

U.S. Department of Education Federal Student Aid



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Lifecycle Management Methodology

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Letter from the Acting Chief Operating Officer

Federal Student Aid Project Managers and Project Stakeholders,

Last fall, when Federal Student Aid released its Five-Year Strategic Plan, FY 2011-15, we renewed our commitment to serving our customers, students and families, by striving for operational excellence. Since that time, our organization has been working to implement the different tactics to meet our goals outlined in the Strategic Plan.

The keys to achieving these strategic goals are to ensure that Federal Student Aid aligns our priorities with the investments we make in our systems and processes, develop solutions in an effective and efficient manner, all while taking a responsible and reasonable approach to managing risk. An integral part of risk management within our project execution is ensuring that Federal Student Aid implements and adheres to a common enterprise methodology for managing, tracking, and governing projects with an IT component.

Last year, Federal Student Aid implemented the Project Management Toolkit, establishing the overall framework by which all funded projects are to be delivered. Project Managers can tailor this framework to ensure effective and reasonable process requirements for project delivery.

Today, Federal Student Aid is taking further steps to ensure more effective and responsible management of projects by implementing the Lifecycle Management Methodology, or “LMM.” Effective immediately, all projects with an IT component are expected to adhere to the applicable elements and requirements of the Lifecycle Management Methodology. As a resource for any project with an IT component, the LMM adds and builds upon the standard project delivery methodology with guidance, processes, and tools that ensure appropriate and timely technology resource management throughout the project lifecycle. By having this support at logical points throughout the project, project teams can benefit from timely and effective engagement of appropriate technical resources, increasing the likelihood of avoiding unnecessary risk, costly delays, and duplications of work.

The added guidance, support, and tools that LMM brings to IT projects align with our strategic goals. I am proud to introduce the LMM and encourage you to review these methods. Together, we will work to implement these tools and processes to manage our projects that ultimately serve our customers, students and families. Thank you in advance for supporting the implementation of LMM. If you have any questions regarding LMM requirements or applicability to your project, please feel free to contact Mike Rockis at mike.rockis@ed.gov or Carole Kuriatnikova at carole.kuriatnikova@ed.gov

James Runcie
Acting Chief Operating Officer
Federal Student Aid

(Email dated June 22, 2011)

Executive Summary

The Lifecycle Management Methodology (LMM) is Federal Student Aid's (FSA) project delivery and governance methodology. All IT Projects at FSA are expected to tailor their approach to the LMM according to their project's chosen System Development Lifecycle (SDLC). While the LMM is itself not an SDLC, it does call for certain governance requirements regardless of whichever SDLC is applied to the project. Developers are expected to provide traceability of their unique SDLCs to the guidance provided by the LMM and to supplement this guidance with their own processes where appropriate.

LMM's approach to solution delivery consists of seven project stages. Depending on the size, scope and complexity of the project, some stages may be conducted iteratively. This allows for the development and delivery of solutions in smaller portions within shorter periods of time, thus emphasizing greater end user involvement. This approach offers an advantage over the single-release approach by incorporating the results of multiple rounds of user testing and acceptance of smaller, more manageable components of functionality. By involving end users throughout iterations of the lifecycle, their feedback is incorporated early and often during development, which allows the development team to take advantage of lessons learned.

The LMM focuses on delivering solution features with reasonable, evolving documentation, rather than devoting excessive amounts of time early on to comprehensive documentation that is subject to change. This minimizes the overall time and expense spent on correcting out-of-date project documentation. The intent of the LMM is not to reengineer existing processes, but rather to provide a minimum set of deliverable expectations along with a framework for aligning them.

Section 1 Introduction

1.1 Purpose

The Lifecycle Management Methodology is Federal Student Aid's project delivery and governance methodology. The LMM fosters an environment in which solution development risks are identified and mitigated early in the lifecycle. A key to accomplishing this is the engagement of end users during the development of solution iterations and subsequent resolution of relevant issues as they are identified.

The LMM intentionally does not recommend minimum sizes for project documentation and allows for the inclusion of additional documentation to accommodate solutions with varying cost, complexity, and time constraints. To keep documentation to a minimum, the LMM prescribes a sufficient number of artifacts, placing importance on the quality of the functional solution rather than on the number of documents created.

1.2 Scope

The LMM is a methodology, not a Software/System Development Lifecycle (SDLC). An SDLC is a conceptual model used in project management that describes the stages involved in an information system development project, from an initial feasibility study through maintenance of the completed application. The LMM follows certain established software engineering principles. It also establishes the criteria used to determine if it is appropriate to proceed from one stage to another.

The LMM includes four components, which apply to new IT projects:

- a Capital Planning and Investment Control (CPIC) component;
- a project management component;
- a technology management component; and
- an acquisitions component, when an acquisition is required.

An IT Project must possess all four of these characteristics:

- Is a planned endeavor with defined start and end points having the goal of creating a unique product or service;
- The unique product or service has an IT component, as defined by the Clinger-Cohen Act of 1996, section 5002;
- Has been approved by FSA's Investment Review Board or Operating Committee; and
- Has funding OR has committed FSA resources in the way of staff hours or FSA Information Technology Infrastructure.

The Lifecycle Management Methodology applies to the development, acquisition, implementation, maintenance and disposal of IT solutions within FSA regardless of cost, complexity and time constraints. It applies to all FSA employees and contractors engaged in the development, acquisition, implementation, maintenance and disposal of FSA IT solutions.

Nothing in this methodology is meant to excuse or exempt contractors from satisfying all requirements of their contracts. Even though an individual project may not have an IT component, some aspects of LMM will apply to all projects at FSA (i.e., CPIC, project management, and potentially acquisitions).

The table below lists examples of various efforts and whether the LMM would likely apply:

Table 1-1: LMM Applicability

Example	Project	IT Component	LMM Applies
Delivering a system release or series of releases; major enhancements or changes to functionality	Y	Y	Y
Upgrading key infrastructure (e.g., conversion of VDC to 64bit architecture; mainframe upgrade; TIC; etc.)	Y	Y	Y
Minor infrastructure changes (e.g., upgrading memory; “evergreening” such as upgrading WAS or upgrading Google search’s hardware and software)	Y	Y	N
Technical analysis & assessment efforts with output consisting of reports or recommendations (e.g., security “discovery” project; NSLDS technology assessment project)	Y	N	N
Development of a comprehensive acquisition strategy	Y	N	N
Staging a conference (e.g., Fall Conference)	Y	N	N
Service patches to software, maintenance packages, maintenance fixes	N	Y	N
Procurement and maintenance of software licenses	N	Y	N
Updating web content (e.g., IFAP postings; updating IT Standards Library)	N	N	N

After the IRB approves a project and resource allocation is planned, the LMM Tailoring Team will conduct a technical discussion based on the IRB’s / OC’s decision minutes to come to a consensus as to whether this new project will follow the LMM. If the consensus is yes, the LMM Tailoring Team will send an email to the project’s IPT Project Managers outlining the requirements of the LMM along with any other supplemental information.

1.3 Intended Audience

The table below identifies the target users of the Lifecycle Management Methodology, the sections of the document most relevant for each user type, and how users may apply the guidance.

Table 1-2: Intended Audience and Document Uses

Users	Sections	Uses
<ul style="list-style-type: none"> • Integrated Project Teams • Subject Matter Experts • All project stakeholders 	Section 2	Provides an overview of the LMM stages and the respective artifacts and processes.
<ul style="list-style-type: none"> • Integrated Project Teams 	Section 3	Provides guidance on how the Integrated Project Team should approach the LMM Tailoring process.
<ul style="list-style-type: none"> • Integrated Project Teams 	Appendix C	Provides some guidance on how project teams can apply their SDLC while appropriately following the LMM.

1.4 Document Organization

This document contains the following sections:

Executive Summary: Provides a high-level description of the document's purpose, scope and intended use.

Section 1– Introduction: Provides a detailed description of the document's purpose and scope, intended audience, as well as reference information.

Section 2 – Lifecycle Management Methodology Overview: This section provides a high level overview of the methodology and a detailed look at the seven stages of the LMM.

Section 3 – Tailoring Your Project: This section describes the process for tailoring your project to ensure proper documentation during the system development lifecycle.

Appendix A – Acronyms

Appendix B – Glossary

Appendix C – SDLC / LMM Engagement and Tailoring Strategies: A general guide that outlines the LMM strategies appropriate to specific SDLC approaches.

Appendix D – LMM Overview and Artifacts Slides: This appendix includes blow-ups of the LMM overview from a single and multiple release perspective along with artifacts by stage view.

Appendix E – LMM Artifacts Summary: Lists out the templates, guidance, and exemplars contained within all artifact packages as well as the points-of-contact.

1.5 LMM Stakeholder Roles and Responsibilities

The table below features a list of relevant stakeholders and presents a high-level summary of their roles vis-à-vis the LMM. A detailed description of the roles and responsibilities for each group is featured directly after the table.

Table 1-3: Stakeholder Roles and Responsibilities

Stakeholders	Roles and Responsibilities
<p>Engineering Review Board (ERB)</p>	<p>A body of FSA Technology Office Executives and Directors that oversees the progress of FSA IT Projects. The ERB is particularly critical to Technical Review Stage Gates 1A and 1B.</p>
<p>Integrated Project Team (IPT)</p> <p>Core Team Composition</p> <ul style="list-style-type: none"> • Senior Project Manager • IT Project Manager • Business Project Manager • Contract Officer <p>Extended Team Composition</p> <ul style="list-style-type: none"> • Business Application Representative • Configuration Management • Design • Enterprise Architecture • Infrastructure • Requirements • Security • Subject Matter Experts • Testing 	<p>A cross-functional team consisting of individuals from the organization who are responsible for delivering a specific product such as software or a system release, and ensure project LMM compliance is planned, scheduled and maintained.</p> <p>In the context of this document (and FSA generally), the IPT Core Team would include individuals committed to working together on the day-to-day activities of the project. In the case of Tier 1 projects, these individuals may be assigned full time to the project. This would include a Senior PM, an IT PM from the Technology Office, a Business PM and a Contract Officer. Normally, the Senior PM coordinates and presents at Management Review Stage Gates and the IT PM coordinates and presents at Technical Review Stage Gates.</p> <p>The Extended Team would include, but is not limited to, the Core Team, business application representatives, SMEs, security, testing, contractors, programmers and others who are not assigned full time but work closely with the team during all stages of the project.</p> <p>The TO QA Team is not included on the Extended Team because they interact with the project at key points throughout the lifecycle but not on a day-to-day basis even though they are involved during all stages of the project.</p>
<p>Investment Review Board (IRB)</p>	<p>Renders go / no-go decision for project at the Management Review Stage Gates. Has final authority over project funding and disposition.</p>

Stakeholders	Roles and Responsibilities
<p>LMM Tailoring Team</p> <ul style="list-style-type: none"> • Quality Assurance • Enterprise Program and Project Management and Oversight (Group) • Technology Office Project Management Office 	<p>Assists new project teams tailoring LMM compliance expectations based on project size, scope and complexity. Validate LMM compliance expectations are established early for new project planning, are documented and are updated as the project progresses. As needed, the SMEs will provide guidance in the development of the LMM Tailoring Plan.</p> <p>Once the LMM Tailoring Plan is developed, the IPT submits the Plan to the LMM Tailoring Team for review and acceptance. Changes to the accepted plan should also be submitted to the LMM Tailoring Team using the LMM mailbox at LMM@ed.gov.</p>
LMM Team	The LMM Team manages the LMM for the enterprise.
Project Sponsor	Ensures project remains in accordance with the objectives of Federal Student Aid, provides support for project among executives and stakeholders and presents investment to IRB.
Stage Gate Review Process Owner	Provides expertise in their respective area of knowledge regarding Stage Gate design and objectives. They are responsible for defining the process and communicating what activities are required to ensure successful progression through the Stage Gate.
Steering Committee	Executes detailed review of projects artifacts and overall project status during the three Management Review Stage Gates.
<p>Subject Matter Expert (SME) (including but not limited to the following areas of expertise)</p> <ul style="list-style-type: none"> • Acquisitions • Business Analysis/ Requirements Mgmt • Configuration Mgmt • Enterprise Architecture • Infrastructure • Project Management • Quality Assurance • Security • Solution Architecture/ Design • Testing 	Provides expertise, guidance and support in their respective area of knowledge to IPTs.
Technical Review Stage Gate Review Body	Execute detailed review of project artifacts and overall project status during the Technical Review Stage Gates.

In an iterative development environment, review bodies will participate in an initial review. Their participation regarding subsequent reviews during future iterations will be on a case-by-case-basis according to the needs and characteristics of the project.

1.5.1 Engineering Review Board

The Engineering Review Board (ERB) is a body of FSA Technology Office Executives and Directors that oversees the progress of FSA IT Projects. The ERB is particularly critical to Technical Review Stage Gates 1A and 1B since the ERB receives the stage report / analysis from the Technical Review Stage Gate Review Body and makes a determination as to whether the project should continue. For more detail on the ERB, see the LMM Stage Gate Review Process Description document.

1.5.2 Integrated Project Team

A cross-functional team consisting of individuals from the organization who are responsible for delivering a specific product (such as software, a system release, or process improvement) or service (such as a training program or externally hosted system) and ensure project LMM compliance is planned, scheduled and maintained.

PMs, including the Senior PM, the IT PM, the Business PM, and the acquisitions contract officer or specialist, if applicable, collectively form the IPT Core Team. The Core Team is responsible for working together to manage the day-to-day activities of the project. Members of the Core Team are expected to clearly and unambiguously identify roles and responsibilities for the Core and Extended Teams at the start of the project. The Senior PM is responsible for coordinating the Management Review Stage Gate activities and briefing on behalf of the IPT at the review. The IT PM is responsible for working with the Stage Gate Process Owners and the IPT to develop a recommendation for the completion of the review, identifying the composition of the review team, coordinating the Technical Review Stage Gate activities and briefing on behalf of the IPT at the review.

A key role of the IPT is to schedule and coordinate the Stage Gate Reviews. This role includes ensuring a balanced review occurs using the correct mix of subject matter expertise. The IPT should consider multiple discussions and meetings, if necessary, in advance of and during the review to clarify issues and facilitate a successful review that concludes with the Stage Gate Meeting.

The Extended Team would include, but is not limited to, the Core Team, business application representatives, SMEs, security, testing, contractors, programmers and others who are not assigned full time but work closely with the team during all stages of the project.

IPTs are also expected to work collaboratively and participate in meetings for critical aspects of the LMM process including Tailoring and Stage Gates.

1.5.3 Investment Review Board

The Investment Review Board (IRB) approves, tracks, and reports on projects within FSA's project portfolio. The IRB is critical to the LMM because the IRB is the body that has final

authority over project funding and disposition. For more detail on the ERB, see the LMM Stage Gate Review Process Description document.

1.5.4 Subject Matter Expert

Subject Matter Experts (SMEs) provide the core IPT with updated templates, exemplars, and guidance documents according to the predetermined update schedule. They also provide guidance to project teams relevant to the SME's area of expertise. Before the Project Manager submits artifacts for official Stage Gate review, SMEs review the artifacts and provide feedback. When requested, SMEs can render project-specific analysis and expertise to the various review bodies.

1.5.5 LMM Tailoring Team

The LMM Tailoring Team consists of representatives from FSA Enterprise Program and Project Management and Oversight Group (ePMO), TO QA Group, and the TO Project Management Office (PMO). The LMM tailoring team will help PMs tailor their specific project to the LMM in a manner that best ensures the success of the project. As needed, the SMEs will provide guidance in the development of the LMM Tailoring Plan.

1.5.6 Project Sponsor

The Project Sponsor identifies a business need and is ultimately accountable for realizing the Business Case. The Project Sponsor presents at the FSA IRB and provides support for the project among executives and stakeholders. This position identifies Business and Technical leads to develop a risk profile, define and approve a project charter and establish a Business Case. The Sponsor also ensures project remains in accordance with FSA objectives.

1.5.7 Stage Gate Review Process Owner

Provide expertise, guidance and support in their respective area of knowledge to the IPTs. Stage Gate Review Process Owners are also responsible for defining the process and communicating what activities are required to ensure the IPT meets objectives resulting in the successful progression through the Stage Gate.

1.5.8 Steering Committee

The Steering Committee is the review body that performs project assessments at Management Review Stage Gates 1, 2, and 3. This Review Body will be responsible for assuring that all project artifacts submitted by the IPT at the respective Stage Gates are accurate, assess whether or not the project continues to provide value to FSA, and make a recommendation via the Executive Sponsor and the Senior PM to the IRB regarding the future of the project.

1.5.9 Subject Matter Experts

Subject Matter Experts (SMEs) are critical to the LMM and the success of FSA Projects. As part of the LMM initiative, SMEs are process owners for their area of expertise. While serving in a key advisory role to the enterprise, SMEs are not typically members of the IPT Core or Extended Teams and perform the following:

- Provide updated templates, exemplars, and guidance documents according to the Document Configuration Management update process and schedule.
- Answer questions, and provide expert advice, assessment and guidance to IPTs during preparation for the Tailoring and Stage Gate Reviews.
- Work with IPTs to schedule reviews so that qualified resources are available. As a follow up to the Tailoring Meeting and an input to the Stage Gate Review Meetings, PMs may request a SME quality review to validate that artifacts meet minimum expectations and are technically adequate to support the next lifecycle stage.
- While the LMM ideal state is 100% review, at a minimum, compliance reviews consist of verifying the proper template was used to create a work product; verifying reasonable (based on professional judgment and Project Tier) levels of detail are captured by a work product; and applying a sampling approach to validate work product.
- May be requested to participate in Tailoring, ERB, IRB or Stage Gate Review meetings.
- Enter feedback into the Lessons Learned Database.
- Support LMM training by reviewing and commenting on curricula or materials and participating in training delivery.
- Escalate concerns related to unresolved and exceptional risk through the SMEs Director and ERB to the IRB.

1.5.10 Technical Review Stage Gate Review Body

The Technical Review Stage Gate Review Body performs project assessments in support of Technical Review Stage Gates. As a part of the assessment, the Technical Review Stage Gate Review Body evaluates risks based on a review of project artifacts submitted by the IPT, determinates whether or not the project is technically sound, and makes a recommendation for continuation into the next stage; for remediation; or in some cases may refer the project to the IRB for assessment, remediation or for termination. The composition of the body will be different for each Stage Gate depending upon the expertise required.

1.6 Authorization and Foundation

LMM is supported by Federal and Department regulations and policies. LMM's methods and processes incorporate the best practices as defined in the United States Chief Information Officer's *25 Point Implementation Plan to Reform Federal Information Technology Management*¹. The LMM also incorporates many industry best practices and seeks to satisfy *Strategic Goal C* of the *FSA FY2011-2015 Five Year Plan*²: "Develop efficient processes and effective capabilities that are among the best in the private and public sectors."

The Department of Education's LCM Directive³ provides a baseline for all solution acquisitions across the Department. ED's LCM provides the framework to be used from the beginning stages of Planning through to Retirement. The LCM allows employees and contractors the flexibility to tailor these standard procedures to meet specific needs, but Federal Student Aid will not unilaterally change the LCM.

FSA has developed and implemented the Lifecycle Management Methodology so that it aligns with the LCM Framework. The LMM allows FSA to give specific guidance to development projects while also meeting the requirements of the LCM Framework. Development organizations are expected to fully trace their individual SDLC processes and deliverables to support the LMM where appropriate.

The following are links to Federal regulations and policies that support the use and implementation of the LMM approach:

1. [Clinger-Cohen Act of 1996 \(Clinger-Cohen Act\)](#);
2. [Office of Management and Budget \(OMB\) Circular A-123](#)
3. [OMB Circular A-130](#)
4. [U.S. Department of Education Investment Review Board Charter](#)
5. [U. S. Department of Education Lifecycle Management \(LCM\) Framework](#)

1.7 References and Related Documents

1.7.1 LMM SharePoint Site

<https://fsa.share.ed.gov/lmm/>

The SharePoint site provides project managers and other LMM stakeholders with a central location providing the latest and most up to date LMM artifacts (templates, exemplars) and associated guidance documents.

1.7.2 Documents

¹ 25 Point Implementation Plan to Reform Federal Information Technology Management, The White House, US Chief Information Officer, December 9, 2010 <http://www.cio.gov/documents/25-Point-Implementation-Plan-to-Reform-Federal%20IT.pdf>

² FSA FY2011-2015 Five Year Plan, <https://mystartingline.ed.gov/wps/wcm/connect/content/employee/library/5ysp.pdf>

³ Administrative Communications Systems, Departmental Directive OCIO: 1-106, July 16, 2010, http://connected.ed.gov/doc_img/acs_ocio_1_106.doc

The documents below are appropriate references for the Lifecycle Management Methodology:

- Lifecycle Management Methodology Stage Gate Process Description (see https://fsa.share.ed.gov/lmm/Library/FSA_TOQA_PROC_STGRW.NA_001_LMM%20Stage%20Gate%20Review%20Process%20Description.pdf)
- Lifecycle Management Methodology Tailoring Process Guide (see https://fsa.share.ed.gov/lmm/Library/FSA_TO_PROC_LMM.NA_001_LMM%20Tailoring%20Process%20Guide.pdf)

1.7.3 Contact Information

The LMM Team can be reached by sending an email to LMM@ed.gov.

Section 2 Lifecycle Management Methodology

2.1 LMM Overview

FSA’s Lifecycle Management Methodology is designed to organize the typically large solution development process into stages that will be easier to manage and understand. The image below provides an overview of the stages of the LMM and the high-level activities that take place in each stage. See Appendix D for a larger version.

For simplicity of concept, the figure below illustrates a single release; however, it cannot cover the complexities of every conceivable SDLC approach, so it is only an example of one possible approach. In addition, how the IPT will implement the LMM will be based on the final Tailoring Plan, so one should note that there is a potential release of functionality after each build/test iteration. To see an example of what a more detailed, iterative approach might look like, see Appendix D. Appendix C provides examples of how the unique characteristics of various SDLCs may manifest themselves and how the LMM is structured to respond.

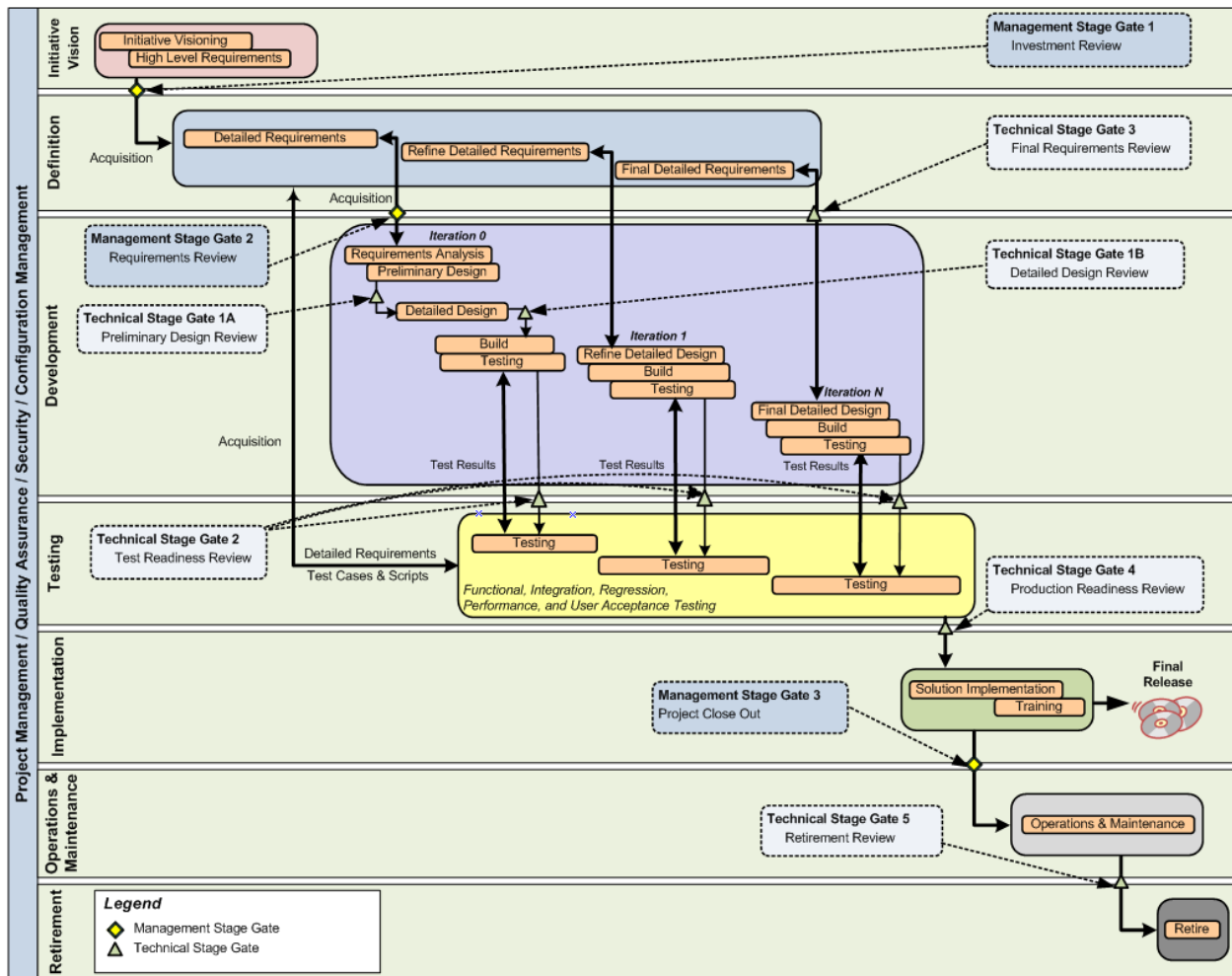


Figure 2-1: Lifecycle Management Methodology Overview

There are seven stages that take place during the lifecycle, beginning with Initiative Vision and ending with Retirement. During the development lifecycle, multiple activities take place during each stage, which are indicated in orange in the figure above.

LMM promotes an iterative development lifecycle where Definition, Development and Testing stages repeat until the developed solution fulfills end user requirements. Ideally, more easily managed solutions are developed according to requirements in a shorter time frame, bringing functionality to the end user more quickly.

LMM provides various Federal controls to support Project Managers in their efforts to monitor, report, and direct the delivery of project work packages. Some examples include: stage gates, an enterprise work breakdown structure (WBS), a project management toolkit, templates, guidance documents, exemplars, and tailoring plans.

The LMM governance process consists of eight, general steps as outlined below:

Step	Description
1	Create an LMM Tailoring Plan for the project. Using the guidance in the LMM Tailoring Plan Document, ensure that all artifacts and stage gates are addressed so that the team can refer to this document as it begins more detailed project planning.
2	Initiate discussions with SMEs and Stage Gate Process Owners to ensure draft Tailoring decisions are fully coordinated and decisions are reflected in the final Tailoring Plan submitted for approval.
3	Send the final Tailoring Plan to the LMM Tailoring Team via the LMM mailbox. Following approval, the Tailoring Plan will be posted on EEBC and a communication will be sent to the PM.
4	Ensure the project schedule reflects agreed upon Tailoring Plan artifacts and Stage Gates.
5	Prepare for Stage Gate Reviews working with Stage Gate Review Process Owners, the IPT and SMEs.
6	Prepare for the Stage Gate Review Meeting.
7	Participate in the Stage Gate Review Meeting.
8	Perform post Stage Gate Review follow-up.

2.2 LMM Artifacts Overview

Figure 2-2 below depicts the list of artifacts and maps their relevance to the specific lifecycle stages. The applicability of these artifacts to IT projects is discussed in Section 3: Tailoring IT Projects. It is important to note that some templates have a prescribed format that must be followed regardless of who completes it, internal or external to FSA.

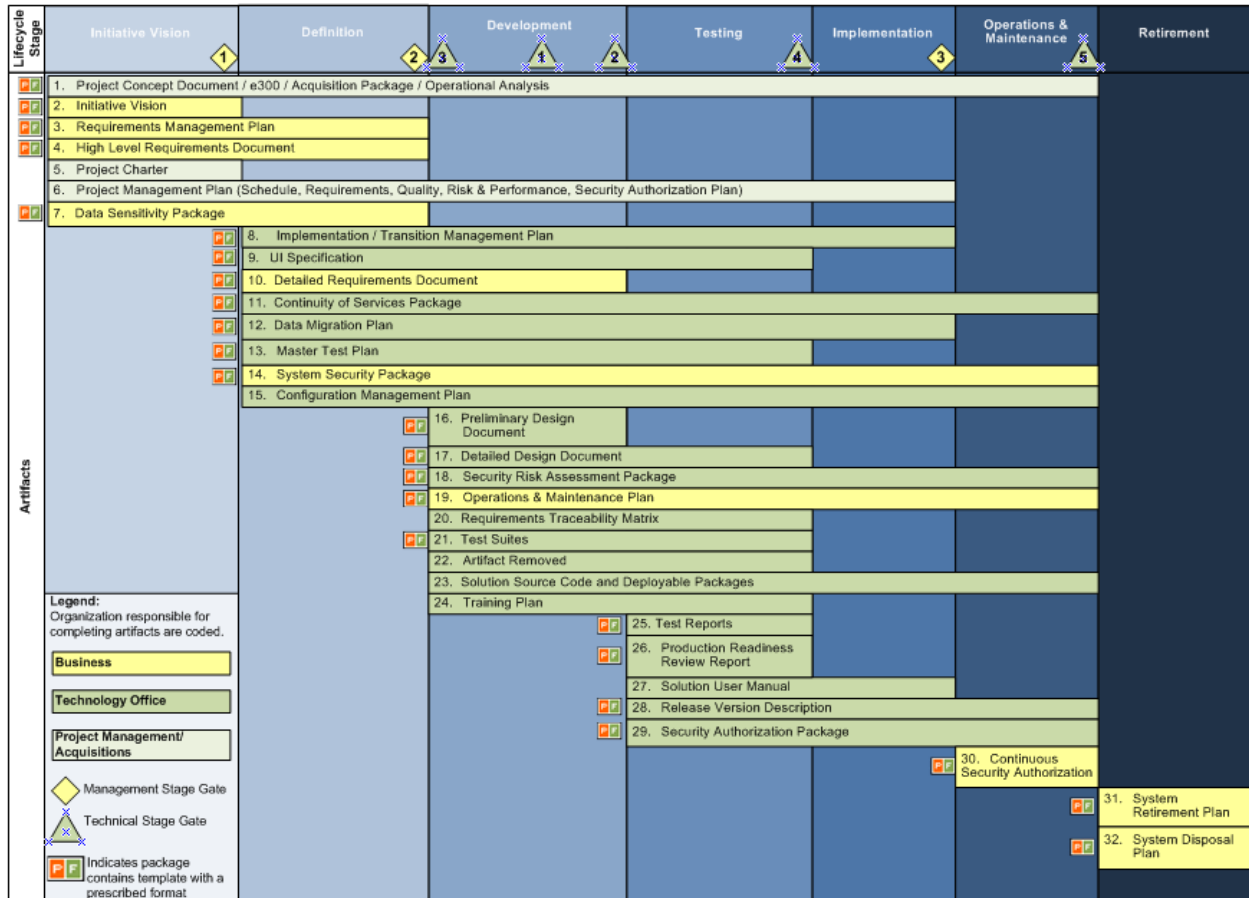


Figure 2-2: Lifecycle Management Methodology Artifacts

For a summary of the artifacts, see Appendix E. For specific information regarding each artifact, go to <https://fsa.share.ed.gov/lmm/>.

The activities and deliverables associated with the seven LMM stages comply with standards and processes defined by FSA’s Enterprise Program Management Oversight (EPMO) Group and Technology Office (TO).

2.3 Stage Gate Overview

The Lifecycle Management Methodology approach to solution development consists of multiple project stages, some completed iteratively. At the conclusion of each stage are established controls, called stage gates, which help ensure the project does not advance to the next stage of the project until the IPT, SMEs, stage gate process owners, and relevant governing bodies are satisfied the investment will support and add value to FSA’s mission, technical flaws have been avoided, identified risks have been mitigated, the system will perform as planned, and both the

project and system adhere to all appropriate regulations and standards. For more detail on the ERB, see the LMM Stage Gate Review Process Description document.

Stage Gates are separated into two types, depending upon function:

- **Management Review Stage Gate:** Governance review process to minimize project risks and ensure the proper initial Investment, Requirements, and Project Close Out Reviews occur. The Investment Review ensures projects are only approved to begin if they are supported by a strong business case and support mission critical change. Requirements Review ensures project development only moves forward after sufficient requirements have been gathered and documented from business owners and future end users. Project Close Out Review ensures no project is closed without proof of sufficient documentation, and the assurance that all lifecycle development steps and activities have been completed.
- **Technical Review Stage Gate:** Governance review process to minimize project risks and ensure the proper Design, Testing, Requirements, and Production Readiness and Retirement and Disposal Reviews occur. These reviews challenge the IPTs to examine project documentation, design and functionality of the solution and ensure the project technical solution is aligned with the enterprise target state vision and architecture and are developed to meet the end user requirements as defined and approved.

For a detailed description and process flow of each of the management and Technical Review Stage Gates, see the [LMM Stage Gate Review Process Description](#) supplemental.

2.4 Initiative Vision Stage

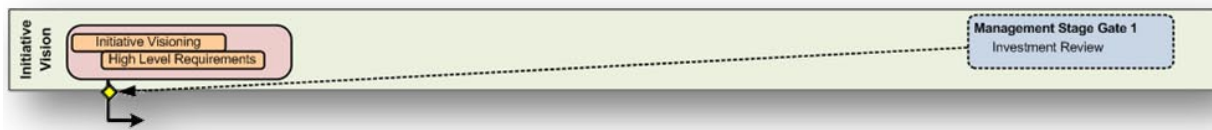


Figure 2-3: Initiative Vision Stage

Solution development begins in the *Initiative Vision* stage, which establishes project objectives, purpose, scope and high level requirements. An integrated project team (IPT) consisting of all stakeholders is established at the beginning of this stage. Each member of the team should have a clear understanding of project objectives, purpose, scope and their responsibilities for achieving them throughout the lifecycle. The general capabilities that stakeholders need and want from the ultimate solution are elicited during visioning and captured in the form of prioritized high level requirements.

2.4.1 Key Activities of the Initiative Vision Stage

- Conduct Initiative Visioning
- Develop High Level Requirements
- Plan Project Iterations
- Plan Acquisition(s)
- Conduct High-level Evaluation of Requirements

- Create LMM Tailoring Plan
- Review related lessons learned in the Lessons Learned Database (LLDB)
- Collect new lessons learned and publish to the LLDB

Table 2-1: Artifacts Related to the Initiative Vision Stage

New Artifacts	Updated Artifacts
<ul style="list-style-type: none"> • Project Concept Document / Exhibit 300 / Acquisition Package / Operational Analysis • Initiative Vision Document • Requirements Management Plan • High Level Requirements Document • Project Charter • Project Management Plan • Data Sensitivity Package 	<ul style="list-style-type: none"> • None

2.4.2 Initiative Vision Stage Decision Point

Management Review Stage Gate 1: Investment Review

The Investment Review Board (IRB) reviews the Initiative Vision and High Level Requirements artifacts, then either approves or rejects the project. Receiving approval to proceed to the *Definition* stage signals successful completion of this Stage Gate.

2.5 Definition Stage

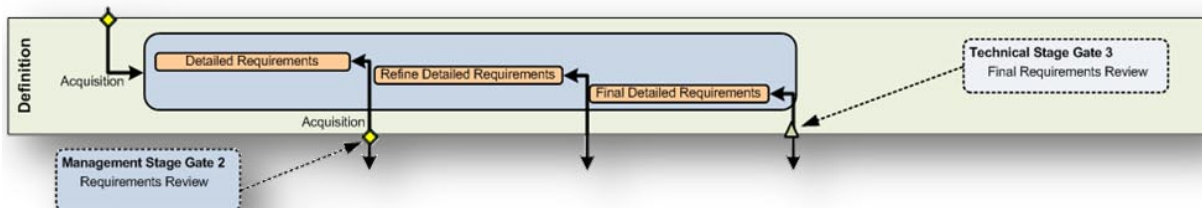


Figure 2-4: Definition Stage

In the *Definition* stage, the team develops detailed requirements based on the objectives, purpose, scope and high level requirements documented in Initiative Vision. The number of iterations required to complete a project is determined during Definition, and all mandatory regulatory requirements such as Security, Section 508 and IPv6 compliance are added to the detailed requirements documentation. A minimum of two iterations will be necessary to realize the benefits of an iterative approach.

In the first iteration, *Definition* is immediately followed by *Development* and *Testing*. In subsequent iterations, the definition stage allows users to modify requirements as necessary based on the results of testing. This promotes the incremental enhancement of solution capabilities and improvement to quality.

2.5.1 Key Activities of the Definition Stage

- Review and amend LMM Tailoring Plan (if necessary)
- Plan Project Iterations
- Detailed Requirements Elicitation
- Identify IT Infrastructure
- Plan/Conduct Acquisition(s)
- Review related lessons learned in the Lessons Learned Database (LLDB)
- Collect new lessons learned and publish to the LLDB

Table 2-2: Artifacts Related to the Definition Stage

New Artifacts	Updated Artifacts
<ul style="list-style-type: none"> • Implementation/Transition Management Plan • User Interface (UI) Specification • Detailed Requirements Document • Continuity of Services Package • Data Migration Plan • Master Test Plan • System Security Package • Configuration Management Plan 	<ul style="list-style-type: none"> • Project Concept Document / Exhibit 300 / Acquisition Package / Operational Analysis • Requirements Management Plan • High Level Requirements Document • Project Management Plan • Data Sensitivity Package

2.5.2 Definition Stage Decision Points

Management Review Stage Gate 2: Requirements Review

Drafts of the representative artifacts mentioned above are produced and delivered to the stakeholders for review after the first requirements iteration. These artifacts are subject to change in the following iterations.

Technical Review Stage Gate 3: Final Requirements Review

Stakeholder review and finalize the Detailed Requirements at this review.

2.6 Development Stage

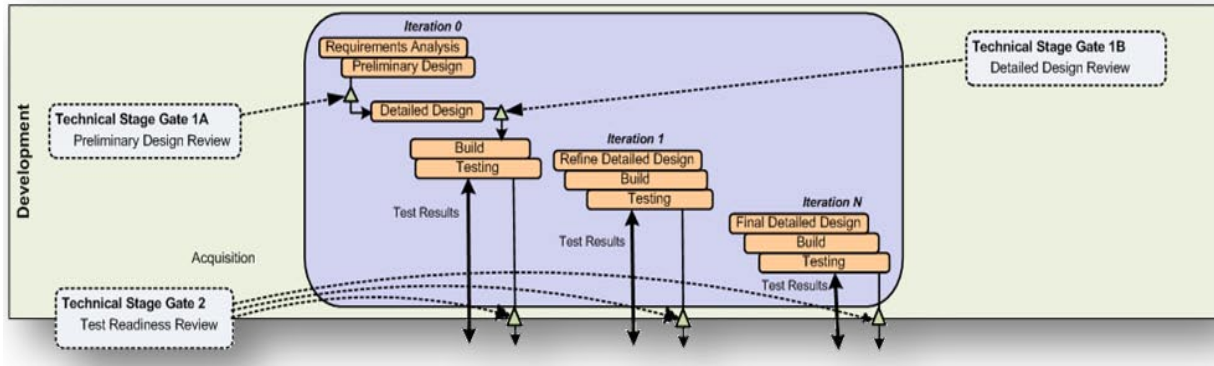


Figure 2-5: Development Stage

The *Development* stage activities consist of designing, building, testing and performing revisions and rebuilding or modifying the solution during subsequent iterations. All artifacts produced during this stage will be refined in subsequent iterations. Documents are finalized prior to commencement of the Implementation stage.

The approved *Detailed Requirements* document serves as the basis for development of the *Preliminary Design Document* and *Detailed Design Document*. All pertinent stakeholders thoroughly review these design documents, the output of which is an approved *Detailed Design* as a result of the *Technical Review Stage Gate 1B*. The validated *Detailed Design* is used to complete the first Build step, during which developers create actual functionality for the first iteration of the solution.

The team that completes the build ties progress towards the functionality of the ultimate solution by completing a *Requirements Traceability Matrix*. Preliminary testing ensures that the iteration performs according to the *Detailed Design* before the project approaches the second *Technical Review Stage Gate*.

2.6.1 Key Activities of the Development Stage

- Review and amend LMM Tailoring Plan (if necessary)
- Analyze Requirements
- Design, Build, & Test Solution
- Develop Requirements Traceability Matrix
- Review Code
- Administer Acquisition(s)
- Review related lessons learned in the Lessons Learned Database (LLDB)
- Collect new lessons learned and publish to the LLDB

Table 2-3: Artifacts Related to the Development Stage

New Artifacts	Updated Artifacts
<ul style="list-style-type: none"> • Preliminary Design Document 	<ul style="list-style-type: none"> • Project Concept Document / Exhibit 300 / Acquisition Package / Operational Analysis

New Artifacts	Updated Artifacts
<ul style="list-style-type: none"> • Detailed Design Document • Security Risk Assessment Package • Operations & Maintenance Plan • Requirements Traceability Matrix • Test Suites • Iteration Status Report • Solution Source Code and Deployable Packages • Training Plan 	<ul style="list-style-type: none"> • Project Management Plan • Implementation / Transition Management Plan • UI Specification • Detailed Requirements Document • Continuity of Services Package • Data Migration Plan • Master Test Plan • System Security Package • Configuration Management Plan

2.6.2 Development Stage Decision Points

Technical Review Stage Gate 1A: Preliminary Design Review

Requirements analysis is followed by the creation of a preliminary technical design, which is submitted for review. After the Preliminary Design Document is finalized, the Technology Office will field a technical team to conduct a Technical Quality Control (TQC). The results of the TQC will be provided to the ERB for review and determination to proceed.

Technical Review Stage Gate 1B: Detailed Design Review

After a detailed technical design has been created, the team is ready to submit the project to *Detailed Design* review, again by the ERB. This review ensures that the solution is ready to be built. Further development of the solution is continued after the design, including stakeholder inputs. If required, the design is revisited before passing this Stage Gate.

Technical Review Stage Gate 2: Test Readiness Review

Once the solution has been built and gone through preliminary testing, it is ready for *Test Readiness Review*, where the Requirements Traceability Matrix and build are reviewed. The project may not proceed to the Testing stage until it has successfully passed through *Test Readiness Review*. At this point, the first iteration of Solution Development is complete and the build is handed over to the testing team.

2.7 Testing Stage

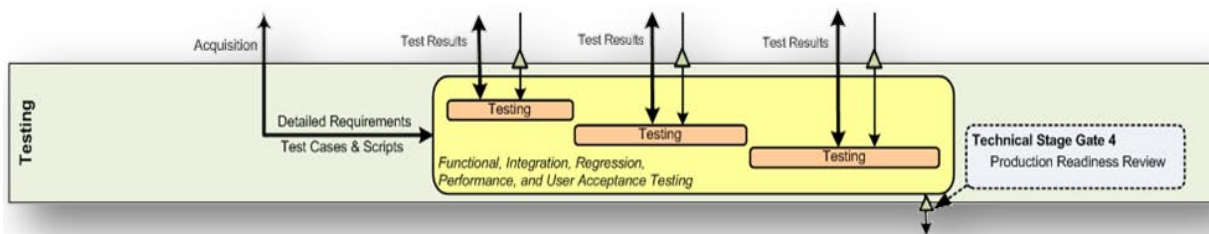


Figure 2-6: Testing Stage

The *Testing* stage activities consist of performing functional integration and performance testing. This process is repeated until the solution is determined to be ready for deployment at *Technical*

Review Stage Gate 4 – Production Readiness Review (PRR). The results of the *Testing* stage can drive changes to the detailed requirements of the solution back in the *Definition* stage, which are then incorporated into another iteration of the solution in the *Development* stage.

The results of functional and unit testing obtained from the *Development* stage are the baseline for further functional, regression, and performance testing activities that take place during the *Testing* stage. Any additional requirements that are identified by users and developers throughout *Testing* are included for consideration during subsequent iterations in order to improve the quality of the solution.

Inter-system and user acceptance testing are performed during final iterations. During the final testing iteration, all supporting solution development documentation from previous stages is reviewed and updated. Once final testing has concluded, the solution is released in the *Implementation* stage.

2.7.1 Key Activities of the Testing Stage

- Review and amend LMM Tailoring Plan (if necessary)
- Iterative Testing
- Functional, Integration, Regression, Performance, & User Acceptance Testing after the final iteration
- Security Reviews, Quality Assurance (QA) Testing, and Certification & Accreditation (C&A) Testing
- Review related lessons learned in the Lessons Learned Database (LLDB)
- Collect new lessons learned and publish to the LLDB

Table 2-4: Artifacts Related to the Testing Stage

New Artifacts	Updated Artifacts
<ul style="list-style-type: none"> • Test Reports • Production Readiness Review Report • Solution User Manual • Release Version Description • Security Authorization Package 	<ul style="list-style-type: none"> • Project Concept Document / Exhibit 300 / Acquisition Package / Operational Analysis • Project Management Plan • Implementation / Transition Management Plan • UI Specification • Continuity of Services Package • Data Migration Plan • System Security Package • Configuration Management Plan • Detailed Design Document • Security Risk Assessment Package • Operations & Maintenance Plan • Requirements Traceability Matrix • Test Suites • Iteration Status Report • Solution Source Code and Deployable Packages • Training Plan • Master Test Plan

2.7.2 Testing Stage Decision Point

Technical Review Stage Gate 4: Production Readiness Review

All final artifacts are reviewed at this point. The decision is made for the solution to be implemented as-is or the project team may be requested to follow-up or make changes before the PPR is signed-off.

2.8 Implementation Stage



Figure 2-7: Implementation Stage

Once the solution has gone live it enters the Implementation stage, which consists of conducting security reviews, implementing the solution and training end users. During this stage, the solution is closely monitored to ensure that it functions properly and truly meets the needs of the

stakeholders. The post implementation verification, final IV&V, and project close-out assessment (*Management Review Stage Gate 3*) serve as barometers ensuring that the solution is working properly before the project enters the *Operations & Maintenance* stage.

During *Implementation*, the *Training Plan* is employed to familiarize all end users with the new or enhanced operational solution. The solution software is installed in the production environment and made available with real data, whereupon trained users begin actively using the solution. All the solution development supporting documents are finalized during this stage.

2.8.1 Key Activities of the Implementation Stage

- Review and amend LMM Tailoring Plan (if necessary)
- Obtain Program and Technical Review
- Deploy Solution
- Review related lessons learned in the Lessons Learned Database (LLDB)
- Collect new lessons learned and publish to the LLDB

Table 2-5: Artifacts Related to the Implementation Stage

New Artifacts	Updated or Finalized Artifacts
<ul style="list-style-type: none"> • None 	<ul style="list-style-type: none"> • Project Concept Document / Exhibit 300 / Acquisition Package / Operational Analysis • Project Management Plan • Implementation / Transition Management Plan • Continuity of Services Package • System Security Package • Configuration Management Plan • Security Risk Assessment Package • Operations & Maintenance Plan • Solution Source Code and Deployable Packages • Solution User Manual • Release Version Description • Security Authorization Package • Test Suites • User Interface Specifications • Data Migration Plan • Detailed Design Document • Requirements Traceability Matrix • Training Plan

New Artifacts	Updated or Finalized Artifacts
	<ul style="list-style-type: none"> • Test Reports

2.8.2 Implementation Stage Decision Point

Management Review Stage Gate 3: Project Close-Out

Live batch testing is performed then project close-out activities are performed.

2.9 Operations and Maintenance Stage



Figure 2-8: Operations and Maintenance Stage

The purpose of the *Operations and Maintenance* stage is to ensure reliable operation of the solution after *Implementation*, perform scheduled and ad-hoc maintenance, and implement necessary enhancements.

Solution changes or enhancements, depending on their magnitude, may require new deliverables rather than updates to existing artifacts. The Enterprise Operational Change Management (EOCM) group performs an impact analysis prior to any production environment changes. All major changes to the solution should go through all Technical Review Stage Gates.

2.9.1 Key Activities of the Operations and Maintenance Stage

- Review and amend LMM Tailoring Plan (if necessary)
- Operate and manage solution
- Evaluate and enhance operations
- Conduct annual contract review
- Conduct Post Implementation Review (PIR), as necessary
- Review related lessons learned in the Lessons Learned Database (LLDB)
- Collect new lessons learned and publish to the LLDB

Table 2-6: Artifacts Related to the Operations and Maintenance Stage

New Artifacts	Updated Artifacts
<ul style="list-style-type: none"> • None 	<ul style="list-style-type: none"> • Project Concept Document / Exhibit 300 / Acquisition Package / Operational Analysis • Continuity of Services Package • System Security Package • Configuration Management Plan • Security Risk Assessment Package

New Artifacts	Updated Artifacts
	<ul style="list-style-type: none"> • Operations & Maintenance Plan • Solution Source Code and Deployable Packages • Release Version Description • Security Authorization Package • Continuous Security Authorization

2.10 Retirement Stage



Figure 2-9: Retirement Stage

Retirement is the final LMM stage, which consists of retiring the solution, archiving system data, and disposing of the system. The purpose of the *Retirement* stage is to execute the systematic termination of a solution and preserve vital data for future access or reactivation. In this stage, the appropriate FSA organizational units and stakeholders are actively engaged and informed of the solution’s intended retirement and any interdependencies or risks.

The physical solution, its data and supporting management information must be disposed of or managed in accordance with Federal Student Aid policy in order to mitigate unnecessary costs, lapses in business information, security, privacy, and/or records risks.

2.10.1 Key Activities of the Retirement Stage

- Review and amend LMM Tailoring Plan (if necessary)
- Develop System Retirement Plan (includes shut down system or continue service decision and the data and documentation plan)
- Develop System Disposal Plan
- Dispose of system (at end of life), then archive software, data, and documentation
- Review related lessons learned in the Lessons Learned Database (LLDB)
- Collect new lessons learned and publish to the LLDB

Table 2-7: Artifacts Related to the Retirement Stage

New Artifacts Created and Finalized	Updated Artifacts
<ul style="list-style-type: none"> • System Retirement Plan • System Disposal Plan 	<ul style="list-style-type: none"> • None

2.10.2 Retirement Stage Decision Point

Technical Review Stage Gate 5: Retirement Review

This is the only stage gate that occurs at the beginning of the stage, rather than at the end. The System Retirement Plan and System Disposal Plan documents are developed as the necessary outputs of this Stage Gate in order for the solution to move into the Retirement Stage.

Retirement of a system will most often take place as a separate project from the one that created or updated the system in question.

Section 3 Tailoring IT Projects

3.1 The Tailoring Process

Federal Student Aid IT development projects must adopt the Lifecycle Management Methodology, which may be tailored as appropriate to the project and should be completed during development of the project charter, with LMM tailoring decisions captured within that charter.

To execute the tailoring process, IPTs must follow several steps. A simple view of the tailoring process is shown below, followed by an explanation.

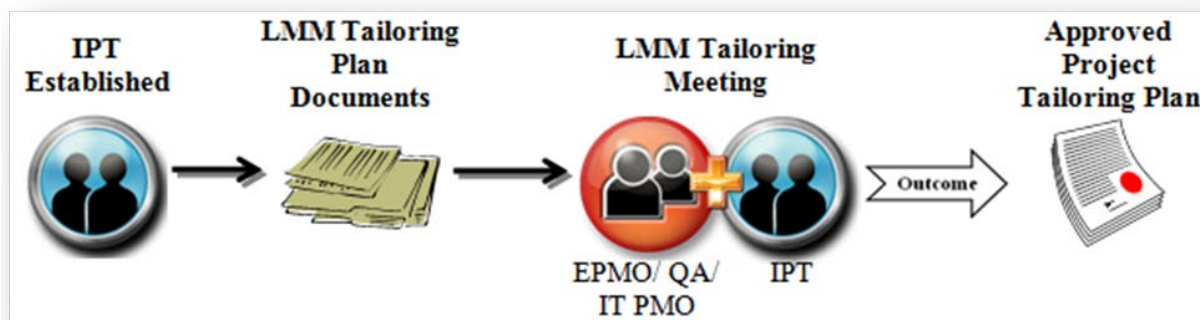


Figure 3-1: Tailoring Process

3.1.1 Step 1: Establish IPT

After a Project Manager is assigned to a project, the first step is to establish an integrated project team that can help create the foundation of a new project and lead it to a successful conclusion.

3.1.2 Step 2: Draft Tailoring Plan

Every FSA IT project is classified under one of three tiers — Simple, Standard, or Complex — based on project risk. Project teams should review risks and use the LMM Tailoring Plan Guidance (separate from this document), to define their project's tier. After a tier is established, the IPT can work toward drafting a tailoring plan for their project.

3.1.3 Step 3: Conduct an LMM Tailoring Meeting

The IPT meets with the LMM Tailoring Team (EPMO, QA, IT PMO) to go over the draft tailoring plan for the project. The goal of this discussion is to vet and finalize the tailoring plan, identify risks, and identify any risk remediation recommendations.

3.1.4 Step 4: Disseminate Approved Project Tailoring Plan

After finalizing, the IPT will distribute the Tailoring Plan to appropriate stakeholders, resulting in established LMM expectations for the project. Approved tailoring plans are then posted to SharePoint for management visibility.

For detailed information on tailoring, see the LMM Tailoring Plan Guidance at <https://fsa.share.ed.gov/lmm/>.

Appendix A - Acronyms

Appendix A. Acronyms and Abbreviations

CPIC	Capital Planning and Investment Control
EEBC	Employee Enterprise Business Collaboration
EPMO	Enterprise Program and Project Management Oversight (Group)
EQTCM	Enterprise Quality & Technical Change Management (Group)
ERB	Engineering Review Board
FSA	Federal Student Aid
IPT	Integrated Project Team
IRB	Investment Review Board
IT PMO	IT Project Management Office
LCM	Lifecycle Management (Framework)
LMM	Lifecycle Management Methodology
PRR	Production Readiness Review
QA	Quality Assurance (Team)
SDLC	System Development Lifecycle
SME	Subject Matter Expert
TQC	Technical Quality Control
WBS	Work Breakdown Structure

Appendix B – Glossary

Appendix B. Glossary

Term	Definition
Complex Project	A complex (tier 1) project typically crosses several functional areas, is over \$1 million for a 3-year period, and meets other high risk factors.
Definition Stage	Integrated Project Team develops detailed requirements based on the objectives, purpose, scope and high level requirements documented in the Initiative Vision stage.
Development Stage	Activities consist of designing, building, testing and performing revisions and rebuilding or modifying the solution during subsequent iterations.
Engineering Review Board	A body of FSA Technology Office Executives and Directors that oversees the progress of FSA IT Projects. It is particularly critical to Technical Review Stage Gate 1 since the ERB receives the stage report / analysis from the Technical Review Stage Gate Review Body and makes a determination as to whether the project should continue.
Employee Enterprise Business Collaboration	Intranet site that houses LMM artifacts https://fsa.share.ed.gov/lmm/
Exemplar	A sample of a completed work product template that provides a project team with sufficient information, level of detail and data organization that will meet the minimum deliverable expectations of Federal Student Aid.
Exhibit 300	Funding request document describing the business case for an investment, financials, performance measures, SRM and TRM mappings.
Implementation Stage	Once the solution has gone live it enters the Implementation stage, which consists of conducting security reviews, implementing the solution and training end users. During this stage, the solution is closely monitored to ensure that it functions properly and truly meets the needs of the stakeholders.
Initiative Vision Stage	Establishes project objectives, purpose, scope and high level requirements.
Integrated Project Team	The Senior Project Manager, IT Project Manager, Business Project Manager, and acquisitions specialist (if acquisitions are necessary) collectively form the core of the Integrated Project Team (IPT). The extended IPT consists of other project members and stakeholders.
Investment Review	Ensures projects begin only if they are supported by a strong business case and support a mission critical area.

Term	Definition
Investment Review Board	The Investment Review Board approves, tracks, and reports on projects within FSA’s project portfolio. It is critical to the LMM because it is the governing body that has ultimate control over project funding at FSA.
Management Review Stage Gate	Governance process used to minimize project risk by reviewing and analyzing a project to determine if it is worthy of further effort and funding. The three Management Review Stage Gates include Investment Reviews, Requirements Reviews, and Project Close-Out Reviews.
Operations and Maintenance Stage	Ensures reliable operation of the solution after Implementation through maintenance and implementation of necessary enhancements.
Production Readiness Review	Ensures a system is ready to be deployed into a production environment.
Project Tier	A risk-based categorization of projects based on input factors such as cost, duration, complexity, resource and procurement needs, etc. The result is one of three categories: simple (tier 3), standard (tier 2), or complex (tier 1).
SharePoint	Intranet site that houses LMM artifacts https://fsa.share.ed.gov/lmm/
Retirement Stage	Ensures that a Federal Student Aid system and system components are properly retired, decommissioned, sanitized and archived according to NIST, Department of Education and Federal Student Aid guidelines, policies standards and procedures.
Simple Project	A simple (tier 3) project typically affects a single unit within a business area, estimated to cost under \$500 K, and has minimal risk.
Stage Gate	Helps ensure the solution is being developed according to requirements and that the project is properly managed and is maintaining the necessary documentation. (See Management Review Stage Gate and Technical Review Stage Gate)
Standard Project	A standard (tier 2) project typically affects a single business area, is estimated to cost between \$500 K – \$1M, and meets other average risk factors.
Subject Matter Expert	Provide guidance to project teams relevant to the SME’s area of expertise. Before the Project Manager submits artifacts for official Stage Gate review, SMEs review the artifacts and provide feedback. When requested, SMEs can render project-specific analysis and expertise to the various review bodies.
Tailoring Plan	An approved baseline of expectations that focus on the artifacts that an IPT will produce throughout the life of a project.

Term	Definition
Technical Quality Control	Framework that describes the process for assuring that architectures meet the Federal Student Aid design standards.
Technical Review Stage Gate	Governance process used to minimize product risk by ensuring solution will perform as planned in a manner compliant with Federal regulations and standards and will not suffer from technical flaws. The five Technical Review Stage Gates include Design Reviews, Test Readiness Reviews, Detailed Requirements Reviews, Production Readiness Reviews, and Retirement and Disposal Reviews.
Testing Stage	Activities consist of performing functional, integration, regression, performance, and user acceptance testing.

Appendix C – SDLC / LMM Engagement and Tailoring Strategies

Appendix C. SDLC / LMM Engagement and Tailoring Strategies

Federal Student Aid systems cover a broad range of disciplines, staff sizes, types of development efforts, and durations. Therefore, the LMM tailoring tasks must be adaptable to match the tools and unique processes inherent in the applicable project SDLC and development environment. The specific LMM responses are in accordance with the applicable software development lifecycle stages described in the LMM. Throughout the development lifecycle stages, the Integrated Project Team (IPT) manages and controls overall system modifications, enhancements, additions, and approved changes.

The LMM plan for a specific project should be tailored for the chosen development environment. The major factors LMM will consider are lifecycle methodology, traditional versus accelerated development, centralized versus Internet development environment, and externally imposed constraints.

Lifecycles

A System Development Lifecycle (SDLC) is a conceptual model used in project management that describes the stages involved in an information system development project, from an initial feasibility study through maintenance of the completed application. A software methodology is a more detailed expression of this plan that follows certain established software engineering principles. It also establishes the criteria used to determine if it is appropriate to proceed from one task to another. The Department LCM Directive or FSA's Lifecycle Management Methodology (LMM) does not dictate the particular SDLC to be used but allows the developer to use one that is appropriate to the project as long as it satisfies the guidelines of the LMM. Federal Student Aid has further refined the Department's LCM and utilizes the LMM on projects to provide additional detail that is not defined by the LCM. **It is expected that developers will provide traceability of their unique SDLCs to the guidance provided by the LMM and will supplement this guidance with their own processes where appropriate.** The following section outlines the LMM strategies appropriate to specific SDLC approaches.

These should be considered as a general guide only, since it is impossible to authoritatively state that one SDLC will always be better than another. The differences between the SDLC techniques are often not as clear as the descriptions make them appear, as developers and managers may mix these approaches at some levels. These matrices highlight those LMM functions that should receive particular emphasis, but it should be noted that all LMM functions remain important, and none may be neglected.

Waterfall

In this model, the oldest and still one of most commonly used, the project proceeds through a series of separate sequential steps starting with the concept and ending with implementation. There is usually a review at the end of each step to determine if it is acceptable to proceed to the

next step. If it is found that the project is not ready to proceed, the project is held in the current step until it is ready. In the pure form of this methodology, the different steps do not overlap.

Table 4-1, Waterfall

Characteristics	LMM Intent / Response
Well-defined, sequential stages characterized by clear entry/exit criteria.	LMM requires review of entry/exit criteria at boundary between stages to ensure that stage is satisfactorily completed.
Requires clear and complete documentation for each stage.	LMM ensures that documentation is clear and complete at exit from each stage.
Development team should be very familiar with technical methodologies used.	Ascertain in Initiative Vision Stage that team is experienced in tools selected for project.
Requires knowledgeable users with in-depth knowledge of system and a commitment to provide developer with support to define requirements.	Ensure that developer identifies key customers and conducts in-depth review sessions, Joint Application Design (JADs) to define requirements. Ascertain if developer is receiving required support from key customers with appropriate knowledge.
Requires detailed definition of requirements prior to Construction Stage.	LMM requires that requirements are sufficiently detailed before exit from Definition Stage.
Software delivered at the end of the project, so progress may not be clear.	LMM requires project IPT closely monitor the Project Work Plan and ensure that any project slippage is reported.

Modified Waterfalls

There are different versions of this technique but they may approach the problem by modifying the traditional "pure" waterfall approach by allowing the steps to overlap, reducing the documentation, and allowing more regression. Some of the more useful versions are described in the following sections.

Overlapping Waterfalls

The development stages overlap allowing discovery and insight in later stages; i.e., the requirements analysis may still be occurring partway into the Detailed Design stage. This mirrors many real-life projects.

Table 4- 2, Overlapping Waterfall

Characteristics	LMM Intent / Response
Documentation may be reduced during intermediate stages if continuity of personnel is maintained.	If personnel turnover becomes high or key personnel leave, LMM required reviews of documentation may highlight areas of uncertainty.
Requirements will probably not be completely defined until the Build portion of the Construction Stage.	LMM Requirements Traceability Matrix (RTM) may identify open requirements, partially defined requirements, and requirements not defined to appropriate level of detail. If they are not addressed at a determined point in the Construction Stage, identify them as high risk issues.

Requirements may change late in cycle.	LMM requires that changes are tracked through the CM process and that all affected code is regression tested. This may include sections of code not changed but interacting with changed code.
Milestones are more ambiguous because the clear boundary between stages is no longer available.	LMM requires stage gate identification in Project Work Plan for clear points at which progress can be checked. Project IPT monitors checkpoints and quickly report slippage from these points.
Activities being performed in parallel can lead to miscommunication, mistaken assumptions, and inefficiency.	LMM requires Federal team and IPT to work with development team to identify areas where communication problems are increasing.

Waterfall with Subprojects

The architecture is broken into logically independent subsystems that can be done separately and integrated together later in the project. This allows each subproject to proceed at its own pace rather than having to wait for all subprojects to have reached the same stage of readiness before proceeding to the next stage.

Table 4- 3, Waterfall with Subprojects

Characteristics	LMM Intent / Response
Architecture is broken into logically independent subsystems that can be done separately and integrated together later in the project.	LMM requires project IPT closely review subsystem definition, looking for unidentified interdependencies between subsystems.
Subsystems are integrated late in project.	LMM requires project IPT closely monitor testing after integration to ensure that relationships between subsystems are thoroughly tested.

Waterfall with Risk Reduction

A risk reduction spiral (see Spiral Development below) is introduced at the requirements stage and/or the architectural stage.

Table 4- 4, Waterfall with Risk Reduction

Characteristics	LMM Intent / Response
Do not have to fully understand requirements before beginning architectural design.	LMM requires project IPT ensures that a thorough review of deliverables is done at the end of each spiral iteration and that they are correct for the objectives defined at the beginning of the spiral.
Complicates management of project.	LMM requires project IPT management is closely monitoring project issues and tracking risks and mitigating strategies are identified for project risks.

Prototyping

The system concept is developed as the development team moves through the project by developing and demonstrating part of the system, usually the most visible part, to the customer.

Modifications may be made and the next part is then developed based on feedback from the customer. At some point, agreement is reached between the customer and the developer that the prototype is satisfactory and outstanding work is finished and the system delivered. In some cases the prototype is disposed of and a fully functional system is developed based on the prototype successes.

Table 4- 5, Prototyping

Characteristics	LMM Intent / Response
Software is demonstrated to customer as it is developed and modified according to customer feedback.	LMM requires project IPT closely monitor for signs that project scope is growing out of bounds. There should be clear agreement at the end of each prototyping session that the system is evolving rather than simply growing. Modifications should be clearly identified and accepted by both developer and customer.
Scope of project will not be well known at beginning.	LMM requires project IPT closely track requirements to verify that they are being refined. If new requirements are identified, examine them to see if they will fit within the time and budget constraints of the project.
Requirements may change rapidly.	LMM requires project IPT closely monitor for signs that methodology is not slipping into “code and fix” mentality.

Spiral

This is a risk-oriented method that breaks a project into smaller "mini-projects." Each mini-project focuses on one or more identified major risks in a series of iterations until all risks have been addressed. Once all the risks have been addressed, the spiral model terminates the same way the waterfall model does.

Table 4- 6, Spiral

Characteristics	LMM Intent / Response
Good model for many Rapid Application Development (RAD) projects.	LMM requires project IPT examine (Initiative Vision Stage), in terms of specific project needs and point out alternative methodologies if applicable.
Complicated and requires sophisticated, experienced management and personnel.	LMM requires project IPT ensure Initiative Vision Stage, that development team has experience in, and understanding of, the Spiral approach.
Iterative, risk-oriented model.	LMM requires project IPT make certain iterations start on a small scale and build in importance. Ensure objectives, risks, and deliverables are all clearly identified in each iteration. Ensure risk-model is not used as an excuse for skipping the iteration, or iterations, necessary to establish clear requirements. Thoroughly examine iteration artifacts at the end of each iteration for indications that risks cannot be dealt with satisfactorily.

Staged / Iterative Delivery

This bears some similarities to both Prototyping and Waterfall with Subprojects in that software is demonstrated and delivered to the customer in successive stages. The steps up to and through architectural design are the same as the Traditional Waterfall, and the following build-and-deliver steps are done for each of the separate stages. It differs from Prototyping in that the scope is established at the beginning of the project and the software is delivered in stages rather than in one package at the end as is done with the waterfall method. It differs from Waterfall with Subprojects in that the stages are delivered independently rather than integrated towards the end of the project.

Table 4- 7, Staged Delivery

Characteristics	LMM Intent / Response
Requires careful planning from both managers and technical leads.	LMM requires project IPT review stage definitions and justification carefully to verify that chosen breakdown is credible.
Interdependencies between stages must be understood.	LMM requires project IPT review stages for unidentified interdependencies. Make sure that all stages are tested as a system after delivery of the final stage.
Customers receive useful stages before the end of the project.	LMM requires project IPT review stages as they are delivered to verify that they meet user needs and are acceptable to the customer.

Hybrid Approaches

These SDLC methodologies may be combined, e.g., a spiral combined with a modified waterfall, or prototyping with Waterfall or Spiral. However, care should be taken that this is done for the purpose of improving the development process for a particular project, not for reasons of expedience. For instance, Spiral development should not be chosen under the assumption that it lessens the need for the development of requirements. The Spiral methodology differs in the manner in which and the stage at which the requirements are determined, not whether the requirements are specified and documented. The tailored LMM response to a Hybrid SDLC approach will depend on which methodologies are used.

Commercial Off-The-Shelf (COTS) Software

These are commercial software products developed to meet certain needs. These packages vary considerably in complexity and cost depending on the needs they are designed to meet. The nature of these products does not reduce the requirement for LMM compliance because they still must be integrated with other components of the target systems.

Table 4- 8, COTS Software

Characteristics	LMM Intent / Response
Will rarely satisfy all needs, especially for large, complex systems.	LMM requires project IPT at Initiative Vision Stage, carefully review capabilities of proposed software to verify that it meets minimal needs.
Immediate availability (immediacy varies depending on amount of tailoring necessary).	LMM requires project IPT determine if timetable necessary to install package will negate time gained by purchasing commercial software. Confirm by examining the experience of similar organizations.
Can be revised to meet custom needs.	LMM requires project IPT examine software capabilities in light of customer expectations to determine degree of realistic customization compared to probable customer needs for future change.

Rapid Application Development (RAD)

RAD is a term often used without being clearly defined. It may mean rapid prototyping to one user, the use of CASE tools and tight deadlines to another or a headline article in a trade journal to a third. As a useful term in a strategic sense, the best usable definition is that RAD means a project that requires an accelerated development environment compared to more traditional project modes and timelines. It requires more careful management and better understanding of the risks involved. Using this definition frees RAD of association with any one set of tools and focuses on the relationship between software development methods within specific environments especially in relation to time constraints.

There are no hard and fast rules regarding which methodology is best for RAD. There are some projects that can be developed more rapidly by a team coding in COBOL than by a team using an Object Oriented Development (OOD) approach because the OOD team may have to spend significant time defining and developing the underlying classes. Which approach to take in this example might hinge on risk factors comparing time constraints to the value of future code reuse in the given environment. The same factors affect the LMM tailoring approach taken.

Agile Development (Agile)

Agile is a lightweight software development methodology that focuses on the outcome of correct, working software over process and documentation. This methodology is highly adaptable to changing or uncertain requirements.

Agile methods break tasks into small increments with minimal planning, and do not directly involve long-term planning. Iterations are short time frames (timeboxes) that typically last from one to four weeks. Each iteration involves a team working through a full software development cycle including planning, requirements analysis, design, coding, unit testing, and acceptance testing when a working product is demonstrated to stakeholders. This is intended to minimize overall risk and allows the project to adapt to changes quickly. Stakeholders produce documentation as required. An iteration may not add enough functionality to warrant a release,

but the goal is to have an available release (with minimal bugs) at the end of each iteration. Multiple iterations may be required to release a software product or new features.

The key principles of the Agile include:

- Customer satisfaction by rapid delivery of useful software
- Welcome changing requirements, even late in development
- Working software is delivered frequently (weeks rather than months)
- Working software is the principal measure of progress
- Sustainable development, able to maintain a constant pace
- Close, daily co-operation between business people and developers
- Face-to-face conversation is the best form of communication (co-location)
- Projects are built around motivated individuals, who should be trusted
- Continuous attention to technical excellence and good design
- Simplicity
- Self-organizing teams
- Regular adaptation to changing circumstances

Team composition in an agile project is usually cross-functional and self-organizing without consideration for any existing hierarchy or the corporate roles of team members. Team members normally take responsibility for tasks that deliver the functionality that an iteration requires. They decide individually how to meet each iteration's requirements.

Agile emphasizes face-to-face communication over written documents when the team is all in the same location. Most agile teams work in a single open office (called a bullpen), which facilitates such communication. Team size is typically small (5-9 people) to simplify team communication and team collaboration. Larger development efforts may be delivered by multiple teams working toward a common goal or on different parts of an effort. This may require a coordination of priorities across teams. When a team works in different locations, they maintain daily contact.

Table 4-9, Agile

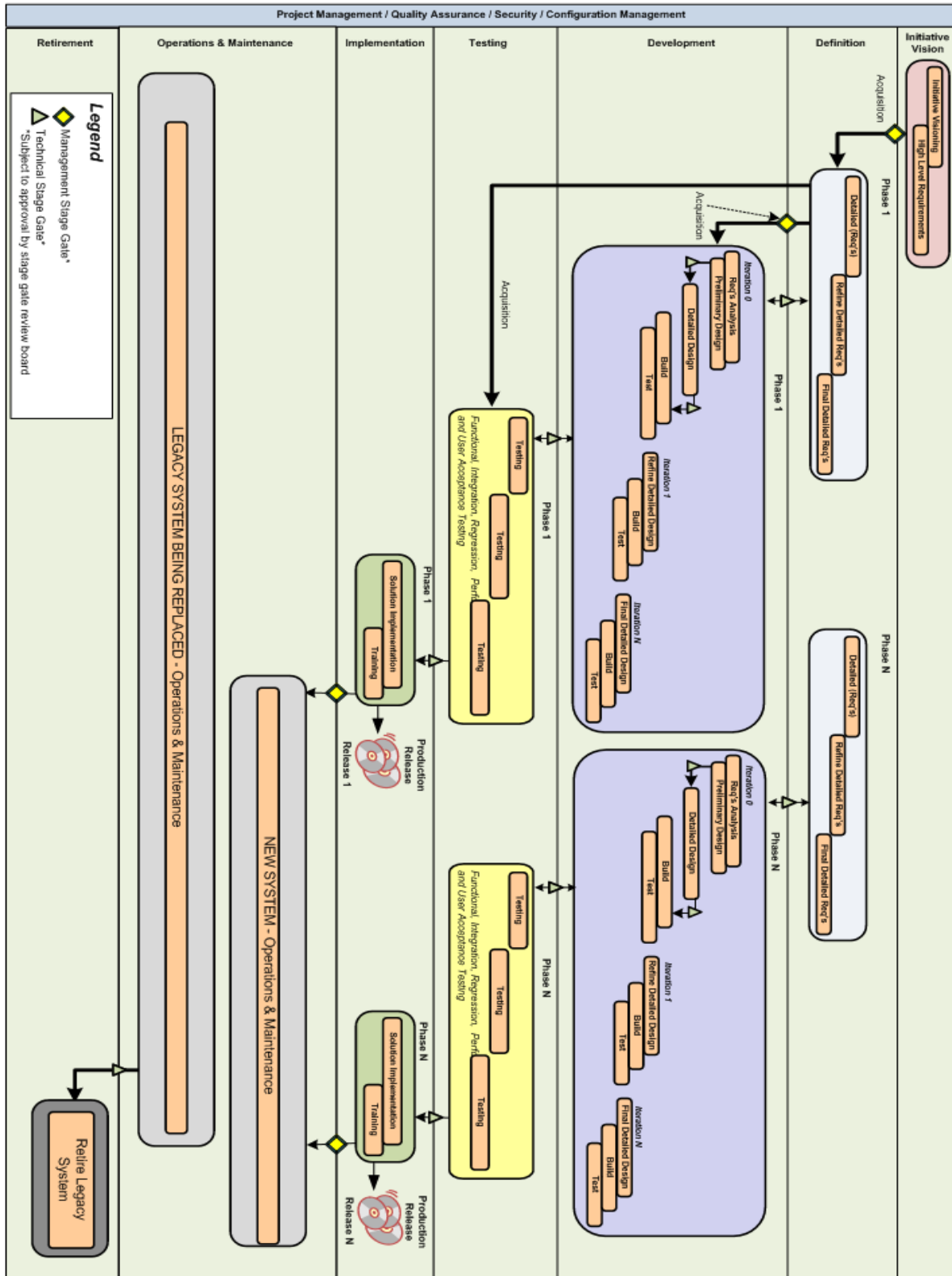
Characteristics	LMM Intent / Response
Individuals and interactions over processes and tools	LMM requires the project IPT to monitor individual communications and interactions to ensure that open communication is taking place.
Working software over comprehensive documentation	LMM requires the project IPT to ensure the team is producing sufficient documentation to meet Federal requirements. LMM requires Federal documentation needs are correctly articulated as part of customer requirements.
Customer collaboration over contract negotiation	LMM requires the project IPT members review the accuracy of requirements that a development team captures (format of requirements shall follow LMM tailored templates).

Characteristics	LMM Intent / Response
Responding to change over following a plan	LMM requires the IPT to increase focus on development team responses to Risk assessment and Risk Register items. Ideally Risk assessment and Risk Items are addressed during the iteration in which they are identified.

Appendix D – LMM Overview and Artifacts Slides

Appendix D. LMM Overview and Artifacts Slides

Federal Student Aid Lifecycle Management Methodology – Large Multi-Phase Project



Lifecycle Stage	Artifacts
Initiative Vision	<ul style="list-style-type: none"> 1. Project Concept Document / e300 / Acquisition Package / Operational Analysis 2. Initiative Vision 3. Requirements Management Plan 4. High Level Requirements Document 5. Project Charter 6. Project Management Plan (Schedule, Requirements, Quality, Risk & Performance, Security Authorization Plan) 7. Data Sensitivity Package
Definition	<ul style="list-style-type: none"> 8. Implementation / Transition Management Plan 9. UI Specification 10. Detailed Requirements Document 11. Continuity of Services Package 12. Data Migration Plan 13. Master Test Plan 14. System Security Package 15. Configuration Management Plan
Development	<ul style="list-style-type: none"> 16. Preliminary Design Document 17. Detailed Design Document 18. Security Risk Assessment Package 19. Operations & Maintenance Plan 20. Requirements Traceability Matrix 21. Test Suites 22. Artifact Removed 23. Solution Source Code and Deployable Packages 24. Training Plan
Testing	<ul style="list-style-type: none"> 25. Test Reports 26. Production Readiness Review Report 27. Solution User Manual 28. Release Version Description 29. Security Authorization Package
Implementation	<ul style="list-style-type: none"> 30. Continuous Security Authorization
Operations & Maintenance	<ul style="list-style-type: none"> 31. System Retirement Plan 32. System Disposal Plan
Retirement	

Appendix E – LMM Artifacts Summary

Appendix E. LMM Artifacts Summary

Sub-Area	Artifact Name	Template	Prescribed Format	Owner / SME
1.1	Project Concept Document	L	YES	Kuriatnikova
1.2	Exhibit 300	L	YES	Kuriatnikova
1.3	Operational Analysis	W	NO	Kuriatnikova
1.4	Acquisition Package	N	N/A	Bradfield
1.4.1	Statement of Need	W	NO	Bradfield
1.4.2	Acquisition Plan	W	NO	Bradfield
1.4.3	Acquisition Strategy	W	NO	Bradfield
1.4.4	Work Statement	W	NO	Bradfield
1.4.5	Source Selection Plan	W	NO	Bradfield
1.4.6	Solicitation	W	NO	Bradfield
1.4.7	Contract	W	NO	Bradfield
1.4.8	Performance Monitoring Plan	W	NO	Bradfield
2	Initiative Vision Document	P	YES	Babic
3	Requirements Management Plan	P	YES	Connor
4	High Level Requirements Document	P	YES	Connor
5	Project Charter	L	NO	Kuriatnikova
6	Project Management Plan	P	NO	Kuriatnikova
7	Data Sensitivity Package	N	N/A	Ingwalson
7.1	Privacy Threshold Analysis	P	YES	Tobler
7.2	Privacy Impact Assessment	L	YES	Tobler
7.3	Data Sensitivity Worksheet	P	YES	Ingwalson
7.4	Data Retention Schedule	P	YES	Wyatt
8.1	Implementation Plan	P	YES	Toliaferro
8.2	Transition Management Plan	P	NO	Johnson
9	UI Specification	P	YES	Woods
10	Detailed Requirements Document	P	YES	Connor
11.1	Business Impact Analysis	P	YES	Parrill
11.2	Information Technology Contingency Plan	P	YES	Parrill
11.3	Contingency Test Plan	P	YES	Parrill
11.4	Contingency Test Plan Results	N	N/A	Parrill
11.5	Disaster Recovery Plan	N	N/A	Parrill
12	Data Migration Plan	P	YES	Greene
13	Master Test Plan	P	YES	Edwards
14	System Security Package	N	N/A	Ingwalson
14.1	Memorandum of Understanding	N	N/A	Tobler
14.2	Computer Matching Agreement	N	N/A	Tobler
14.3	SSO Designation Letter	P	YES	Ingwalson

14.4	System Security Plan	P	YES	Ingwalson
14.5	System Boundary Template	P	YES	Ingwalson
14.6	System of Records Notice (SORN)	N	N/A	Tobler
14.7	Interconnection Security Agreement (ISA)	P	YES	Tobler
15	Configuration Management Plan	R	YES	Toliaferro
16	Preliminary Design Document	P	YES	Woods
17	Detailed Design Document	P	YES	Woods
18	Security Risk Assessment Pkg	N	N/A	Ingwalson
18.1	Risk Assessment Guidance	N	N/A	Ingwalson
18.2	System Security Plan Checklist	P	YES	Ingwalson
18.3	Security Assessment Report	P	YES	Ingwalson
19	Operations and Maintenance Plan	P	YES	Toledo
20	Requirements Traceability Matrix	L	NO	Edwards
21	Test Suites (New Systems)	L	YES	Edwards
21	Test Suites (Legacy Systems)	P	YES	Edwards
23	Solution Source Code and Deployable Packages	N	N/A	Toliaferro
24	Training Plan	P	NO	Bradshaw
25	Test Reports	N	N/A	Edwards
25.1	Test Summary Report	P	YES	Edwards
25.2	User Acceptance Test Summary Report	P	YES	Edwards
25.3	Defect Management Reports	P	NO	Edwards
26	Production Readiness Review	P	YES	Wiesenburg
26	Production Readiness Review (Memo Checklist)	N	N	Wiesenburg
27	Solution User Manual	P	NO	Bradshaw
28	Release Version Desc	P	YES	Toliaferro
29.1	Authority to Operate	P	YES	Dunaway
29.2	Incident Response Handling and Reporting Annual Training	N	N/A	Ingwalson
29.3	Out Brief Presentation	N	N/A	Ingwalson
30.1	Security Authorization and Post-Implementation Evaluation Report	P	YES	Ingwalson
30.2	Plan of Actions and Milestones	P	YES	Ingwalson
31	System Retirement Plan	P	YES	Broadus
32	System Disposal Plan	P	YES	Elliott

Published on SharePoint	P
Link to document (mystartingline, connected, email, etc.)	L
None exists or is covered within a separate document	N
Waiting for submission	W

Appendix F – Project Schedule Activity Lead Times & Durations

Appendix F. Project Schedule Activity Lead Times & Durations

The table below provides a list of activities and ranges of lead times based on experience and history. These will assist project teams with creating project schedules that have more realistic time impacts.

Activity	Time / Timing Requirements	Description / Notes
Service Management Request Approval	2-16 weeks	Time required for approval to request VDC services. Dependencies are related to size and complexity of solution, budget approval and overall vetting and approval process
Production Readiness Review (PRR)	Pre-PRR and PRR scheduled 3 weeks in advance	Schedule PRR in Outlook using PRR distribution list, according to PRR Handbook.
508 Compliance and testing	Varies depending on the size of System/Application	Performed during the Definition, Development, and Implementation stages of the lifecycle
User Access to Department of ED and FSA Systems & Applications	Average 2-3 months (16 weeks or more, if there are complications)	Depends on level of access for new contractors. Preliminary clearance is required for SUDO or equivalent access only. If SUDO is required, contractor must be at least 6C level clearance. A 6C preliminary clearance can take up to 2-3 months (in some cases longer).
Security scans/audit findings required prior to Production	2 weeks to schedule scans; amount required to perform scan varies greatly; 30 days to resolve high criticality audit findings; 60-90 days to resolve low-medium criticality findings	Performed after base-lining each pre-preproduction environment: development, test, & staging.

Activity	Time / Timing Requirements	Description / Notes
System of Records Notice (SORN)	6-8 months	The SORN process is quite lengthy, and involves multiple high-level reviews from multiple offices. SORNs must also be published in the Federal Register for a 30-day public comment period before the system can go live. Note that this timeframe applies to both altered existing SORNs and new SORNs.
Performance Testing	Schedule 3 months in advance; actual testing requires 35 business days	Can be performed sequential to or in parallel with other activities
System Testing	Contacting testing group at beginning of project. Time required to conduct actual testing varies widely based on scope.	The Test Manager (and Test Leads in some cases) must be involved in the project from the initial project planning, through requirements definition, and the complete system design process to obtain maximum value from the formal testing activities of each project. This is an industry best practice that results in improved planning, testability of requirements, system design, and higher quality projects.
Change Control Management Change Requests	10+ days for routine changes; less than 10 days for Urgent; 1 day for Emergency	Changes and access to Development, Test, Staging and Production environments. During Peak Processing periods and Fall Conference schedules, Change Requests may be rejected, required to be rescheduled, or require Infrastructure Operations Group (IOG) management approval.
Enterprise Operational Change Management Change Requests	Open Change Requests in “draft” 6 months in advance per EOCM requirements	During Peak Processing periods and Fall Conference schedules, Change Requests to implement technical solutions may be denied or required to be rescheduled due to managing risks to system uptime.
Changes in policy and federal mandates	Based on regulatory requirements	National Institute of Standards and Technology (NIST), Federal Information Security Management (FISMA), OMB, A123, Clinger Cohen and Title IV regulation changes, etc.
Software License purchases	Based on budget and purchasing agreements	Request during the Definition stage to ensure there are no impacts to project schedules.