

A SAP ERP Upgrade Checklist – Project Preparation

Upgrade Project Phase

Project Preparation

Definition

From the project perspective the project preparation phase includes:

- ▶ Learning about the new functionality in SAP ERP 6.0
- ▶ Performing the discovery process activities
- ▶ Creating and approving a clear business case or justification for the upgrade
- ▶ Defining the high-level business and IT requirements
- ▶ Defining a project plan and organization
- ▶ Clarifying the project goals and scope

The end of the project preparation phase means that a first quality gate has been passed. A high-level analysis has been carried out identifying how this project impacts other projects or business operations and what are the potential areas of risk.

Please check that the following criteria are fulfilled or completed in this phase.

Area	Description	Must Have	Done?		Risks/ Issues
			Yes	No	
Project Charter	Project goals and scope clearly described including: <ul style="list-style-type: none"> ▶ Business and IT requirements to be fulfilled ▶ Solution and systems in scope of upgrade 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Expected benefits described/Business case created	–	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Goals and scope approved by all key stakeholders	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Project Organization	Organizational project setup is defined including: <ul style="list-style-type: none"> ▶ Organization chart describing roles and responsibilities of the project team ▶ Project lead nominated ▶ Resourcing model defined ▶ Project sponsor and key stakeholders nominated ▶ Project status and reporting processes set up 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Upgrade Road Map	Description of a customer-specific road map exists for how to migrate from today's situation into a new landscape including: <ul style="list-style-type: none"> ▶ Sequence, timing and dependencies of system upgrades ▶ Important considerations / restrictions 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
High Level Project Plan	Definition of an upgrade project plan for individual systems completed including: <ul style="list-style-type: none"> ▶ Project phases, major tasks and milestones ▶ Links to other projects ▶ Rollout plan (strategy and timing) ▶ Effort estimation 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Test upgrade (sandbox system upgrade) planned and prepared	–	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
High-Level Solution Map	Overview of the source and target system/solution landscape created, identifying: <ul style="list-style-type: none"> ▶ System and solution landscape of SAP and non-SAP modules ▶ Most important interfaces ▶ Core business scenarios ▶ Major modifications or custom developments 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
High-Level Risk Analysis	Documentation of the results of an high-level risk analysis including: <ul style="list-style-type: none"> ▶ Overview of major areas of risks and efforts in the upgrade project ▶ Description of impact to other project activities and business operations ▶ Already known issues or solution specific challenges 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B SAP ERP Upgrade Checklist – Blueprint

Upgrade Project Phase

Upgrade Blueprint

Definition

From the project perspective the blueprint phase includes:

- ▶ Documenting of business process and IT requirements
- ▶ Describing business processes to be upgraded
- ▶ Completion of technical and integration design of future solution

At the end of this phase, all parties should have a common understanding of the scope, effort, schedule and outcome of the project, as well as the remaining challenges to overcome.

The end of the blueprint phase means that identified risks and issues have been reported, categorized, prioritized, and assigned to a responsible person. The top issues and risks must be carefully and monitored, and their potential impact on the project schedule and activities evaluated.

Please check that the following criteria are fulfilled or completed in this phase.

Area	Description	Must Have	Done?		Risks/ Issues
			Yes	No	
Detailed Project Plan/ Project Organization	Description of the overall project plan exists including: <ul style="list-style-type: none"> ▶ Project phases with milestones ▶ Project sequence and timelines ▶ Resourcing plan for each project phase ▶ Description of the required skill set of the project team for each project phase ▶ Setup of project organization, project teams 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Risk management concept defined including: <ul style="list-style-type: none"> ▶ Upgrade project risks identified ▶ Risk mitigation concept defined 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Training of project team done with regard to upgrade knowledge	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
System Management	Existing solution landscape (SAP modules and interfaced non-SAP systems, front-ends, hardware and operating system database versions) fully documented	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Target system landscape fully specified and assessed: <ul style="list-style-type: none"> ▶ Definition of target releases and platform ▶ Initial sizing ▶ Assessment of landscape compatibility 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Upgrade project system landscape defined (for example, number of development, quality assurance and test systems)	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Development system upgrade planned and prepared	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Test upgrade of sandbox system carried out, and issues and problem resolution documented	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Front-end update (SAP GUI) carried out	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Software Compatibility	Compatibility of all SAP and non-SAP software components with new release has been fully evaluated, including: <ul style="list-style-type: none"> ▶ Check of release status of technology stack (database and operation system) of upgraded system ▶ Compatibility with other SAP systems ▶ Check of certification of non-SAP add-ons with new release ▶ Proof of compatibility of non-SAP products with new release 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Additional technology, system landscape or application requirements because of compatibility issues have been defined		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Area	Description	Must Have	Done?		Risks/ Issues
			Yes	No	
Core Business Processes	Documentation of current core business processes available (as-is situation) including: <ul style="list-style-type: none"> ▶ Definition of criteria to classify business processes as mission critical 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Detailed description of the core business process changes available regarding: <ul style="list-style-type: none"> ▶ Classification of mission critical business processes with regard to upgrade impact ▶ Description of planned functional changes in course of upgrade ▶ Backup concept in case of critical issues and system outages ▶ Test concept, test scope and KPIs, and tools to be used for: <ul style="list-style-type: none"> – Integration tests – User acceptance tests – Others (e.g. performance tests) 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Change Management	Maintenance strategy during upgrade project period is defined including: <ul style="list-style-type: none"> ▶ Definition of temporary maintenance systems ▶ Adoption of transport management system (transport routes, object catalog entry) ▶ Dual maintenance concept 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Code freeze strategy is defined covering: <ul style="list-style-type: none"> ▶ Duration of code freeze period ▶ Allowed exceptions ▶ Set up change management procedure for exception handling 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Application Adjustment Plan	Plan exists for how to adjust custom developments, customizing and modifications to SAP standard including: <ul style="list-style-type: none"> ▶ Results of test upgrade of sandbox systems (SPAU, SPDD, etc.) ▶ List and description of the major business processes affected ▶ Concept for adjusting custom developments ▶ Concept for modification clearing ▶ Effort estimation for adjustments (including description of calculation method) test concept, test scope and KPIs and used tools for <ul style="list-style-type: none"> – Unit tests – Integration tests – User acceptance tests – Others (e.g. performance tests) 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Area	Description	Must Have	Done?		Risks/ Issues
			Yes	No	
Business Downtime	Definition of maximum business downtime and alignment with business organization, including <ul style="list-style-type: none"> ▶ Upgrade runtime results and first downtime estimates of sandbox test upgrade exist ▶ Impact described in case maximum business downtime is not met 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<ul style="list-style-type: none"> ▶ Backup/disaster recovery concept defined ▶ Concept for downtime optimization defined 				
System Sizing	System delta-sizing performed	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Security and Authorization	Adjustment and verification of security and authorization concept in the upgraded system landscape	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Interfacing and Data Migration Concept	Documentation of current interface landscape with focus on system to be upgraded including: <ul style="list-style-type: none"> ▶ Interface type (for example, RFC, batch input, ftp, EDI, PI) ▶ Overview of important modifications ▶ Throughput and performance requirements per critical interface ▶ Data validation concept 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Description of planned changes during upgrade including: <ul style="list-style-type: none"> ▶ New interfaces / enhancements ▶ Change of performance / throughput requirements 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Interface test concept exists covering: <ul style="list-style-type: none"> ▶ Critical interfaces ▶ Core business processes running across different systems ▶ Definition of integration test landscape 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Language and Globalization (Unicode) Requirements	Requirements for Unicode Conversion identified, covering: <ul style="list-style-type: none"> ▶ Additional system landscape requirements ▶ Unicode adjustments ▶ Downtime optimization ▶ System sizing 	–	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Training concept	Training strategy defined including: <ul style="list-style-type: none"> ▶ Training requirements and scope per role (key/end user, IT user, application management, etc) ▶ Training delivery methods (class room, eLearning, etc) ▶ Training organization <ul style="list-style-type: none"> – Timing of training courses – Definition of training content (curriculum) – Training schedule – Training logistics (trainers, location, systems, training material etc) ▶ Post-training <ul style="list-style-type: none"> – Check quality of training – Analyze feedback forms from trainees 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C SAP ERP Upgrade Checklist – Realization

This checklist is split into two parts to separate tasks happen earlier in the Realization phase, and tasks that happen towards the end of the phase.

C.1 Realization 1

Upgrade Project Phase

Upgrade Realization

Definition

From the project perspective this part of the upgrade realization phase includes:

- ▶ All necessary coding and adjustments and custom development checks have been completed and passed a first unit test in the development system
- ▶ For functional or strategic upgrades, extensions and new functionalities in the development system have been implemented

At the end of this phase, the development system should have been upgraded and the code freeze period should have started. As the next major project task is the upgrade of the quality assurance system and all implemented adjustments and enhancements will be tested by integration and acceptance tests, all test plans have to be completed in this phase.

In this phase, the major goal is to understand any serious open issues found during the development system upgrade and to check the completeness of test concepts and plans.

Please check that the following criteria are fulfilled or completed in this phase.

Area	Description	Must Have	Done?		Risks/ Issues
			Yes	No	
System Management	Development system successfully upgraded. Activities, issues and problem resolution documented in upgrade script	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Quality assurance system upgrade prepared		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Application Adjustment	Application adjustments and unit tests completed including: <ul style="list-style-type: none"> ▶ Corrections of conflicts with modifications (SPDD/ SPAU) ▶ Corrections necessary for Unicode conversion (optional) ▶ Security concept and authorizations adopted 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Open issues documented and action plan defined		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Upgrade change transports created		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Functional Enhancements	Functional enhancements have been implemented (if part of the project scope). This may include: <ul style="list-style-type: none"> ▶ Replacement of modifications and custom developments ▶ Extension or enhancement of existing functions ▶ Implementation of new functions and business processes 	-	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
General Test Plan and Schedule	Test plans exists for test phases	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	▶ Integration tests / interface tests	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	▶ User acceptance tests	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	▶ Performance / volume tests (optional)		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	▶ Technical system tests (upgrade and downtime)	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Test plans cover the following topics: <ul style="list-style-type: none"> ▶ Setup of system landscape, software, hardware etc. ▶ Definition of test cases ▶ Creation of test data (manually, eCatt, SAP TDMS) ▶ Detailed test schedule and execution plan with assignment of testers ▶ Tester training ▶ Setup of technical support in case of issues with test cases and handling ▶ Setup of correction process for error messages ▶ Test completion criteria for test cases and error message (by priority) ▶ Setup of test monitoring tools and result analysis reports ▶ Test sign-off procedure ▶ Escalation procedure in case of time critical issues and errors 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Area	Description	Must Have	Done?		Risks/ Issues
			Yes	No	
Integration Test/Interface Tests	Definition of integration test specific details completed including: <ul style="list-style-type: none"> ▶ Evaluation and setup of interfaces between SAP systems and non-SAP systems ▶ Involvement of business departments and IT from interfaced systems ▶ Verification of interface tests (performance, questions, work on upcoming issues) 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Load Tests	Definition of load test specific details completed including: <ul style="list-style-type: none"> ▶ Evaluation and definition of load test areas/processes ▶ Definition of expected performance KPIs ▶ Definition of load test tools ▶ Involvement of business departments that the test results will be accepted 	–	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
User Acceptance Test	Definition of acceptance test details completed including: <ul style="list-style-type: none"> ▶ Definition of scope and involved user roles ▶ Verification of adjusted security and authorization concept ▶ Sign-off criteria from business departments 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C.2 Realization 2

Upgrade Project Phase

Upgrade Realization

Definition

From the project perspective this part of the upgrade realization phase includes:

- ▶ End of all test activities. This includes all unit (developer) tests, application, interface, integration and load tests as well as all system tests and test upgrades (except for "dress" rehearsal test and final acceptance from business units).
- ▶ Upgrade of the quality assurance system in the production landscape.
- ▶ All test results documented and all issues either resolved or at least addressed.
- ▶ The test results have been used to create a draft cutover plan for the production system upgrade.
- ▶ A support and disaster handling concept for the production cutover has been defined.
- ▶ Definition of the target landscape for the production system and preparation (at least) of the system setup, in particular, verification of the target system sizing.

At the end of this phase, the results of the test phase should be understood and documented. Particularly, the business downtime tests should have been analyzed and measures taken to ensure that the downtime requirements will be met. The draft cutover plan should have been reviewed.

Any open issues should have been reported, categorized, prioritized, and assigned to a responsible person and have a defined action plan with a fixed deadline for resolution. The top issues and risks must be

carefully monitored and their potential impact on the project go-live evaluated. They might require additional and specific focus.

Please check that the following criteria are fulfilled or completed in this phase.

Area	Description	Must Have	Done?		Risks/ Issues
			Yes	No	
System Management	Quality assurance system successfully upgraded including: <ul style="list-style-type: none"> ▶ Activities, issues and problem resolution documented in the upgrade script (for cutover planning) ▶ Analysis and optimization of technical downtime completed to meet business downtime requirements 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Production system upgrade planned including <ul style="list-style-type: none"> ▶ Setup of target system landscape (including sizing verification) ▶ Planning of necessary changes system operation 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Integration Test Results	Integration tests completed	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Detailed review of test results exists describing: <ul style="list-style-type: none"> ▶ Fulfillment of test KPIs and completion criteria ▶ Coverage of business critical processes and interfaces ▶ Open issues and action plan ▶ Test sign-off decision 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
User Acceptance Test Results	User Acceptance tests completed	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Detailed review of test results exists describing <ul style="list-style-type: none"> ▶ Fulfillment of test KPIs and completion criteria ▶ Coverage of business critical processes ▶ Open issues and action plan ▶ Test sign-off decision 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Load Test Results	Load tests completed (optional)		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Detailed review of test results exists describing <ul style="list-style-type: none"> ▶ Fulfillment of test KPIs and completion criteria ▶ Open issues and action plan ▶ Test sign-off decision 		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Test Management (General)	Final test phase sign-off decision	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cutover Plan	Draft concept defined for the cutover phase including: <ul style="list-style-type: none"> ▶ Objectives for production cutover ▶ Detailed production cutover plan including <ul style="list-style-type: none"> – Action sequence, timing and staffing – Estimation of expected time for cutover – Setup of criteria to decide if cutover is successful – Business sign-off procedure for successful cutover ▶ Communication plan for production cutover ▶ Escalation procedure ▶ Cutover support process ▶ Disaster recovery plan ▶ Setup of system landscape for test and live cutover 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Area	Description	Must Have	Done?		Risks/ Issues
			Yes	No	
Support Concept for Stabilization Phase	Concept defined to support end users after upgrade including: <ul style="list-style-type: none"> ▶ Staffing of additional support resources (internal/external) ▶ Issue reporting ▶ Definition of escalation paths / service level agreements 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Performance KPIs in upgraded production environment defined: <ul style="list-style-type: none"> ▶ Average response times ▶ Maximum response times for critical business process steps ▶ Throughput requirements of critical mass processes 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Disaster Recovery	Concept defined for disaster handling (worst case scenario during go-live and subsequent production phase) covering: <ul style="list-style-type: none"> ▶ Setup of adoption disaster concept (fallback strategies) ▶ Training for end users, IT etc – what to do 	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

D SAP ERP Upgrade Checklist – Final Preparation for Cutover

Upgrade Project Phase

Final Preparation for Cutover

Definition

From the project perspective the final preparation for cutover phase includes:

- ▶ Final test activities.
- ▶ Resolution of any critical issues (and documented in the upgrade script).
- ▶ Creation of the cutover plan, based on the results and experiences of the tests.
- ▶ A (optional) dress rehearsal test upgrade has been performed based on this cutover plan.

The next milestone in the project is the sign-off of the technical upgrade of the production system, which includes the go/no go decision by the project sponsor/key stakeholders and the confirmation of the cutover plan.

At the end of this phase, you should have made sure that the top issues found in the previous phases have been resolved and that any existing risks can be mitigated. Any outstanding issues should have been identified and their impact on the project go-live should be clear.

Please check that the following criteria are fulfilled or completed in this phase.

Area	Description	Must Have	Done?		Risks/ Issues
			Yes	No	
System Management	Final dress rehearsal test based on cutover plan performed	–	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Backup and recovery plan tested for production environment	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Final system check before go-live carried out System parameterization completed and check Final check and documentation of results done	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cutover Plan	Cutover plan completed and prerequisites met	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Go-live support for upgrade weekend and post-upgrade phase set up including Staffing and time schedule of support resources Emergency contact details and escalation procedures	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Criteria to be able to decide about a successful upgrade at cutover weekend defined and confirmed including: ▶ Definition of team for business sign-off ▶ Definition and confirmation of the criteria by steering committee and business sign-off team ▶ Definition of timing for business sign-off	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Sign-off Start of Technical Upgrade	Cutover plan confirmed by steering committee	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Go/no-go decision for start of production cutover (go-live) taken	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

E SAP ERP Upgrade Checklist – Production Cutover & Support

Upgrade Project Phase

Production Cutover & Support

Definition

From the project perspective the production cutover and support phase includes:

- ▶ The upgrade of the production system
- ▶ Final sign-off by project management including project sponsor, key stakeholders, and business process and IT owners

The major goal of this milestone is to ensure that the core business processes function in the production system landscape. For this purpose final acceptance tests by IT and business users should be carried out. If the upgraded solution cannot be released, the system landscape has to be restored to the status prior to the upgrade.

At the end of this phase, it has to be ensured that any issues occurring during the production upgrade have been analyzed and the impact for the start of production is understood and clearly described. This information has to be provided as input for the final business sign-off.

Please check that the following criteria are fulfilled or completed in this phase.

Area	Description	Must Have	Existing		Risks/ Issues
			Yes	No	
Business Sign-off of technical upgrade	Validate successful upgrade at cutover weekend against original project and cutover objectives	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Identify and document deficiencies in the final solution and describe action plan for resolution.	X	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Collect feedback and experiences from project and record it for further projects.	–	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>