

<Project Name>

operational readiness assessment

**Version: X.X**

**Date: XX/XX/XXXX**

**Prepared by:**

Project Manager

**Approved by:**

Project Sponsor

**Approved by:**

Agency CIO

**Approved by:**

Executive Sponsor

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**Revision History**

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| Date | Version | Description | Author |
| XX/XX/XXXX | 0.00 | Baseline | <First Name, Last Name> |
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**Template Overview and Instructions:**

The purpose of the Operational Readiness Plan (ORP) is to assess all aspects of production readiness for Major IT Development Projects (MITDP). The ORP codifies assessments of functionality, performance, and cost vs benefits, as well as assess the effectiveness of life-cycle development activities that produced the system.

The ORP is drafted during the implementation phase, as defined by DoIT’s MITDP System Design Life Cycle (SDLC) requirements. The ORP is therefore an essential component to transition software/hardware/data or other end product into production, and subsequently to the Maintenance and Operations as part of the Implementation Phase. The assessment provides a detailed analysis of all facets of readiness, including organizational readiness and maturity, contingency planning, implementation certification.

The ORP is intended for projects with many impacted internal and external stakeholders, and thus designed to address all areas of readiness, while ensuring that implementation details are analyzed, documented, maintained in a central easily accessible repository, and captured in a format that can be used to support “go/no-go” decisions.

The ORP is intended to support projects of various sizes and complexity, thus, not all sections may be relevant or necessary depending on the project. However, omitted sections should be noted as such with explanation as to the reason for omission.

# PROJECT OVERVIEW

<Provide the identifying information associated with the project, including a description of the project, the applicable project control code, system acronym, and system title.>

# STAKEHOLDER SUMMARY

<The purpose of this section is to provide primary participant roles and responsibilities for key tasks relating to the project. Note: The project may require additional or fewer roles depending on size, complexity, and interdependencies with other agencies.>

|  |  |  |
| --- | --- | --- |
| **Name** | **Role** | **Responsibility** |
|  | *Executive Sponsor or Project Sponsor(s)* | * *Review consolidated ORP documents for all production releases* * *Participate in ORP meetings* |
|  | *Project Manager* | * *Participate in ORP meetings* * *Facilitate Go/No-Go decisions and communicate to all Stakeholders* * *Document rationale for any No-Go decisions and provide recommendations for next steps* * *Approve ORP and provide final recommendation for major releases* |
|  | *Implementation Manager*  ***Note****: Duties fall to the Project Manager when projects lack a dedicated Implementation Manager* | * *Lead ORP process and coordinate with project team members* * *Facilitate and conduct ORP preparation meetings* * *Work with the project team to develop ORP preparation assignments and track completion status* * *Facilitate ORP meetings* * *Track completion of action items identified in ORP meetings* * *Include Executive Stakeholders in ORP meetings* * *Support ORP Go/No Go Decision process with additional analysis and supporting documentation, as requested* |
|  | *Risk and Issue Managers*  ***Note****: Duties fall to the Project Manager when the projects lack a dedicated Risk and Issue Managers* | * *Participate in ORP meetings* * *Provide status and updates on resolved/open risks and issues* |
|  | *IT Lead/Legacy System Managers* | * *Identify legacy system subject matter experts for ORP meetings* * *Provide legacy system analysis for ORP meetings* * *Participate in ORP meetings* * *Present legacy system decisions and issues during ORP meetings* |
|  | *Information Security Officer* | * *Participate in ORP meetings* * *Provide security analysis and assessments* |
|  | *Business Lead* | * *Participate in ORP meetings* |
|  | *<Insert Other Positions/Titles>* |  |

# OPERATIONAL READINESS EXECUTIVE SUMMARY

< The purpose of this section is to provide an executive summary of the overall operational readiness of the system, consistent with the assessment categories:>

* Project Management Readiness
* System Functionality
* Data Readiness
* Production Environment Readiness
* Business Implementation Readiness
* Transition and Production Support Readiness
* Deployment Readiness

# OPERATIONAL READINESS ANALYSIS DETAILS

<This section is intended to collect and document details pertinent to implementation readiness. The table below captures details for various aspects of the project, along with descriptions of each component assessed, and a status indicator that provides (green, red) a visual assessment of readiness.>

Some projects may require less detail than is included in the example text, while other projects may require much more detail relative to individual implementation readiness in the following seven major categories:

* **Project Management Readiness**– Includes issue resolution, risk mitigation, Change Request (CR) assessment, benefit assessment, and Organizational Change adoption readiness.
* **System Functionality Readiness** – Includes production readiness of all major system components, business process related assessments needed for end user adoption, and system configuration and validation assessments needed for production readiness.
* **Data Readiness, including Third Party Data** – Includes data validation, external system integration, and certification of readiness for all systems of record.
* **Production Environment Readiness** – Includes status of production hardware and software components, and status of performance and integration testing activities, reports performance testing and tuning, and readiness of all production security components.
* **Business Implementation Readiness** – Includes production cut-over readiness, and communication readiness for all internal and external stakeholders.
* **Transition and Production Support Readiness** – Includes master cutover checklist, readiness of operations and procedures, Service Desk readiness, completion of release note and workarounds, on-site support approach, continuity and contingency plans and procedures, and enterprise (department) readiness.
* **Deployment Readiness** – Includes system ready for production operations, users ready to use new functionality, and implementation readiness.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **#** | **Component Name** | **Description** | **Comment** | **Status**  **(Green, Red)** |
| **1** | **Project Management Readiness** | | | |
| *1.1* | *Significant Issues Resolved* | *Issue assessment/Decision Point assessment* | *1/15/16 (JP) – All remaining issues resolved.*  *5/12/15 (KW) – 5 outstanding issues unresolved.* |  |
| *1.2* | *Significant risks identified and mitigation strategies defined* | *Risk assessment, including total number of risks, and risks for which a mitigation strategy has been defined.* |  |  |
| *1.3* | *Change requests (CRs) impacting release/product readiness approved* | *Change Request (CR) assessment* |  |  |
| *1.4* | *Benefits measurement and monitoring ready for release* | *Benefits measurement methodology reviewed and approved.* |  |  |
| **2** | **System Functionality Readiness** | | | |
| *2.1* | *System ready for production operations* | *System Test Scripts, System Integration Test Scripts, and User Acceptance Test Scripts executed. Number and priority of defects found identified and resolved. Workarounds defined. Number and identification of outstanding lower-priority defects at cutover planned for later correction.* |  |  |
| *2.2* | *Functionality ready for production operations* | *System Test Scripts executed. Number and priority of defects found, identified and resolved. Workarounds defined. Number and identification of outstanding lower-priority defects at cutover planned for later correction.* |  |  |
| **3** | **Data Readiness (including Third Party Data)** | | | |
| *3.1* | *Data Validation* | *Data Validation Scripts Executed, Data Validation Scripts Passed, Priority 1 and 2 defects resolved, Priority 3, and 4 defects resolved.* |  |  |
| *3.2* | *Third Party Data Validation* | *Data Validation Scripts Executed, Data Validation Scripts Passed, Priority 1 and 2 defects resolved, Priority 3, and 4 defects resolved.* |  |  |
| **4** | **Production Environment Readiness** | | | |
| *4.1* | *Release/product hardware/software installed, configured and ready for production operations* | *Production Environment components configured, tested, and monitoring configured.* |  |  |
| *4.2* | *Release/product performance test successfully executed* | *Performance Test Scripts executed, Performance Test Scripts passed, Priority 1,2,3,4 defects found and resolved.* |  |  |
| *4.3* | *Release Reports Performance Test successfully completed* | *Reports Performance Test Scripts executed, Performance Test Scripts passed, Priority 1 and 2 defects found and resolved.* |  |  |
| *4.4* | *Security Components Ready for production operations* | *Server certification, application scanning, application scanning – Priority 1, 2, 3, 4 defects. Completed security logging of defects.* |  |  |
| **5** | **Business Implementation Readiness** | | | |
| *5.1* | *Ready for cutover to release/product* | *Impact assessment addressed, operational-related impacts from the impact assessment addressed, operational-related impacts addressed, training materials completed, staff scheduled for training for release/product, staff trained, organizational change management tasks complete per Change Management Plan.* |  |  |
| *5.2* | *Internal Stakeholders ready for cutover to release/product* | *Enterprise procedures develop; total number of enterprise procedures identified. Organizational change management tasks with internal Stakeholders complete per the Change Management Plan.* |  |  |
| *5.3* | *External Stakeholders ready for cutover to release/product* | *Organizational change management tasks with external Stakeholders complete per the Change Management Plan.* |  |  |
| **6** | **Transition and Production Support Readiness** | | | |
| *6.1* | *Master Cutover Checklist prepared for cutover to release/product* | *Cutover checklists prepared. Cutover tasks for release/product defined and scheduled.* |  |  |
| *6.2* | *Operations and procedures ready* | *Runbook, call-out lists and batch schedule documentation prepared and approved. Early life support timeframe, processes, and exit criteria defined and approved.* |  |  |
| *6.3* | *Service Desk ready to support production operations* | *Service Desk needs assessment complete and reviewed by Service Desk and Operations. Service Desk procedures updated.* |  |  |
| *6.4* | *Release Notes and Workarounds complete* | *Notes for the release/product have been compiled and ready for publishing. Plans for outstanding defects complete and workarounds documented and completed for all outstanding defects requiring workaround prior to release.* |  |  |
| *6.5* | *On-site support approach defined to support end users* | *On-site support activities complete, including support approach defined, resources and roles and responsibilities, and daily schedule. Go-live ramp up plan documented and validated by all impacted groups.* |  |  |
| *6.6* | *Continuity and Contingency Plans and procedures in place* | *Business Continuity planning completed. Procedures reviewed and accepted. Contingency procedures updated as necessary based on Lessons Learned from prior releases. Contingency rollback options finalized. Contingency business and operations procedures in place.* |  |  |
| *6.7* | *Enterprise Readiness* | *Release timelines and required documentation reviewed and approved by Department Change Management and Department Release Management. Service catalog updates complete.* |  |  |
| **7** | **System Readiness** | | | |
| *7.1* | *System ready for production operations* | *System Test Scripts executed, passed. Priority 1 and 2 defects resolved. User Acceptance Test business scenarios executed. Priority 1 and 2 defects resolved.* |  |  |
| *7.2* | *Users ready to use new functionality* | *Training documentation created and distributed. User procedures updated to reflect new functionality.* |  |  |
| *7.3* | *Implementation Readiness* | *Implementation contingency planning completed. Contingency rollback options finalized. Contingency preparation activities complete. Ramp up plan documents and validated by all impacted groups.* |  |  |

# SECURITY

<The purpose of this section is to provide security readiness assessments pertinent to data redundancy, access security, backup, recovery, and disaster preparedness procedures.>

* 1. **Data Protection**

Determine if the security, backup, recovery, and restart capabilities adequately safeguard data, including master, transaction and source. Online systems naturally require special techniques (such as, transaction logging). Comments should address the following:

* The adequacy of the security, backup, recovery, and restart procedures
* The suggested changes
* The effort required to make the changes
  1. **Disaster Recovery**

Determine if appropriate files, programs, and procedures are established to enable recovery from a disaster resulting in the loss of data. Comments should address the following:

* The adequacy and currency of off-site storage procedures
* The extent that procedures cover the following:
* Master data
* Transaction data
* Source programs
* Object programs
* The results of any adequacy-of-recovery test
  1. **Audit Trails**

Review the ability to trace transactions through the system and the tie-in of the system to itself Comments should address the following:

* The thoroughness of the audit trails
* The level of improvements necessary, if any
* The requirements of audit trails as outlined in the trusted criteria - such as, C2 requirements—if any
  1. **Allowed Access**

Evaluate the adherence to restriction of access to data. State desired privacy criteria for the system then evaluate how the criteria have been followed up to this point. Comments should address the following:

* Established privacy criteria
* Recommended privacy criteria
* Adherence to and violations of privacy
* The cost of providing this level of privacy
* The potential effect on individuals if the privacy criteria are not followed

# MAINTENANCE ACTIVITIES

<The purpose of this section is to evaluate maintenance activity involving the system.>

* 1. **Activity Summary**

<Provide a summary of maintenance activity to date. Provide type, number of actions, and scope of changes required. Estimate a projected maintenance workload based on the findings of the review. Discuss the adequacy of maintenance efforts or if major enhancement/revision is required.>

* 1. **Maintenance Review**

<Review completed and pending changes to the system. Provide conclusions regarding the benefits to be achieved by completing recommended changes. Provide conclusions about the amount of maintenance required based on activity that has occurred to date.>

* 1. **System Maintenance**

<Discuss the system maintenance based on the design, types of changes required, documentation, and knowledge about the system (both user and technical personnel).>