

Application Transition Checklist



IMB

Contents

- 1. Introduction.....3
 - 1.1 Purpose.....3
 - 1.2 Objective3
 - 1.3 Approach.....3
- 2. Service profile and strategy3
- 3. Planning4
- 4. Roles and Responsibilities5
- 5. Service and Support5
- 6. Communications6
- 7. Technical.....7
- 8. Change Management8
- 9. Business Documentation.....8
- 10. Security and Privacy.....9

1. INTRODUCTION

1.1 Purpose

The purpose of this document is to describe the pieces of information we need to take into consideration when transitioning an application into the IMB.

The information in this document is categorized into the following groupings:

- Service Profile and Strategy including Governance
- Planning
- Roles and Responsibilities
- Service and Support
- Communications
- Technical
- Change Management
- Business Documentation
- Security & Privacy

1.2 Objective

- A straightforward transition of application services supported by a joint effort of transitioning parties.

1.3 Approach

- Assess the state of the incoming application:
 - Transition team goes through each checklist grouping, checking off each item that applies.
 - Determine if any gaps exist that prevent straightforward transition.
- Plan and estimate the effort involved in remedying gaps, if necessary.

2. SERVICE PROFILE AND STRATEGY

Guidance: Check off each item that applies for the transition.

<input checked="" type="checkbox"/>	Service Profile and Strategy	Comment
	Is there a current release schedule for enhancements?	
	Are there any regulatory considerations or policies?	
	Overview of the application by the business owner (Business function overview) .	
	How old is the technology? What stage of life in the life-cycle? (e.g. new, mid or sunset?)	

	Is there a budget or funding model for this application?	
	What is the service strategy or vision (Where does it fit with the bigger picture)?	
	What is the application criticality? (Mission Critical or Business Priority)	

3. PLANNING

Guidance: Check off each item that applies for the transition.

<input checked="" type="checkbox"/>	Planning	Comment
	Is there currently a transition plan?	
	Are the time-lines (lead-times) adequate for knowledge transfer? (Time-frame)	
	Are there any operational requirements that require changes or maintenance during the transition?	
	Is there a vendor relationship (Contractual support)?	
	Are there any application training classes currently scheduled?	
	Are resources available to assist the previous support structure during transition?	
	Is there legislation associated with this application?	
	Is there a KT plan in place?	
	Is there a training plan in place?	

4. ROLES AND RESPONSIBILITIES

Guidance: Check off each item that applies for the transition.

<input checked="" type="checkbox"/> Roles and Responsibilities	Comment
Who are the stakeholders and who is the business owner?	
Are the stakeholders aware of the service and support model?	
Who is the Database Administrator, Technical Lead or Developer? (Technical team)	
Who provides Tier 1, 2 and 3 support? (Operations team)	
Does a vendor currently support this service and if so, who are they, what are the details of their service contract? (Vendor contract) Does it require changes as a result of the transition	
Who are the key user groups and users?	
Who is the service manager?	
Are there Broader Public Service considerations?	
Are there other Service Delivery Units (SDUs) that provide a level of support?	

5. SERVICE AND SUPPORT

Guidance: Check off each item that applies for the transition.

<input checked="" type="checkbox"/> Service and Support	Comment
Who is the customer or audience?	
Identify the user's level of knowledge (e.g. power-users vs. occasional)	
What is the system description for Tier 1 support? (Are support scripts created? Is there an administrator supporting Tier 1 support? What about system notifications, tools to monitor, system requirements or on-line help?) Will this need to change as a result of transition?	
Similar question about tier 2 and tier 3 support.	
Who will be the post-transition contact for technical and operational assistance? Is this responsibility in place now or still to be negotiated?	
What is the service support process?	
Is there a user or training guide? (Application training package)	
Are there existing service requests or projects associated with the	

	application?	
	What is the service request process or approval process and is there a tracking system?	
	How many users require access and use this application? (List of known users)	
	What are the known issues? (e.g. bugs) Are there any workarounds?	
	Are there any existing mailboxes or distribution lists associated with this service?	
	Where is the application documentation stored? (Location) (e.g. user guide, trouble-shooting guide, FAQs, release notes, meeting minutes, training schedules and guides?)	
	Are there any regularly scheduled tasks for this application? Are they transition ready?	
	Are there any plans for broad scale on boarding? If so has a plan been drawn up that reflects activities and resource expectations.	

6. COMMUNICATIONS

Guidance: Check off each item that applies for the transition.

<input checked="" type="checkbox"/>	Communications	Comment
	Is there an on-going communication plan or a communication plan for transition purposes? Communication from the Service Desk?	
	Does the application currently have a Web site or a SharePoint site used for client communications? Will this continue post transition?	
	Are there iStore catalogue entries associated with this application or service? If so, confirm entries.	

7. TECHNICAL

Guidance: Check off each item that applies for the transition.

☒	Technical	Comment
	Is there currently an authorization or security matrix associated with the application?	
	Are there currently development, test, and production environments in place for this application?	
	Identify infrastructure requirements (e.g. Operating System, Database version etc.)	
	Are there currently build procedures?	
	Is this application integrated with other applications or systems? If yes, identification required.	
	What are the version control tools?	
	Are there technical specifications and architecture available?	
	What are the development tools and software required to support or enhance the application? What are the versions? How many licenses? Do we have the knowledge in-house?	
	Is the application using a monitoring tool? (e.g. Site scope)	
	Is the logical and physical data model documented?	
	Is there currently technical documentation for this application?	
	Is the application code documented?	
	Is this a web-based application? If so what are the URLs?	
	Is data archiving required for this application? If so how is the data archived? What is the archive schedule?	
	Is technical application training required?	
	Is it COTS or custom?	
	What is the programming language?	

8. CHANGE MANAGEMENT

Guidance: Check off each item that applies for the transition.

<input checked="" type="checkbox"/> Change Management	Comment
Are there test scripts/documentation?	
Clarify QA / Testing of Releases / System and User Acceptance Testing (UAT) roles and responsibilities	
Are there any historical testing processes or documented strategies?	
What are the change management processes?	
What are the service change windows?	
Who approves changes? Who needs to be involved?	

9. BUSINESS DOCUMENTATION

Guidance: Check off each item that applies for the transition.

<input checked="" type="checkbox"/> Business Documentation	Comment
Are there documented processes (e.g. work-flows, swim-lanes, use cases, or business rules) that exist that provide more information about the business of the application?	
Are there original Business Requirement Documents or other original documents associated with the application that outlines business rules as well as the “as-is” state?	
Is the application part of a Business Continuity Plan (BCP)?	

10. SECURITY AND PRIVACY

Guidance: Check off each item that applies for the transition.

☒	Security and Privacy	Comment
	Is there a PIA for this application?	
	Is there a STRA associated with this application?	
	Is there an Information Sharing Agreement (ISA), if data is exchange with another party?	
	Is there a Financial Risk and Control Review (FRCR)? – For financial application only.	
	Is there a PCI Compliance Assessment, if credit card information is collected and used?	
	Is there an Access Control process? - User access (client & privileged), remote access procedures.	
	How the network security is configured? – ie. firewall configuration	
	How the Database Security is achieved? – ie. patching	
	How the Server Security is configured? – server hardening, patching	
	How the Application Security is achieved? – ie. comply to OWASP standard	
	Is BCP/DRP ready? And tested?	
	Is there an Information Incident Management Process (security & privacy breaches)?	
	Are there any Encryption Solutions implemented? (SSL, SFTP, database encryption, key management)	
	Is there a Vulnerability Assessment (application, server & database)?	
	Are there any Logs & Monitoring procedures (application, server & database)?	