SWIFT FY21 Enhancements

PROJECT CHARTER Template v1.5

Office of the Executive Secretary

*4/26/2021*

Document Version 0.5

Revision History

| Date | Version | Remarks |
| --- | --- | --- |
| 2/18/21 | 0.1 | ACF Cross Functional Team (CFT) |
| 3/30/21 | 0.2 | Updated with new information about ITIO’s plans to replace IE11 with MS Edge in July/August 2021. The deployment/implementation date of the SWIFT Technology Refresh (including SWIFT Enhancements) is now June 2021. |
| 3/31/21 | 0.3 | Changed the Go Live date to 7/12/21. Requesting PRR for 6/30 or later. |
| 4/1/21 | 0.4 | Updated PRR to 6/30/21. |
| 4/26/21 | 0.5 | Updated after 4/26 CFT for proposed PRR date of 7/1/21. |
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# INTRODUCTION

|  |  |  |  |
| --- | --- | --- | --- |
| **Project Name:** Strategic Work Information and Folder Transfer (SWIFT) FY21 Enhancements | | | **Date:** 2/18/2021 |
| **Project Manager:** Michael Kelly (SSI) | | **FAC-P/PM Certification Level:** *[Select level]* | |
| **Program Office:** Office of the Executive Secretary | | | |
| **Program Office Sponsor:** | | | |
| **Business Owner: Linda Hitt** | | | |
| **SRB/PRB Authorization Date:** | **System Owner:** Francisco Romero | | |
| **UUID#:** | **Acquisition Category (ACAT):** *[Select level]* | | |
| **Estimated Project Start Date:** 9/30/20 | | **Estimated Level of Effort (LOE) for Total Project Activities**  **Total Project Hours:** 1506  **Total Project Cost:** $150,074.76  *See Section 4 Budget and Level of Effort Worksheet*  The Senior Review Board or Project Review Board (SRB or PRB) approved the use of the funding from *[Funding Source]* for this project. | |
| **Estimated Project End Date:** 9/29/21 | |
| **Date to Be Fully Deployed/Implemented:**  **Estimated: 7/12/21** | |
| **Hosting Site:** MAHC Data Center, Reston, VA | |
| **Project Scope:**  This project includes:   * Reporting Platform Enhancement and Dashboard Design * SWIFT Validation Environment * Minor System Enhancements   + Clearance Response File Category   + Approval Process Enhancements   + Technology Refresh including support for IE11 or other browser   Note: The FY21 contract includes the task, “SWIFT/SharePoint Integration Production Implementation” which is a continuation of the FY20 task. It is not included in this Project Charter because it is included in the FY20 Project Charter. An IPT was formed in FY20 and will continue to meet in FY21 to complete the implementation of the SWIFT/SharePoint Integration in the production environment. | | | |

|  |  |  |
| --- | --- | --- |
| **Release Type (Select one type only):**  New System / Major Release  Minor Release  Application Release  System Configuration Change  Transfer, Limited Data Exchange and Collection  Website  Note: For a Patch or Operational Data Changes (ODC), please complete a Change Request Form (CRF) form to implement the Patch or ODC. | **System Development Methodology:**  Agile  Iterative  Sequential/Waterfall  Other | **Which Contract Team(s) Will Complete this Activity?**  New Acquisition  Current Vendor Available |
| **Development Methodology:**  Object-Oriented  Functional  Other | **Name of Current Vendor(s) and Their Current Period of Performance:**  SSI  POP: 9/30/20 - 9/29/21 |

# Justification

## Business Need

ACF has identified the following business needs for FY21:

Reporting Platform Enhancement and Dashboard Design

ACF Coordinators within the program offices have requested more access to performance and workload metrics in SWIFT in order to have better visibility on their own performance from the perspective of the Office of the Administrator. In addition, the program office leadership wants the ability to decompose, or drill down, into the performance and workload of their individual groups and divisions in order to actively manage the work of their subordinates.

SWIFT Validation Environment

Currently the SWIFT application is hosted in a PSC data center with no validation environment. All testing of the SWIFT software is done off-site at SSI’s facility. While this arrangement is adequate for software testing, it is impossible to test the impact of HHS infrastructure and security changes in an off-site environment. This presents a significant risk to system availability each time new infrastructure or security changes are implemented in the data center.

Minor Enhancements

When marked-up clearance response documents are returned to Exec Sec, the files are automatically displayed in the Supporting Documents section of the Workfolder. It can be difficult for coordinators to distinguish clearance responses from other documents in this section. Exec Sec Coordinators need a way to quickly identify clearance response documents.

ACF leadership frequently accesses the SWIFT system in order to provide final review and sign-off on critical agency correspondence. However, the existing Approval workflow has some areas of improvement: 1) Late responses from previous assignments change the status of the workfolder and cause the workfolder to drop off all approval lists, 2) Users cannot determine who forwarded an approval package, and 3) Users cannot see a list of previously responded to approval packages.

SWIFT is a .Net application consisting of components from many vendors including Microsoft, Adobe, Infragistics and Data Dynamics. The progress of technology is inevitable, but predictable, and new versions of these products are released every 12-18 months. Sometime in 2021, the Internet Explorer 11 browser will be replaced as the default browser on users’ desktops. SWIFT needs to remain compatible with upgrades on user desktops with new software, operating systems, and browsers.

**Update on 3/31/21: SSI met with Yolanda Reid (OCIO) on 3/29/21 to get clarification on OCIO’s plans to replace IE11. Specifically, SSI has been asking the government for 9 months what the replacement browser will be and when the replacement will take place. Yolanda said that OCIO will replace the IE11 browser with MS Edge in the August 2021 timeframe and that OCIO is driving application owners to be ready by 7/17/21. SSI was planning its annual Technology Refresh in September 2021 but now must move that up to 7/12/21. SSI is asking that the Stage Gates for this project line up with a 7/12/21 Go Live date.**

## Business Impact

SSI has identified the following benefits this project will bring to ACF:

Reporting Platform Enhancement and Dashboard Design

To provide key coordinators in ACF Exec Sec and the program offices with more access to performance and workload metrics in SWIFT, SSI will more closely integrate the existing Wyn Dashboard reporting platform with SWIFT to provide a seamless single sign-on capability and automatic filtering by SWIFT role. This upgrade will not require any new hardware or server capacity.

SWIFT Validation Environment

SSI’s Development Team will use our established approach to working closely with OIT to implement, test, install and configure the SWIFT application software on two virtual servers: an application/task server and a database server. Our approach includes the redaction of data before transfer to validation environment servers.

Minor Enhancements

To help ACF Coordinators quickly find Clearance Response documents on the Documents page, SSI will create a new document category called “Clearance Response Documents”. Clearance Response documents will automatically be stored in this category when they are returned with a clearance response.

SSI has worked closely with ACF to identify and plan for enhancements to the SWIFT approval workflow. SSI will follow our approach to application enhancements to validate requirements, design, develop and implement features to address the business needs of (1) hiding late responses from previous assignments, (2) displaying package forwarding information, and (3) expanding the list of approval packages displayed to cover the past year.

In coordination with the COR, SSI will schedule a formal Technology Refresh release to maintain capability with ACF desktop configurations. This will include the latest version of Internet Explorer or other browser, Microsoft Office and Windows. SSI will write an Annual Technology Refresh plan, which will detail items to be addressed, including how errors will be handled. This maintenance release may be scheduled to coincide with a release associated with the deployment of Change Requests (CRs) or new functionality. SSI will provide all the software and equipment necessary to verify the compatibility of the SWIFT application with new versions of the Microsoft desktop products in our own facility.

**Update on 3/30/21: The Technology Refresh will allow SWIFT to work with the MS Edge browser.**

# Assumptions and Constraints

## Assumptions

SSI has made the following assumptions concerning this project:

* ACF SWIFT Correspondence will be hosted on the current servers in the MAHC Data Center in Reston, VA.
* Integration with existing Government systems (other than the Secretary’s Policy System (SPS) and SharePoint) is not included in this project.
* SSI shall be permitted to test and configure and deploy modifications to the SWIFT Systems from the company’s own facilities.
* Significant system modification, installation, or configuration due to changes in the hardware or network platform, failure of hardware, or changes in Government policies/procedures is beyond the scope of this project.
* Any activities requiring the participation of ACF personnel will be conducted remotely on a conference call or at in-person at the ACF facility.
* This project does not include travel to any Government office outside the Washington, DC metro area.
* ACF will provide network engineering support necessary to address issues related to the SWIFT system interaction with the existing network environment. SSI will not be required to provide data center services such as hardware monitoring, operating system patching or backups.
* Any change to network infrastructure or server policies that reduces access or changes the way SSI accesses the SWIFT system or servers from their corporate facility in Front Royal, may affect the cost of support services.
* The estimate for the Records Management task is based upon an assumption that files with incomplete records classification or incompatible file formats will be treated as exceptions by SSI and routed to the business owner for resolution prior to submission to the National Archives and Records Administration (NARA).
* This estimate does not include the cost of hardware or hosting environment required to stand up the new SWIFT validation environment.
* Internet Explorer, the default browser used by HHS, will soon reach end of life. Some advanced SWIFT functionality is browser dependent. The choice of a new default browser may impact SSI’s ability to maintain some existing advanced features of SWIFT.
* Creation of reports is limited to the capabilities and structure of the existing reporting repository. Requests for complex calculated data or requests that require significant data analysis are not included in the scope of this estimate.

## Constraints

SSI has identified the following constraints concerning this project:

* The ACF instance of SWIFT is hosted in a PSC data center. The infrastructure is managed by Sev1Tech. The application is managed by SSI.
* **OCIO will replace the IE11 browser with MS Edge in the August 2021 timeframe. The SWIFT Technology Refresh must be deployed/implemented in order to enable SWIFT to work with MS Edge.**

# Project Organization

## Integrated Project Team (IPT) – Roles and Contact Information

| Name and Organization | Project Role | Contact Information |
| --- | --- | --- |
| Linda Hitt Exec Sec | Business Owner | Linda.Hitt@ACF.hhs.gov |
| Rudette (Nikki) Pinkney, Exec Sec | Contracting Officer Representative (COR) | Rudette.Pinkney@acf.hhs.gov |
| Mike Kelly, SSI | Project Manager (PM) | mkelly@ssinc.com |
| Greg Bodoh, SSI | Chief Architect | gbodoh@ssinc.com |
| Cameron DeLaFleur, SSI | Business Analyst/Delivery Manager | cdelafleur@ssinc.com |
| Cory Ashton, SSI | Principle Engineer | cashton@ssinc.com |
| Francisco Romero, OCIO | OCIO Enterprise Operations/System Owner | Francisco.Romero@acf.hhs.gov |
| Reza, (OCIO) | OCIO Enterprise Architecture Lead | Reza.Kalantar@acf.hhs.gov |
| Omar Robinson, (OCIO) | OCIO Enterprise Security Architect | Omar.Robinson@acf.hhs.gov |
| Theo Butler, (OCIO) | Information System Security Manager (ISSM) | Theodore.Butler@acf.hhs.gov |
| Delasi Acolatse, (OCIO) | Information System Security Officer (ISSO) | Delasi.Acolatse@acf.hhs.gov |
| John Mcdill, (OCIO) | Information Security Engineer (ISSE) | John.Dill@cms.hhs.gov |
| Janean Chambers (OCIO) | ACF Section 508 Coordinator | Janean.chambers@acf.hhs.gov |
| Anthony Reeves, (OCIO) | Records Management Support, PMG | Anthony.Reeves@acf.hhs.gov |
| Laura Jackman, (OCIO) | TRB Support Lead, PMG | Laura.Jackman@acf.hhs.gov |
| Rosella Davis, (OCIO) | Records Management Liaison | Rosella.Davis@acf.hhs.gov |
| Vincent Monroe, (OCIO) | IE11 Replacement Liaison | Vincent.Monroe@hhs.gov |
| Jennifer Serin, Sev1Tech | Project Manager | Jennifer.serin@sev1tech.com |
| Greg Hallisey, Sev1Tech | Senior Engineer | gregory.hallisey@sev1tech.com |

# Budget and Level of Effort Worksheet

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Function | Description | Applicable/ Not Applicable | Planned Hours | Total Estimated Budget |
| Project Management Activities | Project, tailoring plan, schedule, meetings, documentation creation, updates, and reviews | Applicable | 119 | $15,940.05 |
| Requirements Gathering | Planned hours to complete full requirements gathering | Applicable | 159 | $23,579.52 |
| Configuration/Development | Planned hours to complete configuration | Applicable | 310 | $39,701.70 |
| Operations & Maintenance | Create staging instance, provide hardware/software information, deploy to staging and production | Applicable | 308 | $29,226.12 |
| Security | Prepare artifacts for Authority to Operate (ATO), review scans, create and track Plan of Actions and Milestones (POAMs) | Applicable | 60 | $8,239.95 |
| Testing | Planned hours to complete testing activities | Applicable | 550 | $33,387.42 |
| **Totals** |  |  | 1506 | $150,074.76 |

# Solutions Development Life Cycle (SDLC) Milestone Table

|  |  |  |  |
| --- | --- | --- | --- |
| Major Milestone or Stage Gate | Configurable Items | Planned Date | OCIO Required SDLC Artifact Delivery Date |
| Project Initiation Review (PIR) | Work Break Down Structure (WBS)  Project Charter  Risk Register  Records Control Schedule  System Registration and SORN Determination Form (Part 1)  Designation Memos | 5/6/21 | 4/28/21 |
| Requirements Analysis Review (RAR) /Critical Design Review (CDR) | System Requirements Document  Requirements Traceability Matrix  Risk Register  "Final System Design Document  "  System Registration and SORN Determination Form (Part 2)  ACF Approved PTA/PIA  Configuration Management Plan (CMP) | 5/20/21 | 5/12/21 |
| Security Checkpoint 1 | All security artifacts will be reviewed | NA | NA |
| Test Readiness Review (TRR)/Implementation Readiness Review (IRR) | Test Plan/Report  Requirements Traceability Matrix  Training Plan  Risk Register  Training Manual  Implementation Plan | 6/10/21 | 6/2/21 |
| Security Checkpoint 2 | All security artifacts will be reviewed | NA | NA |
| ATO Debrief | Authority To Operate debrief will be performed | NA | NA |
| Production Readiness Review (PRR) | Operations and Maintenance Manual | **7/1/21** | **6/23/21** |
| Change Review Board (CRB) | Assessment/Prioritization of changes | TBD |  |
| Go Live | Product is deployed and in operation | **7/12/21** |  |

###### Appendix A: Acronyms

| Acronym | Description |
| --- | --- |
| ACAT | Acquisition Category |
| ACF | Administration for Children and Families |
| ATO | Authority to Operate |
| CFT | Cross-Functional Team |
| COR | Contracting Officer Representative (COR) |
| CRF | Change Request Form |
| FAC-P/PM | Federal Acquisition Certification for Project and Program Managers |
| IPT | Integrated Project Team |
| ISSE | Information System Security Engineer (ISSE) |
| ISSM | Information System Security Manager (ISSM) |
| ISSO | Information System Security Officer (ISSO) |
| IV&V | Lead Tester/Independent Validation & Verification (IV&V) |
| GTM | Government Task Manager (GTM) |
| ODC | Operational Data Changes |
| PIA | Privacy Impact Assessment |
| PM | Project Manager |
| POAMs | Plan of Actions and Milestones |
| PRB | Program Review Board |
| PTA | Project Tailored Agreement |
| RMF | Risk Management Framework |
| RTM | Requirement Traceability Matrix |
| SAR | Security Assessment Report |
| SDLC | Solutions Development Life Cycle |
| SP | SharePoint |
| SRB | Senior Review Board |
| SSP | System Security Plan |
| SWIFT | Strategic Work Information Folder Transfer |
| UAT | User Acceptance Tester (UAT) |
| UXD | Usability Experience Designer (UXD) |
| UUID | Universally Unique Identifiers |
| VPAT | Voluntary Product Accessibility Template |
| WBS | Work Breakdown Structure |

###### Appendix B: Stage Gates and Required Artifacts

| Major Milestone or Stage Gate | Artifacts |
| --- | --- |
| Project Initiation Review (PIR) | Project Charter  Risk Register  PIR Brief  System Determination Form  System Registration Form (Part 1)  Designation Memo |
| Requirements Analysis Review (RAR) | Requirements Document (Functional and Non-Functional)  Requirements Traceability Matrix (RTM)  Risk Register  RAR Brief  Draft Privacy Impact Assessment (PIA) Security Configuration Form |
| Preliminary Design Review (PDR) | Design Document  Section 508 PAT  Risk Register  PDR Brief  E-Authentication  Initial System Security Plan (SSP)   * Boundary Diagram * Security Control Selection   Service Level Agreement (as applicable) |
| Security Checkpoint 1 | Review of all security artifacts |
| Critical Design Review (CDR) | Final Design Document  Risk Register  CDR Brief  System Registration Form (Part 2)  Approved PIA  Updated SSP   * System Rules of Behavior * Asset Inventory List   Draft Configuration Management Plan |
| Test Readiness Review (TRR) | Test Plan/Report  RTM  Training Plan  Risk Register  TRR Brief  Updated System Security Plan (SSP)   * Incident Response Plan * Contingency Plan |
| Code Delivery | Source Code (if applicable) |
| Staging Environment Complete | As Built Design Document |
| Implementation Readiness Review (IRR) | Test Plan/Report (UAT)  Implementation Plan  Training Manual  Risk Register  IRR Brief  Security Assessment Report (SAR)  Final SSP:   * Security Scan Results * Plan of Action & Maintenance (POAMS) |
| SCA | All Security Documents and Scans delivered |
| Security Checkpoint 2 | Review of updated or new artifacts created after Checkpoint 1  Authority to Operate (ATO) Debrief package |
| ATO Debrief | Meeting with CIO and CISO |
| Production Readiness Review (PRR) | Transition to Support Plan  Section 508 Remediation Plan (as needed)  Risk Register  PRR Brief  ATO Debrief  ATO Signed Authorization Memo |
| CRB\* | Change Request Form (OCIO daily meeting) |
| Go Live\* |  |