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Office of the Chief Information

Officer Enterprise Architecture Program Office



Consolidated Transition Strategy Plan

February 2008



U.S. DEPARTMENT OF LABOR Consolidated Transition Strategy Plan FY 2008

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Introduction

The Department of Labor (DOL) fosters and promotes the welfare of the job seekers, wage earners, and retirees of the United States by:

- improving their working conditions;
- advancing their opportunities for profitable employment;
- protecting their retirement and health care benefits;
- helping employers find workers;
- strengthening free collective bargaining;
- tracking changes in employment, prices, and other national economic measurements.

In carrying out this mission, the Department administers a variety of Federal labor laws including those that guarantee workers' rights to safe and healthful working conditions, a minimum hourly wage and overtime pay, freedom from employment discrimination, unemployment insurance and other income support.

In support of this mission, DOL has implemented an Enterprise Architecture (EA), modernization blueprint, which depicts the current baseline environment as well as the target, proposed, architecture. Performance goals are identified which will be achieved by successfully transitioning to the target architecture. A transition strategy plan defines the method of migrating from the baseline to the target architecture, and the achievement of performance goals. The EA consists of three levels of architecture, each providing varying levels of detail. Over the last two years, DOL has defined segment architectures which are integrated through the use of existing enterprise tools enabling the identification and integration of core services across DOL agencies, and even across non-DOL government agencies. Figure 1 depicts the three tier EA structure and related factors of a transition plan.

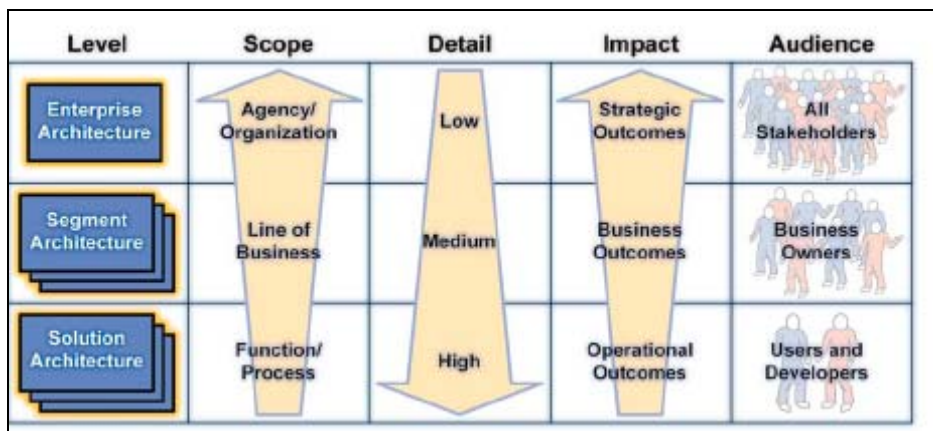


Figure 1 Transition Strategy Plan and Approach



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The EA Transition Strategy Plan (TSP) is a critical component of an effective EA practice. It describes the overall plan for how an organization will achieve its target “to-be” EA within a specified timeframe. Also, the TSP helps to define logical dependencies between transition activities (programs and projects) and helps to define the relative priorities of activities. To achieve performance goals specific to the functionality defined by the segment, transition strategy plans have been developed for enterprise segment areas. The segment area EAs are provided under separate cover as Segment Detail summaries. These Segment Detail documents provide the architecture as well as the transition plan for specific segments.

This document describes the process for developing and managing transition strategy plans at DOL.

Figure 2 depicts DOL’s core, business service, and enterprise segments, as they relate to DOL Agencies.

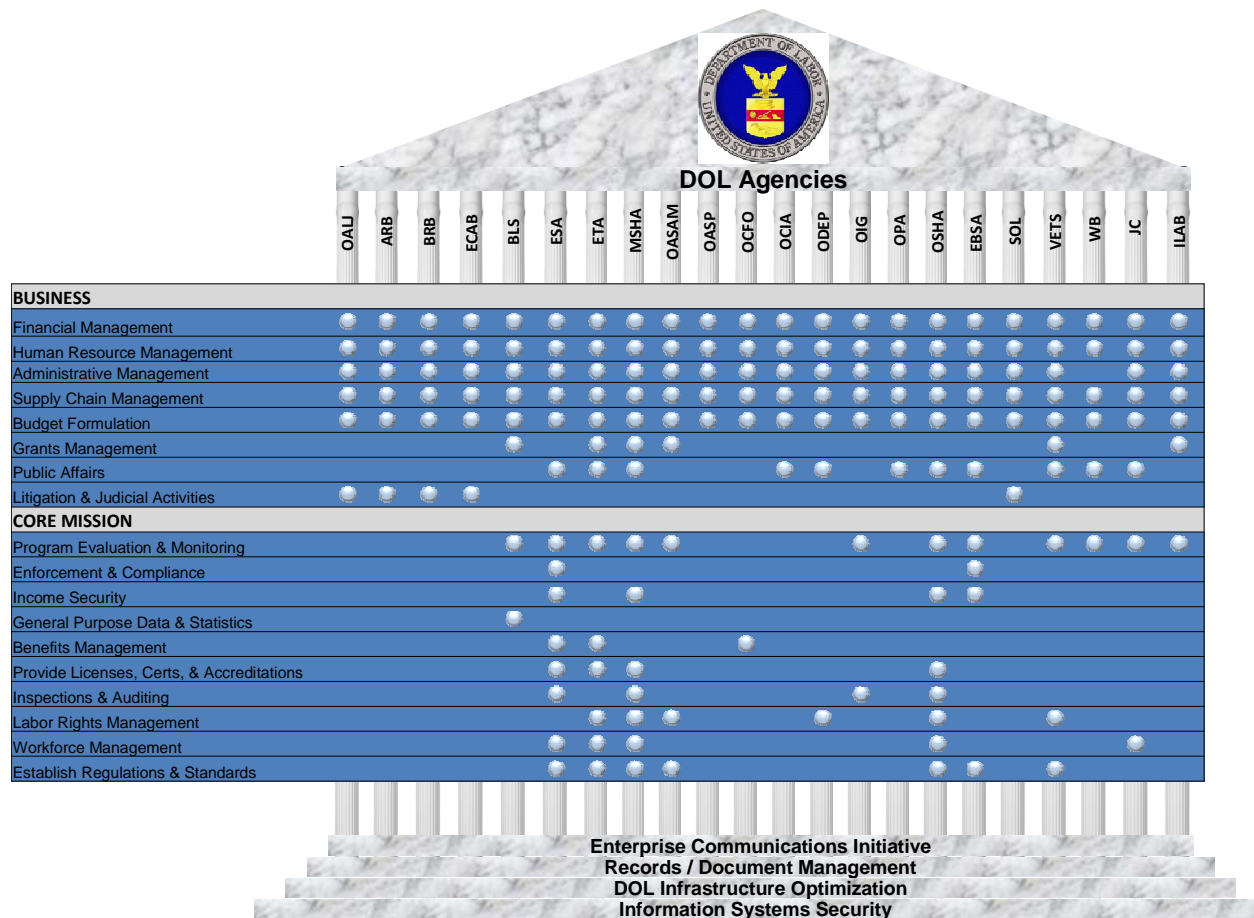


Figure 2 DOL Core Mission, Business Service, and Enterprise Segments



1 Transition Plan Strategy and Approach

The DOL Transition Strategy Planning process is designed to clearly identify and articulate the resources, timelines and approach necessary to successfully achieve the Department’s vision and strategic goals. This process focuses on developing a comprehensive definition of the Department’s mission, vision, and strategic plan as reflected in its current architecture, target vision and direction and performance gap analyses. An illustration of the DOL Transition Plan is shown in Figure 3 and describes associated inputs, outputs, and related processes.

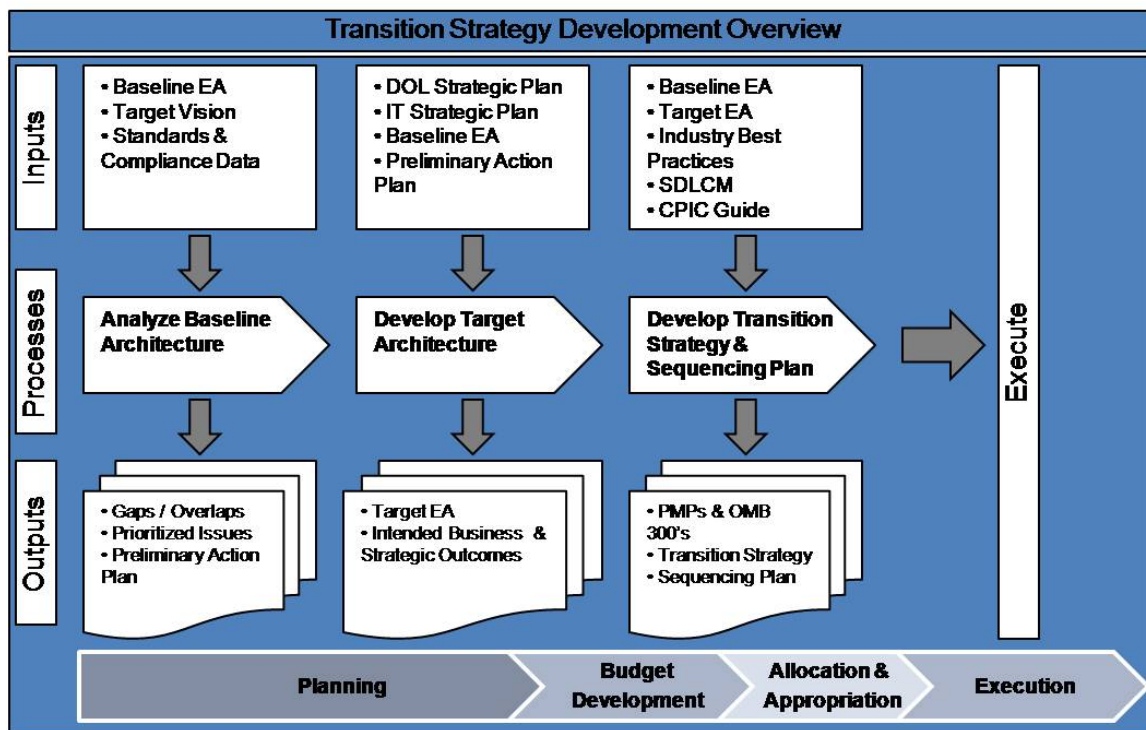


Figure 3 Transition Strategy Plan and Approach

1.1 Actionable Transition Strategy Plans

The objective of the Transition Strategy Plan is to outline how the Department will move from the existing baseline architecture to the target architecture. The plan considers the managerial, operational, social (culture) and technical aspects of change facing DOL. The Plan sets forth a group of projects that address all of the opportunities for improvement, required business and technology prerequisites and their inherent inter-dependencies. In addition, the plan integrates the relationship of projects to the objectives found in the Department’s Strategic Plans and direction.



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1.2 Transition Strategy Planning Steps

The steps involved in developing the transition strategy plan at DOL are listed in Table 1. These steps are executed in conjunction with the DOL Capital Planning and Investment Control (CPIC) process and provide valuable input to the development of effective investment business cases and the DOL CPIC process.

Table 1 Transition Strategy Planning Steps

Sequence	Step description
1	Identify the target EA vision to which the organization will transition. The Target EA is the end-result of the Transition Strategy Plan.
2	Grade the criticality and impact according to the criticality of the function to DOL's mission, the number of agencies affected (by High number (H), Medium number (M), and Low number (L) and what the impact of the function is on the business of DOL.
3	Provide gap analysis to identify the gaps between the baseline and target architecture. Gaps should include all layers of the architecture, business, data, application, performance, security, and technology.
4	Develop alternative solutions and identify the best alternative solution. This alternative analysis should consider areas for consolidation or reuse across the Department, the agency and across the federal government. It should also consider commercial solutions.
5	Perform Decommission Interface, Integrate, Re-engineer and Transition (DIIRT) analysis to determine the final disposition of baseline applications that function similar to the target application, and are affected by its transition.
6	Document assumptions and constraints. Assumptions allow for the visualization of potential components that may affect the development of a particular artifact, consolidation efforts, alignment with the EA, etc
7	Constraints identify and potentially restrict decisions
8	Map the dependencies between programs and projects and ensure that the timeline considers the dependencies.
9	Identify the performance goals and measures of the plan.
10	Define clear, measurable milestones at regular intervals throughout the transition.
11	Use the DOL SDLCM approach to develop phases and deliverable requirements.



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2 Monitoring the Transition Plan for Success

2.1 Outcome Based Performance Measures

DOL has placed a substantial emphasis on the performance of all its initiatives. Outcome based performance measures are identified for all segment architecture as depicted in Appendix C - Segment Architecture Reports. These measures ensure that IT investments directly support DOL and Agency strategies and programmatic goals. These measures are continually monitored throughout the implementation to ensure that they are still achievable. These measures are re-evaluated quarterly during the development and implementation process through the CPIC process as depicted in Appendix D – Segment Performance Results.

2.2 Project Performance Measures

The Systems Development Life Cycle (SDLC) is used by DOL employees and contractors to implement information technology projects. This structured and phased approach allows for implementing and using Earned Value Management (EVM). Earned value management ensures that the project is not only within budget and on schedule, but the anticipated deliverables and outcome are available at each phase of the project.

2.3 Capital Planning and Investment Control

Selected during the Capital Planning and Investment Control (CPIC) “Select” phase are investments that have outcome based performance measures, provide excellent business cases and document the project and investment management characteristics that will contribute to the ability to meet performance goals. Characteristics of a good business case include alternatives analysis, identification of cost savings and/or potential cost avoidance, risk identification and mitigation strategy development and an understanding of the total cost of ownership. During the “Control” reviews, investments are updated and reviewed for changes and consistent ability to continue to achieve goals. A corrective action plan may be developed if problems or issues arise.



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2.4 Project Management

The Office of the Chief Information Officer (OCIO) reviews investments to determine the overall strength of their business case. OMB requires that investments meet criteria in many areas including effective alternatives analysis, cost/savings and avoidance, whether the business case is aligned with strategic performance goals and whether the investment results will be measurable. OCIO requires that investments have a Project Management Plan that identifies how the solution architecture activities will support overall EA activities. In addition, the CIO requires investments maintain a Work Breakdown Structure (WBS) which include solution specific architecture activities in alignment with the overall EA activities and that incorporate further development of performance metrics.

2.5 Risk Management and Risk Mitigation Strategies

The high-level risks and appropriate mitigation strategies, as seen in Table 2, apply to most DOL Business Functions. Although risks affecting cost, strategy, mission, resources, technology, security and business have been identified for each Function through the DOL CPIC, Governance and SDLCM processes, the risks listed in this section are high-level summary items that can affect all of the functions discussed in this document. These overarching risks are accompanied by strategies that have been employed or defined by DOL to limit or negate the impacts of the risks listed. Detailed risks and mitigation strategies have been captured for each DOL function/Information Technology (IT) investment.

Table 2 Risks and Mitigation Strategies

Major Risks	Likelihood	Consequence/ Impact	Risk Mitigation Strategy
Program management of multiple, simultaneous initiatives will be difficult	High	High	Develop and implement a rigorous program management program
Lack of a definite start date in the schedule may prevent timely preparation of budget requests and workforce planning	Medium	High	Develop well-defined start dates
Inadequate network/infrastructure support	Low	High	Estimate network capacity, projected network load, and implement plans to remove capacity shortfalls, if any Agencies need to carry out a detailed analysis of their network/infrastructure capabilities in order to successfully implement the recommendations
User participation/acceptance	High	High	Project sponsorship should be co-chaired by senior business



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Major Risks	Likelihood	Consequence/ Impact	Risk Mitigation Strategy
may remain low due to the lack of training or resistance to adopt a new system			and IT leaders Encourage use of the system through internal control procedures and user training Ensure that new systems are a step forward in term of the capability and usability afforded Identify and remedy problems with current project to decrease resistance to future projects
System might not be scalable to meet increased traffic resulting from an increase in user base	Low	Low	Select a scaleable system Test run the system for peak load handling capability before final implementation
Unrealistic schedules	High	High	Develop a detailed project management plan and monitor it closely Link project budgets to schedule and overall performance
Legacy systems integration and legacy data migration can significantly increase scope of the project	Medium	Medium	Develop a detailed legacy data integration plan if appropriate to validate scope and associated risk Establish data and interface standards as necessary. Needs met by legacy systems need to be identified and sound plans to address those needs must be developed either through the Target application directly or through integration of the legacy system with the new application
Dependence on contractors	Medium	Medium	Ensure adequate system documentation to enable, in part, switching contractors to ensure that competitive bids can be solicited Develop a strong internal project management team
Lack of adequate participation	High	High	Create integrated project



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Major Risks	Likelihood	Consequence/ Impact	Risk Mitigation Strategy
from agencies in developing functional requirements			teams with representation from agencies' business coordinators Seek joint sponsorship of project by business and technology leaders
Frequent change requests from business even after requirements have been finalized	High	High	Institute a DOL-wide change/configuration control board that will have final approval for all changes Institute charge-back mechanism for processing change requests
The current implementation plan is based on a target logical environment, which can have substantial changes when the physical architecture is developed	Medium	Medium	Define the physical architecture prior to any significant development, and revise the implementation plan accordingly
Enterprise- and Program-wide project initiatives can fail due to lack of senior management support at the initiation of the project or declining support during the out-years of a long-term project.	Low	Low	Three strategies are recommended to address this risk: Implement a change management program to include senior management briefings Constitute a steering committee composed of senior management to oversee and advise the implementation Establish a long-term funding program
Historically, implementations of complex, enterprise-wide applications have significant failure rates	Medium	High	A modular implementation approach leveraging prototypes and pilots is proposed to ensure a common understanding (and validation of assumptions) early in the process. Prototypes and pilots also help mitigate resistance to change



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Major Risks	Likelihood	Consequence/ Impact	Risk Mitigation Strategy
Stakeholders may dictate specific IT/process changes that are inconsistent with the recommended target and may hamper longer-term efforts	Low	Low	Constitute a DOL-wide change control board that will have final approval authority for all proposed changes
Unforeseen technical problems related to decommissioning and transitioning to new applications might impact the project schedule	Medium	Medium	Start the decommissioning and transition process early in the implementation life cycle Develop contingency plans



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3 Federal Transition Framework

Using a simple and organized structure, The Federal Transition Framework (FTF) catalog is single information source for cross-agency IT initiatives. It contains government-wide IT policy objectives and cross-agency initiatives.

The FTF Catalog is used to provide information to agency decision-makers implementing cross-agency initiatives guidance to working groups developing cross agency initiative architectures.

DOL is actively using the Federal Transition Framework to:

- Identify opportunities for cross-agency collaboration and consolidation.
- Update the DOL EA Program Plan to incorporate tasks to develop or update agency enterprise architecture work products.
- Update the DOL target enterprise architecture to reflect cross-agency initiatives.
- Conduct gap analysis between current and target architecture to identify gaps in the current implementation of cross-agency initiatives.
- Update the DOL EA Transition Strategy to incorporate tasks, activities and milestones to close gaps between current and target architecture.

The DOL Consolidated Target EA FY2008 discusses these cross agency initiatives.

Table 3 depicts the FTF Cross Agency Initiatives at DOL.

Table 3 FTF Cross Agency Initiatives at DOL

FTF Cross Agency Initiative	DOL Initiative
Budget Formulation and Execution Line of Business	Departmental Electronic Budget System (DEBS)
Case Management Line of Business	eJudication
E-Travel	E-Gov Travel
Financial Management Line of Business	New Core Financial Management System (NCFMS)
Grants Management Line of Business	eGrants
Homeland Security Presidential Directive-12	HSPD-12
Human Resources Line of Business	Human Resources Line of Business (HRLOB)
Internet Protocol Version 6	IPv6
IT Infrastructure Optimization Line of Business	Department of Labor Infrastructure Optimization (DIO)
Security	DOL's Security Line of Business



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APPENDIX A – ACRONYMS

Abbreviation	Term
CEA	Chief Enterprise Architect
CPIC	Capital Planning and Investment Control
DOL	Department of Labor
DEBS	Departmental Electronic Budget System
DIO	Department of Labor Infrastructure Optimization
EA	Enterprise Architecture
EAPO	Enterprise Architecture Program Office
EASC	Enterprise Architecture Sub-Committee
EVM	Earned Value Management
FEA	Federal Enterprise Architecture
FEAPMO	Federal Enterprise Architecture Program Management Office
FTF	Federal Transition Framework
GAO	Government Accountability Office
HRLOB	Human Resources Line of Business
IPV6	Internet Protocol Version 6
IT	Information Technology
ITASC	Information Technology Architecture Sub-Committee
ITSSC	Information Technology Security Sub-Committee
LEAP	Labor Executive Accounting Program
MRB	Management Review Board
OCFO	Office of the Chief Financial Officer
OCIO	Office of the Chief Information Officer
OMB	Office of Management and Budget
SDLCM	System Development Life Cycle Management
TRB	Technical Review Board
TSP	Transition Strategy Plan
WBS	Work Breakdown Structure



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Appendix B – Cost Savings and Avoidance

The table below provides a summary of cost savings and avoidance by segment area. Detailed segment packages are attached for DOL segments.

Cost Savings by Segment Area							
	FY2004	FY2005	FY2006	FY2007	FY2008	FY2009	FY2010
Business Segment							
Area Core	(\$138,655.73)	\$3,372,272.53	\$7,302,212.86	\$1,831,721.21	\$6,042,012.24	(\$11,051,862.57)	\$6,465,942.62
Enterprise Segment							
Area	\$143,537,894.40	\$167,186,378.80	\$155,274,970.00	\$141,604,501.17	\$5,964,292.55	(\$1,917,803.53)	\$17,540,880.70
TOTAL	\$148,957,238.67	\$173,528,651.33	\$165,428,182.86	\$149,755,222.38	\$20,995,405.28	(\$5,436,261.59)	\$33,266,621.97

Cost Avoidance by Segment Area							
	FY2004	FY2005	FY2006	FY2007	FY2008	FY2009	FY2010
Business Segment							
Area Core	\$4,970,000.00	\$10,735,056.00	\$14,891,621.28	\$30,225,551.97	\$30,340,348.87	\$37,298,433.14	\$38,529,661.87
Enterprise Segment							
Area	\$315,202,500.00	\$159,266,000.00	\$81,429,528.90	\$97,241,654.90	\$24,673,109.83	\$44,199,356.53	\$46,534,806.73
TOTAL	\$322,742,250.00	\$172,299,806.00	\$98,647,150.18	\$131,071,028.87	\$59,470,590.70	\$85,301,402.91	\$88,895,671.81



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Appendix C – Segment Architecture Reports

(REDACTED)



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Appendix D – Segment Performance Results

(REDACTED)