

**SLCM Framework (Version 2003.1) Roles and Responsibilities**  
As of January 21, 2005

| ROLE | RESPONSIBILITY                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | REVIEW                                                                                                                                                                                                                    | SIGN- OFF                                                                                                                                                                   |
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| CTO  | <ul style="list-style-type: none"> <li>✓ Manage IT assets to meet corporate goals</li> <li>✓ Establish and chair the Information Technology Review Committee</li> <li>✓ Serve jointly with one or more business area executives as project executive sponsor for projects affecting multiple business units across the corporation</li> <li>✓ Designate OIT staff members to fill positions of project steering groups</li> <li>✓ Approve key project artifacts and milestone reviews</li> <li>✓ Leverage lessons learned</li> <li>✓ Assign a Federal staff member as OIT project manager</li> <li>✓ Review requests for and provide waiver on SLCM compliance</li> </ul>                                                                                                                                                                                                                                                                                                   | Yes<br>- Business Requirements<br>- Security Plan<br>- Design artifacts<br>- Plan artifacts<br>- Technical Design artifacts<br>- Test Results artifacts<br>- Post-Implementation Review<br>- SLCM Final Compliance Report | Yes<br>Key project artifacts and milestone reviews                                                                                                                          |
| CFO  | <ul style="list-style-type: none"> <li>✓ Serve as the executive sponsor for all major projects within assigned areas of business responsibility, unless delegated to the department director most affected by the system</li> <li>✓ Participate in oversight on financial systems and mixed systems projects during the system development life cycle</li> <li>✓ Ensure compliance with applicable financial management standards, policies, and internal control practices including those promulgated by Treasury, GAO, OMB, JFMIP, and FASB.</li> <li>✓ For financial systems, review and sign off at appropriate decision points throughout the system life cycle (such as "to be" design, functional specifications, and user acceptance test)</li> <li>✓ Assign a Business User Rep for financial systems from Federal staff</li> <li>✓ For financial systems, review and approve cost goals of IT projects and programs presented in the OMB Exhibit 300s</li> </ul> | Yes<br>- Cost goals of IT projects and programs presented in the OMB Exhibit 300s<br>- Key artifacts for financial systems and mixed systems projects and milestone reviews                                               | Yes<br>- Cost goals of IT projects and programs presented in the OMB Exhibit 300s<br>- Key artifacts for financial systems and mixed systems projects and milestone reviews |

| ROLE | RESPONSIBILITY                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | REVIEW                                                                                                                                                  | SIGN- OFF                                                                                                                                              |
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| CMO  | <p>Through the Process Change Consulting Group (PCCG):</p> <ul style="list-style-type: none"> <li>✓ Assess the appropriateness of the performance measures and goals cited in the Business Cases</li> <li>✓ Evaluate the reasonableness of the performance measures estimates provided, and report on variances between the actual performance results and those estimated in business cases</li> </ul> <p>Through the Budget Department, regarding Business Cases:</p> <ul style="list-style-type: none"> <li>✓ Coordinate with project managers in completing and updating required OMB Exhibit 300s</li> <li>✓ Support business case development through the application of appropriate economic analysis methodologies; validate budget, cost, and benefit estimates; and review the cost/benefit analysis for accuracy, completeness, and consistency</li> <li>✓ Support the development and executive-level review of the OMB Exhibit 300s to ensure consistency with OMB guidance</li> </ul> <p>Through the Procurement Department:</p> <ul style="list-style-type: none"> <li>✓ Approve acquisition plans</li> <li>✓ Manage the acquisition process and aid the management of program and project risk</li> <li>✓ Approve OMB Exhibit 300 acquisition strategies and plans, and ensure that acquisition risks are effectively managed</li> </ul> | <p>Yes;<br/>Business Cases (performance measures and goals); OMB Exhibit 300 acquisition strategies and plans; acquisition plans; Milestone Reviews</p> | <p>Yes;<br/>As member of ITIRC, sign off on Business Cases; OMB Exhibit 300 acquisition strategies and plans; acquisition plans; Milestone Reviews</p> |

| ROLE                                                       | RESPONSIBILITY                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | REVIEW                                                                                                                                                              | SIGN- OFF                                                                                                                                                                                                                                                                                             |
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| COO                                                        | <ul style="list-style-type: none"> <li>✓ Serve as the executive sponsor for all major projects within assigned areas of business responsibility, unless delegated to the department director most affected by the system</li> <li>✓ Through participation in the Operations Integration Board, engage in the critical decision-making milestones for IT projects in assigned business areas</li> <li>✓ Through representatives on the Information Technology Investment Review Committee, determine IT portfolio priorities, scope, and funding levels</li> <li>✓ Assign a Federal staff member as Business User Representative</li> </ul>                                                                                                                                                      | <p>Yes</p> <ul style="list-style-type: none"> <li>- IT portfolio priorities, scope, and funding levels, through participation on the ITIRC</li> </ul>               | <p>Yes</p> <ul style="list-style-type: none"> <li>- Critical decision-making milestones for IT projects in assigned business areas through participation on the OIB</li> <li>- All key artifacts for major projects within assigned areas of business responsibility, as executive sponsor</li> </ul> |
| Information Technology Investment Review Committee (ITIRC) | <ul style="list-style-type: none"> <li>✓ Review presentations of business cases for proposed initiatives and provide guidance for improvement</li> <li>✓ Review a project's risk assessment</li> <li>✓ Evaluate business cases against corporate mission, goals, and objectives</li> <li>✓ Ensure that the appropriate level of IV&amp;V testing is planned and budgeted in the business case and project plan</li> <li>✓ Approve business cases based on their ranking against Capital Planning and Investment Control to include requirements, scope, outcomes, budget, and priority and make funding level recommendations</li> <li>✓ Issue approval notices and provide funding recommendations for approved projects</li> <li>✓ Address emerging IT issues on an on-going basis</li> </ul> | <p>Yes</p> <ul style="list-style-type: none"> <li>- Business Case</li> <li>- Project Risk Assessment</li> <li>- Project Plan</li> <li>- OMB Exhibit 300s</li> </ul> | <p>Yes</p> <ul style="list-style-type: none"> <li>- Business Case</li> <li>- Project Risk Assessment</li> <li>- Project Approval</li> <li>- OMB Exhibit 300s</li> </ul>                                                                                                                               |
| Operations Integration Board (OIB)                         | <ul style="list-style-type: none"> <li>✓ Receive monthly briefings on IT projects as recommended by the ITIRC</li> <li>✓ Be responsible for reviewing go/no go decisions at key project milestones</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <p>Yes</p> <ul style="list-style-type: none"> <li>- Go/No Go Decisions at Key Project Milestones</li> </ul>                                                         |                                                                                                                                                                                                                                                                                                       |

| ROLE                                                                                                             | RESPONSIBILITY                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | REVIEW                                                                                                                                                                      | SIGN- OFF                                                                                                    |
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| Department Directors impacted by the information system                                                          | <ul style="list-style-type: none"> <li>✓ Designate a Project Steering Group member, if other than the Department Director, with authority to approve project actions on behalf of the department</li> <li>✓ Review and approve business case and system requirements</li> </ul>                                                                                                                                                                                                                                                                                               | Yes<br>- Business Case<br>- System Requirements                                                                                                                             | Yes<br>- Business Case<br>- System Requirements                                                              |
| Project Steering Group (or if none is designated, the Department Director responsible for the business function) | <ul style="list-style-type: none"> <li>✓ Establish scope and outcomes of the project</li> <li>✓ State goals</li> <li>✓ Allocate project resources</li> <li>✓ Ensure successful project kick-off and ongoing issue resolution</li> <li>✓ Define and periodically (but no less than biweekly) monitor metrics on project status, including cost, effort, and completion; monitor issues</li> <li>✓ Set and maintain project priorities</li> <li>✓ Participate in the decision making process for approving changes to project variances of cost, schedule, and scope</li> </ul> | Yes<br>- Review all key project artifacts<br>- Project Charter<br>- Project Plan<br>- Project Risk Assessment                                                               | Yes<br>- Changes to project variances of cost, schedule, and scope<br>- Concurrence with project's artifacts |
| Enterprise Architects                                                                                            | <ul style="list-style-type: none"> <li>✓ Verify that the business case maps to Enterprise Architecture (EA) Domains and Models [Blueprint]</li> <li>✓ Participate in project reviews</li> <li>✓ Maintain enterprise target architecture, data model, and business process model</li> <li>✓ Work with project system architects to ensure compliance with the target architecture, data model, and process model</li> </ul>                                                                                                                                                    | Yes<br>- Business Case<br>- Project Risk Assessment<br>- Business Requirements<br>- Security Plan<br>- Design artifacts<br>- Plan artifacts<br>- Technical design artifacts | Yes<br>- Business Case<br>- Common Services Use Plan                                                         |

| ROLE                                        | RESPONSIBILITY                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | REVIEW                                                                                                                                                                                                        | SIGN- OFF                                                                                                                       |
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| Program Management Office (PMO)             | <ul style="list-style-type: none"> <li>✓ Maintain IT project portfolio</li> <li>✓ Facilitate inter-team communication and coordination</li> <li>✓ Provide Project Risk Assessment guidelines and criteria, assess project risk, and establish SLCM compliance requirements through a Project Tailoring Document</li> <li>✓ Establish a 12-month release schedule</li> <li>✓ Review and approve project schedules</li> <li>✓ Track project progress against agreed upon milestones and report variances</li> <li>✓ Schedule milestone reviews</li> <li>✓ Ensure milestone approvals are sought and obtained</li> <li>✓ Review a project's artifacts to ensure SLCM compliance</li> <li>✓ Maintain the SLCM, and train in SLCM</li> <li>✓ Promote guiding methodology principles</li> <li>✓ Provide training and orientation to departments regarding their roles and responsibility under the SLCM</li> <li>✓ Assess whether business case cost, benefit, performance, risk, and alternatives analysis is updated at each SLCM milestone</li> </ul> | Yes<br>- Project Risk Assessment<br>- All SLCM artifacts                                                                                                                                                      | Yes<br>- Project Tailoring Document<br>- Project Schedules<br>- SLCM Phase Completion Reports<br>- SLCM Final Compliance Report |
| Information Systems Security Officer (ISSO) | <ul style="list-style-type: none"> <li>✓ Ensure system Security Certification and Accreditation (C&amp;A) is completed, if required</li> <li>✓ Ensure compliance with existing security policies, regulations, and practices</li> <li>✓ Attend milestone review meetings for Business Requirements, System Design, and Technical Design</li> <li>✓ Review and Approve Security Plan, C&amp;A Plan, and C&amp;A Test Report</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Yes<br>- Business Requirements<br>- Security Plan<br>- C&A Plan<br>- System Design artifacts<br>- Technical Design artifacts<br>- Security Risk Analysis & Assessment<br>- C&A Test Plan<br>- C&A Test Report | Yes<br>- Security Plan<br>- C&A Plan<br>- C&A Test Report                                                                       |

| ROLE                                                                                                                                                                                                     | RESPONSIBILITY                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | REVIEW                                                                                                                                                                                                                            | SIGN- OFF                                                                                                                                   |
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| Federal Project Manager and project contractor staff (i.e., Project Team which includes System Architects, System Analysts, Business Analysts, Software Engineers, Developers, and Testers among others) | <ul style="list-style-type: none"> <li>✓ Prepare and present the business case for a proposed project or corporate initiative</li> <li>✓ Prepare a Project Risk Assessment; assess, manage, and mitigate project risk</li> <li>✓ Once approved, plan and lead the project, and produce the outputs of the project</li> <li>✓ Collect metrics on project cost, effort, completion, and status</li> <li>✓ Create, maintain, and publish a project schedule</li> <li>✓ Create, maintain, and publish a Communication Plan</li> <li>✓ Create, maintain, and publish an Issues Tracking Log</li> <li>✓ Track issues and ensure resolution</li> <li>✓ Collect and define business and system processes and business and technical requirements</li> <li>✓ Prepare and deliver SLCM artifacts consistent with Project Tailoring Document</li> <li>✓ Update business case cost, benefit, performance, risk, and alternatives analysis at each SLCM milestone</li> </ul> | Yes<br>Author of the artifacts                                                                                                                                                                                                    | Yes<br>Author of the artifacts                                                                                                              |
| Business User Representatives                                                                                                                                                                            | <ul style="list-style-type: none"> <li>✓ Act as agents for project customers</li> <li>✓ Participate and coordinate the participation of others in business requirements gathering and participate in project reviews</li> <li>✓ Provide information on the business process</li> <li>✓ Test for user acceptance</li> <li>✓ Provide final user sign-off</li> <li>✓ Participate in system training, conversion, and implementation</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Yes<br>- Business Case<br>- Project Risk Assessment<br>- Project Charter<br>- Project Plan<br>- Communication Plan<br>- Business Requirements<br>- Functional Specifications<br>- User Acceptance Test Plan<br>- UAT Test Results | Yes<br>- Business Requirements<br>- Functional Specifications<br>- User Acceptance Test (UAT) Plan<br>- UAT Test Results<br>- User Sign-off |

| ROLE                                | RESPONSIBILITY                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | REVIEW                                                                              | SIGN- OFF                                                                                                                                                                    |
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| Configuration and Change Managers   | <ul style="list-style-type: none"> <li>✓ Review and approve project's Change Management Plan and Configuration Management Plan</li> <li>✓ Acknowledge receipt of code in repository before release to the Integration Testing Center</li> <li>✓ Ensure compliance with Change Management guidance</li> <li>✓ Ensure compliance with Configuration Management guidance</li> </ul>                                                                                                                                                                                                                                                                                                                                          | Yes<br>- Change Management Plan<br>- Configuration Management Plan                  | Yes<br>- Change Management Plan<br>- Configuration Management Plan                                                                                                           |
| Quality Assurance (QA) Staff        | <ul style="list-style-type: none"> <li>✓ Participate in project reviews</li> <li>✓ Prepare the IV&amp;V Test Plan, conduct the test, and record the test results</li> <li>✓ Review and approve other test plans and other test results</li> <li>✓ Ensure satisfactory testing</li> <li>✓ Report the test results to the Project Steering Group, CTO, and ISSO</li> </ul>                                                                                                                                                                                                                                                                                                                                                  | Yes<br>- Business Requirements<br>- Test Plan artifacts<br>- Test Results artifacts | Yes<br>- Business Requirements (for testability)<br>- Test Plan artifacts<br>- Test Results artifacts                                                                        |
| Infrastructure Administration Staff | <ul style="list-style-type: none"> <li>✓ Participate in project reviews</li> <li>✓ Support infrastructure-related tasks for coordination, communication, and production capacity impact</li> <li>✓ Support infrastructure-related tasks for coordination, communication, and creation of CDE environment</li> <li>✓ Support infrastructure-related tasks and review and approve "to be" infrastructure-related artifacts</li> <li>✓ Ensure that infrastructure-related tasks address COOP implementation and approve COOP-related artifacts</li> <li>✓ Review with project teams performance baselines and monitoring for new solutions</li> <li>✓ Review and approve "as is" infrastructure-related artifacts</li> </ul> | Yes<br>- Infrastructure related artifacts                                           | Yes<br>- Common Services Use Plan<br>- System Environment Planning Documents<br>- Infrastructure Support Plan<br>- Configuration Management Plan<br>- Disaster Recovery Plan |

| ROLE                             | RESPONSIBILITY                                                                                                                                                                                                                                                                                                                                                                                                                                         | REVIEW                                                            | SIGN- OFF                                                                                                                                                                |
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| Infrastructure Engineering staff | <ul style="list-style-type: none"> <li>✓ Participate in project reviews</li> <li>✓ Review logical data models and provide feedback</li> <li>✓ Work with Infrastructure Administration on deployment of physical data models and building of physical database</li> <li>✓ Work with project teams to establish performance baselines and monitoring for new solutions</li> <li>✓ Review and approve “to be” infrastructure-related artifacts</li> </ul> | Yes<br>- Logical Data Model<br>- Infrastructure related artifacts | Yes<br>- Logical Data Model<br>- Common Services Use Plan<br>- System Environment Planning Documents<br>- Infrastructure Support Plan<br>- Configuration Management Plan |