

APPENDIX A

Summary Checklist

(As of Date: March 17, 2003)

CRITERIA DESCRIPTION	GAP (Y/N)	COMMENTS/ HOW VALIDATED (Document Name)	WORK EFFORT	TARG ET CMPL DATE	STATUS	RESP	RISKS IDENTIFIED	PROPOSED RISK MITIGATION
CLIENT								
Escalation Process	N	eZ-Audit Escalation List			Complete			
Operations Change Control Procedures	N	CCB Procedure			Complete			
Operations Applications Management Task Order Reviewed and Approved	N	Current TO will cover 6 months after go-live			Complete			Modify current Task Order to cover until September 2003
GENERAL								
Project Definition Documentation	N	Tech Prop			Complete			
- Task Order	N	Tech Prop			Complete			
- Scope	N	Tech Prop			Complete			
- Approach	N	Tech Prop			Complete			
- Business Drivers	N	Business Case			Complete			
SERVICE OPERATIONS/ RECOVERY/ CONTINGENCY								

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VDC Operations Documentation								
- Responsibility Matrix	N	eZ-Audit Responsibility Matrix			Complete			
- Call Out List (Updated 07/2001)	N	eZ-Audit Callout list			Complete			
- VDC Operations Checklist	N	eZ-Audit Escalation Checklist			Complete			
- Memorandum of Understanding /Operations SLA	N	N/A - VDC SLA (no individual SLA is required) eZ-Audit is considered as SLA 2 (availability time: 97%. Application is available 24x7x365)			Complete			
- Run Book	N	N/A - ITA Run Book will be used (no application specific Run Book is required)			Complete			
- Installation Guidelines	N	Has been communicated to VDC how to "untar" application. ITA has been fully involved with the installation process during testing and production environment build.			Complete			

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ARCHITECTURE								
Architecture Design	N	eZ-Audit Detailed Tech Design			Complete			
Development (i.e. coding) Standards	N	ITA coding Standard and ITA code review results			Complete			
Solution Life Cycle compliance	N	SLC matrix has been signed by Lana Gourdine (SLC Lead)			Complete			
Environment Specifications	N	eZ-Audit Detailed Tech Design			Complete			
- Development	N	eZ-Audit Detailed Tech Design			Complete			
- Test	N	eZ-Audit Detailed Tech Design			Complete			
- Production	N	eZ-Audit Detailed Tech Design			Complete			
LICENSING								
Software License Requirements (incl. Paid Licenses)	N	No specific software is required. Software used: IBM WebSphere, Oracle, MicroStrategy, Rational.			Complete			
CODE REVIEW								
User Specifications	N	eZ-Audit User Roles Matrix			Complete			

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Functional Specifications	N	eZ-Audit Functional Design			Complete			
Technical Specifications	N	eZ-Audit Detailed Tech Design			Complete			
SECURITY								
Application Security Requirements	N	Rational Requirements List			Complete			
Security Officer Identified by appointment memo.	N	On file in security notebook			Complete			
Rules of Behavior for System Users	N	eZ-Audit Rules of Behavior			Complete			
Personnel Security Classifications for users, developers, testers, and others	N	In Security notebook			Complete	SSO		
Disaster Recovery/Continuity of Operations Plan	N	eZ-Audit COS Plan			Complete			
Data Integrity/Validation Controls	N	eZ-Audit Detailed Tech Design			Complete			
Audit Trails	N	Application tracks changes made by users in the database.			Complete			
System Security Plan	N				Complete			
Certification and	N	N/A. eZ-Audit is a Tier-2			Complete	SSO		

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Accreditation Plan (with Interim Approval to Operate memo signed by the system owner)		system, operating under IATO until December 2002.						
Security Risk Assessment complete	N				Complete	IV&V		
Mitigation plan implemented	N				Complete	FSA		
SA Security Solution Lifecycle Checklists (Vision - Deployment)	N	SSO's and System Manager's Signatures			Complete	FSA		
Inventory Worksheet	N				Complete	SSO		
MOU/MOA/SLA (if applicable)	N	eZ-Audit/PEPS TPA. Will be signed by March 28.			Pending Signatures			
Privacy Act Systems of Records Review (if applicable)	N	N/A						
TESTING								
Test Strategy and Approach (for all levels of testing)	N	eZ-Audit Master Test Plan, Performance Test Plan, UAT Plan			Complete			
Test Model (incl. test plans and test scripts mapped to the appropriate requirements)	N	System Test Scripts			Complete			

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Test Data	N	System Test Scripts			Complete			
Documented Test Results	N	System Test Scripts			Complete			
Section 508 requirements tested and verified by ED Assistive Technology Group (ATG) located in FOB-6. POC: Joe Tozzi	N	508 certified by Don Barrett - March 12, 2003			Complete			
SIR Log	N	Rational Clear Quest			Complete			
Client and User Sign-Off	N	UAT 1 and 2 sign-offs obtained.			Complete			
APPLICATION TRAINING								
User Training Conducted	N	eZ-Audit Training Documents. Schools will have training document. Case users training has been scheduled			In Progress			
User Installation and Setup Procedures	N	N/A. eZ-Audit is a browser based application, no client-side software is necessary to install.			Complete			
On-going Training Function Available	N	Updates to eZ-Audit Training Documents			Incomplete			
TRANSITION TO OPERATIONS	N	N/A . Transition will not occur until September 2003.			Complete			

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APPENDIX B
Sign-Off Memorandum

Date:

This certifies that the _____ system has been tested and is recommended for implementation.

Independent Quality Assurance Signature: _____

Mike Rockis
FSA Quality Assurance

Security Officer Signature: _____

Barbara Johnson
System Security Officer

CSC FSA Account Executive: _____

Jack Gillotti
Service Delivery Manager

Executive Sponsor Signature: _____

Kay Jacks
General Manager, Schools Channel

CIO Signature: _____

Jerry Schubert
Acting CIO