



Integrated Acquisition Environment (IAE) Configuration Management Plan

Version 2.10

August, 2007

IAE Program Management Office

Revision Chart

Version	Primary Author(s)	Description of Version	Date Completed
V1.0 Draft	Michele Smith	Initial Version	March 3, 2004
V1.0 Approved	Michele Smith	Approved version	March 25, 2004
V1.1 Draft	Kay Quam		July 20, 2004
V1.1 Draft	Kathy Fiffick	Changes to all sections	August 2, 2004
Version 2.0 Approved	Kathy Fiffick	Removed "Draft", changed the version number	October 27, 2004
Version 2.1	Kathy Fiffick	Addition of Scenario 4 - Emergency IAE CR Process,	January 10, 2005
Version 2.2	Kathy Fiffick	Change Roles, Voter Membership, Form Submission,	February 16, 2005
Version 2.3 Approved	Kathy Fiffick	Changed submission time of release notes, Changed ACE review to after IAE CCB approves.	May 2, 2005
Version 2.4	Kathy Fiffick	Updated version numbers and hyperlinks to the Change Request Form and Technical Analysis Forms and location of the Change Request Form on Acquisition.gov in "Assumptions"	November 4, 2005
Version 2.5	Kathy Fiffick	Added specifics about the notifications information requested, milestones, and implementation date to the roles of the Primary and Impacted System Stewards. Updated version number and hyperlinks of the Technical Analysis Form. Added detailed description of documentation and meetings necessary for the Stewards during the change process.	January 23, 2006
Version 2.6	Kay Quam	Cross-referenced purpose and responsibility descriptions with the IAE Governance Description. Changed System Steward to Project Manager; included additional Project Manager responsibilities noted in the Governance Description; clarified the Project Managers tasks for systems primarily impacted by a CR and those for other affected systems. Modified the criteria and process for Change Request analysis.	April 24, 2006
Version 2.7	Kathy Fiffick	Added additional roles to the PMO role. Added locations of all documentation. Removed duplication.	June 8, 2006
Version 2.8	Kathy Fiffick	Changed flowchart to an appendix, "periodically" to "monthly". Added data dictionary to documentation to be provided, Specified 30 days to submit documentation.	August 8, 2006
Version 2.9	Kathy Fiffick	Changed titles of IAE Program Manager and IAE Deputy Program Manager to their new titles of Director, Office of Acquisition Systems, and Director, IAE Division	August 9, 2006

Version	Primary Author(s)	Description of Version	Date Completed
Version 2.10	Kathy Fiffick	Revised and reworded some tasks in the Flow Chart	August 24, 2007

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1 Background

Because of the increasing complexity and interconnectivity, all change requests must be reviewed for impact on the Integrated Acquisition Environment (IAE) as a whole. Therefore, change requests (CRs) must be submitted to a single collection point. The IAE Program Management Office (PMO) has established a centralized system for capturing all requests pertaining to systems in the environment. This central system provides structure and control necessary to assess the possible impact of a CR on the various components of the IAE.

2 Purpose

This document describes the Configuration Management (CM) process for the Integrated Acquisition Environment (IAE) E-Gov Initiative which makes ongoing enhancements to the IAE systems while ensuring their ongoing interoperability.

This process is designed to incorporate any possible request, which can impact any system within the purview of the IAE. It addresses change requests (CRs) that may impact one-to-many facets of the IAE.

This plan does not address how functional needs and changes are determined for a CR.

At the end of this document is a Configuration Management flow diagram that represents the steps for handling a change request. To facilitate the description and flow of this process model, this document will provide a narrative based on scenarios.

3 Assumptions

Project Managers (PMs) of the IAE systems will handle all defect and problem reports. This plan describes the process for handling CRs only.

CRs will be assumed to have a potential multi-system impact and/or impact to scope, budget, or policy and will be forwarded to the IAE CM process if they affect any factor on the Multi-System Checklist on the CR form. The Change Request Form can be found on Acquisition Central at www.acquisition.gov.

All PMs are required by the terms of their Memorandum Of Agreement (MOA) to follow the IAE Configuration Management Plan.

Analyses for CRs going through the IAE CM process will follow formats for the technical analysis and business impact analysis on www.acquisition.gov that have been developed in concert with the IAE PMO and PMs.

The IAE PMO and PMs will follow a flowchart of tasks and timelines for the IAE Change Control Board (CCB) chaired by the IAE PMO with a voting membership of At-Large members and one representative (PM) per system. The CCB

flowchart in Appendix A in the IAE CCB Charter expands upon the CM process flowchart in Appendix A.

Each PM is expected to establish a CM process including a CCB charter within its program, to include an issue tracking capability, to allow integration with the IAE CM and CCB processes. IAE System CCBs are to be chaired by an agency representative.

PMs provide an annual Release Plan in Microsoft Project to the IAE PMO and update it monthly in accordance with their MOAs. In order to eliminate release schedule conflicts for a single CR involving multiple systems, PMs will provide a preferred release schedule for each CR that is approved by the IAE CCB. PMs will schedule implementation upon receiving an approved release schedule from the IAE PMO. This approved release schedule is discussed and documented in MS Project during coordination meetings with the impacted systems and the IAE PMO.

4 Roles

The IAE CM process has five (5) roles for which a specific set of steps is outlined. Each role is described below:

Acquisition Committee for E-Gov (ACE) – The Acquisition Committee for E-Gov is the executive steering committee for the IAE and is responsible for providing vision, guidance and executive-level decision-making (see IAE Governance Description on www.acquisition.gov). If a change request is outside of the defined scope or budget of the IAE Initiative, or impacts policy, then the CR is presented for review and approval to the ACE.

IAE Program Management Office (PMO) – The IAE Program Management Office (PMO) is responsible for the management and operations of the IAE (see IAE Governance Description on www.acquisition.gov). This includes developing and conducting the CM process, and constituting, chairing and convening the IAE CCB.

The IAE PMO's CM responsibilities are performed by the IAE PMO Configuration Manager and Business Analysts in coordination with the Director, Office of Acquisition Systems and the Director, IAE Division. The responsibilities more specifically include coordination of the CR process, receipt of the packet initiating the CR (CR, technical analysis), identification of impacted systems, sending the CR packet to all PMs, compiling the TAs and coordinating the business impact analysis across the IAE, compilation of the analyses and preparation of an evaluation summary for the IAE CCB, preparation, communication and setup of the IAE CCB meeting, notification of the results to the PMs, ensuring PMs provide the milestones and documentation to the IAE to include coordination of the release schedules, notification of the approved release plan to the PMs involved, implementation

of the CRs, preparation of the evaluation summary for those CRs needing ACE approval, record-keeping, and requirements management. If a request impacts more than one of the IAE systems, the IAE PMO-chaired CCB will determine whether a change should be implemented.

Members of the IAE PMO may submit CRs directly to the IAE CM process, if those CRs impact more than one system.

Project Manager (Primary System) – Once a CR is approved by the IAE System CCB, the PM whose system is the primary focus of the change request sends a CR that meets any of the criteria on the Multi-System Checklist on the Change Request Form to the IAE PMO using a Change Request Form. The PM also sends a completed Technical Analysis Form (TA) with the CR. The PM may be asked for information to assist the Business Analyst in the preparation of the Business Impact Analysis (BIA).

Once the IAE CCB has approved the CR, the PM is responsible for notification of the change to the requestor and user community. The Change Request Form and the Technical Analysis Form (see www.acquisition.gov) have fields for information regarding notifications to the user community. They include which stakeholders need to be notified, the impact on each, what information each needs, how much notice (lead time) each needs, when each will be notified, and in what manner, i.e., email, USPS, etc. Each PM should include additional information specific to their user community. The PM will send the notice for IAE PMO approval prior to release. If the change request is rejected, the PM (Primary System) is responsible for notifying the requestor.

The PM (Primary System) will provide documentation to the IAE PMO in accordance with the provisions and the Configuration Management Deliverable in the MOA and including:

- Monthly updates to the milestones for a change sent to the IAE PMO in the MS Project resource loaded project schedule
- Preferred release schedule (for coordination of release schedules)
 - Three months prior to a release, the IAE will chair meetings with representation from the IAE PMO to include technical support from the hosting facility.
 - 90 days from release – meeting
 - 60 days from release – meeting
 - 30 days from release – biweekly meetings, as needed
- Implementation date
 - One week in advance advise “go” or “no go”
- Updated documentation, if applicable
- Release notes for the change

The IAE PMO communicates an approved Release Plan as described in paragraph 3 “Assumptions” and the PM implements the change according to that plan notifying the IAE PMO of the date of implementation. The PM (Primary System) may need to coordinate development with the impacted IAE system(s). A PM is the voting member representing his/her system at the IAE CCB.

PM (Impacted System) – The PMs whose systems are impacted by the CR review the CR and TA sent by the IAE PMO for potential impacts. If it is determined that a CR has an impact to more than one system within the IAE, PMs of impacted systems complete the IAE TA forms and send them to the IAE PMO. The PM may be asked for information to assist the Business Analyst in the preparation of the BIA.

The PM (Impacted System) follows the procedures for notification, documentation, and release schedules as listed above in the PM (Primary System).

The PMs may need to coordinate development with the primary system.

Requestor – Any individual who submits a CR to the PM. Changes can be identified by any source (Government personnel, vendors, or the general public) and are defined and handled within the IAE system’s CM Process. Requestors may not submit a CR directly to the IAE PMO. A Requestor must provide all required information on the CR submission form as well as all backup documentation and collateral information pertinent to the change. An IAE PMO member may request a CR that will impact multiple systems and send the CR directly to the IAE PMO Configuration Management Manager rather than to a PM

5 Procedures

5.1 Scenario 1 – Impact to Primary System

A CR is submitted by a Requestor to the PM of the primary system. The PM sends the CR through the system’s CM process. If the CR is approved by the system’s CCB, the PM must also perform the very critical function of determining if the CR has a *potential* impact to other systems within the IAE. To help facilitate this analysis, the PM will review the criteria on the Multi-System Checklist on the Change Request Form. These criteria will focus the analysis by the PM to determine if the CR impacts:

- Business processes,
- Data element change,
- Reports change,
- Interface/extract change,
- Cost, schedule, milestones, deliverables

- Hosting, help desk or COOP arrangements,
- Known dependencies (other CRs, policy effective dates, etc.)
- Policy/regulatory/statutory requirements
- Scope (out of system scope, budget or impacts policy)

The PM and cognizant staff will complete a Change Request Form and the Technical Analysis Form and submit both to the IAE PMO for analysis. The PM is not responsible for determining all the systems that may be impacted, just that a potential impact exists. If it is determined there is no impact to other systems and the CR does not meet any of the above criteria, the PM will continue with the IAE system's CM process.

The PM (Primary System) will provide documentation to the IAE PMO in accordance with the provisions and the Configuration Management Deliverable in the MOA and including:

- Periodic updates to the milestones for a change sent to the IAE PMO in the MS Project resource loaded project schedule
- Preferred release schedule (for coordination of release schedules)
 - Three months prior to a release, the IAE will chair meetings with representation from the IAE PMO to include technical support from the hosting facility.
 - 90 days from release – meeting
 - 60 days from release – meeting
 - 30 days from release – biweekly meetings, as needed
- Implementation date
 - One week in advance advise “go” or “no go”
- Updated documentation, if applicable
- Release notes for the change

Through notices approved by the PMO, the PM provides the scheduled implementation date to the user community in order to provide advance notice to those customers, such as contract writing systems, who may need lead time before the scheduled implementation. The PM then notifies the user community of the actual implementation date for the change.

The PM updates the system requirements baseline documentation and provides it to the IAE PMO within 30 calendar days. The IAE PMO, in turn, updates the central database of system requirements to facilitate future impact analysis at the enterprise level.

5.2 Scenario 2 – Impact to Multiple Systems

Changes that impact more than one system within the IAE will be formally handled by the IAE CCB.

When the IAE PMO receives a Change Request Form with any factor on the Multi-System Checklist checked and a completed Technical Analysis, the IAE PMO will conduct the impact analysis across the enterprise.

The IAE Business Analyst(s) and PMs will evaluate the impact against their systems using the same criteria given to the PM of the system with the primary impact. The PM(s) of impacted systems complete the TA and submit it to the IAE PMO. The Business Analyst performs the business impact analysis and may ask for assistance from the PMs of any of the involved systems. The Business Analyst then completed the BIA and sends it to the IAE Configuration Manager.

The IAE PMO will compile the results of the detailed analyses from the PMs and the Business Analyst and prepare an evaluation summary.

The evaluation summary, CR and analyses are submitted to the IAE CCB members prior to the IAE CCB meeting for review. The IAE CCB approves, disapproves, or defers the change request. (See the IAE CCB Charter on www.acquisition.gov for voting procedures.)

If the IAE CCB does not approve the CR, the IAE PMO will communicate the decision results and rationale to the PM (Primary System) who, in turn, notifies the requestor.

If the IAE CCB approves the CR, the IAE PMO will notify the PM(s) of the impacted systems of the CCB results in writing. The evaluation will also determine if the change impacts the scope or budget of IAE based on whether it:

- is a statutory change
- is a new capability
- is outside of the IAE approved budget
- impacts policy
- has a general broad-agency impact

If the change request is outside of the IAE PMO approval, the IAE PMO will prepare an executive summary and submit it with the supporting documentation to the ACE.

If the change request is within IAE PMO approval, the PMs of the impacted systems notify the IAE PMO of:

- Monthly updates to the milestones for a change sent to the IAE PMO in MS Project resource loaded
- Preferred release schedule (for coordination of release schedules)
 - Three months prior to a release, the IAE will chair meetings with representation from the IAE PMO to include technical support from the hosting facility.
 - 90 days from release – meeting

- 60 days from release – meeting
- 30 days from release – biweekly meetings, as needed
- Implementation date
 - One week in advance advise “go” or “no go”
- Updated requirements, if applicable
- Release notes for the change

During the coordination with the impacted system PMs, the IAE PMO approves and communicates a Release Plan based on the proposed release plans of the impacted systems.

The PMs follow the same notification process as Scenario 1 above.

The PMs (Impacted Systems) will also (1) adjust plans, schedule, budget, funding and agreements as necessary, (2) work with the IAE System PM (Primary System) on any coordination that is necessary (see above) and (3) submit updated requirements and associated documentation, e.g., updated handbook to the IAE PMO. The IAE PMO, in turn, updates the central database of system requirements to facilitate future impact analysis at the enterprise level.

5.3 Scenario 3 – ACE Approval Required

If an approved CR has impacts to multiple systems, or is determined to be outside of the defined scope and budget of the IAE Initiative, or impacts policy, the request must be forwarded to the ACE for review and approval.

The ACE will also be responsible for handling decisions on change requests that have a broader impact on the acquisition and financial communities, their processes and systems. ACE approval will also be required for CRs that have significant impact on cost, schedule, performance, or implementation of the President’s Management Agenda, OMB or CAOC goals, even if the CR affects a single system.

The IAE PMO will provide an executive summary with the results of the technical and business impact analyses to the ACE. The ACE will review the information and vote on whether to approve, defer or reject the request.

If the ACE approves the request, the ACE must redirect program scope, priorities and funding as necessary. The IAE PMO has the primary responsibility to execute this work via the PM(s) of impacted systems.

If the ACE rejects the request, the CR with comment is returned to the IAE PMO, who communicates the decision and rationale to the PM (Primary System) to notify the Requestor.

5.4 Scenario 4 – Emergency CR

In the event a change that impacts more than one system within the IAE needs a decision immediately, the completed Change Request Form will be sent by email to the IAE CCB Chair for review. The IAE CCB Chair will determine if the IAE CR will be handled outside of the normal IAE CM procedures and time schedule.

In instances where time or circumstance does not permit the use of email, a phone call to the IAE CCB Chair with the necessary information will be accepted. The entire IAE CCB process will be conducted by phone when the IAE CCB Chair needs an immediate decision by the IAE CCB.

Examples where a change may need an immediate decision are:

- National Security Issues
- System Failure
- Policy/Statute/Regulation Changes

In instances when the request is outside of the defined scope of IAE, the IAE CCB Chair will contact the ACE Chair for a decision.

- If the IAE CCB Chair determines that a CR is of a less critical nature, but should be handled on an emergency basis, the procedures in Scenario 2 above will be performed in an expedited manner through the use of email.

6 Appendix A IAE CM Process Diagram

