

SID Policy on M&O Transition

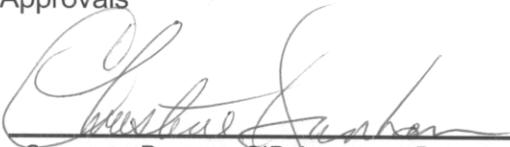


May 24, 2004

Revision History

REVISION	DATE OF RELEASE	PURPOSE
Baseline	April 27, 2004	Initial Release (iManage SIDdocs #3050v1)

Approvals


CHRISTINE DUNHAM, SID ASSISTANT DIRECTOR

1 INTRODUCTION

1.1 Adoption of SID Policy

As part of its ongoing commitment to process improvement and quality within the division, the Systems Integration Division (SID) is adopting this SID Policy on M&O Transition. This policy will help clarify and enhance its current practices and continue to align the organization with the Software Engineering Institute's Software Acquisition Capability Maturity Model (SEI's SA-CMM).

1.2 Applicability

[1.2.1]¹ This policy shall apply to all SID projects² effective the date of this policy. Projects that are in the middle of an SID life cycle process³ (at the effective date of this policy) are required to demonstrate due diligence in complying with this policy within 30 days, to the degree that it does not jeopardize their ability to satisfy prior project commitments.

[1.2.2] The SID Assistant Director shall consider special situations for non-compliance on a case-by-case basis.

[1.2.3] Projects requesting a waiver from the requirements in this policy shall comply with the Deviation/Waiver Process (iManage SIDdocs #2484).

[1.2.4] Projects that are in the Maintenance and Operations (M&O) life cycle phase shall, at a minimum, assess and report compliance with this policy on an annual basis.

[1.2.5] All other projects shall, at a minimum, assess and reporting compliance with this policy at the start of a new life cycle phase.

¹ Brackets [] are used as a reference designator for explicitly stated policy requirements ("shall's"). The numbers in the brackets are included in the SID Compliance Toolbox (iManage SIDdocs #2093) using a policy reference designator (e.g., PM Policy – 1.2.1) for ease of verification and traceability to applicable CMM and TOSU requirements.

² In this document, SID Projects refer only to projects of a statewide nature (e.g., CWS/CMS, CMIPS, EBT, ISAWS, SFIS, etc.) and not to software release projects that are part of a routine Maintenance and Operations life cycle, or internally created projects and initiatives.

³ The SID Best Practices web site defines the typical life cycle for software acquisition projects in the organization. Definitions for each life cycle phase are available at www.bestpractices.cahwnet.gov/processes.htm.

1.3 References

The following documents were used in the creation of this policy.

- Software Acquisition Capability Maturity Model (SA-CMM), Version 1.02, Key Process Area 2.7 – Transition to Support, April 1999, Software Engineering Institute.
- SID Policy on Project Management, iManage SIDdocs #2453, 23 February 2004, Systems Integration Division (SID).
- SID Policy on Procurement Management, iManage SIDdocs #2452, 22 March 2004, SID.
- SID Policy on Quality Management, iManage SIDdocs #2514, TBD, SID.
- Best Practices Web Site (BP website), Systems Integration Division (SID), <http://www.bestpractices.cahwnet.gov>.
- Glossary and Acronyms, BP website, SID.

1.4 Compliance Verification

[1.4.1] The SID Best Practices Support Group (BPSG) shall assess compliance to this policy at least annually using the applicable categories of the SID Compliance Assessment Toolbox (iManage SIDdocs #2093). For more information on compliance assessments, refer to the BPSG Project Plan.

1.5 Relationship to Other Policies

This policy is subordinate to the SID Policy on Project Management, and is closely related to the SID Policy on Procurement Management to ensure transition requirements are included in the RFP, as appropriate.

2 POLICY STATEMENT

It is the policy of SID to follow, adhere to, and implement proven project management best practices in compliance with the SEI SA-CMM methodology.

The requirements in this policy apply both to the initial transition from development and implementation to M&O, as well as subsequent re-procurements for continued M&O services, as appropriate. In many cases, the requirements will need to be incorporated into Requests for Proposals (RFPs)/Statements of Work (SOWs) for a contractor(s).

[2.0.1] Project Managers shall comply with the requirements, procedures, and processes referenced in this policy document.

2.1 Required Documentation

[2.1.1] Projects shall document their specific approach to transition⁴ in a M&O Transition Plan in accordance with the SID M&O Transition Plan Template and associated tailoring guidance on the BP website.

[2.1.2] The initial Transition Plan shall describe the approach to transitioning from Development/Implementation to M&O Type 1. Subsequent Transition Plans shall describe the approach to transitioning from the M&O Type 1⁵ to M&O Type 2⁶ phases, and then between M&O Type 2 vendors (as applicable).

[2.1.3] Projects shall update and maintain their M&O Transition Plan until the transition is complete.

[2.1.4] The status of M&O transition activities shall be documented and reviewed at least monthly beginning six months prior to transition and continuing until the transition is complete.

[2.1.5] The status of M&O transition activities shall be reviewed with the project functional leads and Project Manager at least monthly.

[2.1.6] The status of M&O transition activities shall be documented and reviewed at least quarterly by the project management team, quality management team, Project Manager, and SID Assistant Director.

[2.1.7] Measurements showing the status of M&O transition activities shall be documented, tracked and analyzed for trends in accordance with the Quality Management Plan.

2.2 M&O Transition Roles and Responsibilities

[2.2.1] The Project Manager shall designate a specific individual to fulfill the role of the Operations Manager for the project.

[2.2.2] The Operations Manager shall be responsible for all M&O activities including the implementation of this policy, either directly or by overseeing the work of others,

⁴ Transition covers the transfer of responsibility from M&O Type 1 provider to M&O Type 2 provider as well as transfer of responsibility between subsequent M&O Type 2 providers (including impacts to state and county support entities caused by the transition). See Footnotes 5 and 6 for an explanation of Type 1 and Type 2 M&O.

⁵ Type 1 M&O represents the initial period of M&O (typically two to five years) that is part of the original system acquisition under the prime contractor. This approach is titled Type 1 M&O because it allowed for extended testing and stabilization of the system while giving the project office time to make full transition into a the M&O life cycle.

⁶ Type 2 M&O represents the life cycle phase that comprises full support of the production system for its remaining life. It does not necessarily involve the same support team from Type 1 M&O. Type 2 M&O typically has a several year lifespan depending on the system, and may include several procurements for continuing M&O (Type 2) services.

including the development and maintenance of the M&O Transition Plan (based on the M&O Transition Plan Template).

[2.2.3] The Operations Manager shall tailor the project's M&O transition approach based on the project's characteristics and in accordance with the SID M&O Transition Plan Template and associated tailoring guidance on the BP website.

[2.2.4] The Operations Manager shall work closely with the Procurement Manager to ensure appropriate requirements for transition are included in the RFP.

[2.2.5] The maintenance and operations function(s) identified in the model functional organizational chart shall be addressed in the M&O Transition Plan.

For more information, see the model functional organizational chart and specific roles and responsibilities on the BP website. Depending on the size of the project, multiple individuals may perform a role or a single individual may perform multiple roles.

[2.2.6] The system users/customers, sponsor, and appropriate stakeholders shall be included in the transition planning and activities, as appropriate.

3 M&O TRANSITION REQUIREMENTS

The requirements for transitioning to M&O are defined in subsequent sections. The major elements to consider when transitioning are as follows.

- Transition Planning
- Transitioning
- Transition Closeout

[3.0.1] The M&O Transition Plan shall describe or reference the specific processes and procedures that will be used during the transition.

3.1 Transition Planning

[3.1.1] The Operations Manager shall begin planning for the M&O transition no later than the start of the Procurement life cycle phase, or at least 18 months prior to the anticipated transition. Refer to the SID Acquisition Life Cycle description on the BP website.

[3.1.2] The Operations Manager shall be involved in developing the strategy for M&O and transition, and shall define the RFP requirements for transition and M&O, if M&O services will be provided by a contractor.

[3.1.3] Prior to the transition, the Operations Manager shall coordinate with the development, implementation and M&O staff (including contractors)⁷ to inventory all hardware, software and related items and to identify/confirm all contractually required items to be transitioned.

[3.1.4] The period allowed for transition shall be at least six months.

In many cases, a transition period of a full year may be appropriate where the current contractor/M&O organization transitions out, but remains on call during the later part of the transition period.

[3.1.5] The M&O Transition Plan shall explicitly describe the roles and responsibilities of all parties (including contractors) involved or affected by the transition, including identifying alternates for key staff.

[3.1.6] Staff and other stakeholders assisting with the transition shall be provided an orientation on the approach to transition, and each organization's roles and responsibilities related to transition and subsequent M&O.

[3.1.7] The M&O Transition Plan shall identify risks to the transition effort and include (or reference) mitigation and contingency plans in the event the system/organization cannot be transitioned on schedule.

[3.1.8] The M&O Transition Plan shall include the tasks, mitigation, and contingency plans to ensure the users/clients and production system is not adversely impacted during the transition.

[3.1.9] The M&O Transition Plan shall include specific measurements and metrics to be used to monitor and evaluate the transition efforts and activities.

Refer to the SID Policy on Project Management for more on measuring and tracking transition management activities.

[3.1.10] The M&O Transition Plan shall include a workplan which identifies milestones, measurable tasks, dependencies, primary responsibility, and resources.

Refer to the SID Policy on Project Management for more on workplans and tracking of transition management activities.

[3.1.11] The M&O Transition Plan shall include, as appropriate, the activities and considerations for shutting down and retiring the system, including data archiving and disposal, confidentiality of data, and equipment decommissioning.

[3.1.12] The M&O Transition Plan shall include specific measurements and metrics to be used to ensure that system performance and response times are not degraded during the transition period.

⁷ In this policy, the term "staff" is meant to include state project staff, consultants, the prime contractor, and any other contractors supporting the M&O and transition effort. In some cases, it may also include the counties.

[3.1.13] For transitions from Type 1 to Type 2 M&O, M&O processes and procedures shall be developed prior to the first implementation and M&O commencing.

Typical M&O processes include Backup and Recovery, Disaster Recovery, Routine Maintenance, Change Control, Release Management, Help Desk Operations, and Problem/Defect Tracking.

[3.1.14] The M&O Transition Plan shall incorporate appropriate lessons learned, county feedback, and updated SID policies and guidance, as appropriate.

3.2 Transitioning

[3.2.1] The project M&O staff shall oversee and manage (in coordination with the appropriate contractors) the configuration of the system (and any development, test, or training environments) during the transition period.

[3.2.2] The project shall provide or coordinate transfer from the current staff to the new M&O staff copies of all current system and user documentation, including working papers, as appropriate.

[3.2.3] The project shall facilitate training and knowledge transfer between the current staff and the new M&O staff (including contractors) to ensure the new M&O staff possess the knowledge to adequately operate and maintain the system.

[3.2.4] If the system is being transferred to a new platform or location, the transition period shall include a full system and regression test to ensure the system and all associated environments perform correctly both before and after the transition.

3.3 Transition Closeout

[3.3.1] The new M&O staff shall be required to demonstrate their ability to operate the system for at least three months prior to the end of the transition period.

Typically this would occur through a series of tests and/or hands-on operational activities without the assistance of the current staff.

[3.3.2] The Operations Manager shall review and assess the new M&O staffs' ability to support the system prior to completing the transition.

[3.3.3] If the Operations Manager deems the new M&O staff are not ready to accept responsibility for the system, corrective actions shall be taken to address the knowledge or skill deficiencies.

[3.3.4] The current staff shall not be released until all pending action items, problem reports, deficiencies and requirements for transition are addressed.