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<Project Name/Acronym>

# Implementation Plan

Version X.X

MM/DD/YYYY

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## Introduction

Instructions: Provide full identifying information for the automated system, application, or situation for which the Implementation Plan applies, including as applicable, identifications number(s), title(s)/name(s), abbreviation(s)/acronym(s), part number(s), version number(s), and release number(s). Summarize the purpose of the document, the scope of activities that resulted in its development, the intended audience for the document, and expected evolution of the document. Also describe any security or privacy considerations associated with use of the Implementation Plan.

### Overview

Instructions: Briefly describe the purpose and context for the system or situation, and summarize the history of its development. Include the high-level context diagram(s) for the system and subsystems previously provided in the System Design Document (SDD), updated as necessary to reflect any changes that have been made based on more current information or understanding. If the high-level context diagram has been updated, identify the changes that were made and why.

#### System/Situation Description

Instructions: Provide an overview of the processes that the system or situation is intended to support. If applicable, provide a general description of the type of data maintained and the operational sources and uses of those data. This information may be obtained from the SDD.

#### System/Situation Organization

Instructions: Provide a brief description of the system or situation architecture and the major system/ situation components essential to the implementation. Describe hardware, software, and communications, as appropriate. Include any charts, diagrams, and/or graphics as necessary. This information may be obtained from the System Architecture section of the SDD.

*(NOTE: This section maybe replaced by the System Design Document.)*

## Implementation Overview

Instructions: Briefly summarize the implementation effort that is described in detail in the following subordinate sections.

### Implementation Description

Instructions: Describe the planned deployment, installation, and implementation approach.

### Points of Contact

Instructions: Provide the names of the responsible organization(s), and titles and telephone numbers of the staff who serve as points of contact for the system or situation implementation. These points of contact could include the Business Owner, Project Manager, and/or System Developer, and others with responsibilities relating to the implementation. The site implementation representative for each field installation or implementation site should also be included, if appropriate. Provide identifying and contact information for all managers and staff with whom the implementation must be coordinated.

Table 1 - Implementation Points of Contact

| Contact | Organization | Phone | Email | Role | Responsibility |
| --- | --- | --- | --- | --- | --- |
| <First Name Last Name> | <Organization> | <XXX-XXX-XXXX> | <Email> | <Role> | <Responsibility> |
| <First Name Last Name> | <Organization> | <XXX-XXX-XXXX> | <Email> | <Role> | <Responsibility> |
| <First Name Last Name> | <Organization> | <XXX-XXX-XXXX> | <Email> | <Role> | <Responsibility> |

### Major Tasks

Instructions: Provide a brief description of each major task required for the implementation of the system or situation. Add as many subsections as necessary to this section to describe all of the major tasks adequately. The tasks described in this section are not site-specific, but generic or overall project tasks that are required to install hardware and software, prepare data, and verify the system or situation. Include the following information for the description of each major task, if appropriate:

* What the task will accomplish
* Resources required to accomplish the task
* Assumptions and constraints associated with the task
* Identified risks and planned mitigations associated with the task
* Reference documents applicable to the task
* Criteria for successful completion of the task
* Miscellaneous notes and comments

Examples of some major tasks to consider include the following:

* Providing overall planning and coordination for the implementation
* Obtaining personnel for the implementation team
* Providing appropriate training for personnel
* Ensuring all documentation applicable to the implementation are available when needed
* Acquiring special hardware, software, or network facilities
* Preparing site and support facilities for implementation
* Installing and configuring the various components of the operational environment
* Providing all needed technical assistance
* Scheduling any special computer processing required for the implementation
* Performing site surveys before implementation
* Performing system or situation transition activities
* Performing data conversion before loading data into the system
* Ensuring that all prerequisites have been fulfilled before the implementation date

### Implementation Schedule

Instructions: Provide a schedule of activities to be accomplished during implementation. Show the required tasks (described in the section named Major Tasks) in chronological order, with beginning and ending dates of each task, the key person(s) responsible for the task, dependencies, and milestones. If appropriate, tables and/or graphics may be used to present the schedule.

Table 2 - Implementation Schedule

| Task # | Task Description | Begin Date | End Date | Key Person(s) Responsible | Dependencies | Milestone |
| --- | --- | --- | --- | --- | --- | --- |
| <#> | <Task Description> | <MM/DD/YYYY> | <MM/DD/YYYY> | <First Name Last Name> | <Dependencies> | <Milestone> |
| <#> | <Task Description> | <MM/DD/YYYY> | <MM/DD/YYYY> | <First Name Last Name> | <Dependencies> | <Milestone> |
| <#> | <Task Description> | <MM/DD/YYYY> | <MM/DD/YYYY> | <First Name Last Name> | <Dependencies> | <Milestone> |

### Security & Privacy

Instructions: Reference the appropriate sections of the System Security Plan (SSP) and/or Information Security (IS) Risk Assessment (RA) that address the system security features and requirements that will be applicable to the system or situation during implementation, including the primary security features associated with the system hardware and software. Address security issues specifically related to the implementation effort, if any. If the system is covered by the Privacy Act, describe the privacy concerns. Security and protection of sensitive data and information should be discussed, if applicable. For example, if LAN servers or workstations will be installed at a site with sensitive data preloaded on non-removable hard disk drives, address how security would be provided for the data on these devices during shipment, transport, and installation because theft of the devices could compromise the sensitive data.

## Implementation Support

Instructions: Describe the support equipment, software, facilities, and materials required for the implementation, as well as the personnel requirements and training necessary for the implementation. The information provided in this section is not site-specific. If there are additional support requirements not covered by the subsequent sections, others may be added as needed.

### Infrastructure & Data Support

Instructions: Identify the support equipment (hardware), software, data, facilities and materials required for the implementation, if any.

#### Hardware

Instructions: Provide a list of support equipment and include all hardware used for testing the implementation. For example, if a client/server database is implemented on a LAN, a network monitor or “sniffer” might be used, along with test programs, to determine the performance of the database and LAN at high-utilization rates. If the equipment is site-specific, list it in the section named Implementation Requirements/Procedures by Site.

#### Software

Instructions: Reference the associated Version Description Document (VDD) for a list of software and databases required to support the implementation. The VDD should identify the software by name, acronym, vendor, and configuration item identifier. The VDD should also include any commercial off-the-shelf (COTS) and/or Government off-the-shelf (GOTS) software. In addition, identify any software used to facilitate the implementation process, such as software specifically designed for automating the installation process. If the software is site-specific, list it in the section called Implementation Requirements/Procedures by Site.

#### Data

Instructions: Describe specific data preparation requirements and data that must be available for the system or situation implementation. An example would be the assignment of individual IDs associated with data preparation. Include reference to the Data Conversion Plan, if applicable. If the data and data preparation requirements are site-specific, provide this information in the section called Implementation Requirements/Procedures by Site.

#### Facilities

Instructions: Identify the physical facilities and accommodations required during implementation. Examples include physical workspace for assembling and testing hardware components, desk space for software installers, and classroom space for training the implementation staff. Specify the hours per day needed, number of days, and anticipated dates. If the facilities needed are site-specific, provide this information in the section named Implementation Requirements/Procedures by Site.

#### Materials

Instructions: Provide a list of required support materials, such as CD-ROMs, cartridge media, and disk packs.

### Personnel

Instructions: Describe personnel requirements and any known or proposed staffing requirements, if appropriate. Also describe the training, if any, to be provided for the implementation staff.

#### Personnel Requirements and Staffing

Instructions: Describe the number of personnel, length of time needed, types of skills, and skill levels for the staff during the implementation period. If particular staff members have been selected or proposed for the implementation, identify them and their roles in the implementation. The System Developer may have to work with the Office of Information Services (OIS) and/or the IT Infrastructure Implementation Agent or Contractor to complete this section of the Implementation Plan.

Table 3 - Implementation Personnel Requirements

| Skill Type | Skill Level | # Personnel | Assigned Staff | Length of Time Needed | Role |
| --- | --- | --- | --- | --- | --- |
| <Skill Type> | <Skill Level> | <#> | <First Name Last Name> | <Length of Time Needed> | <Role> |
| <Skill Type> | <Skill Level> | <#> | <First Name Last Name> | <Length of Time Needed> | <Role> |
| <Skill Type> | <Skill Level> | <#> | <First Name Last Name> | <Length of Time Needed> | <Role> |

#### Training of Implementation Staff

Instructions: Describe the training necessary to prepare support staff for implementing the system. Do not address user, operations and maintenance training, which should be the subject of the Training Plan. If support staff are already knowledgeable and require no training, then identify as such; otherwise, describe the type and amount of training required for each of the following areas, if appropriate:

* System hardware/software installation
* System support
* System maintenance and modification

Present a training curriculum listing the courses that will be provided, a course sequence, and a proposed schedule. If appropriate, identify which courses particular types of staff should attend by job position description. If training will be provided by one or more commercial vendor(s), identify them, the course name(s), and a brief description of the course content. If the training will be provided by CMS staff, provide the course name(s), and an outline of the content of each course. Identify the resources, support materials, and proposed instructors required to teach the course(s).

### Performance Monitoring

Instructions: If applicable, describe the performance monitoring tool and techniques utilized during implementation, and how they will be used to help determine if the implementation is successful.

### Configuration Management

Instructions: Describe the configuration management procedures that will be followed and the interactions that will occur for configuration control, change control, and configuration status account reporting.

## Implementation Requirements/Procedures by Site

Instructions: Describe specific implementation requirements and procedures for each implementation site. If the requirements and procedures differ by site, repeat the following subsections for each site. If they are the same for each site, or if there is only one implementation site, use these subsections only once.

### Site Identification

Instructions: Provide the name or identifying information for the specific site or sites to be discussed in the following subsections.

#### Site Requirements

Instructions: Define the site-specific requirements that must be met for the orderly implementation of the system or situation. Describe the site-specific hardware, software, data, facilities, and materials not previously described in the section named Infrastructure & Data Support.

#### Site Implementation Details

Instructions: Address the specifics of the implementation for this site.

##### Implementation Team

Instructions: If an implementation team is required, describe its composition and the tasks to be performed at this site by each team member.

##### Implementation Schedule

Instructions: If site-specific implementation schedules are not included in the section named Implementation Schedule, provide a schedule of activities, including planning and preparation, to be accomplished during implementation at this site. Describe the required tasks in chronological order with the beginning and ending dates of each task, the key person(s) responsible for the task, dependencies, and milestones. If appropriate, tables and/or graphics may be used to present the schedule.

##### Implementation Procedures

Instructions: Provide a sequence of detailed procedures required to accomplish the specific hardware and software implementation at this site. If necessary, other documents may be referenced. For example, the Version Description Document (VDD) should be referenced for the software installation instructions. A checklist of the installation events may be provided to record the results of the process. If the site operations startup is an important factor in the implementation, then address startup procedures in some detail. If the system will replace an already operating system, then address the startup and cutover processes in detail. If there is a period of parallel operations with an existing system, address the startup procedures that include technical and operations support during the parallel cycle and the consistency of data within the databases of the two systems.

##### Database Environment

Instructions: Describe the database environment where the system software and database(s), if any, will be installed. Include a description of the different types of database and library environments (e.g., test, training, and production databases). Include the host computer database operating procedures, database file and library naming conventions, database system generation parameters, and any other information needed to effectively establish the system database environment. Include database administration procedures for testing changes, if any, to the database management system before the system implementation. Refer to the Database Design Document for additional information.

##### Operations Procedures

Instructions: Describe operations procedures utilized during implementation. If these operations procedures will continue to be utilized during operations and maintenance activities (e.g., restart and recovery procedures), then they should be described in the Operations & Maintenance (O&M) Manual, and the applicable O&M Manual sections referenced here.

#### Site Implementation Verification

Instructions: Describe the process for reviewing the site implementation during and after implementation to ensure adherence to the plan and for deciding if implementation was successful. This information will especially be utilized during the Operational Readiness Review (ORR) for determining if the site is ready for full operational support in the production environment. Describe how any noted discrepancies or issues will be rectified.

#### Site Rollback Plan

Instructions: Provide the detailed steps and actions required to restore the site to the original, pre-implementation condition in the event that implementation is unsuccessful. Identify conditions when site rollback is appropriate or not considered an option.

Appendix A: Record of Changes

Instructions: Provide information on how the development and distribution of the Implementation Plan will be controlled and tracked. Use the table below to provide the version number, the date of the version, the author/owner of the version, and a brief description of the reason for creating the revised version.

Table 4 - Record of Changes

| Version Number | Date | Author/Owner | Description of Change |
| --- | --- | --- | --- |
| <X.X> | <MM/DD/YYYY> | CMS | <Description of Change> |
| <X.X> | <MM/DD/YYYY> | CMS | <Description of Change> |
| <X.X> | <MM/DD/YYYY> | CMS | <Description of Change> |

Appendix B: Glossary

Instructions: Provide clear and concise definitions for terms used in this document that may be unfamiliar to readers of the document. Terms are to be listed in alphabetical order.

Table 6 - Glossary

| Term | Acronym | Definition |
| --- | --- | --- |
| <Term> | <Acronym> | <Definition> |
| <Term> | <Acronym> | <Definition> |
| <Term> | <Acronym> | <Definition> |

Appendix C: Referenced Documents

Instructions: Summarize the relationship of this document to other relevant documents. Provide identifying information for all documents used to arrive at and/or referenced within this document (e.g., related and/or companion documents, prerequisite documents, relevant technical documentation, etc.).

Table 7 - Referenced Documents

| Document Name | Document Location and/or URL | Issuance Date |
| --- | --- | --- |
| <Document Name> | <Document Location and/or URL> | <MM/DD/YYYY> |
| <Document Name> | <Document Location and/or URL> | <MM/DD/YYYY> |
| <Document Name> | <Document Location and/or URL> | <MM/DD/YYYY> |

Appendix D: Approvals

The undersigned acknowledge that they have reviewed the Implementation Plan and agree with the information presented within this document. Changes to this Implementation Plan will be coordinated with, and approved by, the undersigned, or their designated representatives.

Instructions: List the individuals whose signatures are desired. Examples of such individuals are Business Owner, Project Manager (if identified), and any appropriate stakeholders. Add additional lines for signature as necessary.

Table 8 - Approvals

| Document Approved By | Date Approved |
| --- | --- |
| Name: <Name>, <Job Title> - <Company> | Date |
| Name: <Name>, <Job Title> - <Company> | Date |
| Name: <Name>, <Job Title> - <Company> | Date |
| Name: <Name>, <Job Title> - <Company> | Date |

Appendix E: Notes to the Author/Template Instructions

This document is a template for creating an Implementation Plan for a given investment or project. The final document should be delivered in an electronically searchable format. The Implementation Plan should stand on its own with all elements explained and acronyms spelled out for reader/reviewers, including reviewers outside CMS who may not be familiar with CMS projects and investments.

This template was designed based on best practices and information to support CMS governance and IT processes. Use of this template is not mandatory, rather programs are encouraged to adapt this template to their needs by adding or removing sections as appropriate. Programs are also encouraged to leverage these templates as the basis for web-based system development artifacts.

This template includes instructions, boilerplate text, and fields. The author should note that:

* Each section provides instructions or describes the intent, assumptions, and context for content included in that section. Instructional text appears in blue italicized font throughout this template.
* Instructional text in each section should be replaced with information specific to the particular investment.
* Some text and tables are provided as boilerplate examples of wording and formats that may be used or modified as appropriate.

When using this template, follow these steps:

1. Table captions and descriptions are to be placed left-aligned, above the table.
2. Modify any boilerplate text, as appropriate, to your specific project.
3. All documents must be compliant with Section 508 requirements.
4. Figure captions and descriptions are to be placed left-aligned, below the figure. All figures must have an associated tag providing appropriate alternative text for Section 508 compliance.
5. Delete this “Notes to the Author/Template Instructions” page and all instructions to the author before finalizing the initial draft of the document.