performed on the computer. This product can communicate with the Zena product.

Zena: Allen Systems Group Inc.'s (ASG's) open systems based robust enterprise-wide workload management solution for distributed operations environments that support "event-based" scheduling as well as traditional date- and time-based scheduling methodologies. Zena is a scheduling system that automates the production control process by scheduling and dispatching events. This product can communicate with the Zeke product.

3.0 Acronym List

ADABAS:	Adaptable Data Base System
ASU:	Applications Support Unit
ASU-CRM:	Applications Support Unit, Customer Relationship Manager
ASU-LA:	Applications Support Unit, Lead Analyst
ASU-PC :	Applications Support Unit, Production Control
ASU-PL:	Applications Support Unit, Project Leader
BATS:	Billing and Tracking System
CAPS:	Child Care Assistance Program System
COBOL:	COmmon Business Oriented Language
COOP/COG:	Continuity of Operations / Continuity of Government
DBA:	Database Administrator
DHH:	Department of Health and Hospitals
DSNAP:	Disaster Supplemental Nutrition Assistance Program
DSS:	Department of Social Services
FINDWork:	Family Independence Work Program
Func-Bus	
RTM:	Functional-Business Requirements Traceability Matrix
GDG:	Generation Data Group
IMO:	Initiative Management Office
IS:	Information Services
ISIS:	Integrated Statewide Information Systems
JAD:	Joint Applications Design
JAS:	Jobs Automated System
JCL:	Job Control Language
LARE:	Louisiana Adoption Resource Exchange
L'AMI:	Louisiana Automated Management Information System
LASES:	Louisiana Automated Support Enforcement System
LDAP:	Lightweight Directory Access Protocol
LRS:	Louisiana Rehabilitation Services
OCS:	Office of Community Services

OFS:	Office of Family Support
OMF:	Office of Management and Finance
OS:	Office of the Secretary
OSAS:	Open Systems Application Support
PS-1:	Program Specialist 1
PS-2:	Program Specialist 2
RAS:	Recovery Accounts System
RMS:	Random Moment Sampling
SDLC:	System Development Life Cycle
SIEVS:	Statewide Income Eligibility Verification System
SME:	Subject Matter Expert
SNAP:	Supplemental Nutrition Assistance Program
STEP:	Strategies To Empower People
TDD:	Technical Design Document
Tech-Func	
RTM:	Technical-Functional Requirements Traceability Matrix
TERC:	Technical Environment Readiness Checklist
TIPS:	Tracking Information and Payment System
TSU:	Technical Support Unit
UAT:	User Acceptance Test
UI:	User Interface
URD:	User Requirements Document
URF #:	User Request Form Number

4.0 Planning and Tracking Phase – TBD

This section will be finalized at a later date.

4.1. Purpose and Overview

The SDLC Checklist was developed to provide a concise reference that identifies the SDLC activities, decisions, and work products, related mentors, SDLC Manual References, SDLC responsibilities and related tools and their areas of responsibility. The italicized shading emphasizes the SDLC critical checkpoints. This checklist may be utilized as an aide in project tracking and organization. The checklist can be found by referencing Section 1.1 QAO Website Navigation or at this link http://intra/QAO_SDLC_Templates.aspx under the Planning and Tracking Phase.

Exhibit 4.1 SDLC Checklist

SDLC CHECKLIST							
URF #:				System:			
URF Description:							
<i>Checkpoints Identified in Shaded Italics</i>							
Activity Decision or Work Product	Description	Mentor	SDLC Manual Reference	SDLC Areas of Responsibility	Rational Applications		If Complete
					Areas of Responsibility	Tool Utilized	
Business Modeling Phase - BRD							
A	Need for System Change Identified	Anthony Napolitano	Section 5.3 Exhibit 5.1	Customer Agency Lead			<input type="checkbox"/>
A	Review of Policy and Regulations	Anthony Napolitano	Section 5.3 Exhibit 5.1	Customer Agency PS-1			<input type="checkbox"/>
A	Internal Assessment Meeting to Assign Priority Based on Current Activities and Timelines	Anthony Napolitano	Section 5.3 Exhibit 5.1	Customer Agency Lead	ASU-ASU-CRM	CLRQST	<input type="checkbox"/>
D	Current Priority?	NA	Section 5.3 Exhibit 5.1	Customer Agency Lead			<input type="checkbox"/>
A	Add to Internal Priority List (Address when Becomes Priority and Resources Available)	Anthony Napolitano	Section 5.3 Exhibit 5.1	Customer Agency Lead			<input type="checkbox"/>
WP	Internal Priority List	Anthony Napolitano	Section 5.3 Exhibit 5.1	Customer Agency Lead			<input type="checkbox"/>
D	Resources Available?	NA	Section 5.3 Exhibit 5.1	Customer Agency Lead			<input type="checkbox"/>
A	Reprioritize Activities or Hold Until Resources Available	Anthony Napolitano	Section 5.3 Exhibit 5.1	Customer Agency Lead			<input type="checkbox"/>
A	Schedule Internal JAD or Internal Meeting with Subject Matter Experts and Customer Agency Staff	Anthony Napolitano	Section 5.3 Exhibit 5.1	Customer Agency PS-1			<input type="checkbox"/>
A	Conduct Internal JAD or Internal Meeting with Subject Matter Experts to Define Business Requirements	Anthony Napolitano	Section 5.3 Exhibit 5.1	Customer Agency Lead	ASU-ASU-CRM	CLRQST	<input type="checkbox"/>
A	Create Draft Business Requirement Document (BRD)	Anthony Napolitano	Section 5.3 Exhibit 5.1	Customer Agency PS-1			<input type="checkbox"/>
WP	Draft BRD	Anthony Napolitano	Section 5.3 Exhibit 5.1	Customer Agency PS-1			<input type="checkbox"/>
A	Review, Amend, Finalize and Approve BRD	Anthony Napolitano	Section 5.3 Exhibit 5.1	Customer Agency PS-1			<input type="checkbox"/>
WP	Final Approved BRD	Anthony Napolitano	Section 5.3 Exhibit 5.1	Customer Agency PS-1			<input type="checkbox"/>
A	Produce Preliminary Timeline Project Plan	Anthony Napolitano	Section 5.3 Exhibit 5.1	ASU-PL			<input type="checkbox"/>
WP	Preliminary Timeline Project Plan	Anthony Napolitano	Section 5.3 Exhibit 5.1	ASU-PL	ASU-PL	CLRQST	<input type="checkbox"/>
A	BRD Provided to Applications Support Unit and ASU-CRM to Prepare for Functional JAD	Anthony Napolitano	Section 5.3 Exhibit 5.1	Customer Agency Lead	ASU-CRM	REQPRO	<input type="checkbox"/>
A	Create URF # in BATS and e-mail to Customer Agency and Applications Support Unit	Shelia Moreland	Section 5.3 Exhibit 5.1	ASU-CRM	ASU-CRM	BATS CLRQST	<input type="checkbox"/>
D	Schedule Business Requirements Meeting?	NA	Section 5.3 Exhibit 5.1	ASU-CRM			<input type="checkbox"/>
A	Conduct Business Requirements Meeting	Shelia Moreland	Section 5.3 Exhibit 5.1	ASU-CRM	ASU-CRM	CLRQST	<input type="checkbox"/>
Analysis and Design Phase - URD							
D	Schedule Functional Requirements JAD Session?	NA	Section 6.3 Exhibit 6.1	ASU-CRM	ASU-CRM	CLRQST	<input type="checkbox"/>
A	Conduct Functional Requirements JAD Session	Shelia Moreland	Section 6.3 Exhibit 6.1	ASU-CRM	ASU-CRM	CLRQST	<input type="checkbox"/>
A	Create and Issue Draft URD	Shelia Moreland	Section 6.3 Exhibit 6.1	ASU-CRM			<input type="checkbox"/>
WP	Draft URD	Shelia Moreland	Section 6.3 Exhibit 6.1	ASU-CRM			<input type="checkbox"/>
D	Schedule Draft URD Review?	NA	Section 6.3 Exhibit 6.1	ASU-CRM	ASU-CRM	CLRQST	<input type="checkbox"/>
A	Conduct Draft URD Review	Shelia Moreland	Section 6.3 Exhibit 6.1	ASU-CRM	ASU-CRM	CLRQST	<input type="checkbox"/>
D	Amend URD?	NA	Section 6.3 Exhibit 6.1	ASU-CRM			<input type="checkbox"/>
D	Approve URD?	NA	Section 6.3 Exhibit 6.1	ASU-CRM	ASU-CRM	CLRQST	<input type="checkbox"/>
WP	Final Approved URD	Shelia Moreland	Section 6.3 Exhibit 6.1	ASU-CRM	ASU-CRM	REQPRO	<input type="checkbox"/>
WP	Func-Bus RTM, View Developed Version	Shelia Moreland	Section 6.5.1	ASU-CRM	ASU-CRM	REQPRO	<input type="checkbox"/>
WP	Func-Bus RTM, Excel Exported Version	Shelia Moreland	Section 6.5.1	ASU-CRM	ASU-CRM	CLRQST	<input type="checkbox"/>

SDLC CHECKLIST							
URF #:				System:			
URF Description:							
<i>Checkpoints Identified in Shaded Italics</i>							
Activity Decision or Work Product	Description	Mentor	SDLC Manual Reference	SDLC Areas of Responsibility	Rational Applications		▼ if Completed
					Areas of Responsibility	Tool Utilized	
Analysis and Design Phase - TDD							
D	Schedule Applications Internal Meeting?	NA	Section 6.3 Exhibit 6.1	ASU-PL, ASU-LA	ASU-PL, ASU-LA	CLRQST	<input type="checkbox"/>
A	Conduct Applications Internal Meeting	Kevin Bourgeois	Section 6.3 Exhibit 6.1	ASU-PL, ASU-LA	ASU-PL, ASU-LA	CLRQST	<input type="checkbox"/>
D	Schedule Technical Requirements JAD Session?	NA	Section 6.3 Exhibit 6.1	ASU-PL, ASU-LA	ASU-PL, ASU-LA	CLRQST	<input type="checkbox"/>
A	Conduct Technical Requirements JAD Session	Kevin Bourgeois	Section 6.3 Exhibit 6.1	ASU-PL, ASU-LA	ASU-PL, ASU-LA	CLRQST	<input type="checkbox"/>
A	Create and Issue Draft TDD	Kevin Bourgeois	Section 6.3 Exhibit 6.1	ASU-PL, ASU-LA			<input type="checkbox"/>
WP	Draft TDD	Kevin Bourgeois	Section 6.3 Exhibit 6.1	ASU-PL, ASU-LA			<input type="checkbox"/>
D	Schedule Draft TDD Review?	NA	Section 6.3 Exhibit 6.1	ASU-PL, ASU-LA	ASU-PL, ASU-LA	CLRQST	<input type="checkbox"/>
A	Conduct Draft TDD Review	Kevin Bourgeois	Section 6.3 Exhibit 6.1	ASU-PL, ASU-LA	ASU-PL, ASU-LA	CLRQST	<input type="checkbox"/>
D	Amend TDD?	NA	Section 6.3 Exhibit 6.1	ASU-PL, ASU-LA			<input type="checkbox"/>
D	Approve TDD?	NA	Section 6.3 Exhibit 6.1	ASU-PL, ASU-LA	ASU-CRM	CLRQST	<input type="checkbox"/>
WP	<i>Final Approved TDD</i>	<i>Kevin Bourgeois</i>	<i>Section 6.3 Exhibit 6.1</i>	<i>ASU-PL, ASU-LA</i>	<i>ASU-PL, ASU-LA</i>	<i>REQPRO</i>	<input type="checkbox"/>
WP	<i>Tech-Func RTM, View Developed Version</i>	<i>Kevin Bourgeois</i>	<i>Section 6.5.1</i>	<i>ASU-PL, ASU-LA</i>	<i>ASU-PL, ASU-LA</i>	<i>REQPRO</i>	<input type="checkbox"/>
WP	<i>Tech-Func RTM, Excel Exported Version</i>	<i>Kevin Bourgeois</i>	<i>Section 6.5.1</i>	<i>ASU-PL, ASU-LA</i>	<i>ASU-PL, ASU-LA</i>	<i>CLRQST</i>	<input type="checkbox"/>
Analysis and Design Phase - UAT							
A	Identify Preliminary UAT Strategy	Shella Moreland	Section 6.3 Exhibit 6.2	Customer Agency			<input type="checkbox"/>
D	Schedule UAT Strategy Meeting?	NA	Section 6.3 Exhibit 6.2	Customer Agency	ASU-CRM	CLRQST	<input type="checkbox"/>
A	Conduct UAT Strategy Meeting	Shella Moreland	Section 6.3 Exhibit 6.2	Customer Agency	ASU-CRM	CLRQST	<input type="checkbox"/>
A	Create & Issue Draft UAT Plan	Shella Moreland	Section 6.3 Exhibit 6.2	Customer Agency			<input type="checkbox"/>
WP	Draft UAT Plan	Shella Moreland	Section 6.3 Exhibit 6.2	Customer Agency			<input type="checkbox"/>
D	Schedule Draft UAT Plan Review?	NA	Section 6.3 Exhibit 6.2	Customer Agency	ASU-CRM	CLRQST	<input type="checkbox"/>
A	Conduct Draft UAT Plan Review	Shella Moreland	Section 6.3 Exhibit 6.2	Customer Agency	ASU-CRM	CLRQST	<input type="checkbox"/>
D	Amend UAT Plan?	NA	Section 6.3 Exhibit 6.2	Customer Agency			<input type="checkbox"/>
D	Approve UAT Plan?	NA	Section 6.3 Exhibit 6.2	Customer Agency	ASU-CRM	CLRQST	<input type="checkbox"/>
WP	<i>Final Approved UAT Plan</i>	<i>Shella Moreland</i>	<i>Section 6.3 Exhibit 6.2</i>	<i>Customer Agency</i>	<i>ASU-CRM</i>	<i>CLRQST</i>	<input type="checkbox"/>

SDLC CHECKLIST							
URF #:				System:			
URF Description:							
<i>Checkpoints Identified in Shaded Italics</i>							
Activity Decision or Work Product	Description	Mentor	SDLC Manual Reference	SDLC Areas of Responsibility	Rational Applications		if Completed
					Areas of Responsibility	Tool Utilized	
Development & Unit Test Phase							
A	Create Draft Unit Test Plan	Kevin Bourgeois	Section 7.3 Exhibit 7.1	ASU-PL, ASU-LA			<input type="checkbox"/>
WP	Draft Unit Test Plan	Kevin Bourgeois	Section 7.3 Exhibit 7.1	ASU-PL, ASU-LA			<input type="checkbox"/>
A	Schedule Draft Unit Test Plan Review	Kevin Bourgeois	Section 7.3 Exhibit 7.1	ASU-PL, ASU-LA			<input type="checkbox"/>
A	<i>Conduct Draft Unit Test Plan Review</i>	Kevin Bourgeois	Section 7.3 Exhibit 7.1	ASU-PL, ASU-LA	ASU-PL, ASU-LA	CLRQST	<input type="checkbox"/>
D	Approve Unit Test Plan?	NA	Section 7.3 Exhibit 7.1	ASU-PL, ASU-LA			<input type="checkbox"/>
WP	Final Unit Test Plan	Kevin Bourgeois	Section 7.3 Exhibit 7.1	ASU-PL, ASU-LA			<input type="checkbox"/>
A	Prepare Technical Environment Readiness Checklist and Update TERC - Environments Matrix - Development	Kevin Bourgeois	Section 7.3 Exhibit 7.1	ASU-PL, ASU-LA			<input type="checkbox"/>
WP	<i>Technical Environment Readiness Checklist - TERC Environments Matrix - Development</i>	Kevin Bourgeois	Section 7.3 Exhibit 7.1	ASU-PL, ASU-LA	ASU-PL, ASU-LA	CLRQST	<input type="checkbox"/>
A	Prepare Development Environment	Kevin Bourgeois	Section 7.3 Exhibit 7.1	ASU-PL, ASU-LA			<input type="checkbox"/>
A	Create or Modify Code Module(s)	Kevin Bourgeois	Section 7.3 Exhibit 7.1	ASU-PL, ASU-LA			<input type="checkbox"/>
WP	New or Modified Code Module(s)	Kevin Bourgeois	Section 7.3 Exhibit 7.1	ASU-PL, ASU-LA			<input type="checkbox"/>
A	Execute Unit Test Scenario In Final Unit Test Plan	Kevin Bourgeois	Section 7.3 Exhibit 7.1	ASU-PL, ASU-LA			<input type="checkbox"/>
D	Unit Test Scenario Passed?	NA	Section 7.3 Exhibit 7.1	ASU-PL, ASU-LA			<input type="checkbox"/>
A	Update Unit Test Scenario In Final Unit Test Plan	Kevin Bourgeois	Section 7.3 Exhibit 7.1	ASU-PL, ASU-LA			<input type="checkbox"/>
D	All Unit Test Scenarios Passed?	NA	Section 7.3 Exhibit 7.1	ASU-PL, ASU-LA			<input type="checkbox"/>
WP	Final Unit Test Plan & Results	Kevin Bourgeois	Section 7.3 Exhibit 7.1	ASU-PL, ASU-LA			<input type="checkbox"/>
A	Schedule Code Module & Final Unit Test Plan & Results Review	Kevin Bourgeois	Section 7.3 Exhibit 7.1	ASU-PL, ASU-LA			<input type="checkbox"/>
A	<i>Conduct Code Module & Final Unit Test Plan & Results Review</i>	Kevin Bourgeois	Section 7.3 Exhibit 7.1	ASU-PL, ASU-LA	ASU-PL, ASU-LA	CLRQST	<input type="checkbox"/>
D	Approve Code Modules & Final Unit Test Plan & Results?	NA	Section 7.3 Exhibit 7.1	ASU-PL, ASU-LA	ASU-PL, ASU-LA	CLRQST	<input type="checkbox"/>
WP	<i>Final Approved Code Modules</i>	Kevin Bourgeois	Section 7.3 Exhibit 7.1	ASU-PL, ASU-LA			<input type="checkbox"/>
WP	<i>Final Approved Unit Test Plan & Results</i>	Kevin Bourgeois	Section 7.3 Exhibit 7.1	ASU-PL, ASU-LA	ASU-PL, ASU-LA	CLRQST	<input type="checkbox"/>
A	Discussion/Meeting to Determine Point of Failure, Point of Return, & Next Steps	Kevin Bourgeois	Section 7.3 Exhibit 7.1	ASU-PL, ASU-LA	ASU-PL, ASU-LA	CLRQST	<input type="checkbox"/>

SDLC CHECKLIST							
URF #:				System:			
URF Description:							
<i>Checkpoints Identified in Shaded Italics</i>							
Activity Decision or Work Product	Description	Mentor	SDLC Manual Reference	SDLC Areas of Responsibility	Rational Applications		If Completed
					Areas of Responsibility	Tool Utilized	
System Test Phase							
A	Create Draft System Test Plan	Kevin Bourgeois	Section 8.3 Exhibit 8.1	ASU-PL, ASU-LA			<input type="checkbox"/>
WP	Draft System Test Plan	Kevin Bourgeois	Section 8.3 Exhibit 8.1	ASU-PL, ASU-LA			<input type="checkbox"/>
A	Schedule Draft System Test Plan Review	Kevin Bourgeois	Section 8.3 Exhibit 8.1	ASU-PL, ASU-LA	ASU-PL, ASU-LA	CLRQST	<input type="checkbox"/>
A	<i>Conduct Draft System Test Plan Review</i>	Kevin Bourgeois	Section 8.3 Exhibit 8.1	ASU-PL, ASU-LA	ASU-PL, ASU-LA	CLRQST	<input type="checkbox"/>
D	Approve System Test Plan?	NA	Section 8.3 Exhibit 8.1	ASU-PL, ASU-LA			<input type="checkbox"/>
WP	Final System Test Plan	Kevin Bourgeois	Section 8.3 Exhibit 8.1	ASU-PL, ASU-LA	ASU-PL, ASU-LA	CLRQST	<input type="checkbox"/>
A	Update TERC - Environments Matrix - System Test	Kevin Bourgeois	Section 8.3 Exhibit 8.1	ASU-PL, ASU-LA			<input type="checkbox"/>
WP	<i>Technical Environment Readiness Checklist - TERC Environments Matrix - System Test</i>	Kevin Bourgeois	Section 8.3 Exhibit 8.1	ASU-PL, ASU-LA	ASU-PL, ASU-LA	CLRQST	<input type="checkbox"/>
A	Prepare System Test Environment	Kevin Bourgeois	Section 8.3 Exhibit 8.1	ASU-PL, ASU-LA			<input type="checkbox"/>
A	Execute System Test Scenario in Final System Test Plan	Kevin Bourgeois	Section 8.3 Exhibit 8.1	ASU-PL, ASU-LA			<input type="checkbox"/>
D	System Test Scenario Passed?	NA	Section 8.3 Exhibit 8.1	ASU-PL, ASU-LA			<input type="checkbox"/>
A	Update System Test Scenario in Final System Test Plan	Kevin Bourgeois	Section 8.3 Exhibit 8.1	ASU-PL, ASU-LA			<input type="checkbox"/>
A	Discussion/Meeting to Determine Point of Failure, Point of Return, & Next Steps	Kevin Bourgeois	Section 8.3 Exhibit 8.1	ASU-PL, ASU-LA	ASU-PL, ASU-LA	CLRQST	<input type="checkbox"/>
D	All System Test Scenarios Passed?	NA	Section 8.3 Exhibit 8.1	ASU-PL, ASU-LA			<input type="checkbox"/>
WP	Final System Test Plan & Results	Kevin Bourgeois	Section 8.3 Exhibit 8.1	ASU-PL, ASU-LA			<input type="checkbox"/>
A	Schedule Final System Test Plan & Results Review	Kevin Bourgeois	Section 8.3 Exhibit 8.1	ASU-PL, ASU-LA			<input type="checkbox"/>
A	<i>Conduct Final System Test Plan & Results Review</i>	Kevin Bourgeois	Section 8.3 Exhibit 8.1	ASU-PL, ASU-LA	ASU-PL, ASU-LA	CLRQST	<input type="checkbox"/>
D	Approve Final System Test Plan & Results?	NA	Section 8.3 Exhibit 8.1	ASU-PL, ASU-LA	ASU-PL, ASU-LA	CLRQST	<input type="checkbox"/>
WP	<i>Final Approved System Test Plan & Results</i>	Kevin Bourgeois	Section 8.3 Exhibit 8.1	ASU-PL, ASU-LA	ASU-PL, ASU-LA	CLRQST	<input type="checkbox"/>
A	Discussion/Meeting to Determine Point of Failure, Point of Return, & Next Steps	Kevin Bourgeois	Section 8.3 Exhibit 8.1	ASU-PL, ASU-LA	ASU-PL, ASU-LA	CLRQST	<input type="checkbox"/>
User Acceptance Test Phase							
A	Update TERC - Environments Matrix - UAT	Kevin Bourgeois	Section 9.3 Exhibit 9.1	ASU-PL, ASU-LA			<input type="checkbox"/>
WP	<i>Technical Environment Readiness Checklist - TERC Environments Matrix - UAT</i>	Kevin Bourgeois	Section 9.3 Exhibit 9.1	ASU-PL, ASU-LA	ASU-CRM - Chkbox Only	CLRQST	<input type="checkbox"/>
A	Prepare UAT Environment	Kevin Bourgeois	Section 9.3 Exhibit 9.1	ASU-PL, ASU-LA			<input type="checkbox"/>
A	Execute UAT Scenario in UAT Plan	Sheila Moreland	Section 9.3 Exhibit 9.1	Customer Agency			<input type="checkbox"/>
D	UAT Scenario Passed?	NA	Section 9.3 Exhibit 9.1	Customer Agency			<input type="checkbox"/>
A	Update UAT Scenario in UAT Plan	Sheila Moreland	Section 9.3 Exhibit 9.1	Customer Agency			<input type="checkbox"/>
A	Discussion/Meeting to Determine Point of Failure, Point of Return, & Next Steps	Sheila Moreland	Section 9.3 Exhibit 9.1	Customer Agency			<input type="checkbox"/>
D	All UAT Scenarios Passed?	NA	Section 9.3 Exhibit 9.1	Customer Agency			<input type="checkbox"/>
WP	Final UAT Plan & Results	Sheila Moreland	Section 9.3 Exhibit 9.1	Customer Agency			<input type="checkbox"/>
A	Schedule Final UAT Plan & Results Review	Sheila Moreland	Section 9.3 Exhibit 9.1	Customer Agency	ASU-CRM	CLRQST	<input type="checkbox"/>
A	<i>Conduct Final UAT Plan & Results Review</i>	Sheila Moreland	Section 9.3 Exhibit 9.1	Customer Agency	ASU-CRM	CLRQST	<input type="checkbox"/>
D	Approve Final UAT Plan & Results?	NA	Section 9.3 Exhibit 9.1	Customer Agency	ASU-CRM	CLRQST	<input type="checkbox"/>
WP	<i>Final Approved UAT Plan & Results</i>	Sheila Moreland	Section 9.3 Exhibit 9.1	Customer Agency	ASU-CRM	CLRQST	<input type="checkbox"/>
A	Discussion/Meeting to Determine Point of Failure, Point of Return, & Next Steps	Sheila Moreland	Section 9.3 Exhibit 9.1	Customer Agency	ASU-CRM	CLRQST	<input type="checkbox"/>

SDLC CHECKLIST							
URF #:				System:			
URF Description:							
<i>Checkpoints Identified in Shaded Italics</i>							
Activity Decision or Work Product	Description	Mentor	SDLC Manual Reference	SDLC Areas of Responsibility	Rational Applications		if Completed
					Area of Responsibility	Tool Utilized	
Implementation Phase							
A	Conduct Implementation Planning Meeting	Sheila Moreland	Section 10.3 Exhibit 10.1	ASU-CRM	ASU-CRM	CLRQST	<input type="checkbox"/>
WP	Implementation Plan	Sheila Moreland	Section 10.3 Exhibit 10.1	ASU-CRM	ASU-CRM	CLRQST	<input type="checkbox"/>
D	Training Environment Updates Needed?	NA	Section 10.3 Exhibit 10.1	ASU-PL, ASU-LA			<input type="checkbox"/>
A	Update TERC - Environments Matrix - Training	Kevin Bourgeois	Section 10.3 Exhibit 10.1	ASU-PL, ASU-LA			<input type="checkbox"/>
WP	Technical Environment Readiness Checklist - TERC Environments Matrix - Training	Kevin Bourgeois	Section 10.3 Exhibit 10.1	ASU-PL, ASU-LA			<input type="checkbox"/>
A	Prepare Training Environment Technical Request Forms	Kevin Bourgeois	Section 10.3 Exhibit 10.1	ASU-PL, ASU-LA			<input type="checkbox"/>
WP	Training Environment Technical Request Forms	Kevin Bourgeois	Section 10.3 Exhibit 10.1	ASU-PL, ASU-LA			<input type="checkbox"/>
A	Execute Training Environment Activities	Kevin Bourgeois	Section 10.3 Exhibit 10.1	ASU-PL, ASU-LA			<input type="checkbox"/>
D	Train Customers?	NA	Section 10.3 Exhibit 10.1	Customer Agency			<input type="checkbox"/>
A	Finalize Training Materials	Sheila Moreland	Section 10.3 Exhibit 10.1	Customer Agency			<input type="checkbox"/>
WP	Training Materials	Sheila Moreland	Section 10.3 Exhibit 10.1	Customer Agency			<input type="checkbox"/>
A	Conduct Training	Sheila Moreland	Section 10.3 Exhibit 10.1	Customer Agency			<input type="checkbox"/>
D	DSS Policy Revisions Needed?	NA	Section 10.3 Exhibit 10.1	Customer Agency			<input type="checkbox"/>
A	Finalize DSS Policy Manual Revisions	Sheila Moreland	Section 10.3 Exhibit 10.1	Customer Agency			<input type="checkbox"/>
WP	DSS Policy Manual Revisions	Sheila Moreland	Section 10.3 Exhibit 10.1	Customer Agency			<input type="checkbox"/>
D	User Manual Revisions Needed?	NA	Section 10.3 Exhibit 10.1	Customer Agency			<input type="checkbox"/>
A	Finalize User Manual Revisions	Sheila Moreland	Section 10.3 Exhibit 10.1	Customer Agency			<input type="checkbox"/>
WP	User Manual Revisions	Sheila Moreland	Section 10.3 Exhibit 10.1	Customer Agency			<input type="checkbox"/>
A	Develop Implementation Documentation & Communication	Sheila Moreland	Section 10.3 Exhibit 10.1	Customer Agency			<input type="checkbox"/>
WP	Implementation Documentation & Communication	Sheila Moreland	Section 10.3 Exhibit 10.1	Customer Agency			<input type="checkbox"/>
D	Issues or Concerns?	NA	Section 10.3 Exhibit 10.1	ASU-CRM			<input type="checkbox"/>
A	Discussion/Meeting to Determine Point of Failure, Point of Return, & Next Steps	Sheila Moreland	Section 10.3 Exhibit 10.1	ASU-CRM	ASU-CRM	CLRQST	<input type="checkbox"/>
A	Update TERC - Environments Matrix - Production	Kevin Bourgeois	Section 10.3 Exhibit 10.1	ASU-PL, ASU-LA			<input type="checkbox"/>
WP	Technical Environment Readiness Checklist - TERC Environments Matrix - Production	Kevin Bourgeois	Section 10.3 Exhibit 10.1	ASU-PL, ASU-LA	ASU-PL, ASU-LA	CLRQST	<input type="checkbox"/>
A	Prepare Production Environment Technical Request Forms	Kevin Bourgeois	Section 10.3 Exhibit 10.1	ASU-PL, ASU-LA			<input type="checkbox"/>
WP	Production Environment Technical Request Forms	Kevin Bourgeois	Section 10.3 Exhibit 10.1	ASU-PL, ASU-LA	ASU-PL, ASU-LA	CLRQST	<input type="checkbox"/>
A	Execute Production Environment Implementation Activities	Kevin Bourgeois	Section 10.3 Exhibit 10.1	ASU-PL, ASU-LA			<input type="checkbox"/>
A	Execute Functional Implementation Activities	Sheila Moreland	Section 10.3 Exhibit 10.1	Customer Agency			<input type="checkbox"/>

4.2. Concurrent Customer Agency Activities

To be finalized at a later date.

4.3. Workflow

To be finalized at a later date.

4.4. Levels of Responsibility

To be finalized at a later date.

Workflow Reference	Workflow Description	Customer Agency	Information Services										QAO
			Applications Support Unit				Technical Support Unit						
			ASU-CRM	ASU-Project Leader	ASU-Lead Analyst	ASU-Production Control	TSU-DBA Unit	TSU-Operations Unit	TSU-OSAS Library	TSU-Security Unit	TSU-User Support Center	TSU-Other Technical Support	

4.5. Work Products

4.5.1. Primary Work Products

To be finalized at a later date.

Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
SDLC Checklist	<ul style="list-style-type: none"> ▪ Provide those responsible for project performance a concise tool to track project compliance with the SDLC. ▪ Provide an At-A-Glance SDLC checklist. 	<ul style="list-style-type: none"> ▪ Customer Agency ▪ ASU-CRM ▪ ASU-Manager or ASU-PL 	<ul style="list-style-type: none"> ▪ Customer Agency ▪ ASU-CRM ▪ ASU- <ul style="list-style-type: none"> ○Manager ○PL ○LA ○Contract Support 	<ul style="list-style-type: none"> ▪ Planning and Tracking Phase – Checklist is utilized throughout all phases of the SDLC 	<ul style="list-style-type: none"> ▪ Planning and Tracking Phase – Checklist is utilized throughout all phases of the SDLC 	<ul style="list-style-type: none"> ▪ Documented phase by phase, activity by activity, work product by work product, and decision by decision verification of SDLC compliance. 	<ul style="list-style-type: none"> ▪ Rational ClearQuest Tab Attachments 	<ul style="list-style-type: none"> ▪ SDLC Checklist Template 	<ul style="list-style-type: none"> ▪ QAO Website, SDLC Tools & Templates, Planning and Tracking Phase Tools & Templates

4.6. Meetings and Reviews

To be finalized at a later date.

Workflow Reference	Meetings and Reviews	Purpose	Required / Optional	Participants			Preparation and Responsibilities			Outcome
				Coordinator / Chair	Required	Optional	Before	During	After	
		▪	▪	▪	▪			▪	▪	
		▪	▪	▪			▪	▪	▪	
		▪	▪	▪	▪		▪	▪	▪	▪
		▪	▪	▪	▪		▪		▪	▪

4.7. Work Product Summary

4.7.1. Work Product Summary Including Workflow Reference Numbers (To be finalized at a later date.)

SDLC Checklist..... N/A

5.0 Business Modeling Phase

5.1 Purpose and Overview

The Business Modeling Phase includes the identification and assessment of business requirements. This phase defines the specific business requirements that will be addressed through the execution of a work request. The objective of the Business Modeling Phase is to establish a common understanding of the high-level capabilities of the system that are necessary to deliver benefits to the Customer Agency community.

Business requirements specify the high-level capability of the system that is necessary to deliver benefits to the Customer Agencies. Some examples of business requirements include federal, state, parish office requirements, rules, and regulations. This is the highest level of the requirement. It is a general statement of what the effort is attempting to accomplish. In most cases, (i.e. not for an internal IT request or a management request) the Customer Agency identifies business requirements internally based on policy, legislation, or necessary system enhancements. Business requirements can be further refined during information gathering sessions with subject matter experts throughout the process. Two examples of business requirements are included below.

Example 1: Per Action Transmittal 03-01, the system must be able to suspend and stop payment orders.

Example 2: The Louisiana Commission for the Deaf requires a vendor database to replace its current paper entry system.

These are high-level, basic requirements. For each business requirement identified, functional requirements will be defined during the Analysis and Design Phase.

To support the Business Modeling Phase the following informational statements have been provided:

- *Business requirements definition starts with defined business processes, both the as-is and the to-be;*
- *Standard tools, BRD, Customer Agency business and process workflows, and methodologies are used to define both the business processes and the requirements. The methodologies and tools need to be model-oriented, such as Customer Agency business and process workflows; words alone cannot properly convey the proper detail and context of any process or requirement;*
- *User acceptance testing is derived from the business and functional requirements; and*
- *Business requirements are defined by:*
 - *Understanding the structure and dynamics of the organization in which a system is to be deployed;*
 - *Understanding current problems in the target organization and identify potential areas for improvement related to this specific request.*
 - *Ensuring that Customer Agencies and developers have a common understanding of the target organization.*

The focus of the Business Modeling Phase is to accomplish the following:

- *To Identify the need for a system change or enhancement based on analysis of the system or the release of additional legislation or policy.*
- *To Conduct an in-depth review of policy and regulations by Customer Agency staff, including subject matter experts (SMEs).*
- *To Assess IS and Customer Agency resources and priorities to determine the timeframe for execution of the system change or enhancement.*
- *To Elicit and Document business requirements, including system security requirements, through internal meetings and JAD sessions with SMEs.*
- *To Generate a Final Approved BRD work product.*
- *To Develop an initial timeline document for the work effort based on IS and Customer Agency resources including any work effort constraints.*
- *To Provide the BRD to IS as a guide for analysis prior to conducting functional requirement JAD sessions and the development of the URD in the Analysis and Design Phase.*

- *To Assign an URF # in BATS to facilitate cost allocation of the work effort.*
- *To initiate an URF in Rational ClearQuest to facilitate the tracking of work effort milestones.*

The benefits of the Business Modeling Phase are:

- *To Realize a well-defined scope for the work effort allowing staff to move forward with a common understanding limiting rework, due to the need for any business requirements clarification, and delays;*
- *To Realize a defined initial time frame including resource allocations that allow the work effort to move forward with a defined schedule supporting on-time completion;*
- *To Realize a well-defined and completed BRD that will be utilized as a guide in the functional JAD sessions allowing for a smoother and more efficient functional requirements definition process and a greater understanding of the work effort from all impacted parties;*
- *To Realize all potential risks associated with this work effort; and*
- *To Realize Customer Agency's priorities of all defined requirements.*

5.2. Concurrent IS Activities

Below is a list of activities that should be initiated, when possible, during the Business Modeling Phase. These activities occur in parallel with the Business Modeling Phase activities, and end with the Analysis and Design Phase:

- The initializing of a review of policy rules and regulations (by the ASU-CRM staff) that are currently impacting the Customer Agency and its programs to allow for preparation for conducting functional JAD sessions in the Analysis and Design Phase;
- The initializing of a review of the system project plan, resources, and past similar projects (by the ASU-Manager or ASU-PL) to support the provision of resource needs, timeframes and work effort associated with the project to build the system timeline; and
- The continuing support (by ASU) in answering any system questions associated with the development of business requirements for the new policy or regulation.

5.3. Workflow

Exhibit 5.1 illustrates the workflow for the Business Modeling Phase:

Exhibit 5.1 Business Modeling Phase Workflow

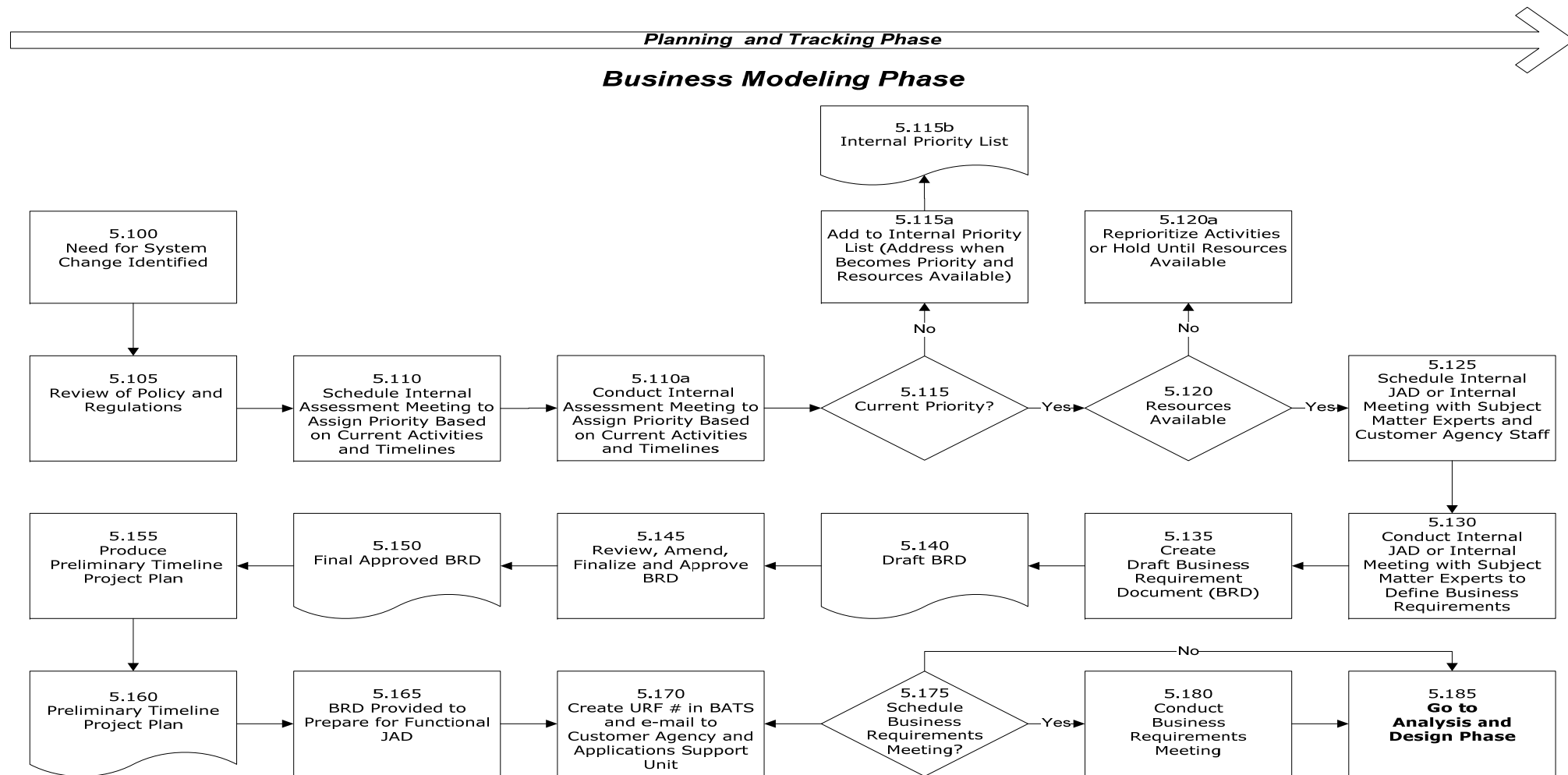
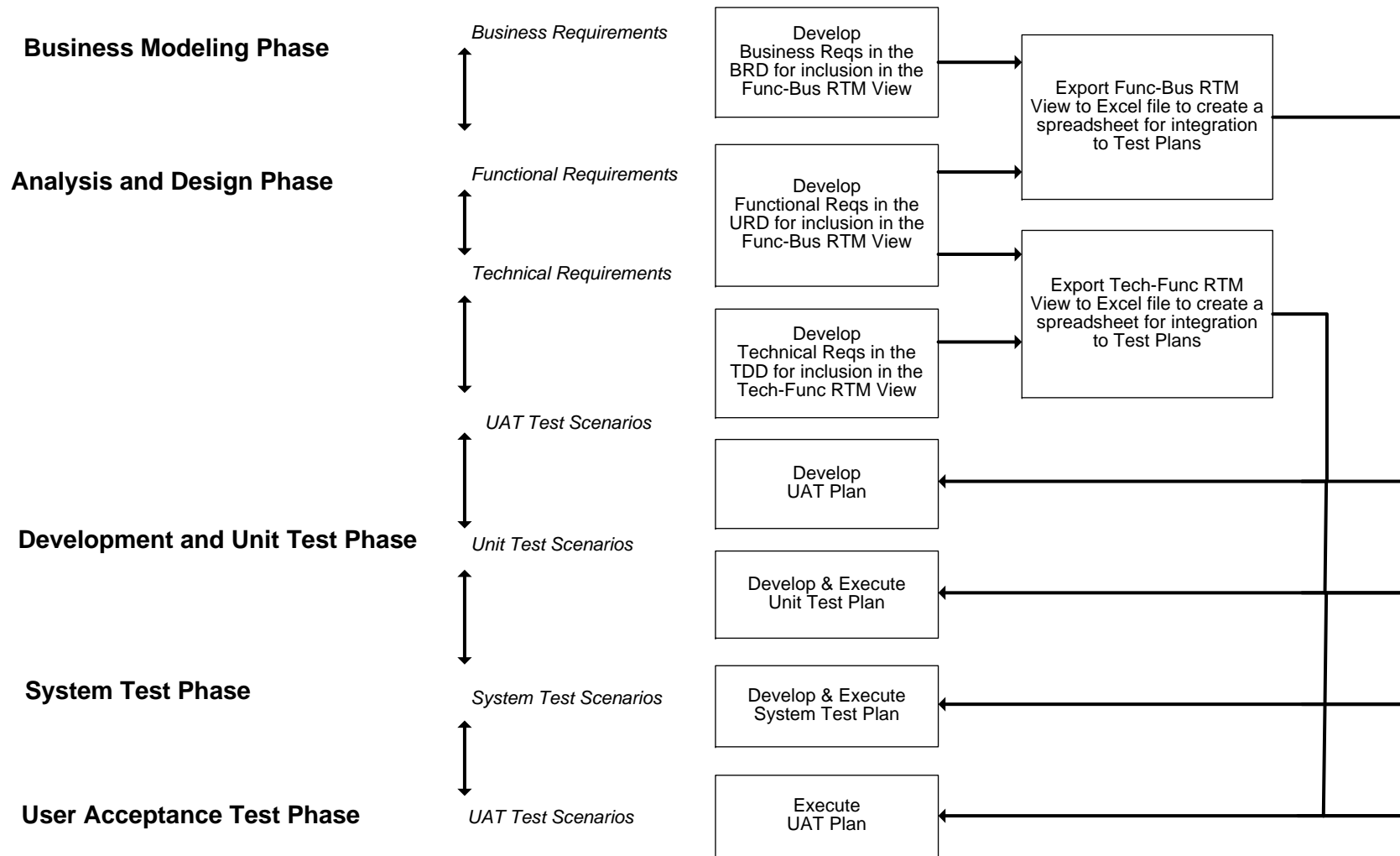


Exhibit 5.2 illustrates the correlation between requirements and testing.

Exhibit 5.2 Correlating Requirement/Test Scenario Relationships to RTM



5.4. Levels of Responsibility

Exhibit 5.3 illustrates a summary view of the levels of responsibilities for the Business Modeling Phase.

Exhibit 5.3 Business Modeling Phase Responsibilities

Workflow Reference	Workflow Description	Customer Agency				Information Services	
		Customer Agency Lead	Customer Agency PS-1	Customer Agency PS-2	SME	ASU-CRM	ASU-Manager, ASU-Project Leader
5.100	Activity: Need for System Change Identified	R	S	S			
5.105	Activity: Review of Policy and Regulations	S	R	S			
5.110	Activity: Schedule Internal Assessment Meeting to Assign Priority Based on Current Activities and Timelines	R	S	S	S		
5.110a	Activity: Conduct Internal Assessment Meeting to Assign Priority Based on Current Activities and Timelines	R	P	P	P		
5.115	Decision: Current Priority?	R		S			
5.115a	Activity: Add to Internal Priority List (Address when Becomes Priority and Resources Available)	R		S			
5.115b	Work Product: Internal Priority List	R		S			
5.120	Decision: Resources Available?	R	S	S			S
5.120a	Activity: Reprioritize Activities or Hold Until Resources Available	R		S			
5.125	Activity: Schedule Internal JAD or Internal Meeting with Subject Matter Experts and Customer Agency Staff		R				

Workflow Reference	Workflow Description	Customer Agency				Information Services	
		Customer Agency Lead	Customer Agency PS-1	Customer Agency PS-2	SME	ASU-CRM	ASU-Manager, ASU-Project Leader
5.130	Activity: Conduct Internal JAD or Internal Meeting with Subject Matter Experts and Customer Agency Staff	R	P	P	P		
5.135	Activity: Create Draft Business Requirement Document (BRD)	S	R	S	S		
5.140	Work Product: Draft BRD		R				
5.145	Activity: Review, Amend, Finalize and Approve BRD	S/A	R	S/A			
5.150	Work Product: Final Approved BRD		R				
5.155	Activity: Produce Preliminary Timeline Project Plan	S, I		S	S	S	R
5.160	Work Product: Preliminary Timeline Project Plan	S, I	I	S	I	I	R
5.165	Activity: BRD Provided to prepare for Functional JAD	R			S	S	S
5.170	Activity: Create URF # in BATS and e-mail to Customer Agency and Applications Support Units	I				R	I
5.175	Decision: Schedule Business Requirements Meeting?	S, I	I	I		R	I
5.175	Activity: Create and issue Agenda for Business Requirements Meeting	S, I				R	I
5.180	Activity: Conduct Business Requirements Meeting	P	P	P		R	S
5.180	Activity: Create and issue Meeting Minutes from Business Requirements Meeting	S, I				R	I

R = Party that is responsible for making a decision and completing or overseeing the completion of an activity.
A = Party that approves an activity or decision.
S = Party that supports an activity or decision.
I = Party that is informed of an activity or decision.
P = Party that participates in an activity or decision.

5.5. Work Products

5.5.1. Primary Work Products

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
5.115b	Internal Priority List	Customer Agency maintained priority list containing all Customer Agency requests in the assessment phase prior to movement to the Top Ten List.	<ul style="list-style-type: none"> Customer Agency Lead 	<ul style="list-style-type: none"> Customer Agency Staff ASU-Manager or ASU-PL 	<ul style="list-style-type: none"> Planning and Tracking Phase 	<ul style="list-style-type: none"> Planning and Tracking Phase 	<ul style="list-style-type: none"> Documented priorities for the Customer Agency – focused on resource allocations, impacts and deadlines 	<ul style="list-style-type: none"> Customer Agency LAN Structure 	<ul style="list-style-type: none"> None 	<ul style="list-style-type: none"> N/A
5.140	Draft Business Requirement Document (BRD)	Detailed business requirements document created by the Customer Agency to define the high-level capabilities of the system that are needed to provide benefits to the Customer Agency and to meet defined regulations.	<ul style="list-style-type: none"> Customer Agency PS-1 	<ul style="list-style-type: none"> Customer Agency ASU- <ul style="list-style-type: none"> Manager PL LA Contract Support ASU-CRM 	<ul style="list-style-type: none"> Business Modeling Phase 	<ul style="list-style-type: none"> Business Modeling Phase 	<ul style="list-style-type: none"> Documented definition of business requirements for the work effort 	<ul style="list-style-type: none"> Customer Agency LAN 	<ul style="list-style-type: none"> Business Requirements Document (BRD) Template With Instructions BRD JAD Guide 	<ul style="list-style-type: none"> QAO Website, SDLC Tools & Templates, Business Modeling Phase QAO Website, SDLC Tools & Templates, Business Modeling Phase
5.150	Final Approved Business Requirement Document (BRD)	Detailed business requirements document created by the Customer Agency to define the high-level capabilities of the system that are needed to provide benefits to the Customer Agency and to meet defined regulations.	<ul style="list-style-type: none"> Customer Agency PS-1 	<ul style="list-style-type: none"> Customer Agency ASU- <ul style="list-style-type: none"> Manager PL LA Contract Support ASU-CRM 	<ul style="list-style-type: none"> Business Modeling Phase 	<ul style="list-style-type: none"> Business Modeling Phase 	<ul style="list-style-type: none"> Documented and approved definition of business requirements for the work effort and to be utilized in the functional requirements JAD Sessions to support the definition of 	<ul style="list-style-type: none"> Customer Agency LAN Rational RequisitePro 	<ul style="list-style-type: none"> Business Requirement Document (BRD) Template With Instructions BRD JAD Guide 	<ul style="list-style-type: none"> QAO Website, SDLC Tools & Templates, Business Modeling Phase QAO Website, SDLC Tools & Templates, Business Modeling Phase

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
							functional requirements			
5.160	Preliminary Timeline Project Plan	A Microsoft Project Plan created collaboratively by the ASU-Manager or ASU-PL and the Customer Agency Lead defining timeframes and resources for activities that will be undertaken to support the system.	<ul style="list-style-type: none"> ▪ Customer Agency ▪ ASU-Manager, ASU- PL 	<ul style="list-style-type: none"> ▪ Customer Agency Staff ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support ▪ ASU-CRM 	<ul style="list-style-type: none"> ▪ Planning and Tracking Phase 	<ul style="list-style-type: none"> ▪ Planning and Tracking Phase 	<ul style="list-style-type: none"> ▪ A one-year rolling project plan with timeframes and base resource assignments. ▪ The plan is based on milestones and work products associated with the IS SDLC and Project Management Life Cycle and contains both current and future activities for the system. 	<ul style="list-style-type: none"> ▪ PMO LAN Structure ▪ Customer Agency LAN ▪ Rational ClearQuest 	<ul style="list-style-type: none"> ▪ Project Planning Template (PMO Tool) 	<ul style="list-style-type: none"> ▪ PMO Users/LAN Structure/(Templates and Instructions)

5.6. Meetings and Reviews

Workflow Reference	Meetings and Reviews	Purpose	Required / Optional	Participants			Preparation and Responsibilities			Outcome
				Coordinator / Chair	Required	Optional	Before	During	After	
5.110a	Internal Assessment Meeting to Assign Priority Based on Current Activities and Timelines	<ul style="list-style-type: none"> The assessment meeting is conducted once the Customer Agency PS-1 has completed a review of the policy and regulations impacting the business requirements associated with the user request. Assign priority based on current activities and timelines 	Required	<ul style="list-style-type: none"> Customer Agency Lead 	<ul style="list-style-type: none"> Customer Agency PS-1 Customer Agency PS-2 	<ul style="list-style-type: none"> Subject Matter Experts Additional Customer Agency Staff 	<ul style="list-style-type: none"> Customer Agency PS-1 - Review of Policy and Regulations prior to meeting Customer Agency Lead - Review of internal priority list and current project plan to assess validity of adding work efforts Customer Agency Lead - Review with ASU-Manager and/or ASU-PL current priorities and status of activities 	<ul style="list-style-type: none"> Customer Agency PS-1 - Reviews the policy or regulations with the staff Customer Agency Lead - Review of current timeline, activities and resources to determine level of resources available and timeframes for activities Customer Agency Lead - Determination of activity priority and timeframe for execution – includes the rescheduling of activities as necessary and the reassignment of resources 	<ul style="list-style-type: none"> Customer Agency Lead - Communication of any changes in priority to the ASU-Manager or ASU-PL Customer Agency Lead and ASU-Manager, ASU-PL - Discussion of resource allocation and timeframes with the ASU-PL if any changes are identified during the meeting Customer Agency Lead and ASU-Manager, ASU-PL - Completion of the updated project plan for the system based on resources and timeframes 	<ul style="list-style-type: none"> The meeting will provide the internal prioritization for the agency. The internal priority will be based on the urgency of the request and the available resources. Based on this meeting, the new priority will either be scheduled into the current project plan as resources are available or resources will be moved from current priorities to address the new priority. Priority discussed and established for the user request. Resource assessment conducted and priority added to the project plan.

Workflow Reference	Meetings and Reviews	Purpose	Required / Optional	Participants			Preparation and Responsibilities			Outcome
				Coordinator / Chair	Required	Optional	Before	During	After	
5.130	Internal JAD or Internal Meeting with SMEs to define business requirements	<ul style="list-style-type: none"> Internal Customer Agency JAD(s) or internal meeting(s) focused on bringing together key staff including SMEs to define the business requirements for the work effort. 	<ul style="list-style-type: none"> Required 	<ul style="list-style-type: none"> Customer Agency Lead 	<ul style="list-style-type: none"> Customer Agency PS-1 Customer Agency PS-2 Subject Matter Experts 	<ul style="list-style-type: none"> Additional Customer Agency Staff 	<ul style="list-style-type: none"> Customer Agency PS-1 - Review of policy and regulations and presentation to staff for prioritization Customer Agency PS-1, Customer Agency PS-2, Customer Agency Lead - Internal Assessment Meeting conducted defining the activity as a current work effort 	<ul style="list-style-type: none"> Customer Agency PS-1, Customer Agency PS-2, Customer Agency Lead - Definition and review of regulations, policy and BRD JAD Guide to define business requirements to support the development of the Business Requirement Document (BRD) Subject Matter Expert (SME) - Support of the business requirements development process 	<ul style="list-style-type: none"> Customer Agency PS-1 - Definition of business requirements into a formal Business Requirement Document (BRD) 	<ul style="list-style-type: none"> The definition of a series of business requirements for the work effort for incorporation into the Draft Business Requirement Document (BRD)
5.180	Business Requirements Meeting	<ul style="list-style-type: none"> Communication of the BRD to all interested parties, with a common understanding of the defined business requirements. 	<ul style="list-style-type: none"> Optional per agreement between the ASU-CRM and Customer Agency. 	<ul style="list-style-type: none"> ASU-CRM 	<ul style="list-style-type: none"> Customer Agency 	<ul style="list-style-type: none"> ASU- <ul style="list-style-type: none"> o Manager o PL 	<ul style="list-style-type: none"> ASU-CRM – Prepare and issue agenda to participants. 	<ul style="list-style-type: none"> ASU-CRM – Conduct meeting and take notes capturing key discussion points, comments, questions, and action items. 	<ul style="list-style-type: none"> ASU-CRM – Prepare and issue meeting minutes to participants. ASU-CRM – Attach Agenda and Minutes to Rational ClearQuest Tab Attachments. ASU-CRM – Update Rational ClearQuest 	<ul style="list-style-type: none"> An enhanced understanding of the business requirements that should facilitate the definition of functional requirements.

Workflow Reference	Meetings and Reviews	Purpose	Required / Optional	Participants			Preparation and Responsibilities			Outcome
				Coordinator / Chair	Required	Optional	Before	During	After	
									Tab Business Modeling with the meeting date and attached work products.	

5.7. Work Product Summary

5.7.1. Work Product Summary Including Workflow Reference Numbers

- Internal Priority List.....5.115b
- Draft Business Requirements Document (BRD).....5.140
- Final Approved BRD.....5.150
- Preliminary Timeline Project Plan.....5.160
- Agenda and Meeting Minutes from the
Business Requirements Meeting, if conducted.....5.180

6.0 Analysis and Design Phase

6.1. Purpose and Overview

During the Analysis and Design Phase, the business requirements identified in the Business Modeling Phase are translated into functional requirements and technical requirements, and the business and functional requirements are translated into test scenarios to be executed during the User Acceptance Test Phase. The objective of this phase is to establish a common understanding of the requirements to be addressed by the development effort and to verify the physical design of the application based on the requirements.

The Analysis and Design Phase is concerned with defining and understanding the requirements of a request and determining and assessing how to best fulfill the request to meet the Customer Agency's business needs. The Customer Agency's business requirements are provided in a BRD (Business Modeling Phase) and functional requirements are provided in a URD (Analysis and Design Phase). The URD document, as referenced in the workflow, is comprised of the URD document itself; a mandatory Func-Bus RTM; and if requested by the Customer Agency, a Supplemental Notice/Form document (URD). Analysis of the URD by the Applications Support Unit results in a proposed design and a translation of the business and functional requirements into technical requirements that are provided in a TDD (Analysis and Design Phase). The TDD document, as referenced in the workflow, is comprised of the TDD document itself; a mandatory Tech-Func RTM; and if requested by the Customer Agency, a Supplemental Notice/Form document (TDD). Analysis of the BRD and URD by the Customer Agency results in the translation of the business and functional requirements into test scenarios that are documented in the UAT Plan. The UAT Plan is then executed during the User Acceptance Test Phase, after unit and system testing have successfully been completed.

Another critical process for this phase is requirements traceability. It is a process to verify that the requirements received at the inception of the work effort are addressed throughout the SDLC. During the requirements traceability process all requirements are identified and tracked through all phases. Reference Section 6.5 Work Products, Func-Bus RTM, Tech-Func RTM and UAT Plan for traceability of test scenarios. Also reference the Rational RequisitePro User Guide.

http://intra/QAO_SDLC_User_Guide.aspx

The focus of the Analysis and Design Phase is to accomplish the following:

- *To Elicit and Document functional and technical requirements, including system security requirements, based on the defined business requirements.*
- *To Generate a Final Approved URD work product (general system design).*
- *To Generate a Func-Bus RTM for the functional and business requirements via Rational RequisitePro.*
- *To Design the logical physical design with system performance in mind.*
- *To Provide the system developers with a better knowledge of the system requirements.*
- *To Generate a Final Approved TDD work product (technical system design).*
- *To Generate a Tech-Func RTM for the technical and functional requirements via Rational RequisitePro.*
- *To Identify a preliminary UAT strategy.*
- *To Utilize the URD including the Func-Bus RTM in the development of the UAT Plan.*
- *To Generate a Final Approved UAT Plan work product.*

The benefits of the Analysis and Design Phase are:

- *To Realize concurrence and understanding of all defined business, functional, and technical requirements.*
- *To Realize work effort scope and boundaries by full definition of all necessary requirements.*
- *To Realize any gaps in traceability of all requirements.*
- *To Realize concurrence by the Customer Agency of the Final Approved UAT Plan work product via a review.*
- *To Realize a fully defined work effort which will promote the Customer Agency's ability to improve and/or enhance their current business or operational environment.*

6.2. Concurrent Customer Agency Activities

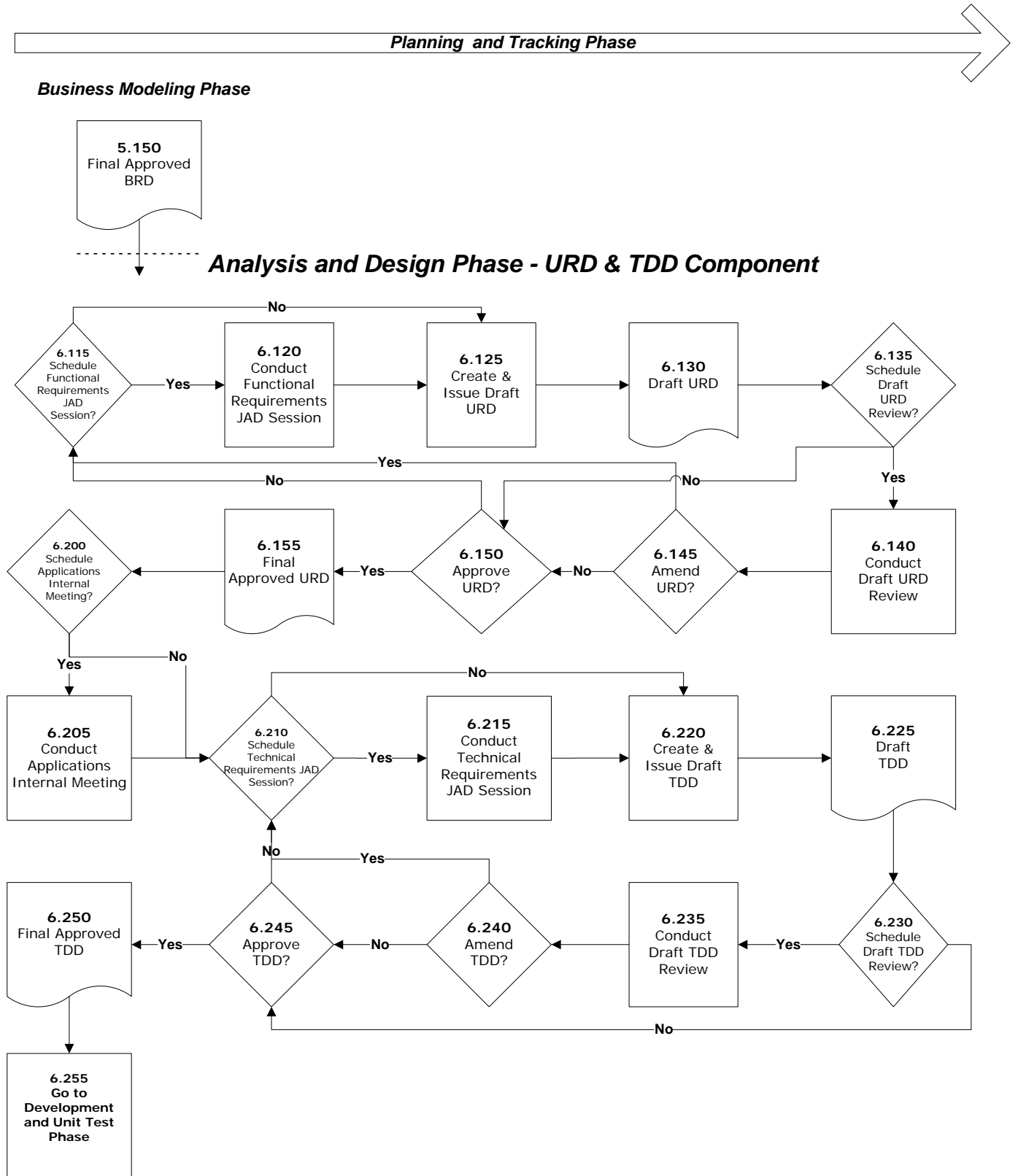
Below is a list of activities that should be initiated, when possible, during the Analysis and Design Phase. These activities may occur in parallel with Analysis and Design Phase activities, continuing through subsequent phases, and finalized in the Implementation Phase. Activities are:

- The initializing and development of any required DSS Policy Manual revisions.
- The initializing and development of any required User Manual revisions.
- The initializing and development of any necessary training materials.

6.3. Workflow

Exhibit 6.1 illustrates the workflow for the Analysis and Design Phase URD and TDD Component.

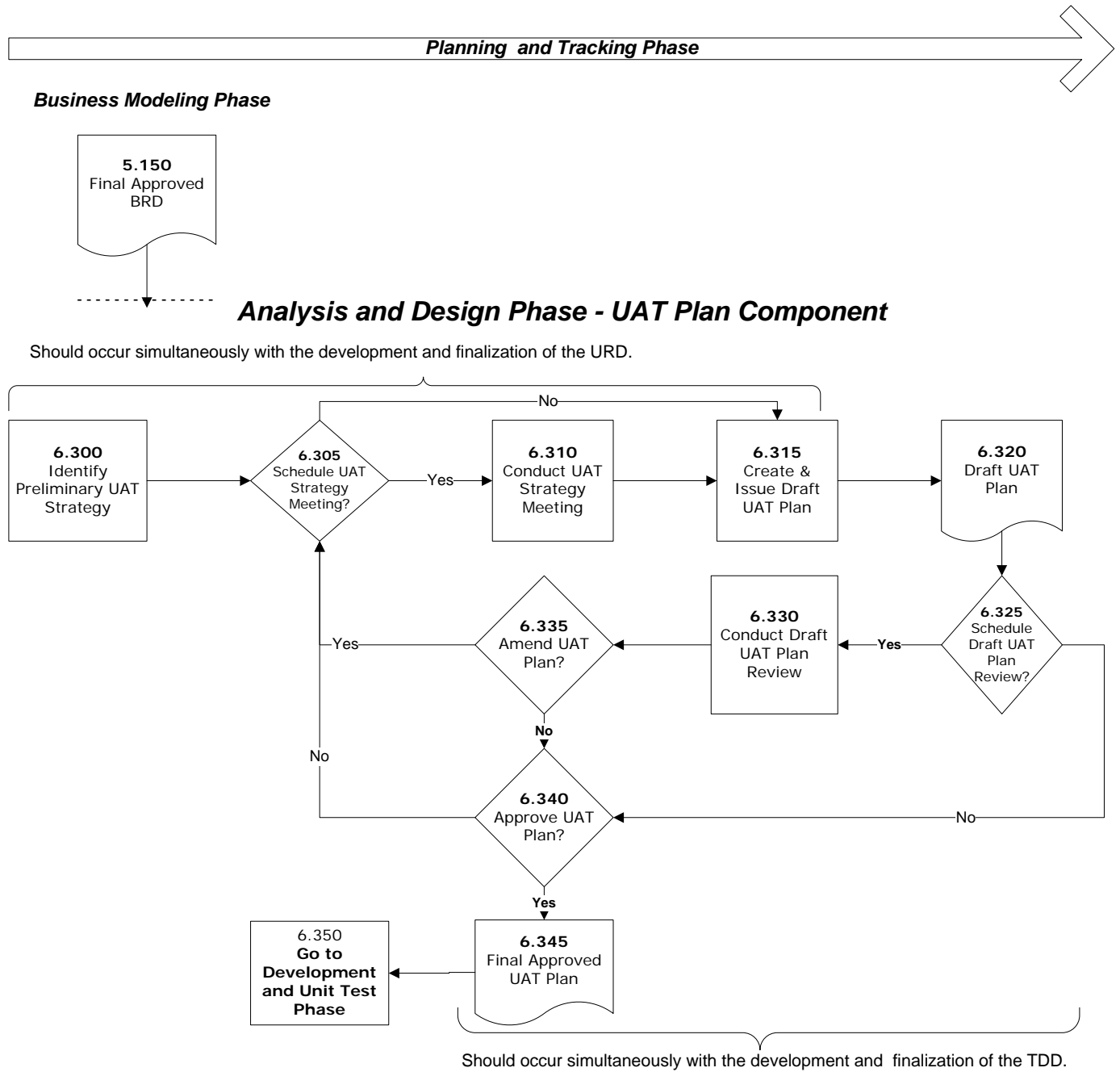
Exhibit 6.1 Analysis and Design Phase Workflow – URD and TDD Component



Please see [Exhibit 5.2 Correlating Requirement/Test Scenario Relationships to RTM](#), for the RTM relationships relative to this phase.

Exhibit 6.2 illustrates the workflow for the Analysis and Design Phase.- UAT Component.

Exhibit 6.2 Analysis and Design Phase Workflow – UAT Component



Please see [Exhibit 5.2 Correlating Requirement/Test Scenario Relationships to RTM](#), for the RTM relationships relative to this phase.

6.4. Levels of Responsibility

Exhibit 6.3 illustrates a summary view of the levels of responsibilities for the URD and TDD Component of the Analysis and Design Phase.

Exhibit 6.3 Analysis and Design Phase Responsibilities – URD and TDD Component

Workflow Reference	Workflow Description	Customer Agency	Information Services										QAO
			Applications Support Unit				Technical Support Unit						
			ASU-CRM	ASU-Manager ASU-Project Leader	ASU-Lead Analyst ASU-Contract Support	ASU-Production Control	TSU-DBA Unit	TSU-Operations Unit	TSU-OSAS Library	TSU-Security Unit	TSU-User Support Center	TSU-Other Technical Support	
6.115	Decision: Determine if should schedule Functional Requirements JAD Session.	S, I	R	S, I	S, I								
6.120	Activity: Create and issue Agenda for Functional Requirements JAD Session.	I	R	I	I	I	I	I	I	I	I	I	
6.120	Activity: Conduct Functional Requirements JAD Session.	P	R	P	S	S	S	S	S	S	S	S	
6.120	Activity: Create and issue Meeting Minutes from Functional Requirements JAD Session.	I	R	I	I								
6.125	Activity: Create and issue Draft URD.	S, I	R	S, I	S, I								
6.135	Decision: Determine if should schedule Draft URD Review.	S, I	R	S, I	S, I								

Workflow Reference	Workflow Description	Customer Agency	Information Services										QAO
			Applications Support Unit				Technical Support Unit						
			ASU-CRM	ASU-Manager ASU-Project Leader	ASU-Lead Analyst ASU-Contract Support	ASU-Production Control	TSU-DBA Unit	TSU-Operations Unit	TSU-OSAS Library	TSU-Security Unit	TSU-User Support Center	TSU-Other Technical Support	
6.140	Activity: Create and issue Agenda for Draft URD Review.	I	R	I	I								
6.140	Activity: Conduct Draft URD Review.	P	R	P	P								
6.140	Activity: Create and issue Meeting Minutes from Draft URD Review.	I	R	I	I								
6.145	Decision: Determine if should amend Draft URD.	S, I	R	S, I	S, I								
6.145	Activity: Amend Draft URD.	I	R	I	I								
6.150	Decision: Determine if should approve Draft URD.	S, I	R	S, I	S, I								
6.150	Activity: Approve Draft URD.	A	R, A	A	A								
6.200	Decision: Determine if should schedule Applications Support Unit Internal Meeting.			R	S, I	S	S	S	S	S	S	S	
6.205	Activity: Create and issue Agenda for Applications Support Unit Internal Meeting.			R	S, I								
6.205	Activity: Conduct Applications Support Unit Internal Meeting.			R	P	S	S	S					

Workflow Reference	Workflow Description	Customer Agency	Information Services										QAO
			Applications Support Unit				Technical Support Unit						
			ASU-CRM	ASU-Manager ASU-Project Leader	ASU-Lead Analyst ASU-Contract Support	ASU-Production Control	TSU-DBA Unit	TSU-Operations Unit	TSU-OSAS Library	TSU-Security Unit	TSU-User Support Center	TSU-Other Technical Support	
6.205	Activity: Create and issue Meeting Minutes for Applications Support Unit Internal Meeting Minutes.	I	I	R	S, I								
6.210	Decision: Determine if should schedule Technical Requirements JAD Session.	S, I	S, I	S, I	R	S, I	S, I	S, I	S, I	S, I	S, I	S, I	
6.215	Activity: Create and issue Agenda for Technical Requirements JAD Session.	I	I	S, I	R	I	I	I	I	I	I	I	
6.215	Activity: Conduct Technical Requirements JAD Session.	P	P	R	R	S	S	S	S	S	S	S	
6.215	Activity: Create Meeting Minutes from Technical Requirements JAD Session.	I	I	S, I	R								
6.220	Activity: Create and issue Draft TDD.	S, I	S, I	S, I	R								
6.230	Decision: Determine if should Schedule Draft TDD Review.	S, I	S, I	R	S, I								
6.235	Activity: Create and issue Agenda for Draft TDD Review.	I	I	P	R								

Workflow Reference	Workflow Description	Customer Agency	Information Services										QAO
			Applications Support Unit				Technical Support Unit						
			ASU-CRM	ASU-Manager ASU-Project Leader	ASU-Lead Analyst ASU-Contract Support	ASU-Production Control	TSU-DBA Unit	TSU-Operations Unit	TSU-OSAS Library	TSU-Security Unit	TSU-User Support Center	TSU-Other Technical Support	
6.235	Activity: Conduct Draft TDD Review.	P	P	R	R								
6.235	Activity: Create and issue Meeting Minutes from Draft TDD Review.	I	I	S, I	R								
6.240	Decision: Determine if should amend Draft TDD.	S, I	S, I	R	S, I								
6.240	Activity: Amend Draft TDD.	I	I	S, I	R								
6.245	Decision: Determine if should approve Draft TDD.	S, I	S, I	S, I	R								
6.245	Activity: Approve Draft TDD.	A	A	R, A	A								

R = Party that is responsible for making a decision and completing or overseeing the completion of an activity.
A = Party that approves an activity or decision.
S = Party that supports an activity or decision.
I = Party that is informed of an activity or decision.
P = Party that participates in an activity or decision.

Exhibit 6.4 illustrates a summary view of the levels of responsibilities for the UAT Plan Component of the Analysis and Design Phase.

Exhibit 6.4 Analysis and Design Phase Responsibilities – UAT Plan Component

Workflow Reference	Workflow Description	Customer Agency	Information Services										QAO
			Applications Support Unit				Technical Support Unit						
			ASU-CRM	ASU-Manager ASU-Project Leader	ASU- Lead Analyst ASU-Contract Support	ASU-Production Control	TSU-DBA Unit	TSU-Operations Unit	TSU-OSAS Library	TSU-Security Unit	TSU-User Support Center	TSU-Other Technical Support	
6.310	Activity: Create and issue Agenda for UAT Strategy Meeting.	R											
6.310	Activity: Conduct UAT Strategy Meeting.	R											
6.310	Activity: Create and issue Meeting Minutes from UAT Strategy Meeting.	R	I	I	I								
6.315	Activity: Create and issue Draft UAT Plan.	R	S, I	S, I	S, I								
6.325	Decision: Determine if should schedule Draft UAT Plan Review Meeting.	R	S, I	S, I	S, I								
6.330	Activity: Create and issue Agenda for Draft UAT Plan Review.	R	S, I	I	I								
6.330	Activity: Conduct Draft UAT Plan Review Meeting.	R	P	P	P								
6.330	Activity: Create and issue Meeting Minutes from Draft UAT Plan Review.	R	S, I	I	I								

Workflow Reference	Workflow Description	Customer Agency	Information Services										QAO
			Applications Support Unit				Technical Support Unit						
			ASU-CRM	ASU-Manager ASU-Project Leader	ASU- Lead Analyst ASU-Contract Support	ASU- Production Control	TSU- DBA Unit	TSU- Operations Unit	TSU- OSAS Library	TSU- Security Unit	TSU-User Support Center	TSU- Other Technical Support	
6.335	Decision: Determine if should amend Draft UAT Plan.	R	S, I	S, I	S, I								
6.335	Activity: Amend Draft UAT Plan.	R	S	S	S								
6.340	Decision: Determine if should approve Draft UAT Plan.	R	I	I	I								
6.340	Activity: Approve Draft UAT Plan.	R, A	I	I	I								

R = Party that is responsible for making a decision and completing or overseeing the completion of an activity.

A = Party that approves an activity or decision.

S = Party that supports an activity or decision.

I = Party that is informed of an activity or decision.

P = Party that participates in an activity or decision.

6.5. Work Products

6.5.1. Primary Work Products

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
6.130	Draft User Requirement Document (URD)	<ul style="list-style-type: none"> ▪ Document the Customer Agency's functional needs in a non-technical manner. ▪ Serves as a basis for all subsequent phases of the SDLC. 	<ul style="list-style-type: none"> ▪ ASU-CRM 	<ul style="list-style-type: none"> ▪ Customer Agency ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ Analysis and Design Phase 	<ul style="list-style-type: none"> ▪ Analysis and Design Phase 	<ul style="list-style-type: none"> ▪ Documented definition of functional requirements. ▪ At a minimum, Title Page, Revision History, Table of Contents, Section 1 Introduction and a minimum of at least one content section are the required sections to be completed. 	<ul style="list-style-type: none"> ▪ ASU-CRM LAN or Rational RequisitePro 	<ul style="list-style-type: none"> ▪ URD Template (with and without instructions) ▪ URD JAD Guide ▪ Rational RequisitePro User Guide ▪ Instructional Guide for Capturing Layouts ▪ Instructional Guide for Hiding Text in Microsoft Word 	<ul style="list-style-type: none"> ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC User Guides, Analysis and Design Phase User Guides, Rational RequisitePro User Guide ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase
6.130	Draft Supplemental Notice/Form Document (URD)	<ul style="list-style-type: none"> ▪ Documents the pictorial image, when requested by the Customer Agency, of a notice/form to 	<ul style="list-style-type: none"> ▪ ASU-CRM 	<ul style="list-style-type: none"> ▪ Customer Agency ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL 	<ul style="list-style-type: none"> ▪ Analysis and Design Phase 	<ul style="list-style-type: none"> ▪ Analysis and Design Phase 	<ul style="list-style-type: none"> ▪ A documented pictorial image of a notice/form to retain specialized formatting. 	<ul style="list-style-type: none"> ▪ Rational RequisitePro 	<ul style="list-style-type: none"> ▪ URD Template With Instructions ▪ URD JAD Guide ▪ Rational RequisitePro 	<ul style="list-style-type: none"> ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website,

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
		<p>portray specialized formatting (i.e. page breaks, centering, font sizes, styles, etc.)</p> <ul style="list-style-type: none"> ▪ Serves as an ancillary document to the Draft User Requirement Document (URD) 		<ul style="list-style-type: none"> ○ LA ○ Contract Support 					User Guide	<ul style="list-style-type: none"> ▪ SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC User Guides, Analysis and Design Phase User Guides, Rational RequisitePro User Guide
6.155	Final Approved User Requirement Document (URD)	<ul style="list-style-type: none"> ▪ Document the Customer Agency's functional needs in a non-technical manner. ▪ Serves as a basis for all subsequent phases of the SDLC. 	<ul style="list-style-type: none"> ▪ ASU-CRM 	<ul style="list-style-type: none"> ▪ Customer Agency ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ Analysis and Design Phase 	<ul style="list-style-type: none"> ▪ Analysis and Design Phase 	<ul style="list-style-type: none"> ▪ Documented and approved definition of functional requirements. ▪ At a minimum, Title Page, Revision History, Table of Contents, Section 1 Introduction and a minimum of at least one content section are the required sections to be completed. 	<ul style="list-style-type: none"> ▪ Rational RequisitePro 	<ul style="list-style-type: none"> ▪ URD Template (with and without instructions) ▪ URD JAD Guide ▪ Rational RequisitePro User Guide ▪ Instructional Guide for Capturing Layouts ▪ Instructional Guide for Hiding Text in Microsoft Word 	<ul style="list-style-type: none"> ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC User Guides, Analysis and Design Phase User Guides, Rational RequisitePro User Guide ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
6.155	Final Approved Supplemental Notice/Form Document (URD)	<ul style="list-style-type: none"> ▪ Documents the pictorial image, when requested by the Customer Agency, of a notice/form to portray specialized formatting (i.e. page breaks, centering, font sizes, styles, etc.) ▪ Serves as an ancillary document to the Final Approved User Requirement Document (URD) 	<ul style="list-style-type: none"> ▪ ASU-CRM 	<ul style="list-style-type: none"> ▪ Customer Agency ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ Analysis and Design Phase 	<ul style="list-style-type: none"> ▪ Analysis and Design Phase 	<ul style="list-style-type: none"> ▪ A documented and approved pictorial image of a notice/form to retain specialized formatting. 	<ul style="list-style-type: none"> ▪ Rational RequisitePro 	<ul style="list-style-type: none"> ▪ URD Template With Instructions ▪ URD JAD Guide ▪ Rational RequisitePro User Guide 	<ul style="list-style-type: none"> ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC User Guides, Analysis and Design Phase User Guides, Rational RequisitePro User Guide
6.155	¹Functional-Business Requirements Traceability Matrix (Func-Bus RTM)	<ul style="list-style-type: none"> ▪ Document the direct relationship between business and functional requirements ▪ Allows for the creation of traceability relationships in order to monitor requirement changes. ▪ Serves as a 	<ul style="list-style-type: none"> ▪ ASU-CRM 	<ul style="list-style-type: none"> ▪ Customer Agency ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ Business Modeling Phase - business requirements are defined in the BRD ▪ Analysis and Design Phase - functional requirements are defined in the URD ▪ Analysis and 	<ul style="list-style-type: none"> ▪ Analysis and Design Phase 	<ul style="list-style-type: none"> ▪ Documented and approved traceability from each business requirement identified in the BRD to one or more functional requirements. Conversely, each functional requirement may be traced back to one or more business requirements. 	<ul style="list-style-type: none"> ▪ Rational RequisitePro – Traceability Matrix view only ▪ Rational ClearQuest Tab Attachments – Excel document 	<ul style="list-style-type: none"> ▪ Rational RequisitePro User Guide ▪ Rational ClearQuest User Guide 	<ul style="list-style-type: none"> ▪ QAO Website, SDLC User Guides, Analysis and Design Phase User Guides, Rational RequisitePro User Guide ▪ QAO Website, SDLC User Guides, Planning and Tracking Phase User Guides, Rational ClearQuest User

¹ The Func-Bus RTM is built in Rational RequisitePro in conjunction with creating the URD. Since the Func-Bus RTM is a view in Rational RequisitePro, it must be converted into a comma-separated values (CSV) file, exported, and saved as an Excel document. This Excel document shall be distributed to the Customer Agency and Applications Support unit staff members responsible for reviewing it and the URD.

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
		required ancillary document to the Final Approved Business Requirement Document (BRD) and the Final Approved User Requirement Document (URD)			Design Phase -the Func-Bus RTM requires both business and functional requirements for creation in the Rational RequisitePro Tool					Guide
6.225	Draft Technical Design Document (TDD)	<ul style="list-style-type: none"> ▪ Document the detailed technical specifications required to fulfill the Customer Agency's business requirements as defined in the BRD and functional requirements as defined in the URD. ▪ Serves as a basis for coding, unit testing, and system testing. 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ Customer Agency ▪ ASU-CRM 	<ul style="list-style-type: none"> ▪ Analysis and Design Phase 	<ul style="list-style-type: none"> ▪ Analysis and Design Phase 	<ul style="list-style-type: none"> ▪ A documented interpretation of the business and functional requirements into technical requirements. ▪ At a minimum, Title Page, Revision History, Table of Contents, Section 1 Introduction and a minimum of at least one content section are the required sections to be completed. 	<ul style="list-style-type: none"> ▪ Shared S Drive folder Programming or Rational Requisite Pro 	<ul style="list-style-type: none"> ▪ TDD Template (with and without instructions) ▪ TDD JAD Guide ▪ Rational RequisitePro User Guide ▪ Instructional Guide for Capturing Layouts ▪ Instructional Guide for Hiding Text in Microsoft Word 	<ul style="list-style-type: none"> ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC User Guides, Analysis and Design Phase User Guides, Rational RequisitePro User Guide ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC Tools & Templates, Analysis and

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
										Design Phase
6.225	Draft Supplemental Notice/Form Document (TDD)	<ul style="list-style-type: none"> ▪ Documents the pictorial image, when requested by the Customer Agency, of a notice/form to portray specialized formatting (i.e. page breaks, centering, font sizes, styles, etc.) ▪ Serves as an ancillary document to the Draft Technical Design Document (TDD) 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ Customer Agency ▪ ASU-CRM 	<ul style="list-style-type: none"> ▪ Analysis and Design Phase 	<ul style="list-style-type: none"> ▪ Analysis and Design Phase 	<ul style="list-style-type: none"> ▪ A documented pictorial image of a notice/form to retain specialized formatting. 	<ul style="list-style-type: none"> ▪ Rational RequisitePro 	<ul style="list-style-type: none"> ▪ TDD Template With Instructions ▪ TDD JAD Guide ▪ Rational RequisitePro User Guide 	<ul style="list-style-type: none"> ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC User Guides, Analysis and Design Phase User Guides, Rational RequisitePro User Guide
6.250	Final Approved Technical Design Document (TDD)	<ul style="list-style-type: none"> ▪ Document the detailed technical specifications required to fulfill the Customer Agency's business requirements as defined in the BRD and functional requirements as defined in the URD. ▪ Serves as a basis for coding, unit testing, and 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ Customer Agency ▪ ASU-CRM 	<ul style="list-style-type: none"> ▪ Analysis and Design Phase 	<ul style="list-style-type: none"> ▪ Analysis and Design Phase 	<ul style="list-style-type: none"> ▪ Documented and approved interpretation of the business and functional requirements into technical requirements. ▪ At a minimum, Title Page, Revision History, Table of Contents, Section 1 Introduction and a minimum of at least one 	<ul style="list-style-type: none"> ▪ Rational RequisitePro 	<ul style="list-style-type: none"> ▪ TDD Template (with and without instructions) ▪ TDD JAD Guide ▪ Rational RequisitePro User Guide ▪ Instructional Guide for Capturing Layouts ▪ Instructional Guide for Hiding Text in Microsoft Word 	<ul style="list-style-type: none"> ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC User Guides, Analysis and Design Phase User Guides, Rational RequisitePro

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
		system testing.					content section are the required sections to be completed.			<ul style="list-style-type: none"> ▪ User Guide ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase
6.250	Final Approved Supplemental Notice/Form Document (TDD)	<ul style="list-style-type: none"> ▪ Documents the pictorial image, when requested by the Customer Agency, of a notice/form to portray specialized formatting (i.e. page breaks, centering, font sizes, styles, etc.) ▪ Serves as ancillary document to the Final Approved Technical Design Document (TDD) 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ Customer Agency ▪ ASU-CRM 	<ul style="list-style-type: none"> ▪ Analysis and Design Phase 	<ul style="list-style-type: none"> ▪ Analysis and Design Phase 	<ul style="list-style-type: none"> ▪ A documented and approved pictorial image of a notice/form to retain specialized formatting. 	<ul style="list-style-type: none"> ▪ Rational RequisitePro 	<ul style="list-style-type: none"> ▪ TDD Template With Instructions ▪ TDD JAD Guide ▪ Rational RequisitePro User Guide 	<ul style="list-style-type: none"> ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC User Guides, Analysis and Design Phase User Guides, Rational RequisitePro User Guide
6.250	² Technical-Functional Requirements Traceability Matrix (Tech-	<ul style="list-style-type: none"> ▪ Document the direct relationship between functional and 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA 	<ul style="list-style-type: none"> ▪ Customer Agency ▪ ASU-CRM 	<ul style="list-style-type: none"> ▪ Analysis and Design Phase 	<ul style="list-style-type: none"> ▪ Analysis and Design Phase 	<ul style="list-style-type: none"> ▪ Documented and approved traceability from each functional requirement to 	<ul style="list-style-type: none"> ▪ Rational RequisitePro – Traceability Matrix view only 	<ul style="list-style-type: none"> ▪ Rational RequisitePro User Guide ▪ Rational ClearQuest 	<ul style="list-style-type: none"> ▪ QAO Website, SDLC User Guides, Analysis and Design Phase User

² The Tech-Func RTM is built in Rational RequisitePro in conjunction with creating the TDD. Since the Tech-Func RTM is a view in Rational RequisitePro, it must be converted into a comma-separated values (CSV) file, exported, and saved as an Excel document. This Excel document shall be distributed to the ASU-CRM and Customer Agency staff members responsible for reviewing it and the TDD.

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
	Func RTM)	<p>technical requirements.</p> <ul style="list-style-type: none"> ▪ Allows for the creation of traceability relationships in order to monitor requirement changes. ▪ Serves as a required ancillary document to the Final Approved Technical Design Document (TDD) 	<ul style="list-style-type: none"> ○ Contract Support 				<p>one or more technical requirements. Conversely, each technical requirement may be traced back to one or more functional requirements.</p>	<ul style="list-style-type: none"> ▪ Rational ClearQuest Tab Attachments – Excel spreadsheet 	User Guide	<ul style="list-style-type: none"> ▪ Guides, Rational RequisitePro User Guide ▪ QAO Website, SDLC User Guides, Planning and Tracking Phase User Guides, Rational ClearQuest User Guide
6.320	Draft User Acceptance Test (UAT) Plan	<ul style="list-style-type: none"> ▪ Document the translation of business requirements in the BRD and functional requirements specified in the URD and the Func-Bus RTM into test scenarios to verify the functionality of the application supports the Customer Agency's operational needs. ▪ During the Analysis and Design Phase of the SDLC, the following 	<ul style="list-style-type: none"> ▪ Customer Agency 	<ul style="list-style-type: none"> ▪ ASU-CRM ▪ ASU <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ Analysis and Design Phase 	<ul style="list-style-type: none"> ▪ Analysis and Design Phase 	<ul style="list-style-type: none"> ▪ Documented user acceptance test scenarios to be executed during the UAT Phase. 	<ul style="list-style-type: none"> ▪ Customer Agency LAN 	<ul style="list-style-type: none"> ▪ UAT Plan Template ▪ Instructional Guide for Capturing Layouts 	<ul style="list-style-type: none"> ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
		information should be provided: Key, Func-Bus Requirement ID #, Condition (Case Requirements), and Expected Results								
6.345	Final Approved User Acceptance Test (UAT) Plan	<ul style="list-style-type: none"> ▪ Document the translation of business requirements in the BRD and functional requirements specified in the URD and the Func-Bus RTM into test scenarios to verify the functionality of the application supports the Customer Agency's operational needs. ▪ During the Analysis and Design Phase of the SDLC, the following information should be 	<ul style="list-style-type: none"> ▪ Customer Agency 	<ul style="list-style-type: none"> ▪ ASU-CRM ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ Analysis and Design Phase 	<ul style="list-style-type: none"> ▪ Analysis and Design Phase 	<ul style="list-style-type: none"> ▪ Documented and approved user acceptance test scenarios to be executed during the UAT Phase. 	<ul style="list-style-type: none"> ▪ ³Rational ClearQuest Tab Attachments 	<ul style="list-style-type: none"> ▪ UAT Plan Template ▪ Instructional Guide for Capturing Layouts ▪ Rational ClearQuest User Guide 	<ul style="list-style-type: none"> ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC User Guides, Planning and Tracking Phase

³ The Customer Agency does not have access to Rational ClearQuest, therefore the ASU-CRM is responsible for storing a copy of the UAT Plan here.

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
		<p>provided: Key, Func-Bus Requirement ID #, Condition (Case Requirements), and Expected Results (high-level).</p> <ul style="list-style-type: none"> ▪ During the UAT Phase when the test scenarios in the UAT Plan are executed, the following information should be provided: Actual Case ID, Case Status, Additional Notes, Pass/Fail, Issues, Resolved, Resolution, Drop Dead Date, Approval & Sign-Off, and Approval Date. 								

6.6. Meetings and Reviews

Workflow Reference	Meetings and Reviews	Purpose	Required / Optional	Participants			Preparation and Responsibilities			Outcome
				Coordinator / Chair	Required	Optional	Before	During	After	
6.120	Functional Requirements JAD Session	<ul style="list-style-type: none"> Further gather information to define the functional requirements based on the business requirements contained in the BRD in support of creating the URD. 	<ul style="list-style-type: none"> Optional per agreement amongst the ASU-CRM, Customer Agency, and ASU-Manager or ASU-PL. 	<ul style="list-style-type: none"> ASU-CRM 	<ul style="list-style-type: none"> Customer Agency <ul style="list-style-type: none"> ASU-Manager PL 	<ul style="list-style-type: none"> ASU- <ul style="list-style-type: none"> LA <ul style="list-style-type: none"> Contract Support Production Control TSU <ul style="list-style-type: none"> DBA Unit Operations Unit OSAS Library Security Unit User Support Center 	<ul style="list-style-type: none"> ASU-CRM – Review of BRD. ASU-CRM – Prepare and issue agenda to participants. 	<ul style="list-style-type: none"> ASU-CRM – Conduct meeting utilizing agenda, the Final Approved BRD and the URD template and URD JAD Guide; and take notes capturing key discussion points, comments, questions, and action items. 	<ul style="list-style-type: none"> ASU-CRM – Prepare and issue meeting minutes to participants. ASU-CRM – Update Rational ClearQuest Tab Analysis & Design - URD. 	<ul style="list-style-type: none"> The definition of business and functional requirements to support the creation of the URD.

Workflow Reference	Meetings and Reviews	Purpose	Required / Optional	Participants			Preparation and Responsibilities			Outcome
				Coordinator / Chair	Required	Optional	Before	During	After	
6.140	Draft URD Review	<ul style="list-style-type: none"> ▪ Review and discuss the Draft URD to further a common understanding of the request. ▪ Enhance the level of communication and understanding of the Draft URD, leading to less rework and fewer meetings as the development process moves into coding, testing, and implementation. 	<ul style="list-style-type: none"> ▪ Optional per agreement amongst the ASU-CRM, Customer Agency, and ASU-Manager or ASU-PL. 	<ul style="list-style-type: none"> ▪ ASU-CRM 	<ul style="list-style-type: none"> ▪ Customer Agency ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 		<ul style="list-style-type: none"> ▪ ASU-CRM – Prepare and issue agenda to participants. ▪ Participants – Review the Draft URD which includes the Func-Bus RTM, and any other supporting documentation (i.e. Draft Supplemental Notice/Form Document (URD), etc.) 	<ul style="list-style-type: none"> ▪ ASU-CRM – Conduct review by stepping through each section of the Draft URD which includes the Func-Bus RTM, and any other supporting documentation highlighting key points, soliciting feedback, and providing clarification; take meeting notes. ▪ Participants – Determine if the Draft URD should be approved. 	<ul style="list-style-type: none"> ▪ Customer Agency and ASU-Manager or ASU-PL – If approved, communicate approval of the URD to the ASU-CRM, via email. ▪ ASU-CRM – Prepare and issue meeting minutes to participants. ▪ ASU-CRM – Attach Agenda and Minutes to Rational ClearQuest Tab Attachments ▪ ASU-CRM – Update Rational ClearQuest Tab Analysis and Design – URD. 	<ul style="list-style-type: none"> ▪ Proper interpretation of the business and functional requirements. ▪ A common understanding of the URD. ▪ A common understanding of the next steps associated with the URD. ▪ The Final Approved URD.
6.205	Applications Internal Meeting	<ul style="list-style-type: none"> ▪ Further analyze the Final Approved BRD and URD and determine how to 	<ul style="list-style-type: none"> ▪ Optional 	<ul style="list-style-type: none"> ▪ ASU-Manager or ASU-PL 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ ASU- Production Control ▪ TSU <ul style="list-style-type: none"> ○ DBA Unit ○ Operations 	<ul style="list-style-type: none"> ▪ ASU-Manager or ASU-PL - Prepare and issue agenda to 	<ul style="list-style-type: none"> ▪ ASU-Manager or ASU-PL - Conduct meeting and 	<ul style="list-style-type: none"> ▪ ASU-Manager or ASU-PL - Prepare and issue 	<ul style="list-style-type: none"> ▪ An assessment of the work effort necessary to

Workflow Reference	Meetings and Reviews	Purpose	Required / Optional	Participants			Preparation and Responsibilities			Outcome
				Coordinator / Chair	Required	Optional	Before	During	After	
		translate the business and functional requirements into technical requirements in order to achieve the Customer Agency's desired outcome.				<ul style="list-style-type: none"> Unit o OSAS Library o Security Unit o User Support Center 	<ul style="list-style-type: none"> participants. ▪ Participants – Review the Final Approved BRD and URD which includes the Func-Bus RTM, and any other supporting documentation. 	take notes capturing key discussion points, comments, questions, and action items.	<ul style="list-style-type: none"> meeting minutes to participants. ▪ ASU-Manager or ASU-PL - Attach Agenda and Minutes to Rational ClearQuest Tab Attachments ▪ ASU-Manager or ASU-PL - Update Rational ClearQuest Tab Analysis & Design – TDD. 	<ul style="list-style-type: none"> achieve the Customer Agency's desired outcome. ▪ The definition of necessary information to support the creation of the TDD.
6.215	Technical Requirements JAD Session	<ul style="list-style-type: none"> ▪ Gather information to enhance the level of communication and understanding of the development effort necessary to achieve the Customer Agency's desired outcome and to support the creation of the TDD. 	<ul style="list-style-type: none"> ▪ Optional per agreement amongst the ASU-CRM, Customer Agency, and ASU-Manager or ASU-PL. 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> o Manager o PL o LA o Contract Support 	<ul style="list-style-type: none"> ▪ Customer Agency ▪ ASU-CRM 	<ul style="list-style-type: none"> ▪ ASU-Production Control ▪ TSU <ul style="list-style-type: none"> o DBA Unit o Operations Unit o OSAS Library o Security Unit o User Support Center 	<ul style="list-style-type: none"> ▪ ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support– Prepare and issue agenda to participants. ▪ Participants – Review the Final Approved URD which includes the Func-Bus RTM, and any other supporting documentation. 	<ul style="list-style-type: none"> ▪ ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support – Conduct meeting utilizing agenda and the TDD template and TDD JAD Guide; and take notes capturing key discussion points, comments, 	<ul style="list-style-type: none"> ▪ ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support – Prepare and issue meeting minutes to participants ▪ ASU-Manager or ASU-PL Update Rational 	<ul style="list-style-type: none"> ▪ The definition of technical requirements in system components to support the creation of the TDD.

Workflow Reference	Meetings and Reviews	Purpose	Required / Optional	Participants			Preparation and Responsibilities			Outcome
				Coordinator / Chair	Required	Optional	Before	During	After	
								questions, and action items.	ClearQuest Tab Analysis & Design – TDD.	
6.235	Draft TDD Review	<ul style="list-style-type: none"> ▪ Review and discuss the Draft TDD to further the common understanding of the request. ▪ Enhance the level of communication and understanding of the Draft TDD, leading to less rework and fewer meetings as the development process moves into coding, testing, and implementation. 	<ul style="list-style-type: none"> ▪ Optional per agreement amongst the ASU-CRM, Customer Agency, and ASU-Manager, ASU-PL. 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ Customer Agency ▪ ASU-CRM 		<ul style="list-style-type: none"> ▪ ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support – Prepare and issue agenda to participants. ▪ Participants – Review the Draft TDD which includes the Tech-Func RTM, and any other supporting documentation (i.e. Draft Supplemental Notice/Form Document (TDD), etc.). 	<ul style="list-style-type: none"> ▪ ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support – Conduct review by stepping through each section of the Draft TDD which includes the Tech-Func RTM and any other supporting documentation highlighting key points, soliciting feedback, and providing clarification; and take notes. ▪ Participants – Determine if the TDD should be approved. 	<ul style="list-style-type: none"> ▪ Customer Agency and ASU-CRM - If approved, communicate approval of the TDD to the ASU, via email. ▪ ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support – Prepare and issue meeting minutes to participants. ▪ ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support – Attach Agenda and Minutes to Rational ClearQuest Tab 	<ul style="list-style-type: none"> ▪ Proper translation of the business and functional requirements into technical requirements . ▪ A common understanding of the TDD. ▪ A common understanding of the next steps associated with the TDD. ▪ The Final Approved TDD.

Workflow Reference	Meetings and Reviews	Purpose	Required / Optional	Participants			Preparation and Responsibilities			Outcome
				Coordinator / Chair	Required	Optional	Before	During	After	
									Attachments . <ul style="list-style-type: none"> ▪ ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support – Revise the Draft TDD and Tech-Func RTM and reissue to participants if the review resulted in revisions; and determine if an additional Draft TDD Review is necessary. ▪ ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support – Update Rational ClearQuest Tab Analysis & Design – TDD. 	

Workflow Reference	Meetings and Reviews	Purpose	Required / Optional	Participants			Preparation and Responsibilities			Outcome
				Coordinator / Chair	Required	Optional	Before	During	After	
6.310	UAT Strategy Meeting	<ul style="list-style-type: none"> Gather information to support the creation of the Draft UAT Plan and identify resource needs, such as testers and test environments. 	<ul style="list-style-type: none"> Optional 	<ul style="list-style-type: none"> Customer Agency 	<ul style="list-style-type: none"> Customer Agency 		<ul style="list-style-type: none"> Customer Agency – Prepare and issue agenda to participants. Participants – Review the Draft URD which may include the Func-Bus RTM, if available, and any other supporting documentation (i.e., federal and/or state policy, federal and/or state legislation, federal and/or state mandates, Louisiana Register, etc.) 	<ul style="list-style-type: none"> Customer Agency – Conduct meeting and take notes capturing key discussion points, comments, questions, and action items. 	<ul style="list-style-type: none"> Customer Agency – Prepare and issue meeting minutes to participants. ASU-CRM– Attach Agenda and Minutes to Rational ClearQuest Tab Attachments . ASU-CRM – Update Rational ClearQuest Tab Analysis & Design – UAT. 	<ul style="list-style-type: none"> The definition of necessary information to support the creation of the UAT Plan and identify resource needs.
6.330	Draft UAT Plan Review	<ul style="list-style-type: none"> Review and discuss the Draft UAT Plan to evaluate the testability of each requirement and determine if the plan addresses all requirements; and to discuss resource needs. 	<ul style="list-style-type: none"> Optional per agreement amongst the Customer Agency, ASU-CRM, and ASU-Manager, ASU-PL. 	<ul style="list-style-type: none"> Customer Agency 	<ul style="list-style-type: none"> ASU-CRM ASU- <ul style="list-style-type: none"> o Manager o PL o LA o Contract Support 		<ul style="list-style-type: none"> Customer Agency – Prepare and issue agenda to participants. Participants – Review the Draft UAT Plan and any other supporting documentation. 	<ul style="list-style-type: none"> Customer Agency – Conduct review by stepping through the Draft UAT Plan; and take notes capturing key discussion points, comments, questions, and action items; determine if should approve 	<ul style="list-style-type: none"> Customer Agency – Prepare and issue meeting minutes to participants; revise the Draft UAT Plan and reissue to participants if the review resulted in revisions; 	<ul style="list-style-type: none"> An enhanced understanding of the business and functional requirements . A common understanding of the UAT Plan. A common understanding of the next

Workflow Reference	Meetings and Reviews	Purpose	Required / Optional	Participants			Preparation and Responsibilities			Outcome
				Coordinator / Chair	Required	Optional	Before	During	After	
								the UAT Plan.	<ul style="list-style-type: none"> and provide meeting and approval information to the ASU-CRM and determine if an additional Draft UAT Plan Review is necessary. ▪ ASU-CRM – Attach Agenda and Minutes to Rational ClearQuest Tab Attachments ▪ ASU-CRM – Update Rational ClearQuest Analysis & Design – UAT. ▪ ASU-CRM – Email Final Approved UAT Plan to the ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support 	<ul style="list-style-type: none"> steps associated with the UAT Plan. ▪ The Final Approved UAT Plan.

6.7. Miscellaneous

6.7.1. Preliminary UAT Strategy

Upon identification and finalization of the Customer Agency's business requirements to meet its operational needs, efforts by Customer Agencies shift to additional activities. These activities include further translation of the business requirements into functional requirements, and the initialization/conceptualization of the preliminary UAT strategy to be executed in the User Acceptance Test Phase. For the activity of Preliminary UAT Strategy, no work product may need to be created but thought should be given to types of test scenarios, types of cases, edits, etc. that are related to the functional requirements. These ideas/thoughts serve as the foundation for the development of a work product, Draft UAT Plan, in a future activity. Often, it is the activity of the Preliminary UAT Strategy that assists the Customer Agency in the identification of additional requirements. The Preliminary UAT Strategy activity may take the form of an internal Customer Agency meeting, individual Customer Agency brainstorm session(s) by testers, or a by-product of functional requirements JAD sessions.

6.8. Work Product Summary

6.8.1. Work Product Summary Including Workflow Reference Numbers

▪ Agenda and Meeting Minutes from the functional requirements JAD session, if conducted.....	6.120
▪ Draft URD.....	6.130
▪ Draft Supplemental Notice/Form Document (URD) if necessary.....	6.130
▪ Agenda and Meeting Minutes from the Draft URD Review, if conducted.....	6.140
▪ Final Approved URD.....	6.155
▪ Final Approved Supplemental Notice/Form Document (URD), if necessary.....	6.155
▪ Func-Bus RTM.....	6.155
▪ Agenda and Meeting Minutes from the Applications Support Unit Internal Meeting, if conducted.....	6.205
▪ Agenda and Meeting Minutes from the technical requirements JAD session, if conducted.....	6.215
▪ Draft TDD.....	6.225
▪ Draft Supplemental Notice/Form Document (TDD), if necessary.....	6.225
▪ Agenda and Meeting Minutes from the Draft TDD Review, if conducted.....	6.235
▪ Final Approved TDD.....	6.250
▪ Final Approved Supplemental Notice/Form Document (TDD), if necessary.....	6.250
▪ Tech-Func RTM.....	6.250
▪ Agenda and Meeting Minutes from the UAT Strategy Meeting, if conducted.....	6.310
▪ Draft UAT Plan.....	6.320
▪ Agenda and Meeting Minutes from the Draft UAT Plan Review, if conducted.....	6.330
▪ Final Approved UAT Plan.....	6.345

7.0 Development and Unit Test Phase

7.1. Purpose and Overview

During the Development and Unit Test Phase, the executable code modules are created or modified according to the defined technical requirements in the Final Approved TDD. In addition, each code module is executed to confirm that it performs its assigned function. The objective of this phase is to translate technical requirements into code to support the Customer Agency's business operations and to verify that each code module functions properly and meets the requirements.

Another critical process for this phase is requirements traceability. It is a process to verify that the requirements received at the inception of the work effort are addressed throughout the SDLC. During the requirements traceability process all requirements are identified and tracked through all phases. Reference Section 7.5 Work Products, Unit Test Plan.

The focus of the Development and Unit Test Phase is to accomplish the following:

- *To Verify that technical requirements already defined in the TDD and the functional requirements already defined in the URD correspond correctly to the Tech-Func RTM.*
- *To Utilize the TDD including the Tech-Func RTM in development of the Final Unit Test Plan.*
- *To Create, Review, and Finalize a Final Unit Test Plan work product.*
- *To Create a TERC work product.*
- *To Update the TERC – Environments Matrix work product for the development environment.*
- *To Prepare the development environment via the generation of all appropriate technical request forms (SDLC Support Forms) and the execution of those forms.*
http://intra/QAO_SDL_C_Support_Forms.aspx
- *To Create new or modify code modules based on the defined technical requirements, including system security requirements.*
- *To Execute the Final Unit Test Plan.*
- *To Identify and Fix unit-level defects.*
- *To Verify the user interface appears and works as specified.*
- *To Verify that individual executable code modules perform as specified.*
- *To Verify that valid and invalid data are processed correctly.*
- *To Verify that data queries and updates are being performed correctly.*
- *To Verify that all jobs, source code, JCL, etc do not abend.*
- *To Verify technical system security.*
- *To Verify middleware.*
- *To Conduct a Code Module and Final Unit Test Plan & Results review.*
- *To Generate Final Approved Code Modules work product.*
- *To Generate Final Approved Unit Test Plan & Results work product.*
- *To Determine the extent to which the executable code modules are ready for System Test Phase.*

The benefits of the Development and Unit Test Phase are:

- *To Realize thorough documentation of all technical areas affected by the work effort.*
- *To Realize concurrence by a supervisor of the Final Unit Test Plan work product via a review.*
- *To Realize that executable code modules function in an independent fashion.*
- *To Realize concurrence by a supervisor of the Code Modules and Final Unit Test Plan & Results work product via a review.*

7.1.1. Development/Coding

Coding is the process of translating the technical requirements from the Final Approved TDD to code modules using a programming language in order to cause a system to perform a task. Coding should begin upon issuance of the Final Approved TDD and Final Approved UAT Plan.

The basis of quality programming is defined programming standards. Standards should include commenting, naming conventions, program layout, defensive programming, program restartability, etc.

Currently, three (3) programming languages, (Java, Natural, and COBOL) are utilized to produce source and object code modules for the DSS applications.

- Java source objects are migrated to the production environments by use of the Rational Build Forge software migration tool for build and release management.
- Natural source and object code modules, are migrated to the production environments via the use of Treehouse Software Inc.'s N2O, an automated change management software migration tool. The N2O tool migrates both source and object code of Natural programs.
- COBOL source code/programs are migrated from a test environment to the production environment, manually by OSAS Library, upon submission of a Program Maintenance Form - COBOL.

Please note, code modules should not be migrated to the production environment without supervisor approval or appropriate peer approval.

Please note, the QAO is currently reviewing the existing DSS IS coding standards. Coding standards will be included at a future date.

7.1.2. Unit Testing

Unit testing is the first level of testing—the testing of an executable code module—that an application can undergo. Unit testing is the process of executing each individual code module to verify that it provides the functionality specified by the requirements and that it works as designed. The ASU-Manager, ASU-PL, ASU-LA or ASU-Contract Support who modifies a code module is responsible for its unit testing.

The primary function of unit testing is to test and debug small units of code modules. This provides a foundation for the integration of the execution of small units of code modules into larger job streams of code modules, which will be subject to more rigorous testing during the System Test Phase. A code module can be one of several types of application software. Code modules may sometimes be executed stand alone and sometimes must be executed in conjunction with other code modules which act as a unit. This executable unit is what constitutes unit testing. The success of system testing is contingent upon the assurance that the smallest executable functions of an application work properly during unit testing.

Unit testing shall be conducted in the development environment. Unit testing shall NOT be conducted in the production environment unless the IS Director grants written approval. (Per Office of the Legislative Auditor, review of June 15, 2004.)

7.2. Concurrent Customer Agency Activities

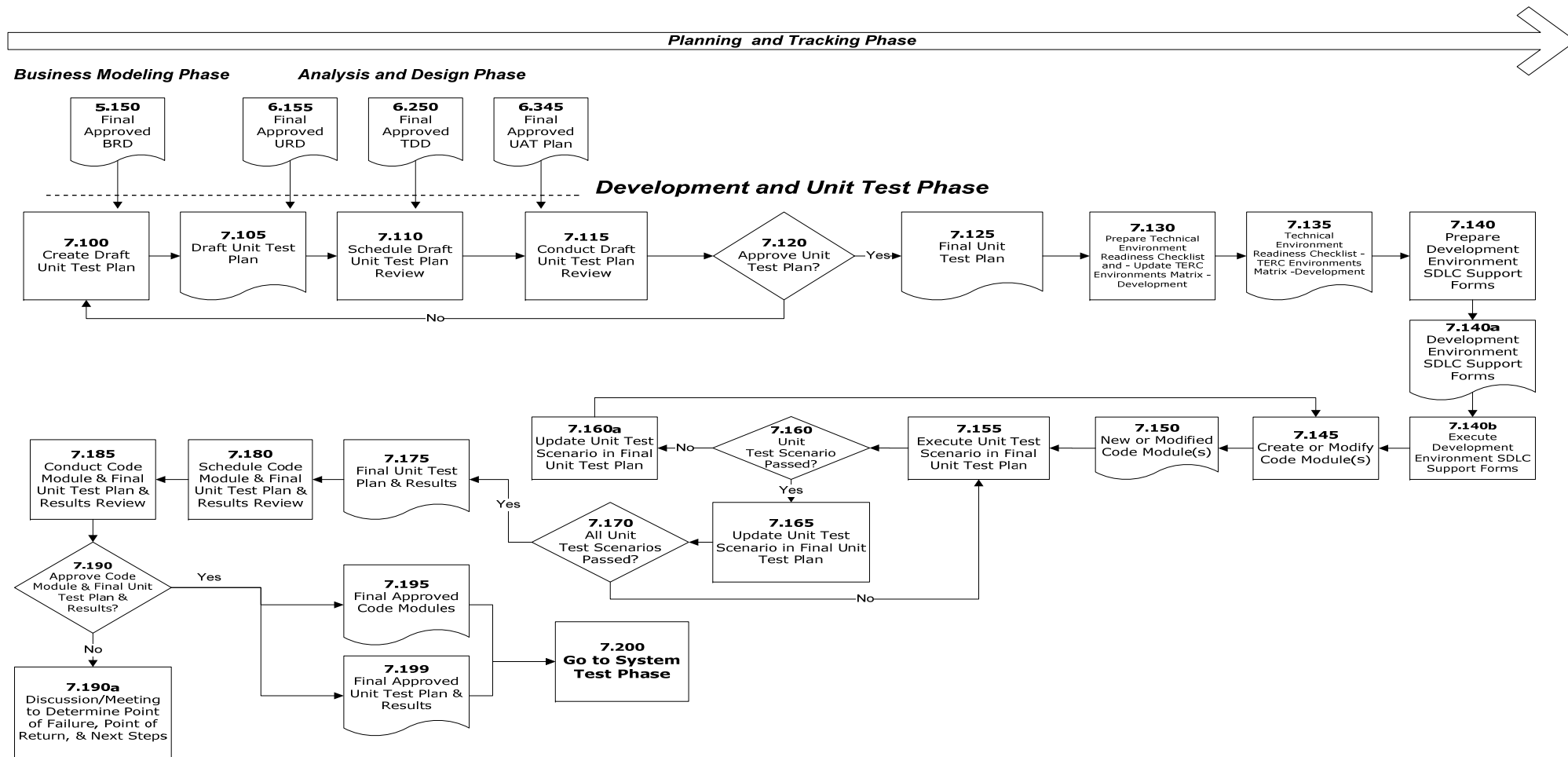
Below is a list of activities that should be initiated, when possible, during the Analysis and Design Phase. These activities may occur in parallel with Development and Unit Test Phase activities, continuing through other subsequent phases and finalized in the Implementation Phase. Activities are:

- The continuing development of any required DSS Policy Manual revisions.
- The continuing development of any required User Manual revisions.
- The continuing development of any necessary training materials.

7.3. Workflow

Exhibit 7.1 illustrates the workflow for the Development and Unit Test Phase.

Exhibit 7.1 Development and Unit Test Phase Workflow



Please see [Exhibit 5.2 Correlating Requirement/Test Scenario Relationships to RTM](#), for the RTM relationships relative to this phase.

7.4. Levels of Responsibility

Exhibit 7.2 illustrates a summary view of the levels of responsibilities for the Development and Unit Test Phase.

Exhibit 7.2 Development and Unit Test Phase Responsibilities

Workflow Reference	Workflow Description	Customer Agency	Information Services										QAO
			Applications Support Unit				Technical Support Unit						
			ASU-CRM	ASU-Manager ASU-Project Leader	ASU- Lead Analyst ASU-Contract Support	ASU- Production Control	TSU-DBA Unit	TSU- Operations Unit	TSU- OSAS Library	TSU- Security Unit	TSU-User Support Center	TSU-Other Technical Support	
7.100	Activity: Create Draft Unit Test Plan.			S, I	R								
7.110	Activity: Schedule Draft Unit Test Plan Review.			S, I	R								
7.115	Activity: Conduct Draft Unit Test Plan Review.			R, I	R, I								
7.120	Decision: Determine if should approve Draft Unit Test Plan.			R	S, I								
7.120	Activity: Approve Draft Unit Test Plan.			R, A	A								
7.130	Activity: Prepare Technical Environment Readiness Checklist and Update TERC Environments Matrix – Development.			S, I	R								

Workflow Reference	Workflow Description	Customer Agency	Information Services										QAO
			Applications Support Unit				Technical Support Unit						
			ASU-CRM	ASU-Manager ASU-Project Leader	ASU- Lead Analyst ASU-Contract Support	ASU- Production Control	TSU-DBA Unit	TSU- Operations Unit	TSU- OSAS Library	TSU- Security Unit	TSU-User Support Center	TSU-Other Technical Support	
7.140	Activity: Prepare Development Environment SDLC Support Forms. (See Section 12.0, Support Forms)			S, I	R	S, I	S, I	S, I	S, I	S, I	S, I	S, I	
7.140b	Activity: Execute Development Environment SDLC Support Forms.			S, I	S	R	R	R	R	R	R	R	
7.145	Activity: Create or Modify Code Modules.			S, I	R								
7.155	Activity: Execute Unit Test Scenario in Unit Test Plan.			S, I	R	S, I	S, I	S, I	S, I	S, I	S, I	S, I	
7.160	Decision: Determine if the Unit Test Scenario Passed.			S, I	R								
7.165 7.160a	Activity: Update Unit Test Scenario in Unit Test Plan.			S, I	R								
7.170	Decision: Determine if all Unit Test Scenarios Passed.			S, I	R								
7.180	Activity: Schedule Code Module and Final Unit Test Plan and Results Review.			S, I	R								

Workflow Reference	Workflow Description	Customer Agency	Information Services										QAO
			Applications Support Unit				Technical Support Unit						
			ASU-CRM	ASU-Manager ASU-Project Leader	ASU- Lead Analyst ASU-Contract Support	ASU- Production Control	TSU-DBA Unit	TSU- Operations Unit	TSU- OSAS Library	TSU- Security Unit	TSU-User Support Center	TSU-Other Technical Support	
7.185	Activity: Conduct Code Module and Final Unit Test Plan and Results Review.			R, I	R, I								
7.190	Decision: Determine if Code Modules and Final Unit Test Plan and Results Should Be approved.			R	S, I								
7.190a	Activity: Discussion/Meeting to Determine Point of Failure, Point of Return, & Next Steps			R	S, I	S, I	S, I	S, I	S, I	S, I	S, I	S, I	
7.190	Activity: Approve Code Modules and Final Unit Test Plan and Results.			R, A	A								

R = Party that is responsible for making a decision and completing or overseeing the completion of an activity.

A = Party that approves an activity or decision.

S = Party that supports an activity or decision.

I = Party that is informed of an activity or decision.

P = Party that participates in an activity or decision.

7.5. Work Products

7.5.1. Primary Work Products

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
7.140a	Development Environment SDLC Support Forms									<ul style="list-style-type: none"> QAO Website, SDLC Support Forms
7.150	Code Modules (New or Modified)	<ul style="list-style-type: none"> Cause a system to perform a task or tasks. 	<ul style="list-style-type: none"> ASU- <ul style="list-style-type: none"> o Manager o PL o LA o Contract Support 	<ul style="list-style-type: none"> ASU- <ul style="list-style-type: none"> o Manager o PL o LA o Contract Support 	<ul style="list-style-type: none"> Development and Unit Test Phase 	<ul style="list-style-type: none"> Development and Unit Test Phase 	<ul style="list-style-type: none"> A system is caused to perform a task(s) that achieves the Customer Agency's desired outcome. This may require one or more code modules that act like one unit or is executable as a unit. 	<ul style="list-style-type: none"> Natural code modules are stored on the FUSER File #181 for each technical environment. Each application stores its modules in application specific libraries. COBOL source code modules are migrated from TSO PDS ****.SOURCE.C OBOL to TSO PDS USER.SOURCE.C OBOL. After compiling the source code, production object code is resident in SYS1.WELFARE. (****=application) 	<ul style="list-style-type: none"> TBD 	<ul style="list-style-type: none"> TBD

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
7.195	Final Approved Code Modules	<ul style="list-style-type: none"> ▪ Cause a system to perform a task or tasks. 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ Development and Unit Test Phase 	<ul style="list-style-type: none"> ▪ Development and Unit Test Phase 	<ul style="list-style-type: none"> ▪ A system is caused to perform a task(s) that achieves the Customer Agency's desired outcome. ▪ This may require one or more code modules that act like one unit or is executable as a unit. 	<ul style="list-style-type: none"> ▪ Natural code modules are stored on the FUSER File #181 for each technical environment. Each application stores its modules in application specific libraries. ▪ COBOL source code modules are migrated from TSO PDS ****.SOURCE.C OBOL to TSO PDS USER.SOURCE.C OBOL. After compiling the source code, production object code is resident in SYS1.WELFARE. (****=application) 	<ul style="list-style-type: none"> ▪ TBD 	<ul style="list-style-type: none"> ▪ TBD
7.105	Draft Unit Test Plan	<ul style="list-style-type: none"> ▪ Document the translation of technical requirements specified in the TDD and the Tech-Func RTM into test scenarios to verify the design and functionality of each code module as an 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ Development and Unit Test Phase 	<ul style="list-style-type: none"> ▪ Development and Unit Test Phase 	<ul style="list-style-type: none"> ▪ Documented unit test scenarios executed during unit testing. 	<ul style="list-style-type: none"> ▪ Shared S Drive or Rational ClearQuest 	<ul style="list-style-type: none"> ▪ Unit Test Plan Template ▪ Instructional Guide for Capturing Layouts ▪ Rational ClearQuest User Guide ▪ Technical Functionality Checklist 	<ul style="list-style-type: none"> ▪ QAO Website, SDLC Tools & Templates, Development and Unit Test Phase ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC User

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
		<p>individual unit.</p> <ul style="list-style-type: none"> ▪ Before conducting unit testing, the following information should be provided in the Unit Test Plan: Scenario #, Tech-Func Requirement ID #, Scenario Description, Supporting Details, Action(s) to be Taken, and Expected Results. ▪ After conducting unit testing, the following information should be provided in the Unit Test Plan: Actual Results, Tester & Date, Status, and Comments. 								<p>Guides, Planning and Tracking Phase</p> <ul style="list-style-type: none"> ▪ QAO Website, SDLC Tools & Templates, Development and Unit Test Phase
7.125	Final Unit Test Plan	<ul style="list-style-type: none"> ▪ Document the translation of technical requirements specified in the TDD and the Tech-Func RTM into test scenarios to verify the design and functionality 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ Development and Unit Test Phase 	<ul style="list-style-type: none"> ▪ Development and Unit Test Phase 	<ul style="list-style-type: none"> ▪ Documented and approved unit test scenarios executed during unit testing. ▪ Rational ClearQuest Tab Development & Unit Test updated 	<ul style="list-style-type: none"> ▪ Rational ClearQuest Tab Attachments 	<ul style="list-style-type: none"> ▪ Unit Test Plan Template ▪ Instructional Guide for Capturing Layouts ▪ Technical Functionality Checklist ▪ Rational 	<ul style="list-style-type: none"> ▪ QAO Website, SDLC Tools & Templates, Development and Unit Test Phase ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
		<p>of each code module as an individual unit.</p> <ul style="list-style-type: none"> ▪ Before conducting unit testing, the following information should be provided in the Unit Test Plan: Scenario #, Tech-Func Requirement ID #, Scenario Description, Supporting Details, Action(s) to be Taken, and Expected Results. ▪ After conducting unit testing, the following information should be provided in the Unit Test Plan: Actual Results, Tester & Date, Status, and Comments. 							ClearQuest User Guide	<ul style="list-style-type: none"> ▪ QAO Website, SDLC Tools & Templates, Development and Unit Test Phase ▪ QAO Website, SDLC User Guides, Planning and Tracking Phase
7.175	Final Unit Test Plan & Results	<ul style="list-style-type: none"> ▪ Document the translation of technical requirements specified in the TDD and the Tech-Func RTM into test scenarios to 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ Development and Unit Test Phase 	<ul style="list-style-type: none"> ▪ Development and Unit Test Phase 	<ul style="list-style-type: none"> ▪ Documented unit test scenarios executed during unit testing and the results. 	<ul style="list-style-type: none"> ▪ Shared S Drive or Rational ClearQuest 	<ul style="list-style-type: none"> ▪ Unit Test Plan Template ▪ Instructional Guide for Capturing Layouts ▪ Rational ClearQuest 	<ul style="list-style-type: none"> ▪ QAO Website, SDLC Tools & Templates, Development and Unit Test Phase ▪ QAO Website, SDLC Tools & Templates,

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
		<p>verify the design and functionality of each executable code module as an individual unit.</p> <ul style="list-style-type: none"> ▪ Before conducting unit testing, the following information should be provided in the Unit Test Plan: Scenario #, Tech-Func Requirement ID #, Scenario Description, Supporting Details, Action(s) to be Taken, and Expected Results. ▪ After conducting unit testing, the following information should be provided in the Unit Test Plan: Actual Results, Tester & Date, Status, and Comments. 							<p>User Guide</p> <ul style="list-style-type: none"> ▪ Technical Functionality Checklist 	<p>Analysis and Design Phase</p> <ul style="list-style-type: none"> ▪ QAO Website, SDLC User Guides, Planning and Tracking Phase ▪ QAO Website, SDLC Tools & Templates, Development and Unit Test Phase
7.199	Final Approved Unit Test Plan & Results	<ul style="list-style-type: none"> ▪ Document the translation of technical requirements specified in the TDD and the 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract 	<ul style="list-style-type: none"> ▪ Development and Unit Test Phase 	<ul style="list-style-type: none"> ▪ Development and Unit Test Phase 	<ul style="list-style-type: none"> ▪ Documented and approved unit test scenarios executed during unit testing and 	<ul style="list-style-type: none"> ▪ Rational ClearQuest Tab Attachments 	<ul style="list-style-type: none"> ▪ Unit Test Plan Template ▪ Instructional Guide for Capturing 	<ul style="list-style-type: none"> ▪ QAO Website, SDLC Tools & Templates, Development and Unit Test Phase

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
		<p>Tech-Func RTM into test scenarios to verify the design and functionality of each executable code module as an individual unit.</p> <ul style="list-style-type: none"> ▪ Before conducting unit testing, the following information should be provided in the Unit Test Plan: Scenario #, Tech-Func Requirement ID #, Scenario Description, Supporting Details, Action(s) to be Taken, and Expected Results. ▪ After conducting unit testing, the following information should be provided in the Unit Test Plan: Actual Results, Tester & Date, Status, and Comments. 		Support			<p>the results.</p> <ul style="list-style-type: none"> ▪ Rational ClearQuest Tab Development & Unit Test updated 		<p>Layouts</p> <ul style="list-style-type: none"> ▪ Technical Functionality Checklist ▪ Rational ClearQuest User Guide 	<ul style="list-style-type: none"> ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC Tools & Templates, Development and Unit Test Phase ▪ QAO Website, SDLC User Guides, Planning and Tracking Phase

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
7.135	Technical Environment Readiness Checklist (TERC) Exhibit 5.2 Correlating Requirement/Test Scenario Relationships to RTM	<ul style="list-style-type: none"> Identifies standardized activities to prepare technical environments. 	<ul style="list-style-type: none"> ASU- <ul style="list-style-type: none"> PL LA Contract Support 	<ul style="list-style-type: none"> ASU- <ul style="list-style-type: none"> Manager PL LA Contract Support 	<ul style="list-style-type: none"> Development and Unit Test Phase 	<ul style="list-style-type: none"> Development and Unit Test Phase 	<ul style="list-style-type: none"> Documented identification of activities to complete and their associated database files, code modules, JCL, and members, etc. Rational ClearQuest Tab Development & Unit Test Tab updated 	<ul style="list-style-type: none"> Rational ClearQuest Tab Attachments 	<ul style="list-style-type: none"> Technical Environment Readiness Checklist Template Rational ClearQuest User Guide 	<ul style="list-style-type: none"> QAO Website, SDLC Tools & Templates, Development and Unit Test Phase QAO Website, SDLC User Guides, Planning and Tracking Phase
7.135	TERC Environment Matrix - Development Exhibit 5.2 Correlating Requirement/Test Scenario Relationships to RTM	<ul style="list-style-type: none"> Identifies responsible party and date of completion of standardized activities, as they are completed in each technical environment. 	<ul style="list-style-type: none"> ASU- <ul style="list-style-type: none"> PL LA Contract Support 	<ul style="list-style-type: none"> ASU- <ul style="list-style-type: none"> Manager PL LA Contract Support 	<ul style="list-style-type: none"> Development and Unit Test Phase 	<ul style="list-style-type: none"> Development and Unit Test Phase 	<ul style="list-style-type: none"> Documented identification of responsible party and date of completion of standardized activities, for the Development & Unit Test environment. 	<ul style="list-style-type: none"> Rational ClearQuest Tab Attachments (Matrix section in TERC) Rational ClearQuest Tab Development & Unit Test Tab updated. 	<ul style="list-style-type: none"> Technical Environment Readiness Checklist Template 	<ul style="list-style-type: none"> QAO Website, SDLC Tools & Templates, Development and Unit Test Phase

7.6. Meetings and Reviews

Workflow Reference	Meetings and Reviews	Purpose	Required / Optional	Participants			Preparation and Responsibilities			Outcome
				Coordinator / Chair	Required	Optional	Before	During	After	
7.115	Draft Unit Test Plan Review	<ul style="list-style-type: none"> Review the test scenarios to be executed during unit testing. 	Required	<ul style="list-style-type: none"> ASU- <ul style="list-style-type: none"> Manager PL LA Contract Support 	<ul style="list-style-type: none"> ASU- <ul style="list-style-type: none"> Manager PL LA Contract Support 		<ul style="list-style-type: none"> ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support – Distribute the Draft Unit Test Plan and any other supporting documentation to participants. ASU-Manager or ASU-PL – Review the Draft Unit Test Plan and any other supporting documentation. 	<ul style="list-style-type: none"> ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support– Conduct review by stepping through the Draft Unit Test Plan developed from the TDD and Tech-Func RTM; and take notes capturing key discussion points, comments, questions, and action items (the Technical Functionality Checklist may be used as an aid). ASU-Manager or ASU-PL – Determine if the Draft Unit Test Plan should be approved. 	<ul style="list-style-type: none"> ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support – Attach Agenda and Minutes to Rational ClearQuest Tab Attachments. ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support – Begin coding if approval is granted, or revise the Draft Unit Test Plan and reissue for review if approval is not granted. ASU-Manager, ASU-PL– Determine if an additional Draft Unit Test Plan Review is necessary. ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support – Update Rational ClearQuest Tab Development & Unit Test. 	<ul style="list-style-type: none"> Common understanding of the next steps associated with the Unit Test Plan. The Final Unit Test Plan.

Workflow Reference	Meetings and Reviews	Purpose	Required / Optional	Participants			Preparation and Responsibilities			Outcome
				Coordinator / Chair	Required	Optional	Before	During	After	
7.185	Code Module & Final Unit Test Plan & Results Review	<ul style="list-style-type: none"> ▪ Review the test scenarios executed during unit testing and the results derived. ▪ Verify that each executable code module meets the functional and technical requirements and works properly. 	<ul style="list-style-type: none"> ▪ Required 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 		<ul style="list-style-type: none"> ▪ ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support– Distribute the Final Unit Test Plan and Results and any other supporting documentation to participants. ▪ ASU-Manager or ASU-PL – Review the Final Unit Test Plan and Results and any other supporting documentation. 	<ul style="list-style-type: none"> ▪ ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support – Conduct review by stepping through the Final Unit Test Plan and Results; and take notes capturing key discussion points, comments, questions, and action items (the Technical Functionality Checklist may be used as an aid). ▪ ASU-Manager or ASU-PL– Determine if the Final Unit Test Plan and Results should be approved. 	<ul style="list-style-type: none"> ▪ ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support – Attach Agenda and Minutes to Rational ClearQuest Tab Attachments. ▪ ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support – If approval is granted, then begin system testing. If approval is not granted, then attend Next Steps Meeting. ▪ ASU-Manager or ASU-PL – If approval is not granted, then schedule a Next Steps Meeting. ▪ ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support –Update Rational ClearQuest Tab Development & Unit Test. 	<ul style="list-style-type: none"> ▪ Common understanding of the next steps associated with the Unit Test Plan. ▪ The Final Approved Code Modules & the Final Approved Unit Test Plan & Results.

Workflow Reference	Meetings and Reviews	Purpose	Required / Optional	Participants			Preparation and Responsibilities			Outcome
				Coordinator / Chair	Required	Optional	Before	During	After	
7.190a	Discussion/ Meeting to Determine Point of Failure, Point of Return, & Next Steps	<ul style="list-style-type: none"> Determine the severity of a defect and the appropriate action(s) to take if the executable code modules do not meet the functional specifications and do not work properly. Depending on the severity of the defect, the following activities may need to occur: code revisions; design modifications; requirements redefinition; and/or additional unit test executions. 	Optional	<ul style="list-style-type: none"> ASU-Manager or ASU-PL 	<ul style="list-style-type: none"> ASU-CRM Customer Agency 	<ul style="list-style-type: none"> ASU-Production Control TSU <ul style="list-style-type: none"> DBA Unit Operations Unit OSAS Library Security Unit User Support Center 	<ul style="list-style-type: none"> ASU-Manager or ASU-PL – Prepare and issue agenda to participants. Participants – Review the Unit Test Plan and Results and any other supporting documentation. 	<ul style="list-style-type: none"> ASU-Manager or ASU-PL – Conduct the meeting; describe the problem; and take notes capturing key discussion points, questions, and action items. Participants – Determine the next steps. 	<ul style="list-style-type: none"> ASU-Manager or ASU-PL – Prepare and issue meeting minutes. ASU-Manager or ASU-PL – Attach Agenda and Minutes to Rational ClearQuest Tab Attachments. ASU-Manager or ASU-PL – Update Rational ClearQuest Tab Development & Unit Test. 	<ul style="list-style-type: none"> A common understanding of the problem and an identification of the resolution.

7.7. Work Product and Support Forms Summary

7.7.1. Work Product Summary Including Workflow Reference Numbers

▪ Draft Unit Test Plan.....	7.105
▪ Final Unit Test Plan.....	7.125
▪ Technical Environment Readiness Checklist.....	7.135
▪ Technical Environment Readiness Checklist – Environments Matrix – Development.....	7.135
▪ Development Environment SDLC Support Forms.....	7.140a
▪ Code Modules.....	7.150
▪ Final Unit Test Plan and Results.....	7.175
▪ Agenda and Meeting Minutes from the Next Steps Meeting, if conducted.....	7.190a
▪ Final Approved Code Modules.....	7.195
▪ Final Approved Unit Test Plan and Results.....	7.199

8.0 System Test Phase

8.1. Purpose and Overview

System testing is the construction phase testing of an integrated application against its requirements. During the System Test Phase, the code module(s) tested during the Development and Unit Test Phase are integrated and tested as a complete application by the Applications Support Unit. System testing occurs after the code is developed; successfully unit tested; and migrated to the system test environment. In addition, activities to prepare the system test environment must be completed before system testing is initiated. The objective of this phase is to ensure that new and modified modules, once integrated, perform according to the functionality described in the TDD, as well as perform correctly with other related modules.

System testing is a more rigorous level of testing that an application can undergo. System testing goes a step beyond unit testing by combining individual modules to ensure that they function together, properly, when integrated. The system test environment should simulate the production environment as closely as possible.

The primary function of system testing is to test and debug integrated modules to verify that they provide the functionality specified by the requirements and that they work as designed. An example of integrated modules is when one screen accepts and populates its fields with data keyed in by Customer Agency staff and then passes the data to a second screen where updates are performed. System testing examines how the application performs in a production-like environment in conjunction with its interfaces. The person who executes the system test may be the same person who codes and unit tests the module(s).

Another critical process for this phase is requirements traceability. It is a process to verify that the requirements received at the inception of the work effort are addressed throughout the SDLC. During the requirements traceability process all requirements are identified and tracked through all phases. Reference Section 8.5 Work Products, System Test Plan.

The focus of the System Test Phase is to accomplish the following:

- *To Utilize the TDD including the Tech-Func RTM in development of the Final System Test Plan.*
- *To Create, Review, and Finalize a Final System Test Plan work product.*
- *To Update the TERC – Environments Matrix work product for the system test environment(s).*
- *To Prepare the system test environment via the generation of all appropriate technical request forms (SDLC Support Forms) and the execution of those forms.*
http://intra/QAO_SDLC_Support_Forms.aspx
- *To Identify and Fix defects that were not previously identified during the Development and Unit Test Phase.*
- *To Execute the Final System Test Plan.*
- *To Verify that each requirement was developed as specified, including system security requirements.*
- *To Verify that major system functionality is intact.*
- *To Ensure acceptable system performance.*
- *To Validate cross-system/interface communication.*
- *To Ensure the integrity of a conversion process.*
- *To Verify technical system security.*
- *To Verify middleware.*
- *To Test the backup, recovery, and restartability processes.*
- *To Conduct a Final System Test Plan & Results review.*
- *To Generate Final Approved System Test Plan & Results work product.*
- *To Determine the extent to which the system is ready for User Acceptance Test Phase.*

The benefits of the System Test Phase are:

- *To Realize thorough documentation of all technical areas affected by the work effort.*

- To Realize concurrence by a supervisor of the Final System Test Plan work product via a review.
- To Realize that executable code modules function appropriately in an integrated fashion.
- To Realize concurrence by a supervisor of the Final System Test Plan & Results work product via a review.

While the primary focus of system testing is to validate an application's technical requirements, a variety of tests should always be considered to evaluate its "operational" features, as well. Some additional and common system test requirements include:

Backup Testing: Requirements testing conducted to evaluate the application's ability to backup its data in the event of a software or hardware failure.

Configuration Testing: Requirements testing of the application under different hardware and software configurations to determine an optimal system configuration.

Conversion Testing: Requirements testing conducted to evaluate a program/procedure used to convert data from an existing application to the replacement application.

Penetration Testing: Requirements testing conducted in which evaluators attempt to circumvent the security features of a system based on their understanding of the system design and implementation. The purpose of penetration testing is to identify methods of gaining access to a system by using common tools and techniques used by attackers. Penetration testing should be performed after careful consideration, notification, and planning.

Performance Testing: Requirements testing conducted to evaluate response times, transaction rates, and other time sensitive attributes against predefined objectives.

Recovery Testing: Requirements testing conducted to evaluate the application's ability to recover from a software or hardware failure.

Regression Testing: Requirements retesting of a software system that has been modified to ensure that any bugs have been fixed and that no other previously working functions have failed as a result of the reparations and that newly added features have not created problems with previous versions of the software. Regression testing is initiated after the Applications Support Unit has attempted to fix a recognized problem or has added source code to a code module that may have inadvertently introduced errors.

Robustness Testing: Requirements testing of the application that attempts to cause failures involving how the system behaves under invalid conditions (e.g., unavailability of dependent applications, hardware failure, and invalid input such as entry of more than the maximum amount of data in a field).

Section 508 Compliancy Testing: Requirements testing conducted to evaluate the application's compliancy with Section 508 of the Rehabilitation Act Amendments of 1998, as amended (29 U.S.C. 794d). Basically, Section 508 requires that clients with disabilities, who are members of the public seeking information or services from DSS, have access to and use of information and data that is comparable to that provided to clients who are not individuals with disabilities, unless an undue burden would be imposed on our agency. The agency policy related to Section 508 is DSS [Policy 2-05 Electronic and Information Technology Accessibility](#) that can be located on the DSS intranet, at the DSS Policy Management System link, select the DSS tab, under Chapters select DSS Policy Manual, under DSS Policy Manual select 2 – CIVIL RIGHTS, then select [Policy 2-05 Electronic and Information Technology Accessibility](#). A source of additional information would be the official government website <http://www.section508.gov>

Security Testing: Requirements testing conducted to evaluate an automated system's ability to ensure the integrity and confidentiality of program and Client data; to ensure the proper system accessibility and functionality based on a valid business need for a Customer Agency; and access restrictions by profile where appropriate.

The Louisiana DSS has various systems that interface with the Internal Revenue Service (IRS), and therefore must follow very stringent security procedures related:

- to the transport of program and Client confidential data,
- to the business need for viewing of this confidential data,
- to the storage of this confidential data,
- to the disposition of this confidential data, and
- to the retention of this confidential data.

A prime reference document on security published by the IRS is:

- IRS Publication 1075: Tax Information Security Guidelines For Federal, State and Local Agencies and Entities (Safeguards for Protecting Federal Tax Returns and Return Information).

In addition, there are numerous other security related resource references that may be utilized from the National Institute of Standards and Technology (NIST), Technology Administration, United States Department of Commerce some of which are:

- NIST Special Publication 800-18 Revision 1, February 2006
Guide for Developing Security Plans for Federal Information Systems, and
- NIST Special Publication 800-64 Revision 1, June 2004
Security Considerations in the Information System Development Life Cycle.

Stress Testing: Requirements testing conducted to evaluate the application's capability of handling conditions that overload its resources under extreme but valid conditions (e.g., extreme utilization, insufficient memory, inadequate hardware, and dependency on over-utilized shared resources).

Volume Testing: Requirements testing conducted to evaluate the application's capability of handling heavy volumes of data.

Vulnerability Testing: Requirements testing conducted to identify weaknesses in the system and identify recommendations for mitigation of security vulnerabilities.

System testing shall be conducted in the system test environment. System testing shall NOT be conducted in the production environment unless the IS Director grants written approval. (Per Office of the Legislative Auditor, review of June 15, 2004.)

8.2. Concurrent Customer Agency Activities

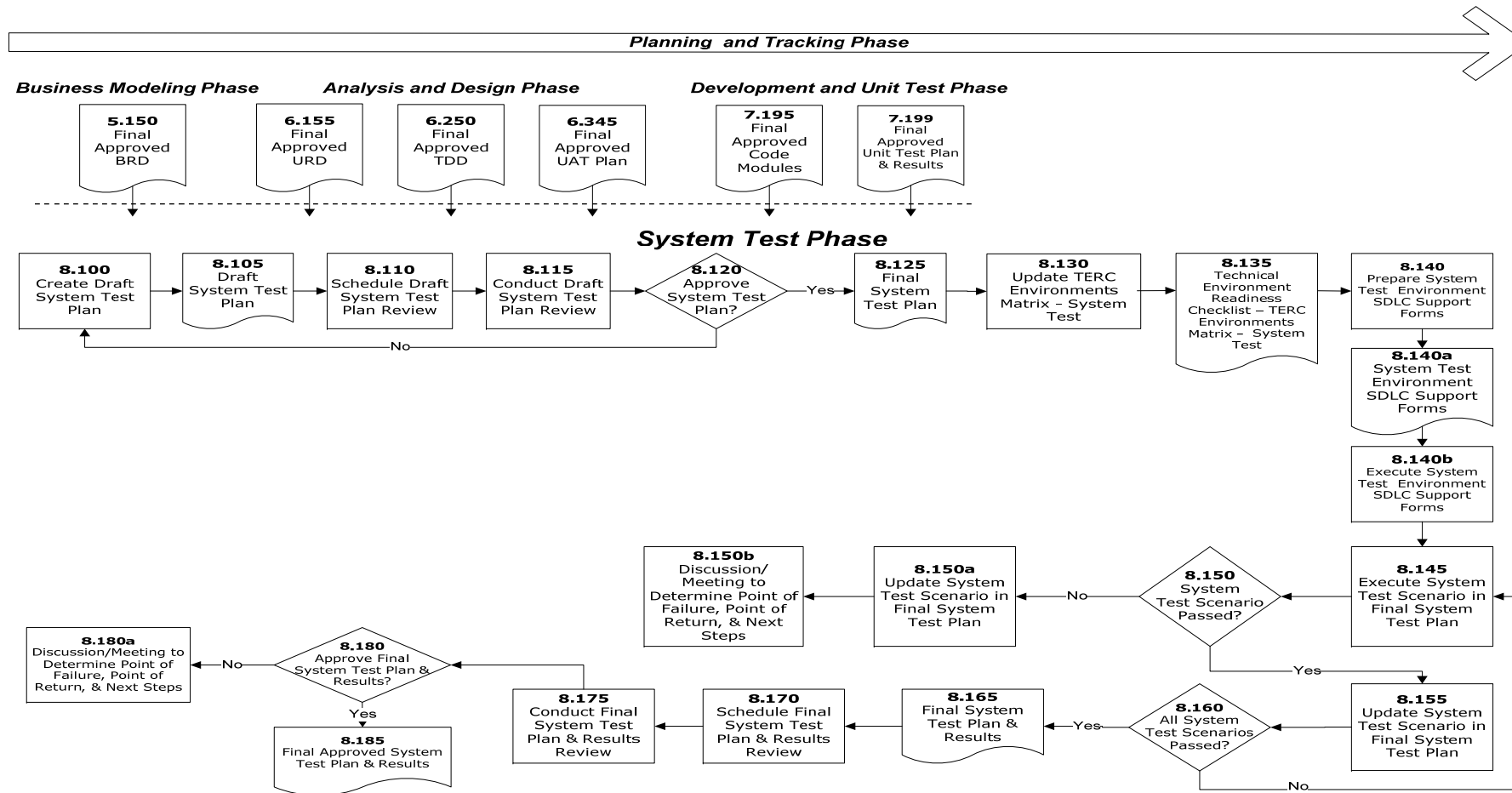
Below is a list of activities that should be initiated, when possible, during the Analysis and Design Phase. These activities may occur in parallel with System Test Phase activities, continuing through the User Acceptance Test Phase, and finalized in the Implementation Phase. Activities are:

- The continuing development of any required DSS Policy Manual revisions.
- The continuing development of any required User Manual revisions.
- The continuing development of any necessary training materials.

8.3. Workflow

Exhibit 8.1 illustrates the workflow for the System Test Phase.

Exhibit 8.1 System Test Phase Workflow



Please see [Exhibit 5.2 Correlating Requirement/Test Scenario Relationships to RTM](#), for the RTM relationships relative to this phase.

8.4. Levels of Responsibility

Exhibit 8.2 illustrates a summary view of the levels of responsibility for the System Test Phase.

Exhibit 8.2 System Test Phase Responsibilities

Workflow Reference	Workflow Description	Customer Agency	Information Services										QAO
			Applications Support Unit				Technical Support Services						
			ASU-CRM	ASU-Manager ASU-Project Leader	ASU-Lead Analyst ASU-Contract Support	ASU-Production Control	TSU-DBA Unit	TSU-Operations Unit	TSU-OSAS Library	TSU-Security Unit	TSU-User Support Center	TSU-Other Technical Support	
8.100	Activity: Create Draft System Test Plan.			S, I	R								
8.110	Activity: Schedule Draft System Test Plan Review.			S, I	R								
8.115	Activity: Conduct Draft System Test Plan Review.			R, I	R, I								
8.120	Decision: Determine if should approve Draft System Test Plan.			R	S, I								
8.120	Activity: Approve Draft System Test Plan.			R, A	A								
8.130	Activity: Update TERC Environments Matrix – System Test.			S, I	R								
8.140	Activity: Prepare System Test Environment SDLC Support Forms. <i>(See Section 12.0, Support Forms)</i>			S, I	R	S, I	S, I	S, I	S, I	S, I	S, I	S, I	

Workflow Reference	Workflow Description	Customer Agency	Information Services										QAO
			Applications Support Unit				Technical Support Services						
			ASU-CRM	ASU-Manager ASU-Project Leader	ASU-Lead Analyst ASU-Contract Support	ASU- Production Control	TSU- DBA Unit	TSU- Operations Unit	TSU- OSAS Library	TSU- Security Unit	TSU-User Support Center	TSU- Other Technical Support	
8.140b	Activity: Execute System Test Environment SDLC Support Forms.			S, I	S	R	R	R	R	R	R	R	
8.145	Activity: Execute System Test Scenario in System Test Plan.			S, I	R	S, I	S, I	S, I	S, I	S, I	S, I	S, I	
8.150	Decision: Determine if the System Test Scenario Passed.			S, I	R								
8.155 8.150a	Activity: Update System Test Scenario in System Test Plan.			S, I	R								
8.150b	Activity: Discussion/Meeting to Determine Point of Failure, Point of Return, & Next Steps			R	R	S, I	S, I	S, I	S, I	S, I	S, I	S, I	
8.160	Decision: Determine if all System Test Scenarios Passed.			S, I	R								
8.170	Activity: Schedule Final System Test Plan and Results Review.			S, I	R								
8.175	Activity: Conduct Final System Test Plan and Results Review.			R	R								
8.180	Decision: Determine if Final System Test Plan and Results Should Be approved.			R	S, I								
8.180a	Activity: Discussion/Meeting to Determine Point of Failure, Point of Return, & Next Steps			R	R	S, I	S, I	S, I	S, I	S, I	S, I	S, I	

Workflow Reference	Workflow Description	Customer Agency	Information Services										QAO
			Applications Support Unit				Technical Support Services						
			ASU-CRM	ASU-Manager ASU-Project Leader	ASU-Lead Analyst ASU-Contract Support	ASU-Production Control	TSU-DBA Unit	TSU-Operations Unit	TSU-OSAS Library	TSU-Security Unit	TSU-User Support Center	TSU-Other Technical Support	
8.180	Activity: Approve Final System Test Plan and Results.	I	I	R, A	A								

- R = Party that is responsible for making a decision and completing or overseeing the completion of an activity.
- A = Party that approves an activity or decision.
- S = Party that supports an activity or decision.
- I = Party that is informed of an activity or decision.
- P = Party that participates in an activity or decision.

8.5. Work Products

8.5.1. Primary Work Products

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
8.105	Draft System Test Plan	<ul style="list-style-type: none"> ▪ Document the translation of technical requirements specified in the TDD and the Tech-Func RTM into test scenarios to verify the design and functionality of each code module as an integrated component. ▪ Before conducting system testing, the following information should be provided in the System Test Plan: Scenario #, Tech-Func Requirement ID #, Scenario Description, Supporting Details, Action(s) to be Taken, and Expected Results. ▪ After conducting system testing, 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ System Test Phase 	<ul style="list-style-type: none"> ▪ System Test Phase 	<ul style="list-style-type: none"> ▪ Documented system test scenarios executed during system testing. 	<ul style="list-style-type: none"> ▪ Shared S Drive or Rational ClearQuest 	<ul style="list-style-type: none"> ▪ System Test Plan Template ▪ Instructional Guide for Capturing Layouts ▪ Rational ClearQuest User Guide ▪ Technical Functionality Checklist 	<ul style="list-style-type: none"> ▪ QAO Website, SDLC Tools & Templates, System Test Phase ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC User Guides, Planning and Tracking Phase ▪ QAO Website, SDLC Tools & Templates, Development and Unit Test Phase

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
		the following information should be provided in the System Test Plan: Actual Results, Tester & Date, Status, and Comments.								
8.125	Final System Test Plan	<ul style="list-style-type: none"> ▪ Document the translation of technical requirements specified in the TDD and the Tech-Func RTM into test scenarios to verify the design and functionality of each code module as an integrated component. ▪ Before conducting system testing, the following information should be provided in the System Test Plan: Scenario #, Tech-Func Requirement ID #, Scenario Description, Supporting Details, Action(s) to be Taken, and Expected 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ System Test Phase 	<ul style="list-style-type: none"> ▪ System Test Phase 	<ul style="list-style-type: none"> ▪ Documented and approved system test scenarios executed during system testing. ▪ Rational ClearQuest Tab System Test updated 	<ul style="list-style-type: none"> ▪ Rational ClearQuest Tab Attachments 	<ul style="list-style-type: none"> ▪ System Test Plan Template ▪ Instructional Guide for Capturing Layouts ▪ Technical Functionality Checklist ▪ Rational ClearQuest User Guide 	<ul style="list-style-type: none"> ▪ QAO Website, SDLC Tools & Templates, System Test Phase ▪ QAO Website, SDLC Tools & Templates, Analysis and Design Phase ▪ QAO Website, SDLC Tools & Templates, Development and Unit Test Phase ▪ QAO Website, SDLC User Guides, Planning and Tracking Phase

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
		<p>Results.</p> <ul style="list-style-type: none"> After conducting system testing, the following information should be provided in the System Test Plan: Actual Results, Tester & Date, Status, and Comments. 								
8.140a	System Test Environment SDLC Support Forms									<ul style="list-style-type: none"> QAO Website, SDLC Support Forms
8.165	Final System Test Plan & Results	<ul style="list-style-type: none"> Document the translation of technical requirements specified in the TDD and the Tech-Func RTM into test scenarios to verify the design and functionality of each code module as an integrated component. Before conducting system testing, the following information should be provided in the System Test Plan: Scenario #, Tech-Func 	<ul style="list-style-type: none"> ASU <ul style="list-style-type: none"> o LA o Contract Support 	<ul style="list-style-type: none"> ASU <ul style="list-style-type: none"> o Manager o PL o LA o Contract Support 	System Test Phase	System Test Phase	<ul style="list-style-type: none"> Documented system test scenarios executed during system testing and the results. 	<ul style="list-style-type: none"> Shared S Drive or Rational ClearQuest 	<ul style="list-style-type: none"> System Test Plan Template Instructional Guide for Capturing Layouts Rational ClearQuest User Guide Technical Functionality Checklist 	<ul style="list-style-type: none"> QAO Website, SDLC Tools & Templates, System Test Phase QAO Website, SDLC Tools & Templates, Analysis and Design Phase QAO Website, SDLC User Guides, Planning and Tracking Phase QAO Website, SDLC Tools & Templates, Development and Unit Test Phase

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
		<p>Requirement ID #, Scenario Description, Supporting Details, Action(s) to be Taken, and Expected Results.</p> <ul style="list-style-type: none"> After conducting system testing, the following information should be provided in the System Test Plan: Actual Results, Tester & Date, Status, and Comments. 								
8.185	Final Approved System Test Plan & Results	<ul style="list-style-type: none"> Document the translation of technical requirements specified in the TDD and the Tech-Func RTM into test scenarios to verify the design and functionality of each code module as an integrated component. Before conducting system testing, the following information should be provided in the 	<ul style="list-style-type: none"> ASU <ul style="list-style-type: none"> LA Contract Support 	<ul style="list-style-type: none"> ASU <ul style="list-style-type: none"> Manager PL LA Contract Support 	System Test Phase	System Test Phase	<ul style="list-style-type: none"> Documented and approved system test scenarios executed during system testing and the results. Rational ClearQuest Tab System Test updated 	<ul style="list-style-type: none"> Rational ClearQuest Tab Attachments 	<ul style="list-style-type: none"> System Test Plan Template Instructional Guide for Capturing Layouts Technical Functionality Checklist Rational ClearQuest User Guide 	<ul style="list-style-type: none"> QAO Website, SDLC Tools & Templates, System Test Phase QAO Website, SDLC Tools & Templates, Analysis and Design Phase QAO Website, SDLC Tools & Templates, Development and Unit Test Phase QAO Website, SDLC User Guides, Planning and Tracking Phase

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
		<p>System Test Plan: Scenario #, Tech-Func Requirement ID #, Scenario Description, Supporting Details, Action(s) to be Taken, and Expected Results.</p> <ul style="list-style-type: none"> After conducting system testing, the following information should be provided in the System Test Plan: Actual Results, Tester & Date, Status, and Comments. 								
8.135	<p>TERC Environment s Matrix - System Test Exhibit 5.2 Correlating Requirement/Test Scenario Relationships to RTM</p>	<ul style="list-style-type: none"> Identifies responsible party and date of completion of standardized activities, as they are completed in each technical environment. 	<ul style="list-style-type: none"> ASU <ul style="list-style-type: none"> PL LA Contract Support 	<ul style="list-style-type: none"> ASU <ul style="list-style-type: none"> Manager PL LA Contract Support 	<ul style="list-style-type: none"> System Test Phase 	<ul style="list-style-type: none"> System Test Phase 	<ul style="list-style-type: none"> Documented identification of responsible party and date of completion of standardized activities, for the System Test environment(s). Rational ClearQuest Tab System Test Tab updated 	<ul style="list-style-type: none"> Rational ClearQuest Tab Attachments (Matrix section in TERC) 	<ul style="list-style-type: none"> Technical Environment Readiness Checklist Template Rational ClearQuest User Guide 	<ul style="list-style-type: none"> QAO Website, SDLC Tools & Templates, Development and Unit Test Phase QAO Website, SDLC User Guides, Planning and Tracking Phase

8.6. Meetings and Reviews

Workflow Reference	Meetings and Reviews	Purpose	Required / Optional	Participants			Preparation and Responsibilities			Outcome
				Coordinator / Chair	Required	Optional	Before	During	After	
8.115	Draft System Test Plan Review	<ul style="list-style-type: none"> Review the test scenarios to be executed during system testing. 	Required	<ul style="list-style-type: none"> ASU- <ul style="list-style-type: none"> Manager PL LA Contract Support 	<ul style="list-style-type: none"> ASU- <ul style="list-style-type: none"> Manager PL LA Contract Support 		<ul style="list-style-type: none"> ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support– Distribute the Draft System Test Plan and any other supporting documentation to participants. ASU-Manager or ASU-PL – Review the Draft System Test Plan and any other supporting documentation. 	<ul style="list-style-type: none"> ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support – Conduct review by stepping through the Draft System Test Plan developed from Final Approved Unit Test Plan & Results, the TDD and Tech-Func RTM and take notes capturing key discussion points, comments, questions, and action items (the Technical Functionality Checklist may be used as an aid). ASU-Manager or ASU-PL– Determine if the Draft System Test Plan should be approved. 	<ul style="list-style-type: none"> ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support– Attach Agenda and Minutes to Rational ClearQuest Tab Attachments. ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support– Begin system testing if approval is granted, or revise the Draft System Test Plan and reissue for review if approval is not granted. ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support– Determine if an additional Draft Unit Test Plan Review is necessary. ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support– Update Rational ClearQuest Tab System Test. 	<ul style="list-style-type: none"> Common understanding of the next steps associated with the System Test Plan. The Final System Test Plan.
8.175	Final System Test Plan & Results Review	<ul style="list-style-type: none"> Review the test scenarios executed during system testing and the results 	Required	<ul style="list-style-type: none"> ASU- <ul style="list-style-type: none"> Manager PL LA 	<ul style="list-style-type: none"> ASU- <ul style="list-style-type: none"> Manager PL LA 		<ul style="list-style-type: none"> ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support– 	<ul style="list-style-type: none"> ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support – 	<ul style="list-style-type: none"> ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support– Attach Agenda and Minutes to Rational 	<ul style="list-style-type: none"> Common understanding of the next steps associated with the System Test Plan.

Workflow Reference	Meetings and Reviews	Purpose	Required / Optional	Participants			Preparation and Responsibilities			Outcome
				Coordinator / Chair	Required	Optional	Before	During	After	
		<p>derived.</p> <ul style="list-style-type: none"> Verify that the integrated code modules meet the functional and technical requirements and work properly. 		<ul style="list-style-type: none"> Contract Support 	<ul style="list-style-type: none"> Contract Support 		<p>Distribute the Final System test Plan and Results and any other supporting documentation to participants.</p> <ul style="list-style-type: none"> ASU-Manager or ASU-PL – Review the Final System Test Plan and Results and any other supporting documentation. 	<p>Conduct review by stepping through the Final System Test Plan and Results; and take notes capturing key discussion points, comments, questions, and action items (the Technical Functionality Checklist may be used as an aid).</p> <ul style="list-style-type: none"> ASU-Manager or ASU-PL – Determine if the Final System Test Plan and Results should be approved. 	<p>ClearQuest Tab Attachments.</p> <ul style="list-style-type: none"> ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support– If approval is granted, then proceed with user acceptance testing. If approval is not granted, then attend Next Steps Meeting. ASU-Manager or ASU-PL – If approval is not granted, then schedule a Next Steps Meeting. ASU-Manager, ASU-PL, ASU-LA, ASU-Contract Support – Update Rational ClearQuest Tab System Test. 	<ul style="list-style-type: none"> The Final Approved System Test Plan & Results.
8.150b 8.180a	Discussion/ Meeting to Determine Point of Failure, Point of Return, & Next Steps	<ul style="list-style-type: none"> Determine the severity of a defect and the appropriate action(s) to take if the integrated code modules do not meet the functional specifications and do not work properly. Depending on the severity of the defect, the following activities may 	Optional	<ul style="list-style-type: none"> ASU- <ul style="list-style-type: none"> Manager PL LA Contract Support 	<ul style="list-style-type: none"> ASU-CRM Customer Agency 	<ul style="list-style-type: none"> ASU-Production Control <ul style="list-style-type: none"> TSU DBA Unit Operations Unit OSAS Library Security Unit User Support Center 	<ul style="list-style-type: none"> ASU-Manager or ASU-PL – Prepare and issue agenda to participants. Participants – Review the System Test Plan and Results and any other supporting documentation. 	<ul style="list-style-type: none"> ASU-Manager or ASU-PL – Conduct the meeting; describe the problem; and take notes capturing key discussion points, comments, questions, and action items. Participants – Determine the next steps. 	<ul style="list-style-type: none"> ASU-Manager or ASU-PL – Prepare and issue meeting minutes. ASU-Manager or ASU-PL – Attach Agenda and Minutes to Rational ClearQuest Tab Attachments. ASU-Manager or ASU-PL – Update Rational ClearQuest Tab System Test. 	<ul style="list-style-type: none"> A common understanding of the problem and an identification of the resolution.

Workflow Reference	Meetings and Reviews	Purpose	Required / Optional	Participants			Preparation and Responsibilities			Outcome
				Coordinator / Chair	Required	Optional	Before	During	After	
		need to occur: code revisions; design modifications; requirements redefinition; additional unit test executions; and/or additional system test executions.								

8.7. Work Product and Support Forms Summary

8.7.1. Work Product Summary Including Workflow Reference Numbers

▪ Draft System Test Plan.....	8.105
▪ Final System Test Plan.....	8.125
▪ Technical Environment Readiness Checklist – Environments Matrix – System Test.....	8.135
▪ System Test Environment SDLC Support Forms.....	8.140a
▪ Final System Test Plan and Results.....	8.165
▪ Agenda and Meeting Minutes from the Next Steps Meeting, if conducted.....	8.180a
▪ Final Approved System Test Plan and Results.....	8.185

9.0 User Acceptance Test Phase

9.1. Purpose and Overview

During this phase, the modules undergo further testing by the Customer Agency. User acceptance testing occurs after the code is developed; successfully unit and system tested; and migrated to the UAT environment. The objective of this phase is to ensure that the application meets the business and functional requirements and will support the Customer Agency's operational needs.

User acceptance testing is performed by the Customer Agency to demonstrate the application's ability to meet the business and functional requirements. The focus of this type of test is to show that the application provides the desired results. Similar to system testing, user acceptance testing focuses on the end-to-end business process.

While the primary focus of user acceptance testing is to validate an application's business and functional requirements, a variety of tests should always be considered to evaluate its "operational" features, as well. Some additional and common user acceptance test requirements include:

Conversion Testing: Requirements testing conducted to evaluate a program/procedure used to convert data from an existing application to the replacement application.

Security Testing: Requirements testing conducted to evaluate an automated system's ability to ensure the integrity and confidentiality of program and Client data; to ensure the proper system accessibility and functionality based on a valid business need for a Customer Agency; and access restrictions by profile where appropriate.

The Louisiana DSS has various systems that interface with the Internal Revenue Service (IRS), and therefore must follow very stringent security procedures related:

- to the transport of program and Client confidential data,
- to the business need for viewing of this confidential data,
- to the storage of this confidential data,
- to the disposition of this confidential data, and
- to the retention of this confidential data.

A prime reference document on security published by the IRS is:

- IRS Publication 1075: Tax Information Security Guidelines For Federal, State and Local Agencies and Entities (Safeguards for Protecting Federal Tax Returns and Return Information).

Another critical process for this phase is requirements traceability. It is a process to verify that the requirements received at the inception of the work effort are addressed throughout the SDLC. During the requirements traceability process all requirements are identified and tracked through all phases. Reference Section 6.5 Work Products, Analysis and Design Phase, UAT Plan for traceability of test scenarios. In the User Acceptance Test Phase, test results are inherently tied to previously traced test scenarios.

The focus of the User Acceptance Test Phase is to accomplish the following:

- *To Update the TERC – Environments Matrix work product for the UAT environment(s).*
- *To Prepare the UAT environment via the generation of all appropriate technical request forms (SDLC Support Forms) and the execution of those forms.*
http://intra/OAO_SDLC_Support_Forms.aspx
- *To Execute the Final Approved UAT Plan.*
- *To Verify that business requirements already defined in the BRD and the functional requirements already defined in the URD correspond correctly to the Func-Bus RTM.*
- *To Verify that all application features are functioning properly via appropriate test scenarios with expected results.*
- *To Verify business and functional system security.*
- *To Verify the combined application will support desired business operations.*
- *To Ensure the integrity of a conversion process.*
- *To Conduct a Final UAT Plan & Results review.*

- *To Generate Final Approved UAT Plan & Results work product.*
- *To Determine the extent to which the system is ready for Implementation Phase.*

The benefits of the User Acceptance Test Phase are:

- *To Realize that the application meets the business and functional requirements.*
- *To Realize that the application will support the Customer Agency's operational needs.*
- *To Realize that the application produces appropriate expected results.*
- *To Realize that executable code modules function appropriately in an integrated fashion.*
- *To Realize concurrence by the Customer Agency of the Final UAT Plan & Results work product via a review.*

UAT shall should be conducted in the UAT environment. UAT shall NOT be conducted in the production environment unless the IS Director grants written approval. (Per Office of the Legislative Auditor, review of June 15, 2004.)

9.2. Concurrent Customer Agency Activities

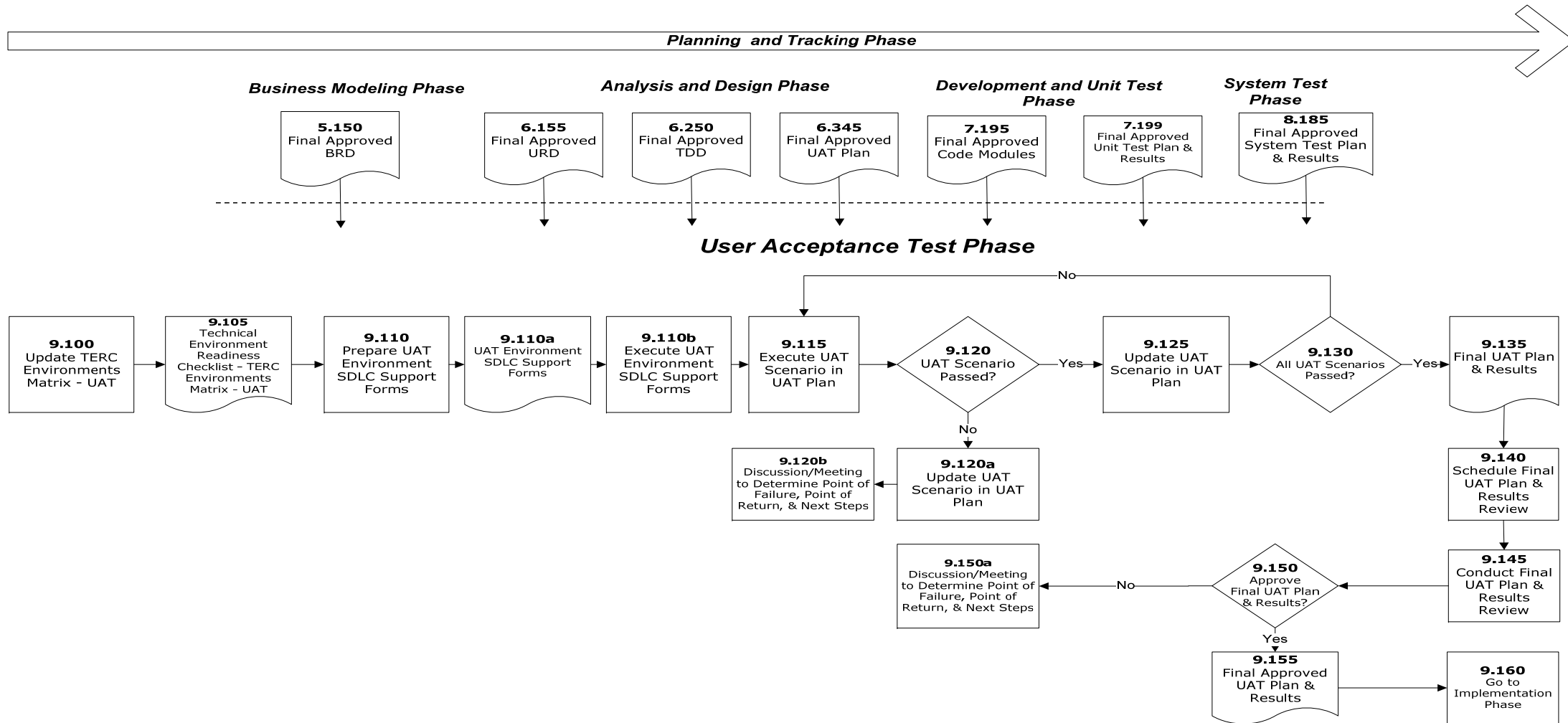
Below is a list of activities that should be initiated, when possible, during the Analysis and Design Phase. These activities may occur in parallel with UAT activities, but must be finalized in the Implementation Phase. Activities are:

- The continuing development of any required DSS Policy Manual revisions.
- The continuing development of any required User Manual revisions.
- The continuing development of any necessary training materials.

9.3. Workflow

Exhibit 9.1 illustrates the workflow for the User Acceptance Test Phase.

Exhibit 9.1 User Acceptance Test Phase Workflow



Please see [Exhibit 5.2 Correlating Requirement/Test Scenario Relationships to RTM](#), for the RTM relationships relative to this phase.

9.4. Levels of Responsibility

Exhibit 9.2 illustrates a summary view of the levels of responsibility for the User Acceptance Test Phase.

Exhibit 9.2 User Acceptance Test Phase Responsibilities

Workflow Reference	Workflow Description	Customer Agency	Information Services										QAO
			Applications Support Unit				Technical Support Unit						
			ASU-CRM	ASU-Manager ASU-Project Leader	ASU-Lead Analyst ASU-Contract Support	ASU-Production Control	TSU-DBA Unit	TSU-Operations Unit	TSU-OSAS Library	TSU-Security Unit	TSU-User Support Center	TSU-Other Technical Support	
9.100	Activity: Update TERC Environments Matrix – UAT.			S, I	R								
9.110	Activity: Prepare UAT Environment SDLC Support Forms. (See Section 12.0, Support Forms)			S, I	R	S, I	S, I	S, I	S, I	S, I	S, I	S, I	
9.110b	Activity: Execute UAT Environment SDLC Support Forms.	I	I	S, I	S	R	R	R	R	R	R	R	
9.115	Activity: Execute UAT Scenario in UAT Plan.	R	S, I	S, I	S, I	S, I	S, I	S, I	S, I	S, I	S, I	S, I	
9.120	Decision: Determine if the UAT Scenario Passed.	R	S, I	S, I	S, I								
9.125 9.120a	Activity: Update UAT Scenario in UAT Plan.	R	S, I	S, I	S, I								
9.120b	Activity: Discussion/Meeting to Determine Point of Failure, Point of Return, & Next Steps	R	S	S	S	S	S	S	S	S	S	S	

Workflow Reference	Workflow Description	Customer Agency	Information Services										QAO
			Applications Support Unit				Technical Support Unit						
			ASU-CRM	ASU-Manager ASU-Project Leader	ASU-Lead Analyst ASU-Contract Support	ASU-Production Control	TSU-DBA Unit	TSU-Operations Unit	TSU-OSAS Library	TSU-Security Unit	TSU-User Support Center	TSU-Other Technical Support	
9.130	Decision: Determine if all UAT Scenarios Passed.	R	S, I	S, I	S, I								
9.140	Activity: Schedule Final UAT Plan and Results Review.	R	S, I	S, I	S, I								
9.145	Activity: Conduct Final UAT Plan and Results Review.	R	S	S	S								
9.150	Decision: Determine if Final UAT Plan and Results should be approved.	R	I	I	I								
9.150a	Activity: Discussion/Meeting to Determine Point of Failure, Point of Return, & Next Steps	R	S	S	S	S	S	S	S	S	S	S	
9.150	Activity: Approve Final UAT Plan and Results.	R, A	I	I	I								

R = Party that is responsible for making a decision and completing or overseeing the completion of an activity.
A = Party that approves an activity or decision.
S = Party that supports an activity or decision.
I = Party that is informed of an activity or decision.
P = Party that participates in an activity or decision.

9.5. Work Products

9.5.1. Primary Work Products

Workflo w Referen ce	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
9.110a	UAT Environment SDLC Support Forms									<ul style="list-style-type: none"> QAO Website, SDLC Support Forms
9.135	Final User Acceptance Test (UAT) Plan & Results	<ul style="list-style-type: none"> Document the translation of business and functional requirements specified in the BRD and URD and the Func-Bus RTM into test scenarios to verify the functionality of the application supports the Customer Agency's operational needs. During the Analysis and Design Phase of the SDLC, the following information should be provided: Key, Func-Bus Requirement ID #, Condition (Case 	<ul style="list-style-type: none"> Customer Agency 	<ul style="list-style-type: none"> ASU-CRM ASU <ul style="list-style-type: none"> o Manager o PL o LA o Contract Support 	<ul style="list-style-type: none"> User Acceptance Test Phase 	<ul style="list-style-type: none"> User Acceptance Test Phase 	<ul style="list-style-type: none"> Documented user acceptance test scenarios executed during UAT and the results. 	<ul style="list-style-type: none"> Customer Agency LAN 	<ul style="list-style-type: none"> UAT Plan Template Instructional Guide for Capturing Layouts 	<ul style="list-style-type: none"> QAO Website, SDLC Tools & Templates, Analysis and Design Phase QAO Website, SDLC Tools & Templates, Analysis and Design Phase

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
		<p>Requirements), and Expected Results (high-level).</p> <ul style="list-style-type: none"> During the UAT Phase when the test scenarios in the UAT Plan are executed, the following information should be provided: Actual Case ID, Case Status, Additional Notes, Pass/Fail, Issues, Resolved, Resolution and Drop Dead Date. 								
9.155	Final Approved User Acceptance Test (UAT) Plan & Results	<ul style="list-style-type: none"> Document the translation of business and functional requirements specified in the BRD and URD and the Func-Bus RTM into test scenarios to verify the functionality of the application supports the Customer Agency's operational needs. During the Analysis and 	<ul style="list-style-type: none"> Customer Agency 	<ul style="list-style-type: none"> Customer Agency ASU <ul style="list-style-type: none"> Manager PL LA Contract Support 	<ul style="list-style-type: none"> User Acceptance Test Phase 	<ul style="list-style-type: none"> User Acceptance Test Phase 	<ul style="list-style-type: none"> Documented user acceptance test scenarios executed during UAT and the results. Rational ClearQuest Tab User Acceptance Test updated 	<ul style="list-style-type: none"> Rational ClearQuest Tab Attachments 	<ul style="list-style-type: none"> UAT Plan Template Instructional Guide for Capturing Layouts Rational ClearQuest User Guide 	<ul style="list-style-type: none"> QAO Website, SDLC Tools & Templates, Analysis and Design Phase QAO Website, SDLC Tools & Templates, Analysis and Design Phase QAO Website, SDLC User Guides, Planning and Tracking Phase

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
		<p>Design Phase of the SDLC, the following information should be provided: Key, Func-Bus Requirement ID #, Condition (Case Requirements), and Expected Results (high-level).</p> <ul style="list-style-type: none"> ▪ During the UAT Phase when the test scenarios in the UAT Plan are executed, the following information should be provided: Actual Case ID, Case Status, Additional Notes, Pass/Fail, Issues, Resolved, Resolution, Drop Dead Date, Approval & Sign-Off, and Approval Date. 								
9.105	<p>TERC Environment Matrix - UAT Exhibit 5.2 Correlating Requirement/T</p>	<ul style="list-style-type: none"> ▪ Identifies responsible party and date of completion of standardized activities, as they are 	<ul style="list-style-type: none"> ▪ ASU <ul style="list-style-type: none"> ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ ASU <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ User Acceptance Test Phase 	<ul style="list-style-type: none"> ▪ User Acceptance Test Phase 	<ul style="list-style-type: none"> ▪ Documented identification of responsible party and date of completion of standardized activities, for 	<ul style="list-style-type: none"> ▪ Rational ClearQuest Tab Attachments (Matrix section in TERC) 	<ul style="list-style-type: none"> ▪ Technical Environment Readiness Checklist Template ▪ Rational ClearQuest User 	<ul style="list-style-type: none"> ▪ QAO Website, SDLC Tools & Templates, Development and Unit Test Phase ▪ QAO Website,

Workflow Reference	Work Product	Purpose	Creator	Recipient(s)	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
	est Scenario Relationships to RTM	completed in each technical environment.					the User Acceptance Test environment(s). <ul style="list-style-type: none"> ▪ Rational ClearQuest Tab User Acceptance Test updated 		Guide	SDLC User Guides, Planning and Tracking Phase

9.6. Meetings and Reviews

Workflow Reference	Meetings and Reviews	Purpose	Required / Optional	Participants			Preparation and Responsibilities			Outcome
				Coordinator / Chair	Required	Optional	Before	During	After	
9.145	Final UAT Plan and Results Review	<ul style="list-style-type: none"> ▪ Review the test scenarios executed during user acceptance testing and the results derived. ▪ Verify that the application meets the Customer Agency's business needs and works properly. 	<ul style="list-style-type: none"> ▪ Required 	<ul style="list-style-type: none"> ▪ Customer Agency 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ ASU-CRM 	<ul style="list-style-type: none"> ▪ Customer Agency – Prepare and issue agenda to participants. ▪ Participants – Review the UAT Plan and Results and any other supporting documentation. 	<ul style="list-style-type: none"> ▪ Customer Agency – Conduct review by stepping through the Final UAT Plan and Results; take notes capturing key discussion points, comments, questions, and action items; and determine if the Final UAT Plan and Results should be approved. 	<ul style="list-style-type: none"> ▪ Customer Agency – If approval is granted, then notify ASU-CRM via email. If approval is not granted, then schedule a Next Steps Meeting. Prepare and issue meeting minutes. ▪ ASU-CRM– Attach Agenda and Minutes to Rational ClearQuest Tab Attachments. ▪ ASU-CRM – Update Rational ClearQuest Tab User Acceptance Test. ▪ ASU-CRM– If approval is granted, proceed with the Implementation Phase. If approval is not granted, then attend the Next Steps Meeting. 	<ul style="list-style-type: none"> ▪ Common understanding of the next steps associated with the UAT Plan. ▪ The Final Approved UAT Plan and Results
9.120b 9.150a	Discussion/ Meeting to Determine Point of Failure, Point of Return, & Next	<ul style="list-style-type: none"> ▪ Determine the severity of a defect and the appropriate action(s) to take 	<ul style="list-style-type: none"> ▪ Optional 	<ul style="list-style-type: none"> ▪ Customer Agency 		<ul style="list-style-type: none"> ▪ ASU-CRM ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL 	<ul style="list-style-type: none"> ▪ Customer Agency – Prepare and issue agenda to 	<ul style="list-style-type: none"> ▪ Customer Agency – Conduct the meeting; describe the 	<ul style="list-style-type: none"> ▪ Customer Agency – Prepare and issue meeting minutes to participants. ▪ ASU-CRM – Attach 	<ul style="list-style-type: none"> ▪ A common understanding of the problem and an identification of the resolution.

Workflow Reference	Meetings and Reviews	Purpose	Required / Optional	Participants			Preparation and Responsibilities			Outcome
				Coordinator / Chair	Required	Optional	Before	During	After	
	Steps	if the application does not meet the Customer Agency's business needs and/or does not work properly. Depending on the severity of the defect, the following activities may need to occur: code revisions; design modifications; requirements redefinition; additional unit test executions; additional system test executions; and/or additional UAT executions.				<ul style="list-style-type: none"> o LA o Contract Support o Production Control ▪ TSU o DBA Unit o Operations Unit o OSAS Library o Security Unit o User Support Center 	<ul style="list-style-type: none"> participants. ▪ Participants – Review the UAT Plan and Results and any other supporting documentation. 	<ul style="list-style-type: none"> problem; and take notes capturing key discussion points, comments, questions, and action items. ▪ Participants – Determine the next steps. 	<ul style="list-style-type: none"> Agenda and Minutes to Rational ClearQuest Tab Attachments. ▪ ASU-CRM – Update Rational ClearQuest Tab User Acceptance Test. 	

9.7. Work Product and Support Forms Summary

9.7.1. Work Product Summary Including Workflow Reference Numbers

▪ Technical Environment Readiness Checklist – Environments Matrix – UAT.....	9.105
▪ UAT Environment SDLC Support Forms.....	9.110a
▪ Final UAT Plan and Results.....	9.135
▪ Agenda and Meeting Minutes from the Final UAT Plan and Results Review.....	9.145
▪ Agenda and Meeting Minutes from the Next Steps Meeting, if conducted.....	9.150a
▪ Final Approved UAT Plan and Results.....	9.155

10.0 Implementation Phase

10.1. Purpose and Overview

During the Implementation Phase, the application is installed and made operational in a production environment. The objective of this phase is a successfully implemented application and utilization by the Customer Agency.

The Implementation Phase is initiated after the application has been tested and accepted by the Customer Agency during the User Acceptance Test Phase.

The focus of the Implementation Phase is to accomplish the following:

- *To Conduct an implementation planning meeting.*
- *To Update the TERC – Environments Matrix work product for the training environment.*
- *To Prepare the training environment via the generation of all appropriate technical request forms (SDLC Support Forms) and the execution of those forms.*
http://intra/QAO_SDLC_Support_Forms.aspx
- *To Update the TERC – Environments Matrix work product for the Production Environment.*
- *To Prepare the production environment via the generation of all appropriate technical request forms (SDLC Support Forms) and the execution of those forms.*
http://intra/QAO_SDLC_Support_Forms.aspx
- *To Prepare and Issue Implementation Documentation and Communication work products.*
- *To Finalize training materials work product.*
- *To Finalize and Publish User Manuals and DSS Policy Manuals work products.;*
- *To Conduct end-user training.*

The benefits of the Implementation Phase are:

- *To Realize thorough documentation of all technical areas affected by the work effort.*
- *To Realize thorough documentation of all program related areas affected by the work effort.*
- *To Realize the successful deployment of a work effort which promotes the Customer Agency's ability to improve and/or enhance their business or operational environment.*
- *To Realize compliance with federal or state rules, regulations, and legislation.*

10.2. Concurrent Customer Agency Activities

Below is a list of activities that should be initiated, when possible, during the Analysis and Design Phase. These activities must be finalized during the Implementation Phase. Activities are:

- The finalizing and publishing of any required DSS Policy Manual revisions.
- The finalizing and publishing of any required User Manual revisions.
- The finalizing and utilization of necessary training materials.
- The execution of necessary training sessions.

10.3. Workflow

Exhibit 10.1 illustrates the workflow for the Implementation Phase.

Exhibit 10.1 Implementation Phase Workflow

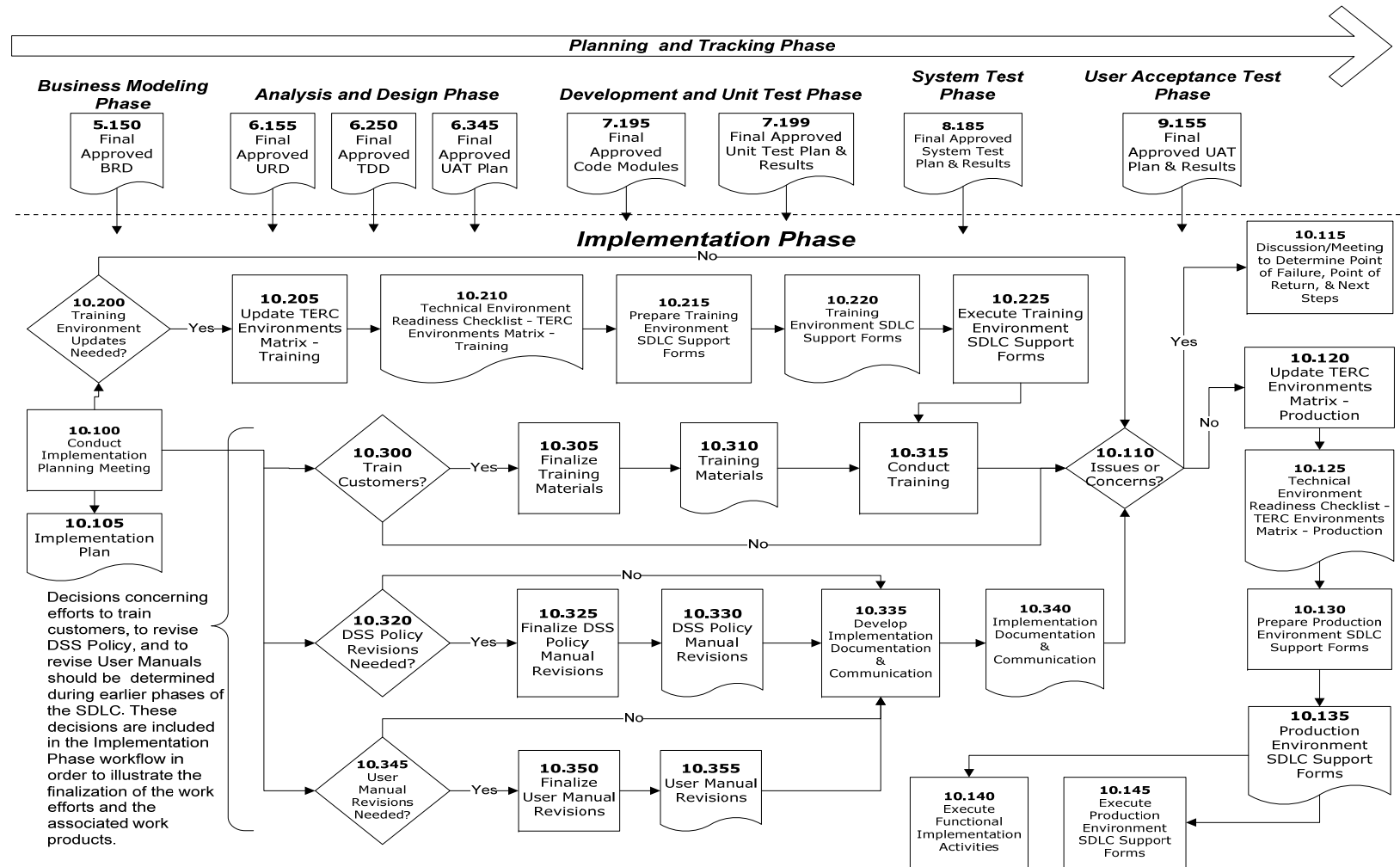
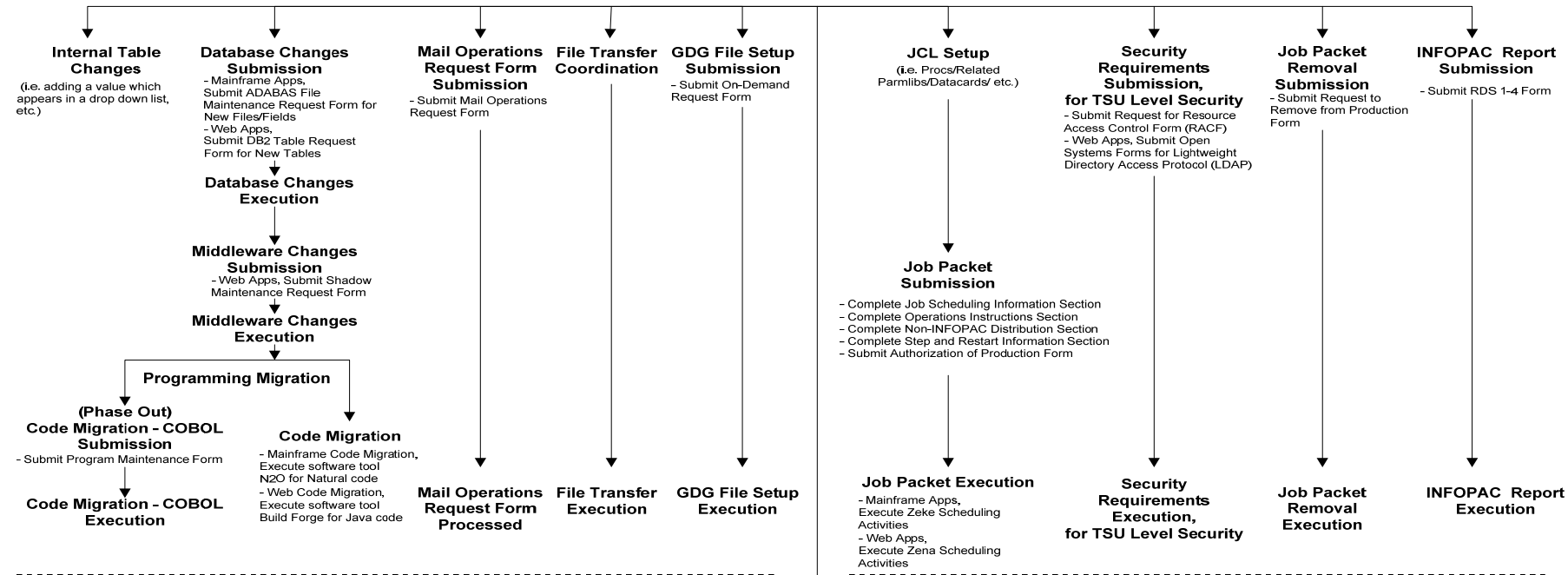


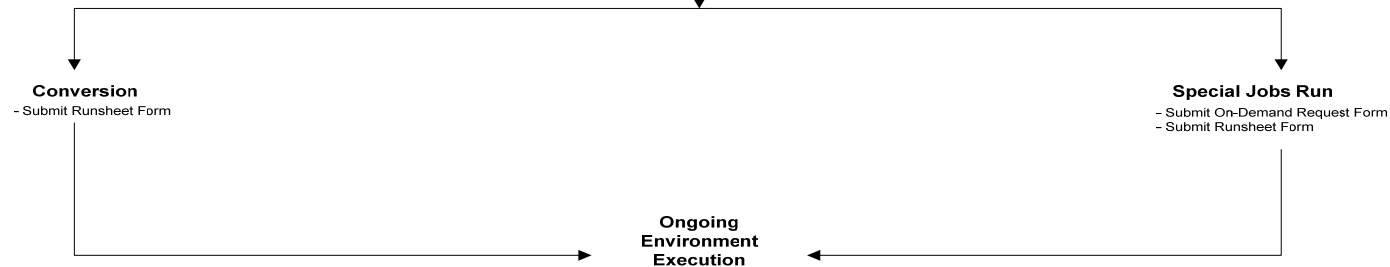
Exhibit 10.2 illustrates the hierarchy executing activities to prepare technical environments, such as training and production.

Exhibit 10.2 Technical Environment Activities Hierarchy – All Protocols

Activities to Prepare Environment



Activities in Prepared Environment



NOTE: All Activities May Not Be Required Depending On The Specific Protocol, Environment, or Application.

10.4. Levels of Responsibility

Exhibit 10.3 illustrates a summary view of the levels of responsibility for the Implementation Phase.

Exhibit 10.3 Implementation Phase Responsibilities

Workflow Reference	Workflow Description	Customer Agency	Information Services										QAO
			Applications Support Unit				Technical Support Unit						
			ASU-CRM	ASU-Manager ASU-Project Leader	ASU-Lead Analyst ASU-Contract Support	ASU-Production Control	TSU-DBA Unit	TSU-Operations Unit	TSU-OSAS Library	TSU-Security Unit	TSU-User Support Center	TSU-Other Technical Support	
10.205	Activity: Update TERC Environments Matrix - Training		S, I	S, I	R								
10.100	Activity: Conduct Implementation Planning Meeting.	P	R	P	P	P	P	P	P	P	P	P	
10.200	Decision: Determine if Training Environment Updates are Needed?	I	I	R	I	I	I	I	I	I	I	I	
10.215	Activity: Prepare Training Environment SDLC Support Forms. (See Section 12.0, Support Forms)			S, I	R	S, I	S, I	S, I	S, I	S, I	S, I	S, I	
10.225	Activity: Execute Training Environment SDLC Support Forms.	I	I	S, I	R	R	R	R	R	R	R	R	
10.300	Decision: Determine if Need to Train Customer Agency staff.	R	S, I	S, I	S, I								
10.305	Activity: Finalize Training Materials.	R	S, I	S, I	S, I								

Workflow Reference	Workflow Description	Customer Agency	Information Services										QAO
			Applications Support Unit				Technical Support Unit						
			ASU-CRM	ASU-Manager ASU-Project Leader	ASU-Lead Analyst ASU-Contract Support	ASU-Production Control	TSU-DBA Unit	TSU-Operations Unit	TSU-OSAS Library	TSU-Security Unit	TSU-User Support Center	TSU-Other Technical Support	
10.315	Activity: Conduct Training.	R	S, I	S, I	S, I								
10.320	Decision: Determine if DSS Policy Revisions are Needed.	R	I	I	I								
10.325	Activity: Finalize DSS Policy Manual Revisions.	R	I	I	I								
10.345	Decision: Determine if User Manual Revisions are Needed.	R	S, I	S, I	S, I								
10.350	Activity: Finalize User Manual Revisions.	R	S, I	S, I	S, I								
10.335	Activity: Develop Implementation Documentation and Communication.	R, I	S, I	S, I	R, I								
10.110	Decision: Determine if There are Issues or Concerns.	S, I	R	S, I	S, I	S	S	S	S	S	S	S	
10.115	Activity: Discussion/Meeting to Determine Point of Failure, Point of Return, & Next Steps	P	R	P	P	P	P	P	P	P	P	P	
10.120	Activity: Update TERC Environments Matrix - Production		S, I	S, I	R								
10.130	Activity: Prepare Production Environment SDLC Support Forms. (See Section 12.0, Support Forms)			S, I	R	S, I	S, I	S, I	S, I	S, I	S, I	S, I	
10.145	Activity: Execute Production Environment SDLC Support Forms.	I	I	S, I	S	R	R	R	R	R	R	R	

Workflow Reference	Workflow Description	Customer Agency	Information Services										QAO
			Applications Support Unit				Technical Support Unit						
			ASU-CRM	ASU-Manager ASU-Project Leader	ASU-Lead Analyst ASU-Contract Support	ASU-Production Control	TSU-DBA Unit	TSU-Operations Unit	TSU-OSAS Library	TSU-Security Unit	TSU-User Support Center	TSU-Other Technical Support	
10.140	Activity: Execute Functional Implementation Activities.	R	S, I	I	I								

R = Party that is responsible for making a decision and completing or overseeing the completion of an activity.
A = Party that approves an activity or decision.
S = Party that supports an activity or decision.
I = Party that is informed of an activity or decision.
P = Party that participates in an activity or decision

10.5. Work Products

10.5.1. Primary Work Products

Workflow Reference	Work Product	Purpose	Creator	Recipient	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
10.105	Implementation Plan	<ul style="list-style-type: none"> Identifies standardized implementation activities and their dependencies and responsible groups/units for an implementation effort. 	<ul style="list-style-type: none"> ASU-CRM 	<ul style="list-style-type: none"> ASU- <ul style="list-style-type: none"> Manager PL LA Contract Support Production Control Customer Agency TSU- <ul style="list-style-type: none"> DBA Unit Operations Unit OSAS Library Security Unit User Support Center 	<ul style="list-style-type: none"> Implementation Phase 	<ul style="list-style-type: none"> Implementation Phase 	<ul style="list-style-type: none"> Documented identification of start and finish dates for each applicable Implementation activity, the activity dependencies, and the staff member(s) responsible for completion of each activity. Rational ClearQuest Tab Implementation updated 	<ul style="list-style-type: none"> Rational ClearQuest Tab Attachments 	<ul style="list-style-type: none"> Implementation Plan Template Rational ClearQuest User Guide 	<ul style="list-style-type: none"> QAO Website, SDLC Tools & Templates, Implementation Phase QAO Website, SDLC User Guides, Planning and Tracking Phase
10.125 10.210	TERC Environments Matrix – Training and Production Exhibit 5.2 Correlating Requirement/Test Scenario Relationships to	<ul style="list-style-type: none"> Identifies responsible party and date of completion of standardized activities, as they are completed in each technical 	<ul style="list-style-type: none"> ASU- <ul style="list-style-type: none"> PL LA Contract Support 	<ul style="list-style-type: none"> ASU- <ul style="list-style-type: none"> Manager PL LA Contract Support 	<ul style="list-style-type: none"> Implementation Phase 	<ul style="list-style-type: none"> Implementation Phase 	<ul style="list-style-type: none"> Documented identification of responsible party and date of completion of standardized activities, for the Production environment. Rational 	<ul style="list-style-type: none"> Rational ClearQuest Tab Attachments (Matrix section in TERC) 	<ul style="list-style-type: none"> Technical Environment Readiness Checklist Template Rational ClearQuest User Guide 	<ul style="list-style-type: none"> QAO Website, SDLC Tools & Templates, Development and Unit Test Phase QAO Website,

Workflow Reference	Work Product	Purpose	Creator	Recipient	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
	RTM	environment.					ClearQuest Tab Implementation updated			SDLC User Guides, Planning and Tracking Phase
10.135 10.220	Training and Production Environments SDLC Support Forms									<ul style="list-style-type: none"> QAO Website, SDLC Support Forms

10.5.2. Implementation Documentation and Communication

Workflow Reference	Work Product	Purpose	Creator	Recipient	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
10.310	Training Materials	<ul style="list-style-type: none"> Provides detailed instructional information on how to use a new or modified application. 	<ul style="list-style-type: none"> Customer Agency 	<ul style="list-style-type: none"> Customer State Office Staff Customer Agency Field Staff Other groups as necessary 	<ul style="list-style-type: none"> Analysis and Design Phase 	<ul style="list-style-type: none"> Implementation Phase Documented instructions on using a system. 	<ul style="list-style-type: none"> Documented instructions on using a system. 	<ul style="list-style-type: none"> Customer Agency LAN 	<ul style="list-style-type: none"> NA 	<ul style="list-style-type: none"> NA
10.330	DSS Policy Manual	<ul style="list-style-type: none"> Provides information on the policy change(s) that have impacted an application. 	<ul style="list-style-type: none"> Customer Agency 	<ul style="list-style-type: none"> DSS Organization 	<ul style="list-style-type: none"> Analysis and Design Phase 	<ul style="list-style-type: none"> Implementation Phase 	<ul style="list-style-type: none"> Documented program policies associated with an application. 	<ul style="list-style-type: none"> DSS Intranet, DSS Policy Management System 	<ul style="list-style-type: none"> NA 	<ul style="list-style-type: none"> NA

Workflow Reference	Work Product	Purpose	Creator	Recipient	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
10.355	User Manual	<ul style="list-style-type: none"> Provides information on an application's screens, data fields, and outputs. 	<ul style="list-style-type: none"> Customer Agency 	<ul style="list-style-type: none"> Customer Agency State Office Staff Customer Agency Field Staff Other groups as necessary 	<ul style="list-style-type: none"> Analysis and Design Phase 	<ul style="list-style-type: none"> Implementation Phase 	<ul style="list-style-type: none"> Functional information about a system. 	<ul style="list-style-type: none"> DSS Intranet, DSS Policy Management System 	<ul style="list-style-type: none"> NA 	<ul style="list-style-type: none"> NA
10.340	Document for User Support Center Support	<ul style="list-style-type: none"> Identifies the various parties responsible for the components of an application. 	<ul style="list-style-type: none"> ASU- <ul style="list-style-type: none"> o Manager o PL o LA o Contract Support 	<ul style="list-style-type: none"> TSU- <ul style="list-style-type: none"> o User Support Center 	<ul style="list-style-type: none"> Implementation Phase 	<ul style="list-style-type: none"> Implementation Phase 	<ul style="list-style-type: none"> Contact information identified for User Support Center for an application. 	<ul style="list-style-type: none"> Rational ClearQuest Tab Attachments 	<ul style="list-style-type: none"> Document for User Support Center Support Rational ClearQuest User Guide 	<ul style="list-style-type: none"> QAO Website, SDLC Support Forms, User Support Center Forms QAO Website, SDLC User Guides, Planning and Tracking Phase
10.340	Executive Bulletin, Policy and Procedure Memorandum, Administrative Memorandum, Informational Memorandum, Corrective Action Memorandum	<ul style="list-style-type: none"> Advises staff of new or revised policies and procedures. 	<ul style="list-style-type: none"> Customer Agency 	<ul style="list-style-type: none"> Customer Agency State Office Staff and Administrators Customer Agency Field Office staff Other groups as necessary 	<ul style="list-style-type: none"> Implementation Phase 	<ul style="list-style-type: none"> Implementation Phase 	<ul style="list-style-type: none"> Communication of program related information to assist office case or caseload management. 	<ul style="list-style-type: none"> DSS Intranet, DSS Policy Management System 	<ul style="list-style-type: none"> NA 	<ul style="list-style-type: none"> NA

10.6. Meetings and Reviews

Workflow Reference	Meetings and Reviews	Purpose	Required / Optional	Participants			Preparation and Responsibilities			Outcome
				Coordinator / Chair	Required	Optional	Before	During	After	
10.100	Implementation Planning Meeting	Allows participants to jointly discuss and identify the work activities, resources, dependencies, and timelines for the implementation effort.	<ul style="list-style-type: none"> ▪ Required 	<ul style="list-style-type: none"> ▪ ASU-CRM 	<ul style="list-style-type: none"> ▪ Customer Agency ▪ ASU-CRM ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support ○ Production Control ▪ TSU <ul style="list-style-type: none"> ○ DBA Unit ○ Operations Unit ○ OSAS Library ○ Security Unit ○ User Support Center 		<ul style="list-style-type: none"> ▪ ASU-CRM – Prepare and issue agenda and the Draft Implementation Plan to participants. ▪ Participants – Review the Draft Implementation Plan and identify activities, resources, dependencies, and timelines for areas of responsibility. 	<ul style="list-style-type: none"> ▪ ASU-CRM – Conduct meeting; document action items and decisions made; and finalize activities, resources, dependencies, and timelines in the Draft Implementation Plan. 	<ul style="list-style-type: none"> ▪ ASU-CRM – Prepare and issue meeting minutes to participants and the Final Implementation Plan; track action items to closure. ▪ ASU-CRM – Attach Agenda and Minutes to Rational ClearQuest Tab Attachments. ▪ ASU-CRM – Update Rational ClearQuest Tab Implementation. 	<ul style="list-style-type: none"> ▪ Activities, resources, dependencies, and timelines identified in the Final Implementation Plan. ▪ Consensus on implementation date. ▪ Consensus on no known issues. ▪ The Final Implementation Plan.
10.115	Discussion/ Meeting to Determine Point of Failure, Point of Return, & Next Steps	<ul style="list-style-type: none"> ▪ Determine any issues or concerns, the severity and the appropriate action(s) to take if the application does not work properly. 	<ul style="list-style-type: none"> ▪ Optional 	<ul style="list-style-type: none"> ▪ ASU-CRM 	<ul style="list-style-type: none"> ▪ Customer Agency ▪ ASU-CRM ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support ○ Production Control ▪ TSU <ul style="list-style-type: none"> ○ DBA Unit ○ Operations 		<ul style="list-style-type: none"> ▪ ASU-CRM – Prepare and issue agenda to participants. ▪ Participants – Review the Implementation Plan and any other supporting documentation. 	<ul style="list-style-type: none"> ▪ ASU-CRM – Conduct the meeting; describe the problem; and take notes capturing key discussion points, comments, questions, and action items. Update 	<ul style="list-style-type: none"> ▪ ASU-CRM – Prepare and issue meeting minutes. ▪ ASU-CRM – Attach Agenda and Minutes to Rational ClearQuest Tab Attachments. ▪ ASU-CRM – Update Rational ClearQuest Tab Implementation. 	<ul style="list-style-type: none"> ▪ A common understanding of the problem, identification of the resolution, and identification of the appropriate next steps.

Workflow Reference	Meetings and Reviews	Purpose	Required / Optional	Participants			Preparation and Responsibilities			Outcome
				Coordinator / Chair	Required	Optional	Before	During	After	
					Unit <ul style="list-style-type: none"> o OSAS Library o Security Unit o User Support Center 			Implementation plan as necessary. <ul style="list-style-type: none"> ▪ Participants <ul style="list-style-type: none"> – Determine the next steps. 		

10.7. Work Product and Support Forms Summary

10.7.1. Work Product Summary Including Workflow Reference Numbers

▪ Agenda and Meeting Minutes from the Implementation Planning Meeting.....	10.100
▪ Implementation Plan.....	10.105
▪ Technical Environment Readiness Checklist – Environments Matrix – Training.....	10.210
▪ Technical Environment Readiness Checklist – Environments Matrix – Production.....	10.125
▪ Production Environment SDLC Support Forms	10.135
▪ Training Environment SDLC Support Forms	10.220
▪ Training Materials.....	10.310
▪ Training Materials.....	10.310
▪ DSS Policy Manual.....	10.330
▪ Document for User Support Center Support.....	10.340
▪ Administrative Memorandum.....	10.340
▪ Executive Bulletin or Policy and Procedure Memorandum.....	10.340
▪ User Manual Revisions.....	10.355

11.0 Maintenance and Support Phase - TBD

This section will be completed at a later date.

12.0 Support Forms

12.1. Purpose and Overview

This section of the SDLC Manual identifies the support forms necessary to accomplish various high level activities identified in workflows for some phases of the SDLC. These workflow processes can be identified as:

- Prepare Development Environment SDLC Support Forms
- Prepare System Test Environment SDLC Support Forms
- Prepare UAT Environment SDLC Support Forms
- Prepare Training Environment SDLC Support Forms
- Prepare Production Environment SDLC Support Forms

All of these forms were designed differently, and therefore some forms may be utilized for several phases of the life cycle and others may be currently utilized only within one phase of the life cycle. The details for each form by phase may be found in Exhibit 12.1 below, as well as the following QAO intranet site: http://intra/QAO_SDLC_Support_Forms.aspx

Exhibit 12.1 Support Form Utilization by Phase, SDLC Support Forms

SDLC Support Forms	SDLC Support Forms Utilized By Phase				
	Analysis & Design Phase	Dev & Unit Test Phase	System Test Phase	User Acceptance Test Phase	Implementation Phase
Batch Process Forms					
<i>Runsheet Form</i>	NA	X	X	X	X
Database Forms					
<i>ADABAS File Maintenance Request Form</i>	NA	X	X	X	X
<i>DB2 Data Model Change Request Form</i>	NA	X	X	X	X
<i>SQL Data Model Change Request Form</i>	NA	X	X	X	X
Mail Operations Forms					
<i>Mail Operations User Request Form</i>	NA	NA	X	X	X
Middleware Forms					
<i>Shadow Maintenance Request Form</i>	NA	X	X	X	X
Program Maintenance Forms					
<i>Program Maintenance Form - COBOL</i>	NA	NA	X	X	X
Security Forms					
<i>LDAP Request Form</i>	NA	X	X	X	X
<i>Rational Base ClearCase/Build Forge Security Access Request Form</i>	NA	X	NA	NA	NA
<i>Rational Base ClearCase/Build Forge Work Area Request Form</i>	NA	X	NA	NA	NA
<i>Web Application Security Access Request Form</i>	X	NA	NA	NA	NA
<i>Zena Security Access Request Form</i>	NA	X	X	X	X
Web Application Forms					
<i>New Web Application Overview</i>	X	NA	NA	NA	NA
<i>Application Server Infrastructure Set Up Request Form</i>	NA	X	X	X	X
<i>New Web Application Request Form</i>	X	NA	NA	NA	NA

The details for each form by phase may be found in Exhibit 12.2 below, and Section 12.2.

Exhibit 12.2 Support Form Utilization by Phase, Under Construction

SDLC Support Forms	SDLC Support Forms Utilized By Phase			
	Dev & Unit Test Phase	System Test Phase	User Acceptance Test Phase	Implement. Phase
Job Packet				
<i>Authorization of Production Form</i>	NA	NA	NA	X
<i>Job Scheduling Information Section</i>	NA	NA	NA	X
<i>Operations Instructions Section</i>	NA	NA	NA	X
<i>Non-INFOPAC Distribution Section</i>	NA	NA	NA	X
<i>Step and Restart Information Section</i>	NA	NA	NA	X
INFOPAC Report Distribution				
<i>Report Distribution System (RDS) 1-4 Form</i>	X	X	X	X
Security				
<i>Request for Resource Access or Protection Form</i>	X	X	X	X
Miscellaneous				
<i>On-Demand Request Form</i>	X	X	X	X
<i>Request to Remove from Production Form</i>	NA	NA	NA	X

12.2. Work Products – Support Forms

12.2.1. SDLC Support Forms - Job Packet⁴

The Job Packet is used to request migration of a job to production environments. It includes different sections/forms to be completed online by the Applications Support Unit in TSO PDS USER.PROG.TEXT(jobname).

Work Product	Purpose	Creator	Recipient	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tools Location
Authorization of Production Form	<ul style="list-style-type: none"> ▪ A coversheet for the Job Packet. Distribution of it initiates the work activities to review, approve, and implement the Job Packet. 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ TSU-OSAS Library 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Verification that the following sections of the Job Packet are completed in TSO PDS USER.PROG.TEXT: Job Scheduling Information; Operations Instructions; Non-INFOPAC Distribution; and Step and Restart Information. ▪ Upon verification of the Job Packet, the TSU-OSAS Library approves the form and gives it to ASU-Production Control. 	<ul style="list-style-type: none"> ▪ Shared S Drive or Rational ClearQuest 	<ul style="list-style-type: none"> ▪ Authorization of Production Form ▪ Rational ClearQuest User Guide 	<ul style="list-style-type: none"> ▪ DSS Website, DSS Operational Forms ▪ QAO Website, SDLC User Guides, Planning and Tracking Phase

⁴ Currently, technical request forms exist for the Production Environment. The use of these forms is pending for other technical environments.

Work Product	Purpose	Creator	Recipient	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tools Location
		<ul style="list-style-type: none"> ▪ TSU-OSAS Library 	<ul style="list-style-type: none"> ▪ ASU-Production Control 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Initiation and completion of activities specified in the Job Packet. ▪ Upon completion of the activities specified in the Job Packet, ASU-Production Control approves the form and returns it to the OSAS Library. 	<ul style="list-style-type: none"> ▪ Hard copy only 	<ul style="list-style-type: none"> ▪ NA 	<ul style="list-style-type: none"> ▪ NA
		<ul style="list-style-type: none"> ▪ ASU-Production Control 	<ul style="list-style-type: none"> ▪ TSU-OSAS Library 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Job Packet copied from TSO PDS USER.PROG.TEXT to TSO PDS USER.PACKET.TEXT and Job Packet deleted from TSO PDS USER.PROG.TEXT. ▪ Upon completion of copying and deleting the Job Packet, the OSAS Library approves the form and gives it to Application Support. 	<ul style="list-style-type: none"> ▪ Hard copy only 	<ul style="list-style-type: none"> ▪ NA 	<ul style="list-style-type: none"> ▪ NA
		<ul style="list-style-type: none"> ▪ TSU-OSAS Library 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Knowledge of Job Packet implementation. 	<ul style="list-style-type: none"> ▪ Hard copy filed. 	<ul style="list-style-type: none"> ▪ NA 	<ul style="list-style-type: none"> ▪ NA

Work Product	Purpose	Creator	Recipient	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tools Location
Job Scheduling Information Section	<ul style="list-style-type: none"> ▪ Provides detailed scheduling information and any prerequisite conditions required for a job to run in the production environment. ▪ The following information may be identified: <ul style="list-style-type: none"> ○ Jobs that must run before the requested job is to run; ○ Jobs that cannot run during execution of the requested job run; ○ Job type; ○ Date, day of the week, week, or month the requested job is to run; ○ Time of day the requested job is to run. ○ Schedule for running requested job during a holiday. 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ TSU-OSAS Library 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Verification that the Job Scheduling Information section of the Job Packet is completed in TSO PDS USER.PROG.TEXT. 	<ul style="list-style-type: none"> ▪ TSO PDS USER.PROG.TEXT (jobname) 	<ul style="list-style-type: none"> ▪ Job Scheduling Information Section 	<ul style="list-style-type: none"> ▪ TSO PDS USER.PACKET.TEXT (hkpacket)
		<ul style="list-style-type: none"> ▪ TSU-OSAS Library 	<ul style="list-style-type: none"> ▪ ASU-Production Control 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Addition of a new job or modification of an existing job to the Zeke scheduling system. 	<ul style="list-style-type: none"> ▪ TSO PDS USER.PROG.TEXT (jobname) 	<ul style="list-style-type: none"> ▪ NA 	<ul style="list-style-type: none"> ▪ NA
		<ul style="list-style-type: none"> ▪ ASU-Production Control 	<ul style="list-style-type: none"> ▪ TSU-OSAS Library 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Notification to migrate Job Packet from TSO PDS USER.PROG.TEXT (jobname) to TSO PDS USER.PACKET.TEXT(j obname). 	<ul style="list-style-type: none"> ▪ TSO PDS USER.PACKET.TEXT(j obname) 	<ul style="list-style-type: none"> ▪ NA 	<ul style="list-style-type: none"> ▪ NA

Work Product	Purpose	Creator	Recipient	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tools Location
Operations Instructions Section	<ul style="list-style-type: none"> ▪ Provides detailed information on resource requirements for the job to run in the production environment. ▪ The following information may be identified: <ul style="list-style-type: none"> ○ Parmlibs; ○ Console replies; ○ Data set names for input and output TMS cartridges; ○ Data set names for input and output Non-TMS cartridges; ○ Data set names for non-TMS tapes; ○ Estimated Run time; ○ Estimated CPU time; ○ JCL online retention information)i.e., # of generations, length of time to keep online). 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ TSU-OSAS Library 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Verification that the Operations Instructions section of the Job Packet is completed in TSO PDS USER.PROG.TEXT. 	<ul style="list-style-type: none"> ▪ TSO PDS USER.PROG.TEXT (jobname) 	<ul style="list-style-type: none"> ▪ Operations Instructions Section 	<ul style="list-style-type: none"> ▪ TSO PDS USER.PACKET.TEXT (hkpacket)

Work Product	Purpose	Creator	Recipient	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tools Location
		<ul style="list-style-type: none"> ▪ TSU-OSAS Library 	<ul style="list-style-type: none"> ▪ ASU-Production Control 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Initiation and completion of activities related to resource requirements. 	<ul style="list-style-type: none"> ▪ TSO PDS USER.PROG.TEXT (jobname) 	<ul style="list-style-type: none"> ▪ NA 	<ul style="list-style-type: none"> ▪ NA
		<ul style="list-style-type: none"> ▪ ASU-Production Control 	<ul style="list-style-type: none"> ▪ TSU-OSAS Library 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Notification to migrate Job Packet from TSO PDS USER.PROG.TEXT (jobname) to TSO PDS USER.PACKET.TEXT(j obname). 	<ul style="list-style-type: none"> ▪ TSO PDS USER.PACKET.TEXT(j obname) 	<ul style="list-style-type: none"> ▪ NA 	<ul style="list-style-type: none"> ▪ NA
Non-INFOFAC Distribution Section	<ul style="list-style-type: none"> ▪ Provides detailed information on the distribution of non-INFOFAC reports generated from the production run job. ▪ The following information may be identified: <ul style="list-style-type: none"> ○ Routing procedures (i.e., pickup, delivery, mailing, etc); ○ Number of copies; ○ Recipients. 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ TSU-OSAS Library 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Verification that the Non-INFOFAC Distribution section of the Job Packet is completed in TSO PDS USER.PROG.TEXT. ▪ Initiation and completion of activities related to Non-INFOFAC report distribution. ▪ Migration of Job Packet from TSO PDS USER.PROG.TEXT (jobname) to TSO PDS USER.PACKET.TEXT(j obname). 	<ul style="list-style-type: none"> ▪ TSO PDS USER.PROG.TEXT (jobname) 	<ul style="list-style-type: none"> ▪ Non-INFOFAC Distribution Section 	<ul style="list-style-type: none"> ▪ TSO PDS USER.PACKET.TEXT (hkpacket)

Work Product	Purpose	Creator	Recipient	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tools Location
Step and Restart Information Section	<ul style="list-style-type: none"> ▪ Provides detailed information about each step in the job and procedures to be followed to restart each step. The following information may be identified: <ul style="list-style-type: none"> ○ Step names and associated programs for each step in the job; ○ Procedures to be followed to restart each step. 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ TSU-OSAS Library 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Verification that the Step and Restart Information section of the Job Packet is completed in TSO PDS USER.PROG.TEXT. 	<ul style="list-style-type: none"> ▪ TSO PDS USER.PROG.TEXT (jobname) 	<ul style="list-style-type: none"> ▪ Step and Restart Information Section 	<ul style="list-style-type: none"> ▪ TSO PDS USER.PACKET.TEXT (hkpacket)
		<ul style="list-style-type: none"> ▪ TSU-OSAS Library 	<ul style="list-style-type: none"> ▪ ASU-Production Control 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Initiation and completion of activities related to step and restart procedures. 	<ul style="list-style-type: none"> ▪ Hard copy only 	<ul style="list-style-type: none"> ▪ NA 	<ul style="list-style-type: none"> ▪ NA
		<ul style="list-style-type: none"> ▪ ASU-Production Control 	<ul style="list-style-type: none"> ▪ TSU-OSAS Library 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Notification to migrate Job Packet from TSO PDS USER.PROG.TEXT (jobname) to TSO PDS USER.PACKET.TEXT(jobname) 	<ul style="list-style-type: none"> ▪ TSO PDS USER.PACKET.TEXT(jobname) 	<ul style="list-style-type: none"> ▪ NA 	<ul style="list-style-type: none"> ▪ NA

12.2.2. SDLC Support Forms – INFOPAC Report Distribution⁵

Work Product	Purpose	Creator	Recipient	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
⁶Report Distribution System (RDS) 1-4 Form	<ul style="list-style-type: none"> ▪ Provides detailed information on the distribution of an INFOPAC report generated from the production run job. It includes different sections to be completed by the CRM and ASU. 	<ul style="list-style-type: none"> ▪ ASU-CRM 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Identification of: <ul style="list-style-type: none"> ○ Online viewing access; ○ Routing procedures, if hardcopy; ○ Online viewing and offline storage retention. ○ The number of copies to be distributed and the location(s). ▪ Once this information is provided, the ASU-CRM emails the form to the ASU. 	<ul style="list-style-type: none"> ▪ CRM LAN or Rational ClearQuest 	<ul style="list-style-type: none"> ▪ RDS 1-4 Form ▪ RDS 1-4 Form Instructions ▪ Rational ClearQuest User Guide 	<ul style="list-style-type: none"> ▪ DSS Website, DSS Operational Forms ▪ DSS Website, DSS Operational Forms ▪ QAO Website, SDLC User Guides, Planning and Tracking Phase
		<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ TSU-OSAS Library 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Identification of: <ul style="list-style-type: none"> ○ Job and restart names; ○ Report breaks and values. ▪ Once this information is provided, the ASU emails the form to the OSAS Library. 	<ul style="list-style-type: none"> ▪ NA 	<ul style="list-style-type: none"> ▪ NA 	<ul style="list-style-type: none"> ▪ NA

⁵ Currently, technical request forms exist for the Production Environment. The use of these forms is pending for other technical environments.

⁶ This is the process for requesting the distribution of a new INFOPAC report. If requesting the distribution of an existing INFOPAC report, then the ASU-CRM should email the RDS 1-4 Form directly to the OSAS Library and courtesy copy (CC:) the Applications Support unit on the email.

Work Product	Purpose	Creator	Recipient	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
		<ul style="list-style-type: none"> ▪ TSU-OSAS Library 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Initiation and completion of activities related to INFOPAC report generation and distribution. 	<ul style="list-style-type: none"> ▪ Shared S Drive folder Programming 	<ul style="list-style-type: none"> ▪ NA 	<ul style="list-style-type: none"> ▪ NA
⁷Report Distribution System (RDS) 1-4 Form Instructions	<ul style="list-style-type: none"> ▪ Provides detailed instructions on the distribution of an INFOPAC report generated from the production run job. 	NA	NA	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Implementation Phase 	NA	NA	<ul style="list-style-type: none"> ▪ RDS 1-4 Form ▪ RDS 1-4 Form Instructions 	<ul style="list-style-type: none"> ▪ DSS Website, DSS Operational Forms ▪ DSS Website, DSS Operational Forms

⁷ This is the process for requesting the distribution of a new INFOPAC report. If requesting the distribution of an existing INFOPAC report, then the ASU-CRM should email the RDS 1-4 Form directly to the OSAS Library and courtesy copy (CC:) the Applications Support unit on the email.

12.2.3. SDLC Support Forms – Security⁸

Work Product	Purpose	Creator	Recipient	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
Request for Resource Access or Protection Form	Provides proper access for individuals or groups of individuals to data or datasets, and/or protection of data or datasets from individuals or groups of individuals due to confidentiality or security requirements.	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ Manager ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ TSU- Security Unit 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Proper access for individuals or groups of individuals to data or datasets, and/or protection of data or datasets from individuals or groups of individuals due to confidentiality or security requirements. 	<ul style="list-style-type: none"> ▪ Shared S Drive folder Programming 	<ul style="list-style-type: none"> ▪ Request for Resource Access or Protection Form 	<ul style="list-style-type: none"> ▪ TBD

⁸ Currently, technical request forms exist for the Production Environment. The use of these forms is pending for other technical environments.

12.2.4. SDLC Support Forms – Miscellaneous

Work Product	Purpose	Creator	Recipient	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
On-Demand Request Form	<ul style="list-style-type: none"> ▪ Request an on-demand run of a job in Zeke, a re-run of a regularly scheduled job in Zeke, the addition or deletion of a Generation Data Group (GDG), the addition or deletion of Tape Management System (TMS) cartridges or tapes, the creation of a TMS auxiliary disposition, and the addition, deletion, or modification of a vaulting pattern. ▪ The following information may be identified: <ul style="list-style-type: none"> ○ New job to run with possible output created, such as a report; ○ Regularly scheduled job to run with possible output created, such as a report; ○ GDG to add or delete; ○ TMS cartridge to add or delete; ○ TMS auxiliary disposition to create; ○ Vaulting pattern to add, delete, or modify. 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ ASU-Production Control 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Initiation and completion of activities related to job scheduling. 	<ul style="list-style-type: none"> ▪ Shared S Drive folder Programming or Rational ClearQuest 	<ul style="list-style-type: none"> ▪ On-Demand Request Form ▪ Rational ClearQuest User Guide 	<ul style="list-style-type: none"> ▪ DSS Website, DSS Operational Forms ▪ QAO Website, SDLC User Guides, Planning and Tracking Phase

Work Product	Purpose	Creator	Recipient	Initiation Point	Submission Point	Outcome	Completed Work Product Storage Location	SDLC Supporting Tools	SDLC Supporting Tool Location
Request to Remove from Production Form	<ul style="list-style-type: none"> ▪ Provides detailed information about jobs to be removed from a technical environment. ▪ The following information may be identified: <ul style="list-style-type: none"> ○ Jobs to delete from the Zeke scheduling system; ○ GDGs to be deleted and uncataloged; ○ TMS cartridges to be scratched or retained. ▪ May need to submit with a Production Program Maintenance Form. ▪ May need to submit with an On-Demand Request Form. 	<ul style="list-style-type: none"> ▪ ASU- <ul style="list-style-type: none"> ○ PL ○ LA ○ Contract Support 	<ul style="list-style-type: none"> ▪ TSU-OSAS Library 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Hardcopy of Request to Remove from Production Form printed out for submission to ASU-Production Control. 	<ul style="list-style-type: none"> ▪ Shared S Drive or Rational ClearQuest 	<ul style="list-style-type: none"> ▪ Request to Remove from Production Form ▪ Rational ClearQuest User Guide 	<ul style="list-style-type: none"> ▪ DSS Website, DSS Operational Forms ▪ QAO Website, SDLC User Guides, Planning and Tracking Phase
		<ul style="list-style-type: none"> ▪ TSU-OSAS Library 	<ul style="list-style-type: none"> ▪ ASU-Production Control 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Initiation and completion of activities related to removing jobs from a database environment. 	<ul style="list-style-type: none"> ▪ Hardcopy only 		
		<ul style="list-style-type: none"> ▪ ASU-Production Control 	<ul style="list-style-type: none"> ▪ TSU-OSAS Library 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Implementation Phase 	<ul style="list-style-type: none"> ▪ Removal of jobs from INFOPAC. ▪ Removal of Job Packet from TSO PDS USER.PACKET.TEXT(jobname) 	<ul style="list-style-type: none"> ▪ Hard copy only 		