

2015

Crossroads User Group - Change Control Process Version 1.0

United States Department of Agriculture
(USDA)/Food and Nutrition Service (FNS)
State Agency Model (SAM) System



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1 Introduction

This document defines the Crossroads User Group Change Control Process (CCP) that must be followed by each member state in order to request, assess, approve and implement any change to the Crossroads Management Information System (MIS) and the artifacts that comprise it including system code, operational, design and user documentation, and all ancillary components. Through this process, Change Requests (CR) are handled consistently and are subject to the same internal controls. Adherence to this process allows business demands across all User Group State agencies to be balanced against the need to maintain existing levels of common functionality and prioritizes the use of available resources for change. This document shall reference “User Group” and “System” throughout, where “User Group” refers to the Crossroads User Group and its voting and non-voting members, and “System” refers to the Crossroads Management Information System, its artifacts and source code.

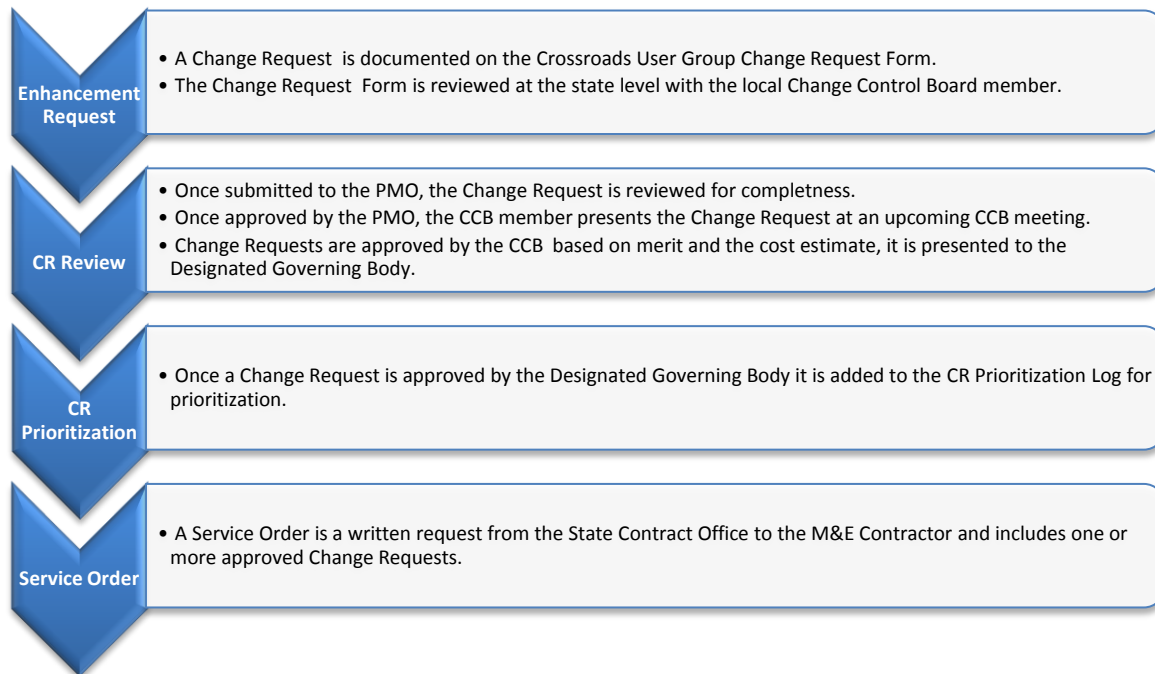
2 Process Overview

The goal of the Change Control Process is to provide the required controls for consistent handling of all enhancements to the System as follows:

- Change Request documentation is reviewed by the Product Management Office (PMO) for completeness before review by the Designated Governing Body (DGB).
- All Change Requests are consistently assessed for risk, including technical impact to system code and business impact to existing levels of service to Women Infants Children (WIC) participants.
- The cost of all Change Requests is estimated, including the anticipated cost of developing and implementing the change.
- All Change Requests are approved at the correct level of authorization for the size and scale of the change by the requesting member state Change Control Board (CCB) representative prior to submission to the Crossroads User Group Change Control Process.
- All approved Change Requests are scheduled for implementation based on prioritization which takes into consideration, a balance between clinic and State agency impact, business priority, and available resources to undertake the work.
- A Release Schedule is maintained to document all change activity impacting the member states, and will include ticket calls and defect tickets in the pipeline.
- Updates to the System software are accomplished through software releases that are planned and organized by the CCB. The Crossroads User Group has set as a general guideline that there shall be no more than four major releases per year.

So that the CCB can accurately and efficiently analyze Change Requests, a change requestor must complete the Crossroads User Group System Change Request Form for each individual proposed change (an example can be found on the collaboration site in the CCP Forms folder) and submit to their state CCB representative for review. If the state CCB representative agrees to move the enhancement request forward, the CCB representative will submit the Change Request Form to the PMO for review. Further analysis and status of the Change Request by the PMO, CCB, and Maintenance and Enhancement (M&E) Contractor is recorded into the Change Request Form.

The evolution of a System enhancement (definition of terms)



The Change Control Process consists of eleven (11) high-level functions, which are outlined in detail in Section 5 of this document:

1. [Defect / Enhancement Submission](#)
2. [Enhancement Assessment](#)
3. [Defect Assessment](#)
4. [Release Management](#)
5. [Contract State Request for Service \(RFS\)](#)
6. [Review M&E Contractor Deliverables](#)
7. [Test Management](#)
8. [Contract State Service Order Acceptance](#)
9. [Close Change Request and Defect \(JIRA\)](#)
10. [Reject/Defer Change Request](#)
11. [Emergency Change Path](#)

3 Summary of Change Control Process Roles

The CCB, facilitated by the Product Management Office (PMO), is the change governing body for the User Group. Its purpose is to assess all proposed changes for their business and technical impact to the System and provide recommendations to the Designated Governing Body (DGB) via the PMO. CCB decisions are made through a simple majority vote of CCB members. The DGB in turn assesses the CCB's recommendations related to Change Request and defect corrections for the system, and provides additional input to assist the Executive Steering Committee (ESC) with decision making. For the ESC to approve a Change Request, the request must provide a significant and positive impact to WIC business operations. Change Requests will be bundled into a Service Order and submitted to the M&E Contractor by the appropriate State Agency (SA) Contract Officers.

CCB Structure:

- The CCB consists of voting and non-voting state representatives. Each SA can exercise one vote. All member state representatives are required to participate in CCB activities once their SA signs the Charter. Once a SA roll-out is approved by United States Department of Agriculture Food and Nutrition Service (USDA FNS), CCB members are eligible to vote on change requests. Non-voting members participate with the CCB to help gain experience with the change control process and the System and provide input as appropriate.
- CCB members participate for a minimum of one year on the CCB. SA's can replace CCB members due to extended leave requirements, change in role or leaving the organization.
- All member states are required to identify a representative to participate on the CCB and also an alternate representative to attend and act on their state's behalf in the event the primary CCB member cannot participate in CCB functions.
- The preferred background of a CCB member is to have a thorough working knowledge of the System, program policy and regulations, and have an Information Technology (IT) background. However a State may have multiple people attend the CCB to ensure the SA CCB representative has the support they need during the meetings. The State still only has one vote on the CCB.
- Voting member states are allocated one vote for CCB decision making.
- Voting states can cast their vote by email, on a CCB call, or at a face-to-face User Group meeting.
- CCB members must commit time to the CCB required to teleconference and complete assignments as given.
- CCB members and DGB members may be the same State representative.

CCB Responsibilities:

- Participate in the voting process for System changes.
- Coordinate with the PMO in executing the Crossroads User Group CCP.
- Assist an applicant state by providing a review of the prospective transferring state's Gap Analysis. (Note: Any Gaps to be addressed by the User Group will conform to the Change Control Process after the transfer state joins the User Group.)
- Review and prioritize Change Requests and System Defect Changes received from User Group members.
- Provide change request recommendations to the DGB.
- Request estimate on level of effort from M&E Contractor.
- Review Change Request Form for each Change Request.
- Participate in the design process facilitated by the M&E Contractor.
- Participate in the Release Management process to determine when and what changes are included in a release.

- Maintain Change Control Process documentation.
- Employ temporary Task Forces to enhance the CCB review, research capabilities and other tasks as assigned by the CCB.

Outlined in the table below are other User Group entities that have a role in the Change Control Process. These groups are defined in the Crossroads Charter, please reference for further details.

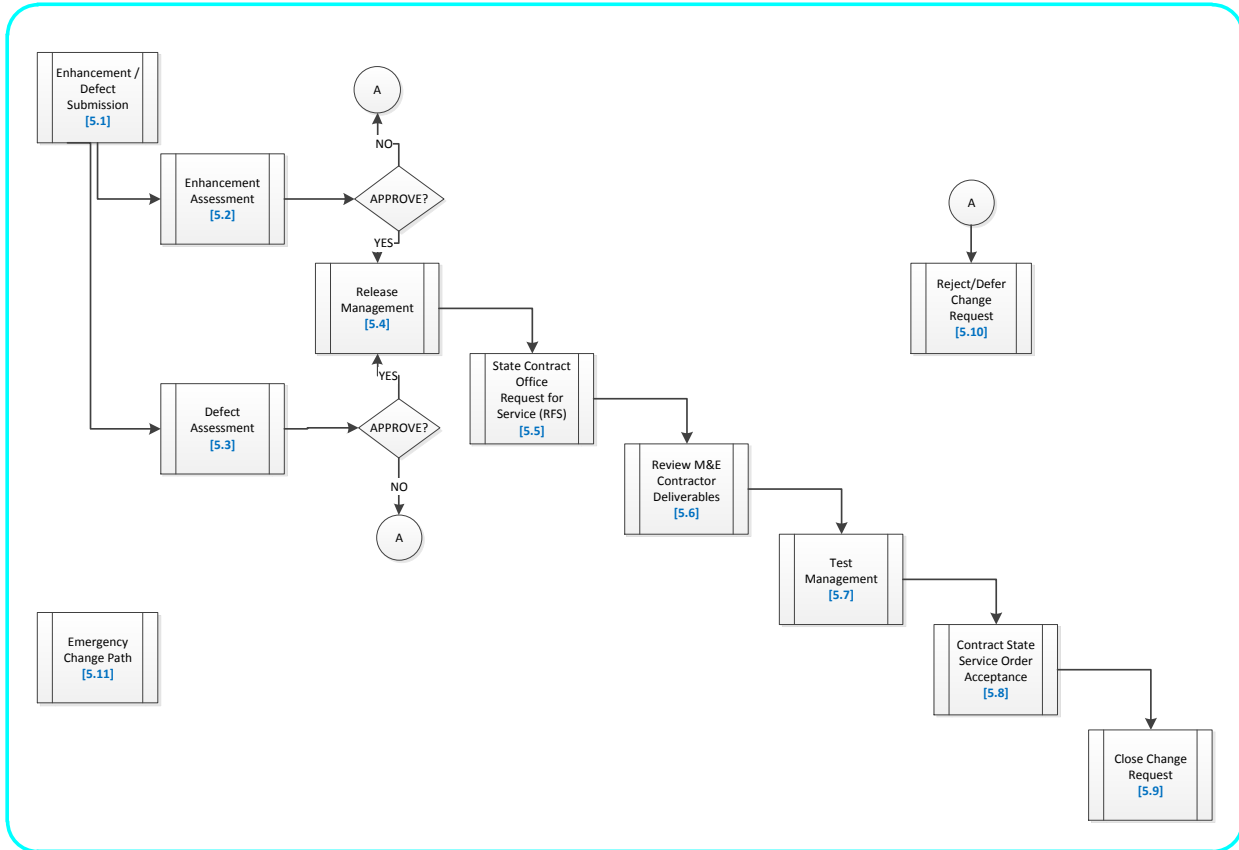
Stakeholder Entity	Role & Responsibilities
United States Department of Agriculture Food and Nutrition Service (FNS)	<ul style="list-style-type: none"> ▪ Communicate regulatory/mandatory changes affecting the System and User Group. ▪ Funding approval and oversight
State Agencies (SA)	<ul style="list-style-type: none"> ▪ Participate in Executive Steering Committee (ESC), Designated Governing Body (DGB), Change Control Board (CCB), Technology Advisory Group (TAG), Acquisition Working Group (AWG), and task force calls and meetings as assigned. ▪ Designate qualified SA representatives for participation in Crossroads User Group ESC, DGB, CCB, TAG, AWG, and task forces. ▪ Coordinate User Acceptance Testing with the Product Management Office (PMO). ▪ Identify a Crossroads liaison to work with the CCB and PMO on timely User Acceptance Testing (UAT) schedule. ▪ Test functionality and performance of releases prior to placing the new release into the production environment. ▪ Share testing results with the Crossroads User Group and enter defects found during testing into the approved defect tracking system as identified by the Change Control Process (CCP). ▪ Document System errors in the issue tracking system. ▪ Submit enhancement requests using the CCP. ▪ Vote for System enhancements as ESC, DGB, and CCB members (when eligible).
Executive Steering Committee (ESC)	<ul style="list-style-type: none"> ▪ Serve as the governing body of the User Group. ▪ Review and make final decisions on System change requests. ▪ Review and make final decisions on Crossroads User Group administrative and contracting issues. ▪ Lead efforts to secure funding for the Crossroads User Group as required. ▪ Communicate recommendations to Food and Nutrition Services and transfer states during the transfer process. ▪ Ensure appropriate SA representation for DGB, CCB, AWG, TAG, and task forces. ▪ Ensure timely and thorough testing and reporting by SAs.
Product Management Office	<ul style="list-style-type: none"> ▪ Support the CCB in execution of the CCP.

(PMO)	<ul style="list-style-type: none"> ▪ Provide administrative and facilitation support to ESC, DGB, CCB, and task forces. ▪ Share information with internal and external partners through conference calls, annual meetings, and documentation. ▪ Participate with the Maintenance & Enhancement (M&E) contractor in System Design Development & Implementation (DD&I) and defect resolution activities. ▪ Conduct preliminary testing on releases as defined by the CCP. ▪ Coordinate UAT with SAs. ▪ Manage the document-sharing website and administer the Communications and Collaborations Management Plan (CCMP). ▪ Prepare all Advance Planning Document (APD)s for the Crossroads User Group for approval by the ESC. ▪ Serve as point of contact for SA transfer inquiries and coordinate Systems Alternatives analysis documentation review by CCB. ▪ Serve as the point of contact for all System and product communications with USDA/FNS, ESC, and contractors, including all deliverables and schedules.
Designated Governing Body (DGB)	<ul style="list-style-type: none"> ▪ Oversee M&E contractor’s Service Level Agreement (SLA) performance and report status to the ESC and M&E Contract SA. ▪ Assess CCB and TAG recommendations in identifying, researching, and prioritizing change requests and defect correction for the System, and provide additional input to assist ESC with decision-making. ▪ Analyze the impacts of competing state-based regulations, assesses the impact of regulations on the System, and recommends a strategy to address the situation.
Task Forces (temporary work groups formed to deal with emergent issues)	<ul style="list-style-type: none"> ▪ Analyze emergent issues on behalf of the Crossroads User Group and make appropriate recommendations within the specific periods for which these temporary work groups are chartered. ▪ Elect a task force member to provide leadership, administration, and communication of the task force objectives and status.
Maintenance and Enhancement (M&E) Contractor	<ul style="list-style-type: none"> ▪ Provide estimates on level of effort as requested throughout the Change Control Process. ▪ Perform design/development/testing of all enhancements and all defect repairs. ▪ Participate in Release Management. ▪ Maintain the System source code, supporting current release and two previous versions of the System in production. ▪ Actively promote transparency, cooperation, and collaboration in all interactions with the Crossroads User Group stakeholders. ▪ Participate on the CCB as a non-voting member. ▪ Administer defect-tracking process. ▪ Ensure all System documentation is current and accurate, including Detailed Functional Design Documents (DFDDs), Detailed Technical Specifications (DTS), Configuration Document, User Manuals and online help.
M&E Contract State	<ul style="list-style-type: none"> ▪ Administer the M&E contract.

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	<ul style="list-style-type: none">▪ Submit Service Orders (SO) on behalf of the User Group to the M&E contractor.▪ Submit APDs and updates as needed.▪ Retain ultimate responsibility for M&E contract.
Product Management Office (PMO) Contract State	<ul style="list-style-type: none">▪ Administer the PMO contract on behalf of the User Group.▪ Submit APDs and updates as needed.▪ Receive and disburse funds.

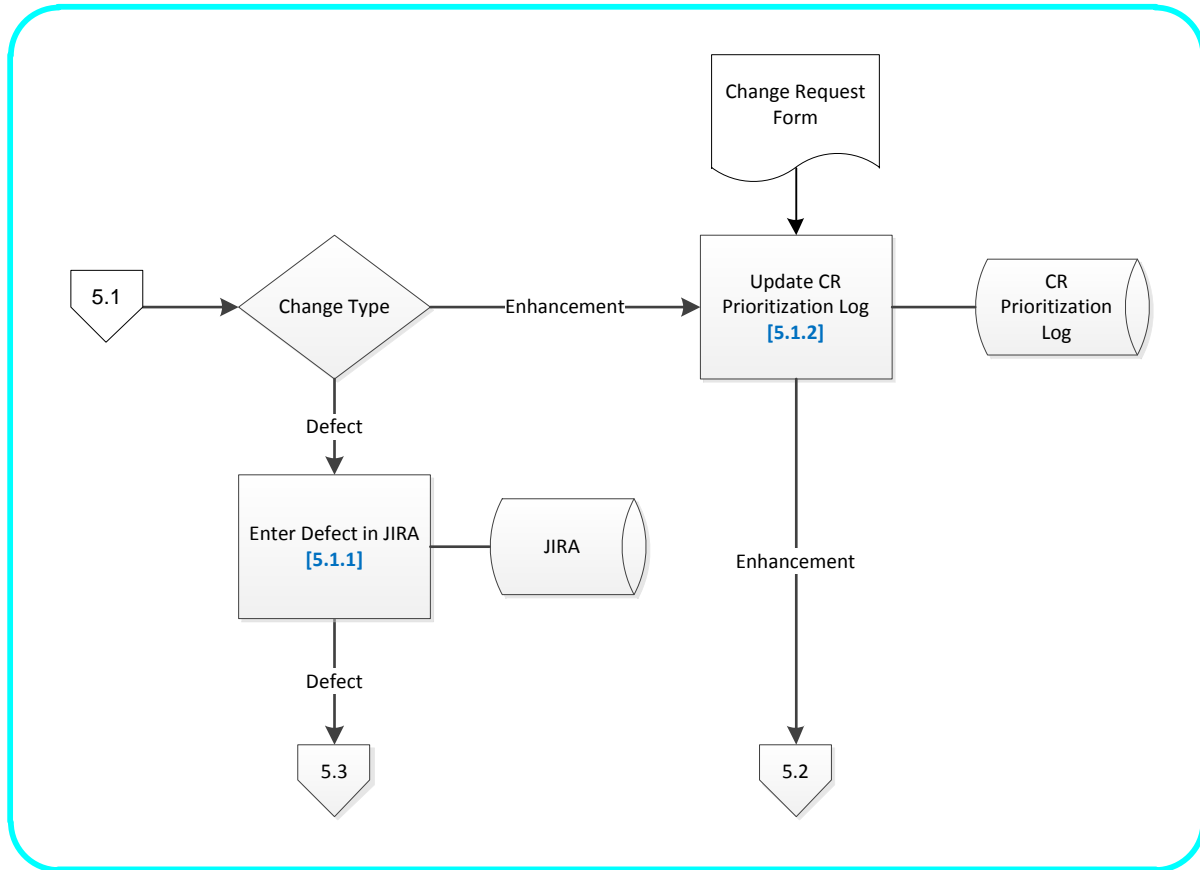
4 Change Control Process Workflow



5 Change Control Process

The Crossroads User Group Change Control Process defines the steps a change takes from the point it is submitted to the point a change completes User Acceptance Testing (UAT). The goal of the Change Control Process is to manage all changes to the System in an organized and controlled manner to ensure operational risks are minimized and changes are prioritized using a consistent and transparent approach.

5.1 Defect / Enhancement Submission



There are two change types defined in the Crossroads Change Control Process: Defects are submitted through JIRA, which is hosted by Computer Sciences Corp (CSC), and Enhancements (or Change Requests) which are submitted through the PMO. The details of each change type are outlined under their respective Change Control sub-process.

5.1.1 Enter Defects in JIRA

Crossroads User Group member states enter Defects into the JIRA system which is currently hosted by CSC. The Defect Reporter completes all required fields in JIRA and provides any supporting detailed documentation of the defect. The Secure File Transfer Protocol (FTP) site shall be used to store any supporting documentation that may contain Personally Identifiable Information (PII)/ Personal Health Information (PHI) such as screen prints.

5.1.2 Update Change Request Prioritization Log

As stated earlier, User Group members submit all Enhancements through a Change Request Form submitted to the PMO for initial review. The requesting member state Change Control Board representative is required to review the Change Request Form with the requestor before it is submitted to the Change Control Process. This review ensures that enhancements are categorized correctly, assigned the proper priority and appropriately documented on the Change Request Form.

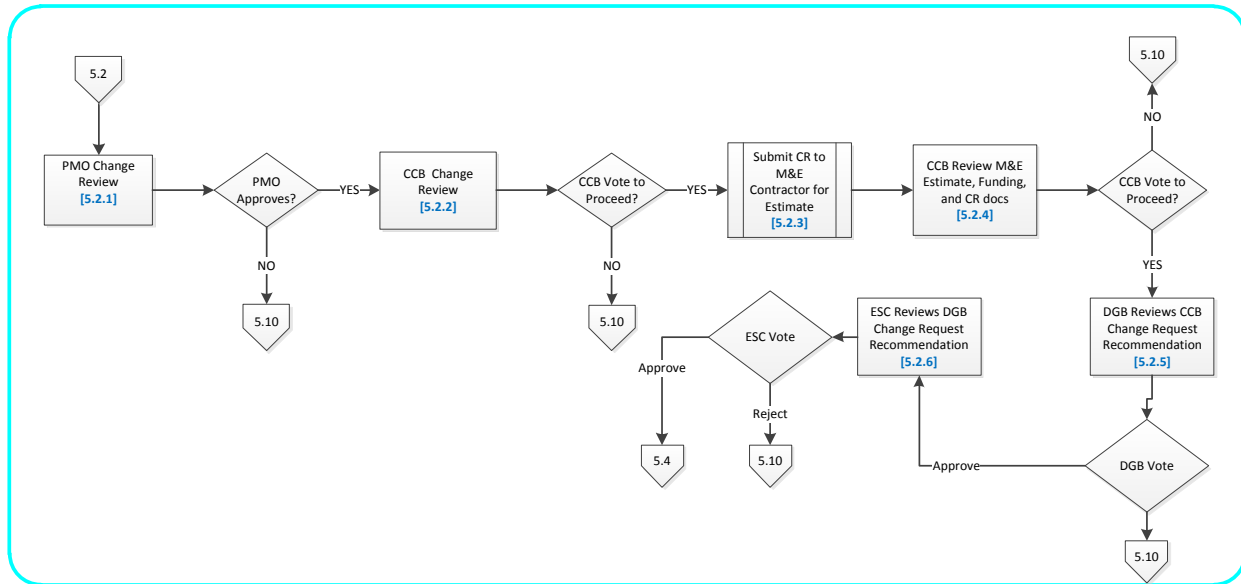
The categorization and prioritization of enhancements plays a critical role in the Change Control Process, and the primary purpose is to give guidance to the PMO and CCB as to what should be included in a release. All enhancements shall be placed into one of these standard categories in the Crossroads Change Request Form:

- Infrastructure
- Operational Efficiency
- Program Integrity
- Regulatory Change
- Data
- Strategic Innovation

At the beginning of the Change Control Process, the focus of the change analysis is on the business case for the proposed Change Request. The change requestor and requesting member state CCB representative provide the necessary change analysis and associated detail functional requirements by filling out the change Request Form in as much detail as possible. Additional information may be added to the appropriate sections of the form as they develop during the CCB analysis. This information may include risk assessment, alternatives analysis and recommendations to the DGB. If necessary, the CCB may convene a task force of subject matter experts to assist with the change assessment. See “Task Force Formation & Guidelines” for additional details.

Although it is preferable that member states requesting system enhancements identify the source of funding for such changes, it may not be possible for member states to identify such funding at the time they submit the Change Request. Therefore, in an effort to ensure that all Change Requests have the opportunity to be reviewed, it is not mandatory that a Change Request have a funding source identified when submitted. The CCB in collaboration with the DGB will evaluate the merits of such a Change Request, and may look to identify funding sources.

5.2 Enhancement Assessment



5.2.1 PMO Change Review

The PMO performs the initial review of all Change requests to ensure the submission documentation is complete.

A Change Request must pass the following checks before the PMO engages the CCB to review and assess the Change Request at a more detailed level:

- A completed Change Request Form has been submitted.
- SAs shall identify potential source of funding if known at this stage.

The PMO may determine that the Change Request details submitted require an additional level of detail and may recommend the Change Requestor perform additional analysis and resubmit. The PMO may also provide support to the State agency in their efforts to gather additional details, which may include facilitating additional requirements gathering sessions and documenting the results of these sessions. Once the Change Request is compliant with the submission requirements, it will be reviewed by the PMO and Change Control Board.

5.2.2 CCB Change Review

The CCB reviews all Change Requests as identified by the PMO. Based on their review of the documentation, the CCB may require more details and recommends one of the following actions:

- The State agency perform additional analysis and resubmit the Change Request.
- The State agency work with the PMO and CCB to facilitate gathering additional details.
- A task force may be set up to perform a more extensive detailed analysis of the request and its impacts to the member states; see “Task Force Formation & Guidelines” for more details.

The CCB may deny approval to proceed if:

- There is a substantial negative System impact identified by the PMO, CCB or M&E Contractor as part of their review of the initial requirements.
- Additional business/technical impacts were uncovered during subsequent discussions among the member states since the previous approval-to-proceed milestone was passed.

Once a Change Request has been evaluated by the CCB, the members vote to determine if it should be approved and proceed to the DGB for review. A Change Request requires a majority vote in favor to proceed to the next stage in the Change Control Process.

5.2.3 Submit CR to M&E Contractor for Estimate

The CCB submits the Change Request to the M&E Contractor for a cost proposal. The contractor has a limited amount of time to deliver their estimate (reference contract approved Service Level Agreements (SLA) for detail), which may require additional meetings with the PMO, CCB, task force and the Change Requestor to clarify the requirements and associated deliverables. The Contractor, PMO and/or Change Requestor update the Change Request Form with the information from these discussions. Updating the Change Request and associated documentation throughout the Change Control Process ensures that the CCB and ESC have the most up-to-date information to make an informed decision.

5.2.4 CCB Reviews M&E Estimate, Funding, and CR documentation

The CCB reviews the details of the contractor's proposal, evaluating the contractor's view on impact, cost, and timeline to complete the Change Request. At this point in the change process, the CCB re-evaluates the Change Requestor's anticipated funding source relative to the M&E Contractor's cost proposal. The CCB may attempt to confirm funding at this time. Finally the CCB takes a vote to determine if it approves the Change Request to proceed to the DGB review process. A majority vote is required for approval.

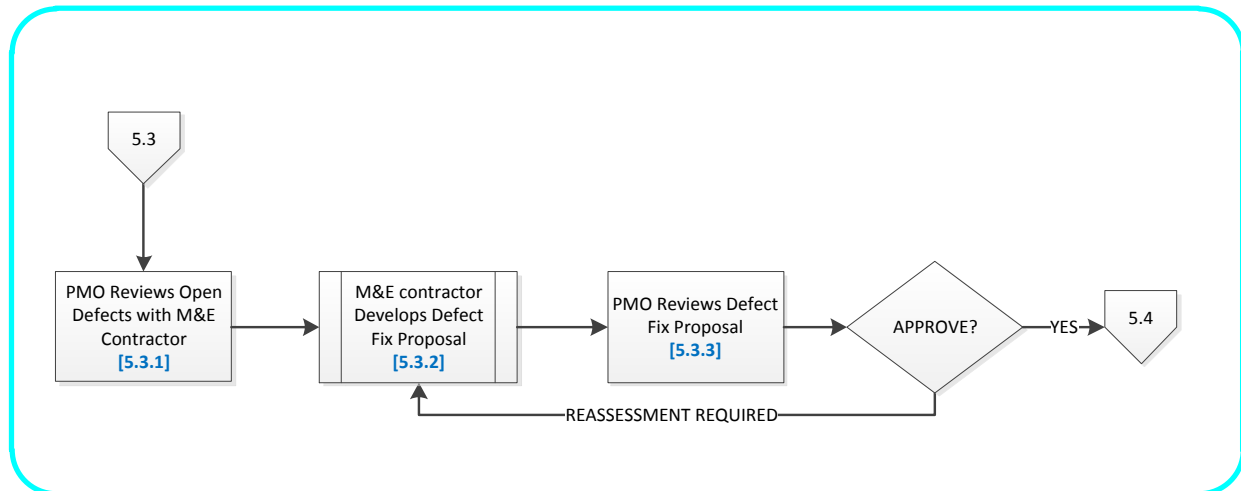
5.2.5 DGB Reviews CCB Change Request Recommendation

The DGB reviews and votes on the recommendation from the CCB to determine if the Change Request proceeds. There are three possible outcomes from the DGB review: The Change Request is submitted to the ESC for approval, the DGB can request additional information before further review takes place, or they can deny the Change request.

5.2.6 ESC Reviews DGB Change Request Recommendation

The ESC reviews and votes on the recommendation from the DGB to determine if the Change Request proceeds. One of the key considerations at this stage of the process is for the ESC to confirm that funding has been identified. Once the ESC approves a Change Request, the PMO updates its status on the Change Prioritization Log. A funded Change Request proceeds to the Release Management Change Control Process.

5.3 Defect Assessment



The member state defect reporter or designated support staff enter defects into the JIRA system. The PMO and the M&E Contractor review the JIRA Defect log and perform the Defect Assessment process steps as described in the following sub-process descriptions.

5.3.1 PMO Reviews Open Defects with M&E Contractor

Changes categorized as Defects are assessed as follows:

- The PMO and the M&E Contractor determine if the severity level (Production Down, Critical/Show Stopper, Major/High, Medium/Average, Minor, Trivial) assigned is correct. See [Glossary](#) for definitions.
- The PMO and Contractor ensure that the reporting state has provided sufficient detail in the description of the defect and supporting documentation.
- The PMO and M&E Contractor look for evidence that an issue is repeatable within the reporting state and/or if the issue has been reported previously within JIRA. Based upon the above criteria, the M&E Contractor and the PMO affirm that the issue can be categorized as a Defect and is covered under the contract.

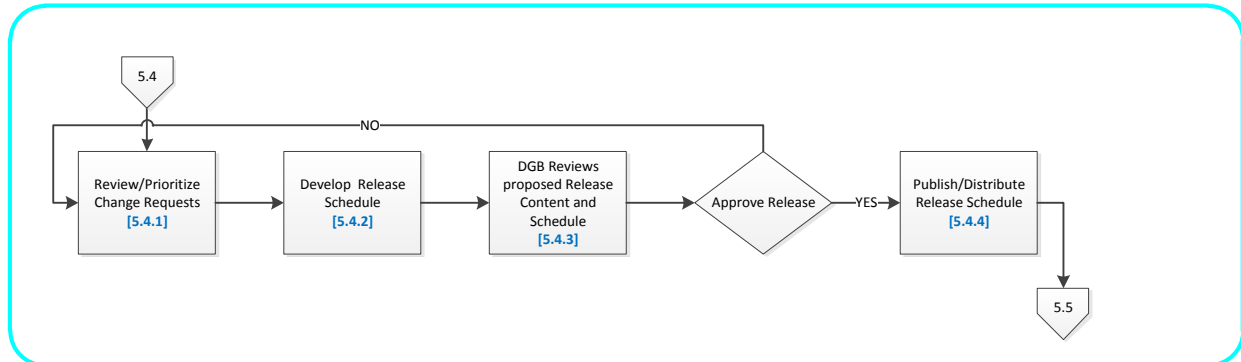
5.3.2 M&E Contractor Develops Defect Fix Proposal

As per the M&E Contract Service Level Agreements (SLAs), the M&E Contractor develops a proposed solution for each open defect and attaches the proposed solution to the JIRA ticket for review. The PMO is notified that the defect ticket in JIRA has been updated and the solution is ready for evaluation. For further analysis and detail confirmation, a Scope Definition Document may be required.

5.3.3 PMO Reviews Defect Fix Proposal

The PMO reviews the proposed solution and engages the CCB. If the proposed solution is not approved, the PMO identifies the errors and omissions that the M&E Contractor must rectify. Once approved, the defect fix proceeds to Release Management.

5.4 Release Management



Release Management is the decision making process by which defect fixes and change requests are bundled into a System release and scheduled for testing.

Many factors must be considered when determining the content of a Release. These factors include, but are not limited to: the type of change (i.e. Regulatory, high priority defect repair), the risk of implementing, the risk of not implementing, end-user involvement necessary to implement, the scope of the change, specific mandates or compliance date, and restrictions or limitations to funding. Crossroads User Group have established four release types: Platform, Major, Medium and Minor. The definitions can be found in [Crossroads Master Glossary document](#).

5.4.1 Review/Prioritize Change Requests

Release Management is an agenda item on all CCB scheduled meetings. During these meetings, the PMO, the M&E Contractor, and the CCB members choose the most effective combination of Change Requests and/or Defect Fixes to be included within a release.

If additional changes are added to the release prior to the cut-off date, the PMO updates the release schedule and distributes it via email. Additionally the release schedule shall be published to the Collaboration site.

5.4.2 Develop Release Schedule

Once the CCB has reviewed the Change Requests and Defect fixes, and determined the release package, the PMO and CCB along with the M&E Contractor establish a date that the release will be ready for the member state test environments. As part of this process the PMO will engage the member state UAT Coordinators to review the proposed release schedule and finalize.

5.4.3 DGB Reviews Proposal Release Content and Schedule

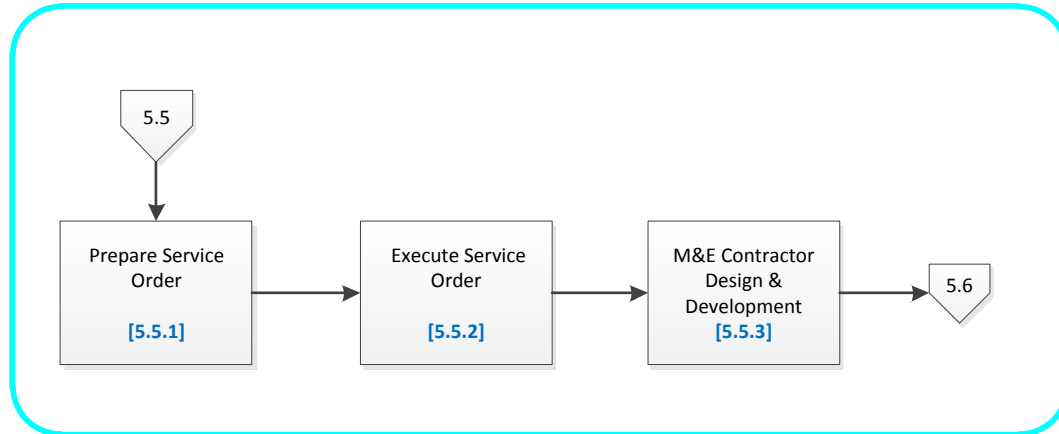
The DGB will review the details of the changes included in the release package and the proposed release schedule. DGB members should consult with their individual states to ensure they understand the level of effort that will be required during User Acceptance Testing. If there are any issues/concerns identified

by a SA, the DGB member will inform the CCB and the PMO so that any necessary adjustments can be made. The DGB may not approve the release for publication until the issues have been resolved.

5.4.4 Publish/Distribute Release Schedule

Once a release schedule is established and the DGB has approved it, the PMO publishes the schedule on the collaboration site and notifies stakeholders via email.

5.5 State Contract Office Request for Service



5.5.1 Prepare Service Order

Once the DGB approves the finalized release package and schedule, the PMO completes the Service Order and submits it to the appropriate SA contracting office(s). See the M&E contract for further details.

The Service Order lists all of the business requirements associated with each Change Request within the Service Order. Defects are included in the Service Order but with a zero cost associated to them, because the M&E Contractor is obligated to fix defects at no additional cost to the member states. The contracting office uses the Service Order to initiate the Request for Service process with the M&E Contractor as described in the M&E contract.

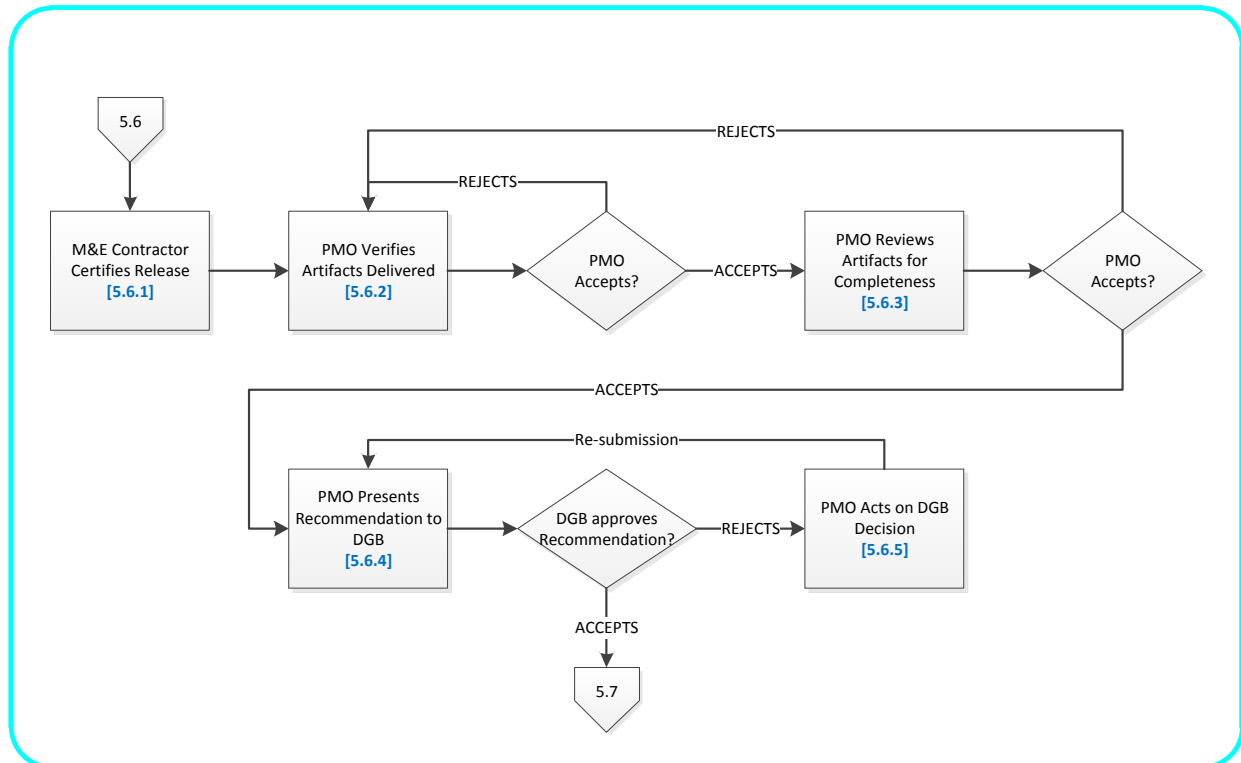
5.5.2 Execute Service Order

Each State agency participating in a Service Order completes the necessary contracting steps to initiate Request for Service with the Contractor as per the M&E contract.

5.5.3 M&E Contractor Design & Development

The M&E Contractor performs the work as specified by the requirements detailed in the Service Order. The System design and development activities (requirements definition, design sessions, coding, documentation, etc.) are processes that are defined in the M&E contract.

5.6 Review M&E Contractor Deliverables



5.6.1 M&E Contractor Certifies Release

The M&E Contractor completes their system testing. When satisfied that their internal test results meet the SLA as documented in the contract, the M&E Contractor sends an email to the PMO certifying the release is ready to begin User Acceptance Testing (UAT) and uploads all release-related artifacts to the Collaboration site.

5.6.2 PMO Verifies Artifacts Delivered

A UAT Certification Memo from the M&E contractor provides written certification that the release is ready for UAT. Once the UAT Certification Memo is received, the PMO checks the deliverables against the original Service Order requirements. This step verifies each deliverable is available. The PMO and the M&E Contractor rectify any missing artifacts before progressing to the next step in the process.

5.6.3 PMO Reviews Artifacts for Completeness

The PMO reviews the artifacts delivered by the M&E Contractor for a release, and compares them to the requirements outlined in the original Service Order to ensure:

- Each deliverable on the Service Order has a corresponding artifact; e.g., a required software change results in a code artifact.
- Each artifact is complete; e.g., a requirements traceability matrix, at a minimum, shows the relationship between requirements, test cases and test results.

The PMO and the M&E Contractor resolve any issues with the release artifacts before proceeding with the start of UAT. If necessary, the PMO engages the CCB.

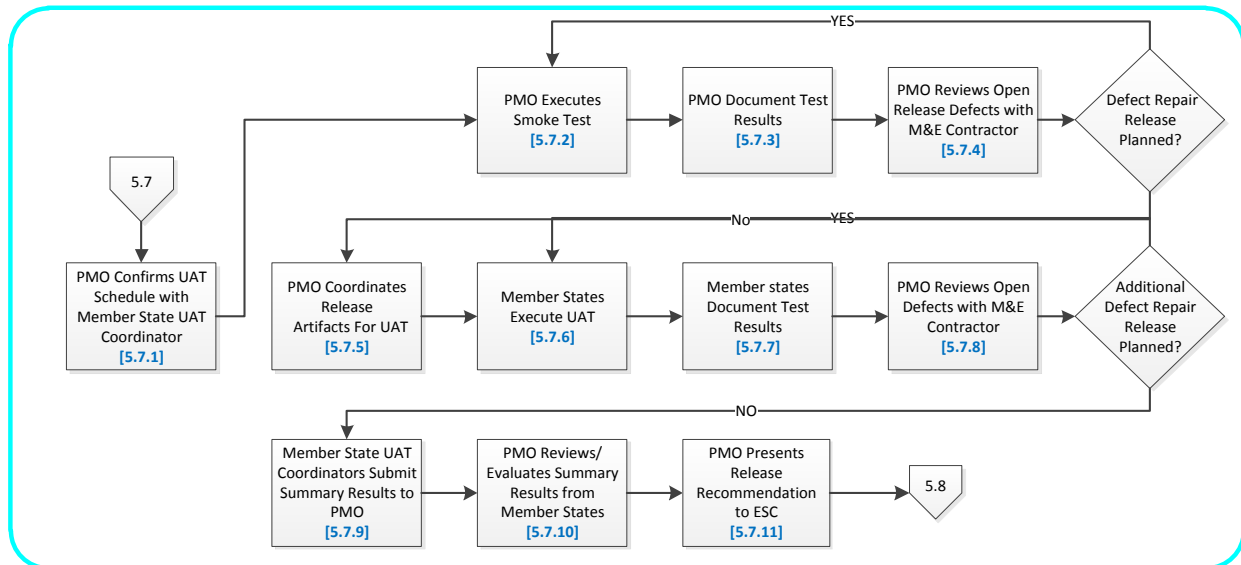
5.6.4 PMO Presents Recommendation to DGB

The PMO schedules time on the upcoming DGB meeting to present the results of the release artifact review process. The DGB reviews findings and takes a vote to determine if the release is approved to move forward to the Test Management process or rejected. Rejection requires action on the part of the M&E Contractor before approval to proceed is granted.

5.6.5 PMO Acts on the DGB Decision

If the DGB rejects the PMO's recommendation to proceed, the PMO initiates appropriate action within the Change Control Process as per the DGB guidance. Once the deficiencies are addressed, the PMO presents the results of the release artifact review process to the DGB for reconsideration.

5.7 Test Management



5.7.1 PMO Confirms UAT Schedule with Member State UAT Coordinators

The PMO works with the CCB, DGB and the member state UAT Coordinators to re-review process expectations and confirm the UAT start and end dates.

5.7.2 PMO Executes Smoke Test

The PMO will execute standardized smoke tests on each release prior to notifying SAs the release package is ready for UAT to start. The smoke test should focus on key functionality within the Crossroads system to ensure that the release has not introduced any unintended errors. The PMO will develop the test scripts for the smoke test during the development phase of the project. The PMO will work with the M&E contractor to ensure the smoke test scripts are focused on the appropriate scope.

5.7.3 PMO Documents Test Results

The PMO will document its test results using the same test result templates as used by the SAs.

5.7.4 PMO Reviews Open Defects with M&E Contractor

The PMO will review all smoke test issues with the M&E contractor and determine the appropriate course of action. In order for the release to be approved for UAT, the PMO shall evaluate results of the smoke test and determine the impact of any smoke test issues on the SAs ability to execute a successful UAT. The PMO may determine that one or all issues identified during the smoke testing must be resolved by the M&E contractor before allowing UAT to proceed. It should be noted that approval to proceed from smoke testing to UAT, is not acceptance of the software on the behalf of the SAs. It is merely an interim step in the process and ultimately the results of UAT across all participating SAs will determine acceptance of the software.

5.7.5 PMO Coordinates Release Artifacts for UAT

Once the PMO completes a successful smoke test execution, they will coordinate the UAT materials for the member states to use in their UAT process. This preparation consists of identifying which test scripts are available from the M&E Contractor with this release, in addition to such deliverables as the system code, updated Detailed Functional Design documents, user manuals, installation guides, etc. The PMO moves the UAT materials to the UAT staging folder on the Crossroads Collaboration Site and notifies the member state UAT Coordinator.

5.7.6 Member States Execute UAT

Member states can have the release installed in their test environments once the PMO has sent notification that release materials are ready and available.

5.7.7 Member States Document Test Results

Member state UAT Coordinators and designated staff shall document test results as they perform their UAT. UAT coordinators shall report incremental testing results to the PMO on bi-weekly basis throughout UAT. Any defects identified during testing must have a defect ticket entered into JIRA (including software, installation process and system documentation defects). State Agency UAT coordinators should review the Halt criteria with the PMO and if the criteria are reached during UAT, may stop testing and shall report to the PMO. In addition to reaching the Halt criteria threshold, UAT coordinators shall immediately report to the PMO any defects that cause UAT to stop completely and that impact other areas of the system such that they cannot be tested while waiting for a fix. The PMO reviews defects with the M&E Contractor on a regular basis to determine if they are truly defects.

5.7.8 PMO Reviews Open Defects with M&E Contractor

The PMO and the M&E Contractor review all open defects submitted during User Acceptance Testing and determine Defect Releases as necessary. The PMO notifies the member state UAT Coordinator when defect repair releases are scheduled and what defects are planned in the release. The M&E Contractor provides the PMO release notes for each defect release to support the retest planning efforts of the member state.

5.7.9 Member States' UAT Coordinator Submit Summary Results to PMO

In addition to reporting individual defects in the defect tracking system, each member state UAT Coordinator or CCB representative shall provide a completed Release Testing Summary Report to the PMO outlining their UAT results. A copy of the template can be found on the Collaboration Site. If a SA is not going to complete UAT as per the approved project testing schedule, the UAT Coordinators shall submit an interim report at intervals determined by the PMO during the UAT planning.

5.7.10 PMO Reviews and Evaluates UAT Results from Member States

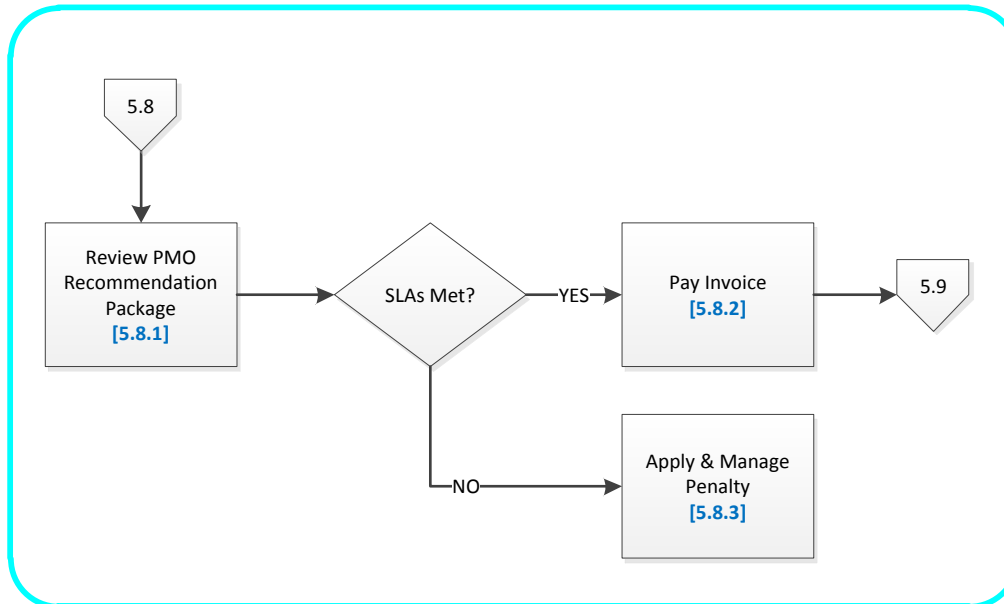
The PMO reviews all member state Release Testing Summary Reports and summarizes the results on a single Release Testing Summary Report.

5.7.11 PMO Presents Release Recommendation to the DGB

Once the PMO has consolidated all the test results into a single Release Testing Summary Report, the PMO presents to the DGB its recommendation and supporting rationale to proceed or not to proceed. Once the DGB approves the release, the PMO notifies the Contract State's contract office to begin the Service Order Acceptance process.

If the DGB does not approve the release, the PMO will negotiate further testing and/or defect repair with the M&E Contractor.

5.8 State Contract Office Service Order Acceptance



5.8.1 Review PMO Release Recommendation

Upon approval notification from the DGB, the Contract State’s contract office reviews the User Group’s Release Recommendation package. This information is compared to the contract SLAs to make a determination as to whether the M&E Contractor is performing at an appropriate level, and if the invoice should be paid.

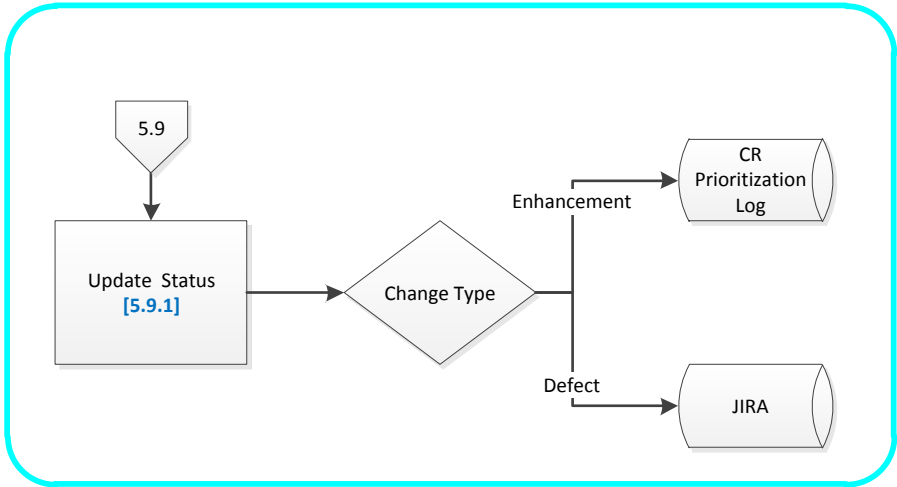
5.8.2 Pay Invoice

Once the contract administrator determines the M&E Contractor has met all of the SLAs the contract administrator approves payment for the submitted invoice. Please see the final signed M&E contract for details on payment procedures.

5.8.3 Apply & Manage Penalty

After review of the PMO release recommendation and supporting documents, the contract administrator may conclude that certain SLAs are not satisfied. If this is the case, the contract administrator may opt to apply performance remedies as defined in the contract. For additional procedural details please review the signed M&E contract document.

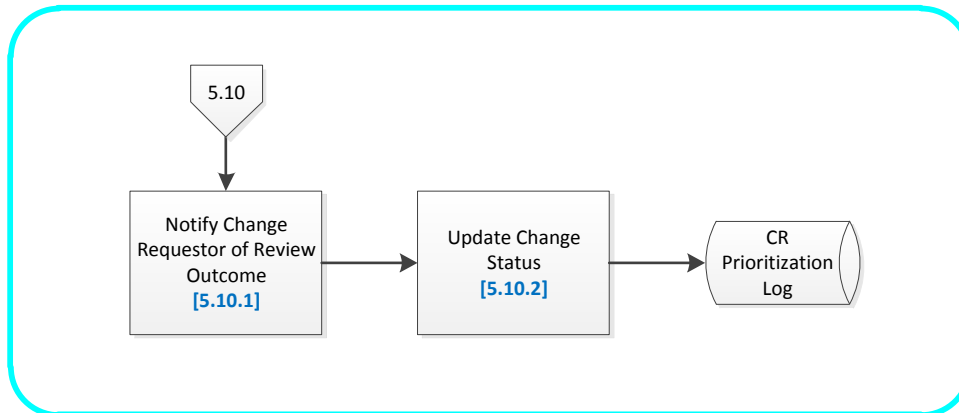
5.9 Close Change Requests and Defect Tickets



5.9.1 Update Status

Once the DGB approves a release for production, the PMO updates the status of all Change Request and Defects included in that release. Defect repairs are updated in JIRA, and Change Requests are updated in the CR Prioritization Log.

5.10 Reject/Defer Change Requests



There may be many different reasons for rejecting or deferring a Change Request, including:

- Incomplete or inaccurate documentation.
- Lack of organizational capacity and resources to include additional changes to the prescribed release schedule.
- Deferral until funding becomes available.
- Change Request likely to have minimal impact on system functionality, and/or cost likely to be unacceptable.

Change Requests can be re-submitted if the original reason for rejecting the change request has been resolved (e.g., additional documentation provided). In an effort to avoid stale data in the system, a Change Request can only be submitted three times for consideration, on the third submission the Change Request will be closed out if not approved.

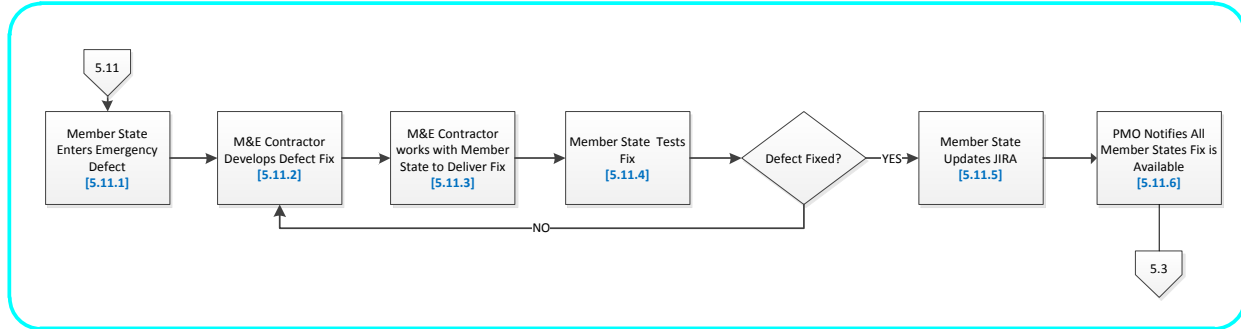
5.10.1 Notify Change Requestor of Review Outcome

The PMO documents the findings and communicates the rationale for rejecting or deferring the Change Request to the requestor. The details of the Change request review are documented on the original Crossroads User Group Change Request Form and/or in the CR Prioritization Log.

5.10.2 Update Change Status

The PMO updates the Change Request or Defect status to “Cancelled” or “Deferred” in the appropriate online log.

5.11 Emergency Change Path



The Emergency Change Path is available to member states for unplanned system and data changes. It supports the most efficient System recovery solution with minimal required reviews and approvals, while managing risk and maintaining System operational integrity. In situations where the M&E Contractor develops a new code baseline, software patch, or any other configurable component that can be posted to the Collaboration Site, the M&E Contractor must upload such items to the site and notify the PMO and reporting member state they have done so. Once the emergency fix is in place, the PMO is responsible for notifying other member states of the incident and subsequent fix. The PMO will be responsible for including the issue on the next CCB call so that the issue can then follow the Defect Assessment sub-process to determine if the emergency fix will be the best permanent fix. An emergency fix may require a data solution and not a code fix. In such a situation the fix will be made directly to the SA operational database and the work may be performed based on SA preferences (e.g., Internal IT, M&O contractor or the M&E contractor).

5.11.1 Member State Enters Emergency Defect

If a member state encounters a production down or critical incident in their production system environment and determines, in collaboration with the M&E Contractor, that the underlying cause of the incident is the software, database and/or other configurable component, the member state must enter the defect into JIRA. The member state shall also notify the PMO that they have engaged the M&E Contractor and entered an emergency defect into JIRA.

5.11.2 M&E Contractor Develops Defect Fix

The M&E Contractor works with the member state to determine the best course of action to resolve the incident. This analysis may involve developing a short-term fix (code patch, data fix, or stored procedure).

5.11.3 M&E Contractor Works with Member State to Deliver Fix

In most situations a defect fix requires the M&E Contractor to make a change to the code, database or configuration file or to develop a procedural work around. Once the M&E Contractor develops and validates a solution, they coordinate with the member state to deliver the fix via the collaboration site, and inform the PMO of the delivery.

5.11.4 Member State Tests Fix

The member state is responsible for testing the emergency defect fix in their environment. The CCB recognizes that in emergency situations there may not be sufficient resources or time to test the emergency fix. Therefore, in emergency situations, each member state must decide the appropriate level of testing before releasing the emergency build into the production environment.

5.11.5 Member State Updates JIRA

Once the emergency fix is deployed, the member state updates the defect ticket in JIRA. At this time the M&E Contractor notifies the PMO that the defect is fixed and directs them to the configurable components and documents on the collaboration site. The PMO will be responsible for including the issue on the next CCB meeting agenda so that the CCB can determine if a more permanent fix is necessary. If so, the issue will follow the Defect Assessment sub-process.

5.11.6 PMO Notifies All Member States Fix is Available

The PMO provides all member states, via their CCB member, a description of the emergency incident and the details of the subsequent fix from the M&E Contractor. Member states are not required to install emergency defect fixes.

6 Guidelines

6.1 Task Force Formation & Guidelines

The Change Control Board (CCB) may bring subject matter experts together to collaborate on business requirements and new enhancement designs for the benefit of all User Group member states. In certain situations where the Change Request requires technical expertise that does not currently reside on the CCB or because of the volume of changes, a task force may be convened made up of member state representatives and potentially USDA FNS representatives who are subject matter experts in the functionality under review. In this situation, the group is referred to as a task force, and can make recommendations to the CCB.

Task Force Guidelines:

1. Elect one task force member to provide leadership, administration, and communications of the task force objectives and status to the CCB.
2. Assign a task force member to take minutes; minutes must be technically detailed, with all decision points noted. Minutes should also be reviewed and approved by the group.
3. Provide regular updates on progress to the CCB and the PMO.
4. On the first call, establish ground rules:
 - a. Understand the objective the task force has been given.
 - b. Understand the process – A task force may be engaged at any point in the Change Control Process, from the point the CCB performs its initial Change Review, up to the point that the software is delivered by the M&E Contractor for User Acceptance Testing.

7 Glossary

The Crossroads User group has centralized all Terms and Acronyms in the Crossroads Master Glossary document, please refer to it for definitions and descriptions when reviewing this document.

8 Forms

8.1 Crossroads Change Request Form – Sample

1.0 Executive Summary

This section should provide general information on the issues surrounding the business problem and the proposed change or initiative created to address it. Usually, this section is completed last after all other sections of the business case have been written. This is because the executive summary is exactly that, a summary of the detail that is provided in subsequent sections of the document.

1.1 Change Request - [Mandatory Data On-Submission]

This section should briefly describe the business problem that the proposed change will address. This section should not describe how the problem shall be addressed, but only what the problem is.

1.2 Recommendation - [Mandatory Data On-Submission]

This section summarizes the approach for how the change will address the business problem. This section should also describe how desirable results will be achieved by moving forward with the change.

1.3 Anticipated Outcomes - [Mandatory Data On-Submission]

This section should describe the anticipated outcome if the proposed change is implemented. It should include how the change will benefit the business and describe what the end state of the change should be.

1.4 Justification – [Mandatory Data On-Submission]

This section justifies why the recommended change should be implemented and why it was selected over other alternatives. Where applicable, quantitative support should be provided and the impact of not implementing the change should also be stated.

2. Problem Definition

2.1 Problem Statement – [Optional Data On-Submission]

This section describes the business problem that this change was created to address. The problem may be process, technology, or product/service oriented. This section should not include any discussion related to the solution. Although this data is optional on submission of the change request, if you have a problem statement, please include it on submission.

3. DETAIL BUSINESS REQUIREMENTS – [Optional Data On-Submission]

This section outlines the detailed business requirements. The Change requestor shall include the business requirements. However it is recognized that as the Change Request goes through the Change Control Process and is reviewed by the PMO and CCB the business requirements may be enhanced. In fact it may be necessary to convene a task force to build out the detail requirements for a particular change request. Although this data is optional on submission of the change request, if you have detailed business requirement at this point, please include it on submission.

4. Alternatives Analysis – [Optional Data on-Submission]

All business problems may be addressed by any number of alternative changes. While the business case is the result of having selected one such option, a brief summary of considered alternatives should also be included—one of which should be the status quo, or doing nothing. The reasons for not selecting specific alternative(s) should also be included. Although this data is optional on submission of the change request, if you have completed an alternatives analysis at this point, please include it on submission.

5. IMPACT ANALYSIS - QUESTIONS

Mandatory for Change Request Initial Submission:	
1. Is this a regulatory change	
2. Is there a required implementation date?	
3. If not a regulatory change, what implementation date would your state desire?	
4. Is there a deadline for this change?	
5. What group(s) of users benefit from this change? How does the change benefit these users?	
6. Do you have funding available?	
Not Mandatory for Change Request Initial Submission:	
7. How are others (i.e. participants or vendors) directly affected by this change?	
8. What are the possible adverse side effects?	
9. What states use this functionality?	
10. What is the impact to the state(s) not planning to use this functionality?	
11. Is there any interaction with other modules or other food delivery systems?	
12. Are there other enhancement requests that are related? Could the requests be combined?	

13. Are there any currently reported defects which are related to this enhancement?	
14. Any additional expenses required? (i.e. additional equipment or software)	
15. Identify any help screens, user manuals, training materials, or other documentation that must be created or modified.	
16. Any Additional Comments	

6. Approvals

The signatures of the people below indicate an understanding in the purpose and content of this document by those signing it. By signing this document you indicate that you approve of the proposed Change Request outlined in this Change Analysis Form and that the next steps may be taken to review the Change Request in accordance with the Crossroads Change Control Process.

Approver Name	Title	Signature	Date
	Crossroads CCB Member		

<i>Crossroads Testing Summary Report</i>				
Member State:	Name	UAT Coordinator:	State UAT Coordinator Name	
Service Order #:	Number Assigned			
UAT Start Date:	Date	UAT End Date:	Date	
Testing Summary	Please provide a summary outlining how User Acceptance Testing went in your State, the types of issues encountered, did the release notes provide the necessary information, and any other lessons learned that you feel would be beneficial to share with the Crossroads User group members.			
Release Confidence Rating:	High/Medium/Low	Rating Explanation:	Please provide a short explanation for your release rating.	
Testing Statistics				
<ul style="list-style-type: none"> State Agency should report incremental testing results on bi-weekly bases throughout UAT State Agency should review the Halt criteria with the PMO and if reached during UAT, may stop testing and shall report to the PMO. 				
	# of Test Cases Executed		Total # of Test Cases	
	XXX		XXX	
What was your Pass rate?	Equals the Total # of test cases with a status of PASS <u>Divided By</u> # of Test Cases executed			
	Critical	HIGH	MEDILUM	LOW
Number of defects opened by Category:	XXX	XXX	XXX	XXX
Number of defects still open by Category:	XXX	XXX	XXX	XXX
Did you create test cases in addition to what was provided by the M&E Contractor?	Yes/No	If Yes, Please explain why:	Enter Explanation Here	
How many new test cases did you create?	XXX	Place Additional Notes Here		
How many were based on State policies?	XXX	Place Additional Notes Here		

8.2 Crossroads Testing Summary Report Form - Sample

