ASSET MANAGEMENT
PLAYBOOK GUIDE

Funded by:

Prepared by:

1. About this Guide

The Playbook Guide ("The Guide") was developed by the Northwest Territories Association of Communities (NWTAC). The Guide is designed to help communities use the Playbook Template, and complementary Worksheet to create documents that are tailored to their local context.

This Guide is part of a Toolkit of resources that have been developed to help communities build their capacity in asset management. The resources that make up this Toolkit include:

- ► Asset Management Policy Template & Supporting Guide
- ► Asset Management Plan Template, Inventory Template & Supporting Guide
- ► Lifecycle Cost Workbooks (2) & Supporting Guides
- ► Levels of Service Template & Supporting Guide
- ► Playbook Worksheet, Annual Schedule Template & Supporting Guide (this document)
- ► Smart Management Practices (5)

Each component is designed to be used together with the other components of the Toolkit, which can be found online at: www.nwtac.com

Purpose

This Guide provides information and resources to support communities in the Northwest Territories as asset management is implemented, and specifically in developing a framework for the governance of an asset management program. It is designed to help communities interpret and adapt the Playbook Worksheet and supporting Annual Schedule Template.

Intended Audience

This Guide has been developed for representatives of communities in the Northwest Territories, including staff, senior management, and decision-makers such as Mayor, Chief, and Council. This Guide may also be of interest to members of the public who would like to learn more about asset management practices in their community.

Guide Structure

This Guide provides a starting place for communities to develop their own Playbook. It includes sections describing each components of the Playbook Worksheet and Annual Schedule Template, with notes on how to bring information in from the Inventory. The Guide also provides support to communities interested in tailoring the templates to meet their needs.

The Guide is made up of four major sections:

1.	**About this Guide**	Information on the purpose and structure of this Guide.
2.	**Background**	Details on what a Playbook is and how it fits with existing strategies and practices in the Northwest Territories.
3.	**Developing your Playbook**	A description of each section in the Playbook Worksheet, the Annual Schedule Template as well as some completed examples.
4.	**Putting it into Practice**	An overview of next steps for finalizing your Asset Management Playbook and using it to begin implementing your asset management program.

2. Background

This tool will assist with one of the last steps in getting your asset management program going. At this point you will have used the other templates and tools available to prepare a policy and asset management plan, document levels of service, and understand how to apply the lifecycle costing tool.

Implementing your program is about making asset management part of your every day business. It's about establishing a governance structure that enables you to have 'boots on the ground'. Establishing a clear framework for implementation important because it enables the organization to:

> ► Outline asset management business processes
>
> ► Map roles and responsibilities with actions and timeframes
>
> ► Facilitate inter-departmental coordination
>
> ► Build in flexibility

Why is a Playbook?

The Playbook is a tool for doing asset management, which involves implementing processes that enable the whole organization to be more effective and efficient – in an iterative way. Think of it as the framework for your asset management governance system.

NRRM's Concept for an Asset Management Playbook

The Playbook concept was an evolution of Northern Rockies Regional Municipality's (NRRM) asset management program.   It was originally brought up by Northern Rockies' Director of Finance (Toni Pike) because there was a desire to represent decisions in a way that everyone can visualize. The concept resonated with the team and became the basis for filling an operational gap in their asset management program.

NRRM developed their governance framework around the Playbook. They initiated the process following completion of their core Asset Management Plans. The Playbook is centred around a flowchart-based document for inter-departmental business planning. It is used by the asset management team as well as and others across the organization that deal with sustainable service delivery. The playbook has evolved from its first version, and continues to be adapted as required to meet organizational and Team needs.
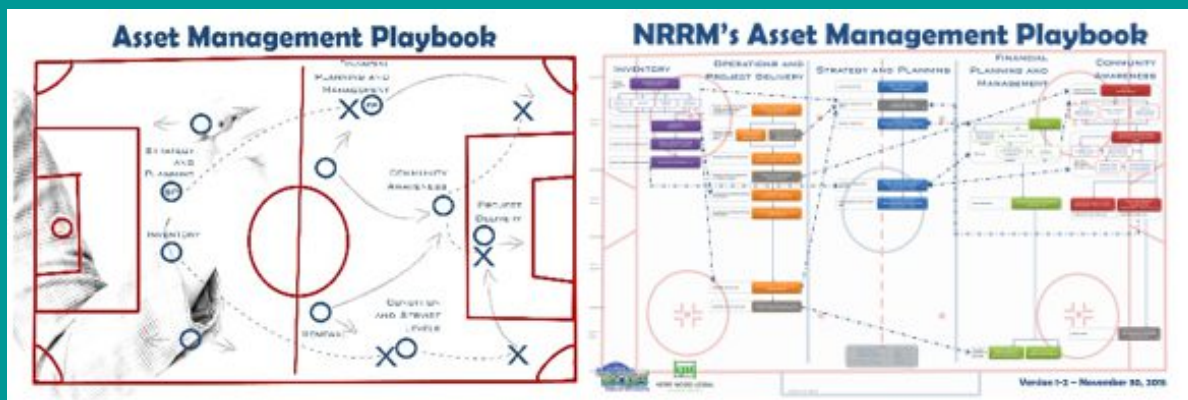
3. Developing Your Playbook

The Playbook worksheet and schedule have been developed to walk communities through the front end of a Playbook, which is the framework from which all your decision-making processes will be built. Over time and as needed, additional layers of your Playbook can be prepared.

The "Playbook" theme and name may not resonate with every team or community, but the concepts for organizing asset management governance and mapping processes together using visuals should be universal. It's about clearly illustrating the key actions required to translate your strategy into action. Think of your municipal management team like a football team: everyone has a specific role, but if one person doesn't execute the whole play falls apart. Consider what will resonate best with your community.

Objective

A sample objective has been included as the first subsection of the Playbook worksheet. You can use this by adding your community's name, or tailor the objective more specifically to your own organizations needs.

Decision-Making Streams

The intention with this section is to describe a framework that reflects the community's current processes, using best practices to establish a clear direction forward. Setting up an asset management governance system involves packaging the processes required to enable implementation of sustainable service delivery across the local government. Governance, in this case, is really about implementing asset management in a way that enables the whole organization to be more effective and efficient; it's about making asset management part of everyday business.

Four decision streams have been identified to establish a structure for implementation of the community's Asset Management Program. They make up the Governance Framework which is represented as the front end of a Playbook. Because each stream reflects a core component of the community's decision-making processes, the Framework enables consistent teams, aligned processes, and a complete understanding of the resources required to move forward with achieving sustainable service delivery. The decision streams are as follows:

► **Strategy & Planning** – the overall strategy and planning for the asset management program, including establishing and assessing levels of service, reassessing criticality and risk, capital planning, corporate reporting, and asset management plan(s).

► **Information** – steps for keeping the Asset Information System up-to-date, including quality assurance/quality control, and inventory management.

► **Financial Planning & Management** – decision-making and reporting as part of long term financial planning, TCA reconciliation, the annual budget, and audited financial statements.

► **Communications** – strategies for empowering people to make decisions, building community awareness and gathering community feedback through a succession plan, knowledge building, a communication strategy, public engagement initiatives, and linkages with corporate plans and strategies.

The stream names and descriptions can be adjusted as required. Additional streams can also be added as required, for example in larger organizations where operations or project delivery are major components of delivering services that involve a cross-departmental team of staff within the organization.

The Asset Management Team, through the Strategy and Planning stream, can be empowered to use the Framework as a practical governance tool for structuring deliberate, consistent decision-making across the organization. It can also be a reference for each department for how to effectively implement asset management.

Sample Frameworks

Below are two sample frameworks for implementing your asset management program. Each have different streams to reflect the structure and needs of the organization, and the Asset Management Team is responsible for moving each stream forward, in whole or as subgroups.

Playbook Stream	Description
Strategy & Planning	The overall strategy and planning for the asset management program, including establishing **levels of service**, **capital planning**, **AIDP reporting**, **corporate annual report**, and **asset management plans**.
Inventory	Steps for keeping NRRM's Asset Information System (AIS) up-to-date, including **quality assurance/quality control**, and **inventory management**.
Operations & Project Delivery	Processes for both capital and ongoing maintenance activities, including **capital project initiation, planning, and project implementation**; **condition assessment; operations and maintenance;** and **monitor and update unit costs**.
Financial Planning & Management	Decision-making and reporting as part of **TCA reconciliation,** the **annual budget**, and **audited financial statements.** This stream is closely linked with the capital planning and AIDP process under the Strategy & Planning Stream.
Community Awareness	Strategies for building community awareness and gathering community feedback through a **communication strategy, communicating the Annual Report, public engagement/consultation initiatives**, and **linkages with corporate plans and strategies**.

Asset Management Team

This section is focused on identifying the Asset Management Team lead, as well as key players (representatives from across departments and disciplines). The team is responsible for leading each aspect of the program's delivery.
A Terms of Reference can be developed and attached to the Playbook to guide how the Team functions. Typical Terms of Reference include the following:

- ► Mandate – what the team's purpose and responsibilities are

- ► Team composition – the titles and departments making up the Team

- ► Member and chair responsibilities – a bulleted list of what each individual member will do

- ► Decision making practices – how decisions are made, and the lines of communication to other groups within the organization

- ► Authority – reporting structure external to the Team

- ► Meeting procedures – frequency of meetings, documentation, conditions for quorum, and other practices

- ► Information sharing guidelines – access to relevant documents and data as well as the person responsible for their upkeep

For larger communities, a series of working groups can be established. For example, the Asset Management Team may make up the Strategy and Planning Stream, however a subgroup (possibly with a different lead) will be responsible for each of: information, financial planning and management and communications. The following table can be used in such cases, and added to this section in the Playbook Worksheet.

Strategy & Planning	Information	Financial Planning & Management	Communications
Lead: Senior Administrative Officer (SAO) **Key Players:** Asset Management Team	**Lead:** Information Technology Manager **Key Players:** Department Managers	**Lead:** Director of Finance **Key Players:** Finance Department; SAO	**Lead:** Director of Corporate Services **Key Players:** Department Managers

Existing Resources

A list of existing resources that directly or indirectly inform and support the community's asset management decision-making can be listed here, organized by asset category or service area. A series of examples have been provided in the Playbook Worksheet, and can be adjusted as needed. These example resources include:

- ► community plan
- ► strategic plan
- ► financial plan
- ► capital plan
- ► area development plans
- ► climate change adaptation plan
- ► energy plan, annual report
- ► servicing plans
- ► master plans
- ► design criteria and specifications

Any existing processes or practices directly related to asset management, maintenance management and service delivery can also be included. For example, succession planning, criticality or risk assessment frameworks, policies, documented levels of service, project delivery practices, etc. Where these processes existing but are not documented, an important action for implementation in the subsequent section will be to document what's already being done.

Actions for Implementation

☐ A list of potential priority actions for implementation have been included in the Playbook Worksheet as a checklist. This list can be adjusted and expanded as necessary depending on the community's needs and staff resources for carrying initiatives forward.

☐ Preparation of the Asset Management Team Terms of Reference

☐ Forming working groups (cross-department) around each decision stream, as a subset of the Asset Management Team (not applicable for smaller communities)

☐ Coordination and documentation of departmental roles and accountability relationships for key players, including responsibilities that are aligned with the community's Asset Management Policy

☐ Scheduling key annual meetings, milestones and deliverables

☐ Documenting the scope of each annual meeting, milestone and deliverable, and identifying who is responsible

☐ Scheduling 5 year recurring processes

☐ Identifying dependencies between implementation tasks (relationships illustrating how information flows in and out of each stream)

Recurring Annual Meetings and Deliverables

Depending on the size of your community's staff resources, the number of meetings, milestones and deliverables will change. In a small community, where staff often where many hats, a condenses approach to meetings may be appropriate. The following is a sample of the types of recurring meetings, milestones and deliverables that can be used as a starting point when preparing your own annual calendar.
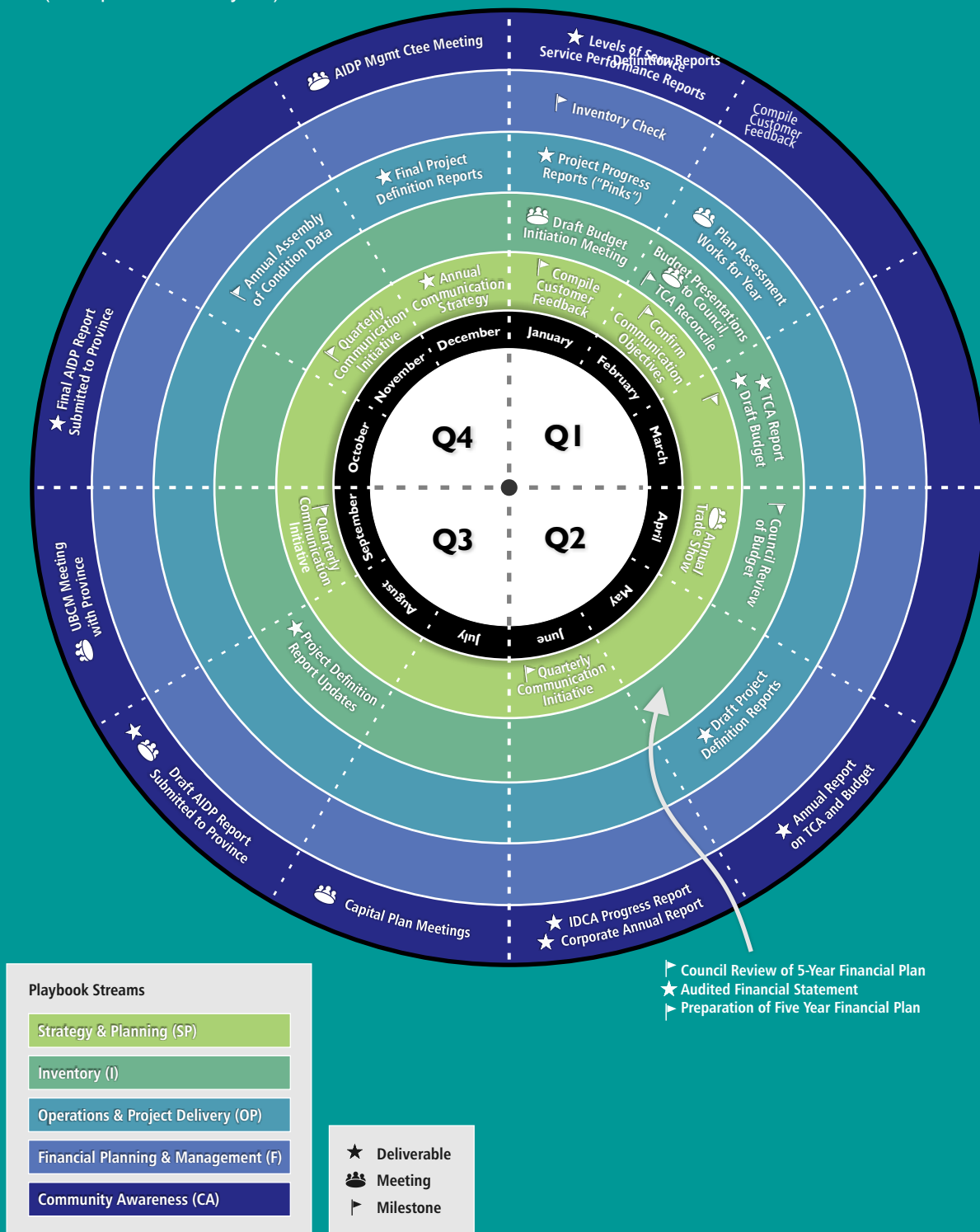
> ► Annual or quarterly meetings to monitor policies, strategy progress and plan progress and to oversee corporate reporting. This includes initiating and overseeing updates that will happen on a 5 year basis to the Asset Management Plan, Policy, Levels of Service, etc.

> ► An annual meeting to review documented standards annually, including frameworks, risk models, criticality, data collection and updating

> ► A series of annual meetings to integrate the results from capital projects and studies

> ► An annual meeting to engage and update staff about asset management and how it relates to their work

> ► A staff meeting and presentation to Council annually

> ► An annual meeting to reconcile and report on Tangible Capital Assets

> ► Data management, including ongoing and as-needed updates to the consolidated inventory, with an annual check of the inventory to confirm that all updates have been made.

> ► An internal and public meeting annually to focus on knowledge sharing, linked to quarterly public communication initiatives

> ► An annual meeting to confirm communication objectives, review the communication strategy and compile customer feedback from the previous year

Below are two sample frameworks for implementing your asset management program, depending on the structure and needs of the organization. The Asset Management Team is responsible for moving each stream forward, in whole or as subgroups.

Annual Calendar Example

Each band of colour represents a decision stream, and meetings, tasks and deliverables are arranged by month (and quarter of the year).

Playbook Streams

- Strategy & Planning (SP)
- Inventory (I)
- Operations & Project Delivery (OP)
- Financial Planning & Management (F)
- Community Awareness (CA)

★ Deliverable
👥 Meeting
⚑ Milestone

GANTT Chart Example

Key tasks for ongoing implementation are identified accordingly to each decision stream, Meetings, milestones and deliverables (represented by symbols) are identified on the annual schedule, along with tasks that occur every five years.
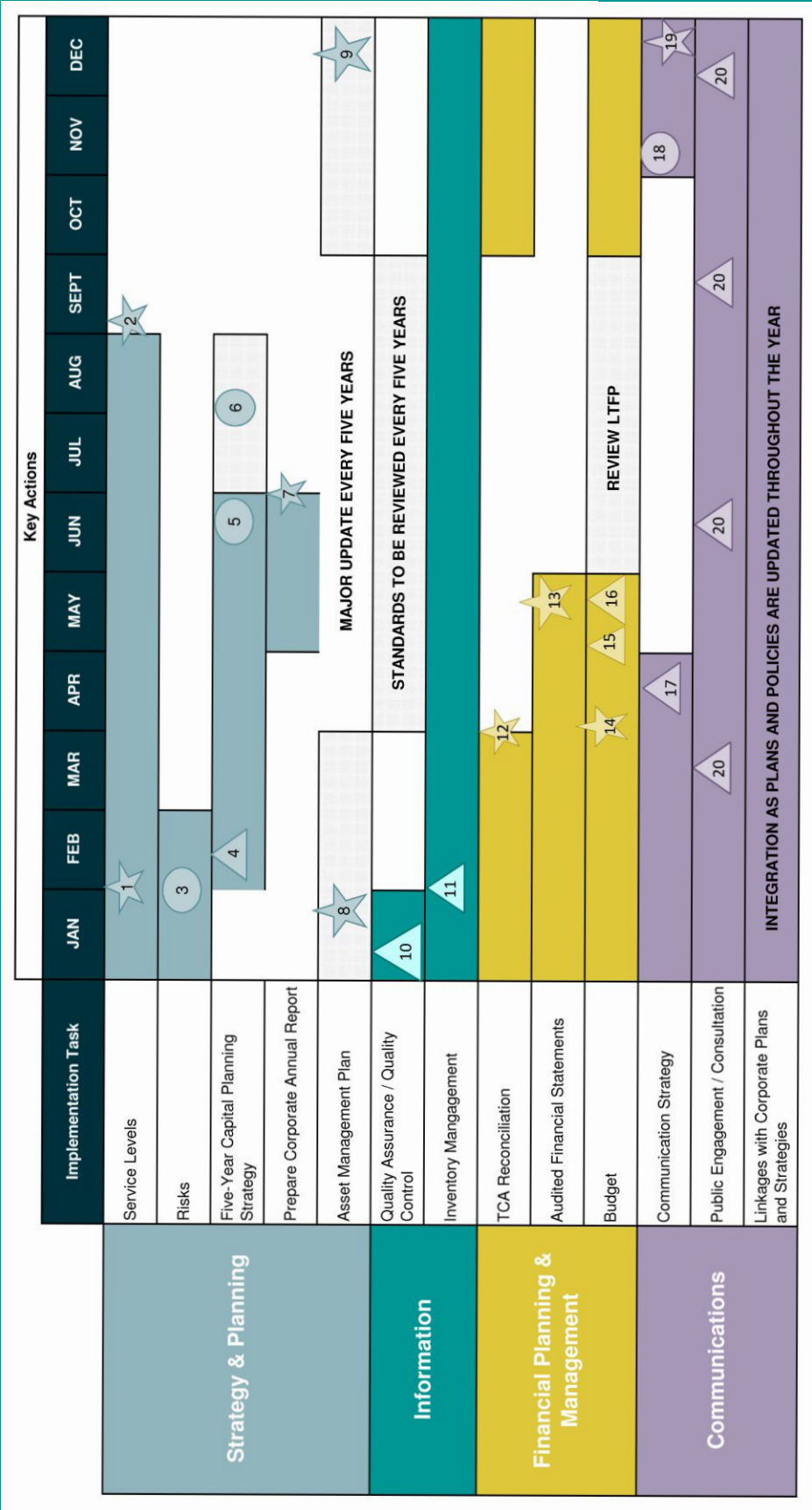
4.   Putting it into Practice

The transition from developing an asset management program to implementing one requires shifting from a project-based mindset to a governance one. This typically occurs after an Asset Management Plan has been completed. Your focus now can be on making asset management part of your everyday business. Below are five things to focus on for successful implementation of your program:

1. **Initiative** – If you're reading this, nominate yourself as a champion of asset management. That doesn't mean you need to be an expert! Consider preparing a 1 page roadmap that illustrates the priorities you (and your team) will focus on over the next 6 months, 1 year or 5 years to help focus available resources.

2. **Discipline** – This includes holding to the timelines you've set in achieving key milestones of your program, but also in attending regularly scheduled meetings as opposed to delaying them to squeeze in other priorities. In small communities, your team may consist of two people and they could be the same two that wear a variety of hats and work together regularly. In that case, ensure dedicated time is set aside for asset management related discussions and focus efforts on keeping on task.

3. **Organization** – Spend the time to develop an effective agenda for asset management team meetings, and wherever possible use the time for workshop style exercises. Although it takes more effort up front, it will allow you to focus the team's energy and emerge with tangible results. There's nothing worse than showing up for an unproductive meeting, knowing that you have a pile of other high priority tasks awaiting you elsewhere.

4. **Accountability** – Track tasks and progress, including who is on lead for each task as well as relevant deadlines. Having a 1 page summary is an excellent tool for revisiting regularly with asset management team members.

5. **Team work** – Communities with cross-department teams have been proven to be the most successful in implementing asset management programs. Communication is a big part of this, as well as recognizing that even though you may have one champion, or a group of staff making up your asset management team, it doesn't mean those people have to do all the work.

Regardless of your approach, remember that asset management is an iterative process. You don't need to do everything at once; start with one action that you believe will make a difference and go from there. Celebrate the small successes along the way, and don't be afraid to ask for help from your neighbouring communities, NWTAC and MACA.