5.0 US-VISIT TRANSITION AND SEQUENCING STRATEGY

Our transition and sequencing strategy, developed from our border management and large-scale deployment experience, reduces risk and accelerates operational acceptance.

Large programs rarely fail due to technology; more often, human factors and organization change issues are the problem. Transition is the highest risk area for US-VISIT. The four key success factors required to mitigate this risk are:

- Understanding of the Point of Entry (POE) environment
- Experience in border management programs
- Experience in large scale deployments
- Organizational Change Management (OCM) expertise

The Smart Border Alliance has extensive experience with Government agencies and large scale transitions. This collective experience led to the development of our Principles of Transition, shown in Figure 5-1, that represent the core of our transition and sequencing strategy. These principles are

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based on our work at Department of State/Consular Affairs Consular Lookout and Support System (CLASS) program b(4), US Postal Service Delivery Operations Information Service (DOIS) program b(4), FAA STARS program delivering 84 systems, b(4), and the EOSDIS Core

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Figure 5-1. The Smart Border Alliance b(4)

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System (ECS) program for NASA. We delivered these systems without any interruption to either existing users or services that these agencies provided.

Our transition and sequencing (T&S) strategy shown in Figure 5-2 addresses ▮▮▮ **b(4)** ▮▮▮ All these components influence the Transition Planning And Execution (TP&E); TP&E continues throughout the program execution as part of End Vision increments. The Figure also outlines processes that are both technology and people based. For instance, ▮▮▮ **b(4)** ▮▮▮

Through our past experiences, we have built processes into our T&S strategy that enable us to effectively address the challenges related to minimizing transition impact on current systems and its users while maintaining business focus. Business Focus and Minimization of Operational Impacts are common to all components involved.

The following key characteristics of our T&S strategy highlight both their interaction and the usage of ▮▮▮ **b(4)** ▮▮▮
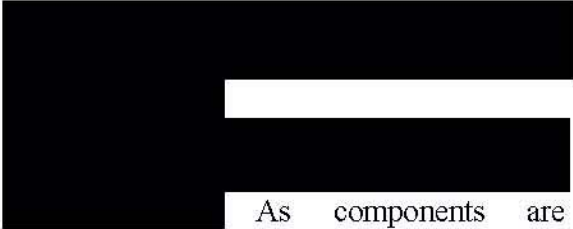

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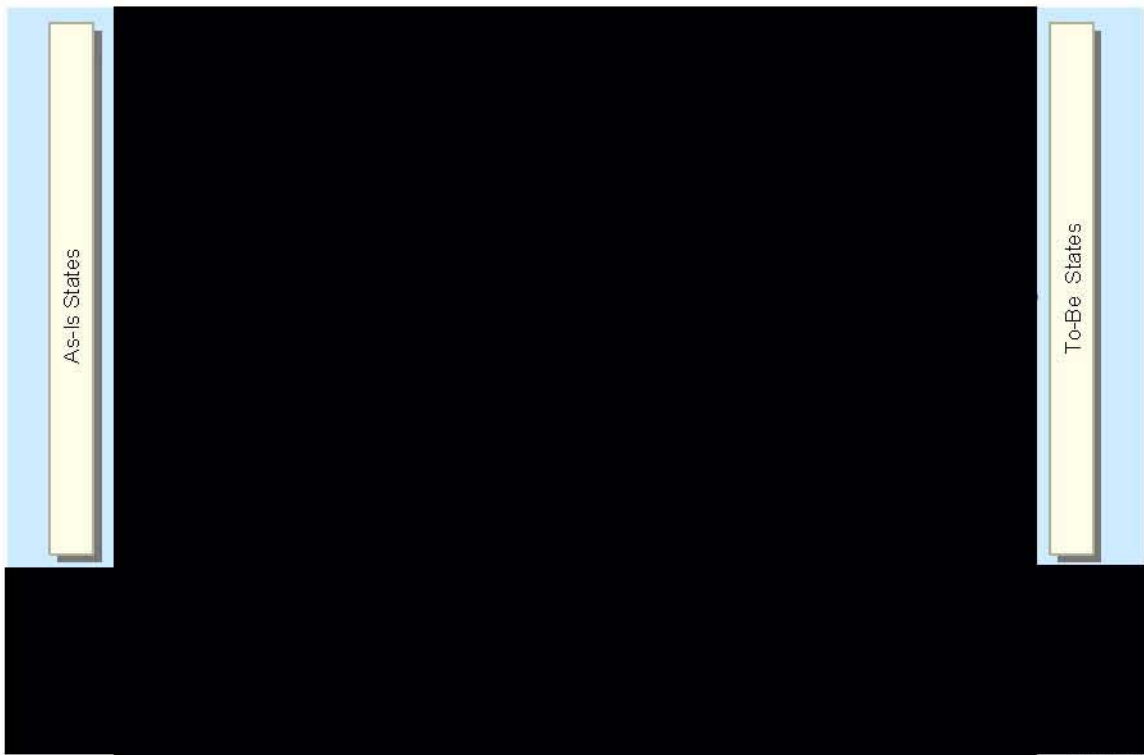
*Figure 5-2. Our transition and sequencing strategy* ▮▮▮ **b(4)**

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As components are interdependent, a decision made for one component may affect other components. For instance, if a business capability implementation is deferred for any reason, it directly impacts the decision to make any infrastructure and organization changes

Business Case Driven Sequencing Strategy. Paragraph 2.2 Incremental Release Strategy describes our baseline release plan. The release plan, developed using the sequencing strategy shown in Figure 5-3, meets business requirements and goals known at this time. But policies, funding, priorities, and even business goals can change over time. Therefore, this sequencing process, executed at the beginning of each increment as part of Increment Release Planning, addresses changes that may occur.
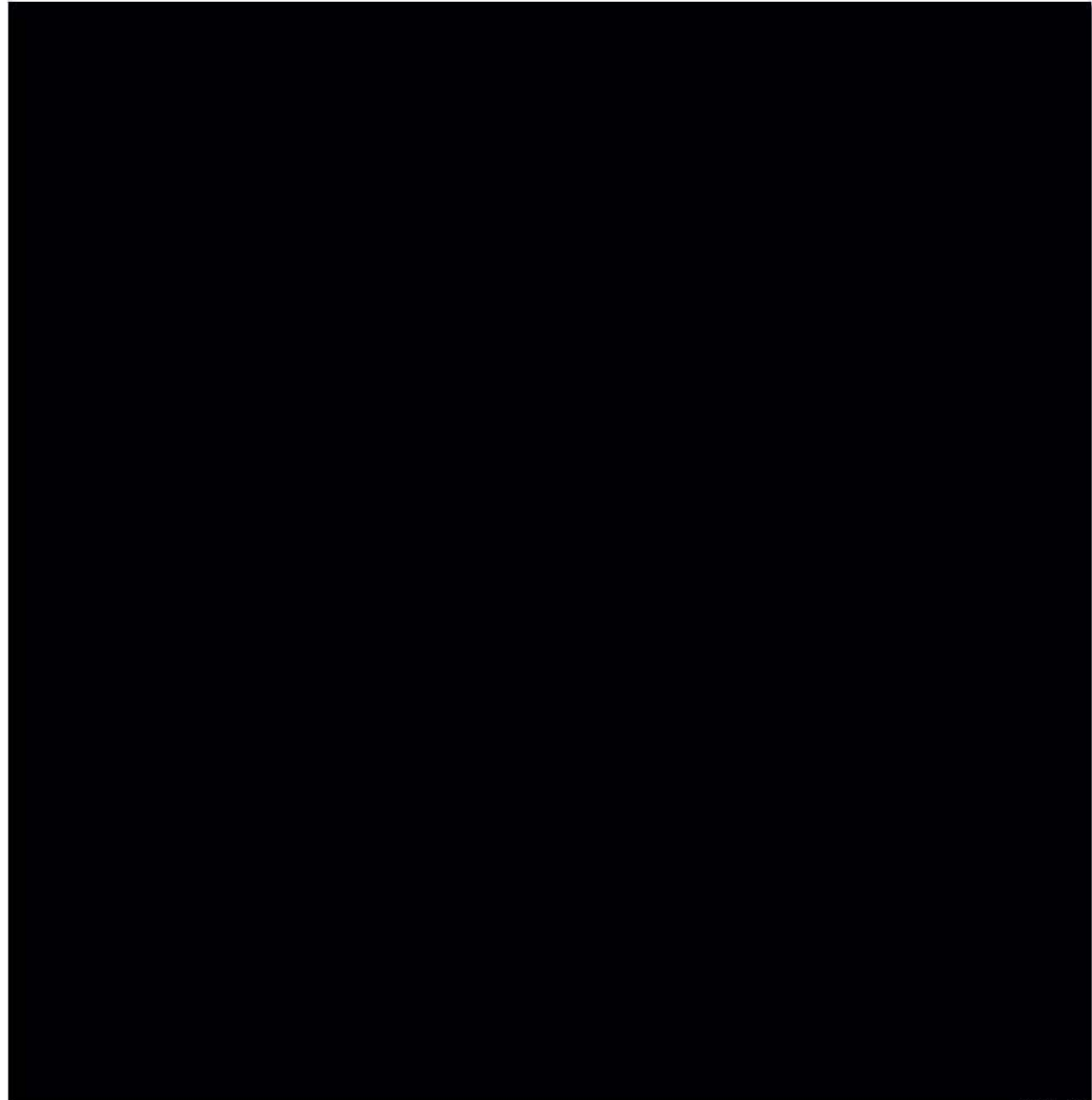
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Figure 5-3. Our sequencing process, b(4)

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We follow the Capital Planning and Investment Control (CPIC) process so that funds can be approved for task orders under the US-VISIT program. The sequencing process shown in Figure 5-3 directly supports the Select Phase of the CPIC process. The business goals are defined based on the DHS mission and strategic goals. Outputs from the Cost Estimation, Business Modeling, Organizational Change Management (OCM), performance modeling, and risk analysis provide the needed inputs for scoring the task order associated with the increment.

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Our Principles of Transition drive this process, which includes alignment with the HLS Enterprise Architecture (EA). In addition, the technical solution includes reusable patterns and/or components from the HLS EA. Since the availability of COTS and reusable components significantly reduce the risk and cost of implementing a system, COTS and reusable component availability are inputs to this process. For example,

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the transition plan.

5.1 Transition Process and Framework

Our transition framework, shown in Figure 5-4, addresses business processes and hardware and software requirements. The transition process within this framework has four phases that apply to different types of deployment scenarios including POE and MOC release deployments during each increment. In our ELCM, this transition process starts during Increment Planning and extends past Installation into Operations & Maintenance.

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Communications with the stakeholders minimize risk and operational impacts to users by addressing stakeholder concerns.

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b(4) *Figure 5-4. Our transition process and framework,* **b(4)**

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Local support provides additional resources to address localized problems and provides local area stakeholder management and communications. Local support staff addresses local user and facility concerns to improve acceptance while simplifying the transition process.

5.2 Minimal Operational Impacts To Users, Business Functions, and Facilities

We carry out a comprehensive set of transition activities throughout the program lifecycle to minimize operational impacts to users, existing business functions and existing facilities. Figure 5-5 shows these activities and when they are performed. A key feature is
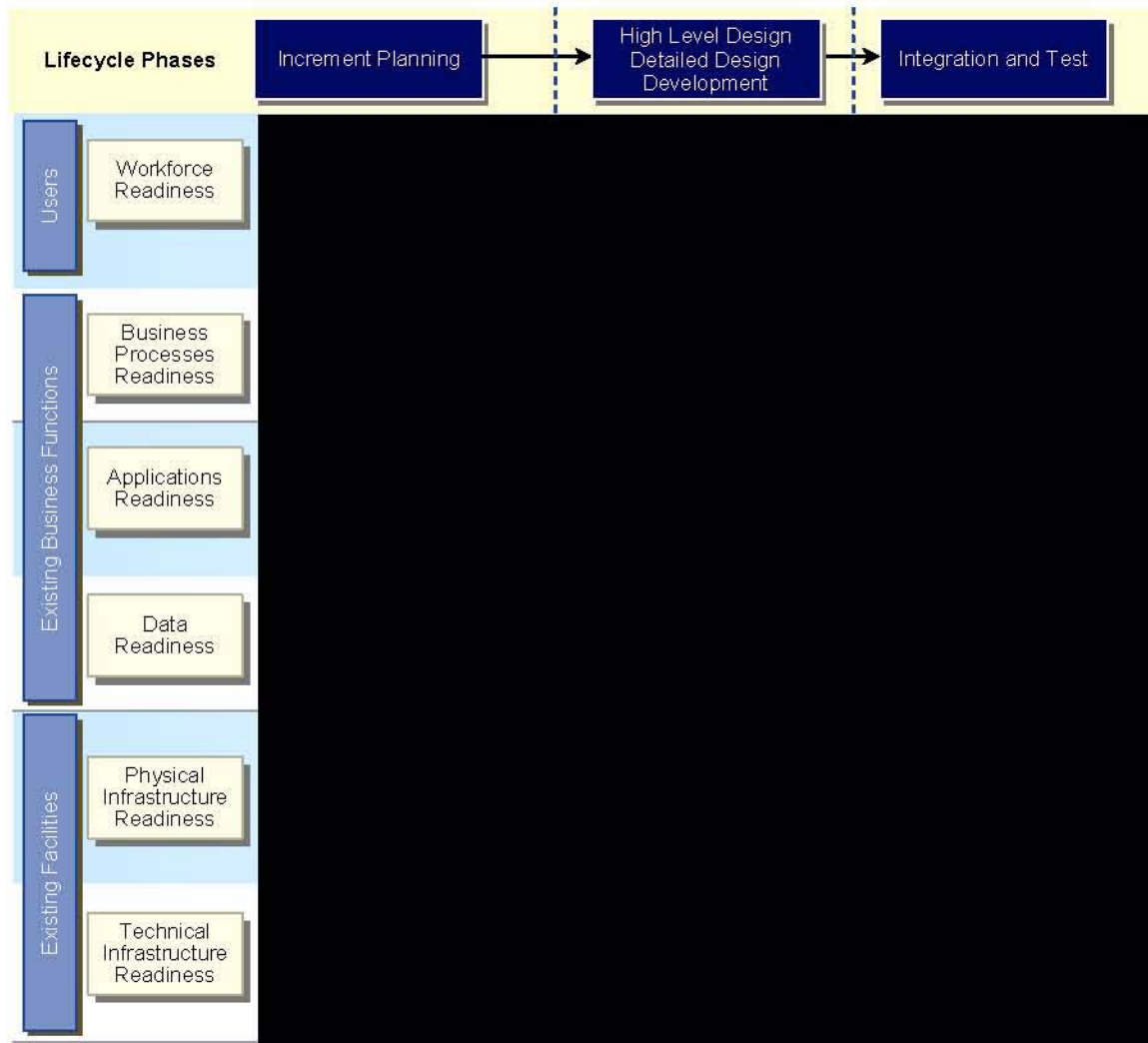
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For example,

5.3 Organizational Change Activities

Organizational Change Management (OCM) activities are built into our transition process. As shown in Figure 5-5, the Workforce Readiness activities are part of our OCM process that also includes outreach and communications, stakeholder management and training for managing resistance to change. To enhance outreach and communications, our approach

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Figure 5-5. We plan *transition activities throughout the lifecycle*

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Section 6.0 discusses our Communications and Outreach approach in more detail.

Both Government and Alliance Subject Matter Experts (SMEs) also support organization change management by

5.4 Transition Strategy for Deployment

The first step to developing a successful transition strategy is to understand the key challenges and be able to mitigate them. Figure 5-6 shows the

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Stakeholders

- DHS Program Office
- DHS Agencies
  CBP/ICE/CIS/TSA
  USCG/S&T/FLETC
  DMIA
- Other agencies
  DoS/DoT/DoC/DoJ/
  GSA
- Intelligence
  Community
- Other countries
- State and Local law
  enforcement
- Traveling Public
- Local Business
  Community
- Commercial
  Transportation
- DHS Unions
- Mexican/Canadian
  Border Agencies

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Figure 5-6. Our transition strategy for deployment addresses challenges with mitigation strategies that reduce risk

major stakeholders for transition, the key challenges, and appropriate mitigation strategies. A key transition risk mitigation strategy is the use of a model POE for thoroughly testing the application prior to deployment as shown in Figure 5-7. The model POE contains the same type of equipment that an operational POE contains. For example, the model land POE includes a traffic lane, POE inspection booth, RFID reader, typical computer hardware, software, and network connections.

We use the model POE to test the deployment in an operational environment without affecting actual operations. We confirm the business processes, test and evaluate training, check the interfaces to legacy systems, and even test performance. For example,

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Figure 5-7. We thoroughly test the application

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This approach minimizes the risk of adversely affecting existing operations during deployments.

5.5 Deployment Training

Our deployment training process is shown in Figure 5-8. We collect feedback at the end of each training session and use it to improve the class for subsequent sessions. Training, like transition, is planned for and designed from the start.

For example, increment 4 has a significant impact on the large population of primary inspectors and their management at land POEs

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Figure 5-8. Our training process is

This user population of land POE inspectors is not significantly impacted again until we deploy

these capabilities impact airports and CIS officers rather than land POE officers. Section 2.0 has more detailed information on our incremental release strategy. As mentioned in paragraph 5.1, the post implementation support phase of our transition strategy involves training the operations and maintenance support personnel for a smooth transition of support functions. The workforce readiness activities, along with the use of the model POE for early usability testing, prepare end users for operations with the new processes and infrastructure.

5.6 Transition to Operations and Maintenance Support

We manage transition to Operations and Maintenance (O&M) Support with a process that starts in the Enterprise Planning phase of our ELCM with the development of the Principles of Transition and the overall transition strategy. Figure 5-9 shows activities associated with this transition. Transition considerations play a key role in the selection of business goals to be satisfied in the increment and the technical solution.
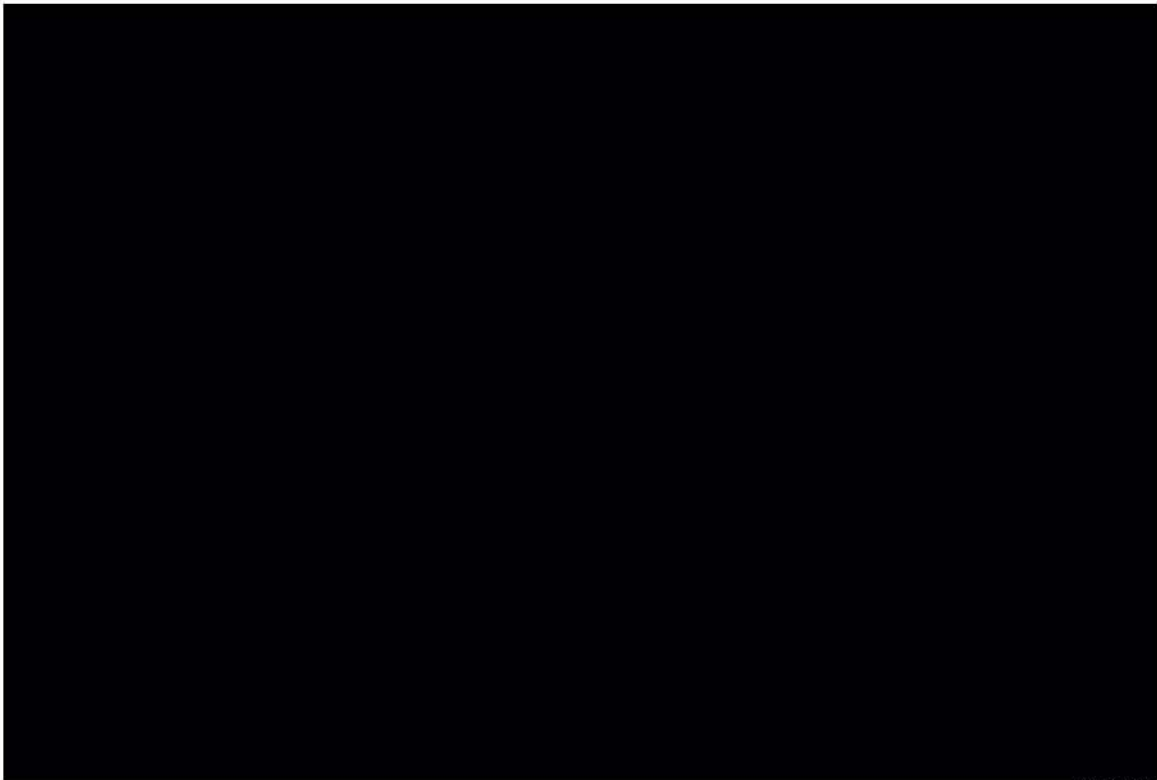
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Figure 5-9. We focus on transition throughout the lifecycle of the program, b(4)

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We use the same approach for transitioning to operations, and transitioning O&M to the owning organization. Transitioning O&M starts with the transition strategy defined during the planning phase. OCM including stakeholder management and outreach processes are applied throughout the transition. Training for O&M personnel is developed and provided to the owning organizations' O&M staff.

Our sequencing, deployment and transition approach is based on extensive experience and includes training, outreach, communications and transition to operations and maintenance. This experience-based approach provides a low risk solution to incrementally delivering the US-VISIT end vision.

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