



STANFORD UNIVERSITY AGENDA PRE-IMPLEMENTATION REVIEW

Overview:

Our objective is to assist in the development of effective and efficient controls during the implementation of the new system. In that regard, we will review the overall project management of the project, as well as assist in the design and deployment of effective internal controls for key business processes and ensure the implementation of sound security controls.

Project Management:

- Project scope and objectives
- Project structure – resources, roles and responsibilities
- Project Plan
 - Identify key deliverables and milestones
 - Review completed project deliverables
 - Milestone management – analysis of met and missed milestones
 - Change management
- Risk Management and Issue Tracking
- Data Conversion – strategies, data sources/definitions/cleansing/validation
- Review Testing Plans
 - Unit/Performance/Integration/User Acceptance testing strategies
 - Review completeness of test plans – do scenarios and scripts adequately test business requirements and application functionality
 - Analysis of testing results
- Review of Training Plans
 - Review of training materials
- Identify go/no-go date
- Identify fall-back alternatives – (Back-out and contingency plans)

Infrastructure:

- Review technical infrastructure requirements
 - Analyze capacity planning and performance metrics
- Security and administration processes – Network/Operating System/Databases
- Web security (if application is web-enabled)
- Software Change Control Process and Version Control
- Back-up and Recovery
- Business Continuity and Disaster Recovery
- Physical Security



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Application:

- Application Level Security Strategies
- User Administration – add, change and delete users
- Security logging
- Analysis of user roles and responsibilities –
 - Matching user roles to business requirements
 - Segregation of Duties
- Interface Controls
 - Identification of Interfaces
 - Review interface design and functionality
 - Interface testing process
 - Analyze interface testing results

Business Processes:

- Review project's analysis of business process requirements
- Identify potential business process improvements
- Analysis of future (“to-be”) business processes
- Application Customizations
- Transactional and cycle level business process controls
 - E.g. Data entry
 - E.g. Month/Quarter/year end closings
- Transaction audit trails – strategy

Change Management:

- Manage Users' Expectations
- Changes in Users' business processes

Communications:

- Project Steering Committee
- Key Management
- Project Team Manager(s)
- System Owners