

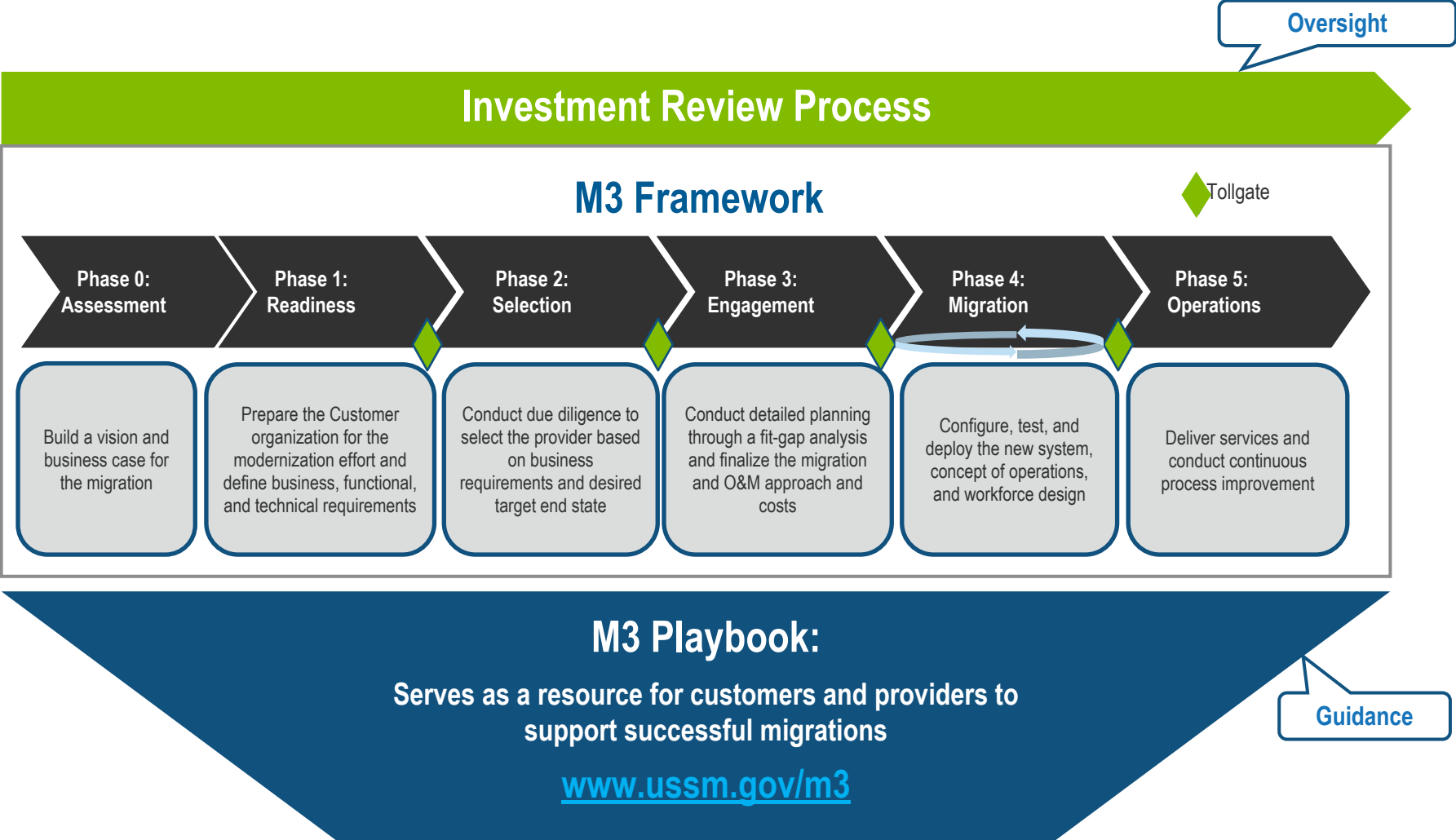
# Modernization and Migration Management (M3) Playbook

GSA, Unified Shared Services Management

# Introduction

# Modernization and Migration Management (M3) Framework

The Modernization and Migration (M3) Framework is the roadmap for agencies “buying a service” - delivering projects on time, on budget, and on value.



# What is the M3 Framework?

Modernization and Migration Management (M3) is a framework designed to help Chief Financial Officers (CFO) Act agencies achieve successful outcomes and reduce risk during administrative system and/or service modernizations and migrations. It segments modernizations and migrations into six discrete phases, each of which includes a series of objectives and recommended activities that should be completed by the customer and/or provider organization based on the phase objectives.

**The M3 Playbook** was developed to help customer and provider organizations apply the M3 Framework. The M3 Playbook is **not prescriptive**, but provides guidance, tools, and templates, based on best practice, to help CFO Act agency customers and providers improve the likelihood of successful outcomes of their modernization and migration projects. Customers and providers are encouraged to leverage their own tools and templates to satisfy the expected outcomes.

The M3 Framework is a **six-phased approach** to system and service modernizations and migrations including key activities and outcomes for each phase. Within each phase there are associated activities that are detailed in the M3 Playbook.

The activities are broken into four work streams that are common to modernization and migration programs/projects:



Many of the activities/outcomes identified in these work streams are updated through progressive iterations across the phases. The overview emphasizes the need to address the non-technical aspects of the modernization or migration early in the process to ensure organizational and operational success.

The M3 Framework is overseen by the **Investment Review Process** – mandatory formal reviews for CFO Act agencies conducted by an Investment Review Board (IRB) to:

- 1) evaluate migration risk and make recommendations to customer and provider organizations throughout the migration life cycle to mitigate potential hurdles to success and
- 2) assess outcomes at each phase and make recommendations to OMB on budgeting for modernization and migration investments.

# How to Read an Activity Description

**Objective:**  
Provides the overall objective of the activity

**Activities:**  
Describes the step-by-step activities that the program team should conduct in order to achieve the intended objective

**Inputs:**  
Lists inputs that will be needed to conduct the activities

**Outputs:**  
Lists the required outputs at the end of the activities

## Program Management 0.1 Define Vision

**Objective:** Define vision and objectives for the Modernization or Migration to Common Solution

Responsible Party: (C) Customer (P) Provider (S) Shared

<p><b>Activities</b></p> <ol style="list-style-type: none"> <li>1. Create Vision Statement and Objectives of modernization or migration</li> <li>2. Identify in-scope service area(s) (i.e. financial management, human capital, procurement, grants management, travel)</li> <li>3. Identify in-scope function(s) from service area list provided through the <a href="#">Federal Integrated Business Framework (FIBF)</a> website</li> <li>4. Begin to define Scope of Services (i.e. modernizing to shared system, migrating to shared transaction processing service(s), or both)</li> <li>5. Define Expected Benefits from the Service and/or System being acquire</li> <li>6. Determine High Level Timelines for modernization or migration</li> </ol>	<p><b>Stakeholders</b></p> <ul style="list-style-type: none"> <li>• Executive Sponsor (C)</li> <li>• Organization Executives (CXOs) (C)</li> <li>• Program Manager (C)</li> <li>• PMO Lead , if on-boarded (C)</li> </ul>
<p><b>Inputs</b></p> <ul style="list-style-type: none"> <li>• Government-wide Standards defined through the FIBF</li> </ul>	
<p><b>Outputs</b></p> <ul style="list-style-type: none"> <li>• Vision Statement</li> <li>• In-scope service area(s) and function(s)</li> <li>• Expected Benefits</li> <li>• High Level Timelines</li> </ul>	
<p><b>Best Practice</b></p> <ul style="list-style-type: none"> <li>• Leverage an outside group for facilitation of visioning session with organization executives. Consider contacting <a href="mailto:Fed2FedSolutions@gsa.gov">Fed2FedSolutions@gsa.gov</a> for facilitation services</li> </ul>	

**Workstreams:**  
Indicates the workstream in which the activity occurs: PMO (dark green), Change Management (light blue), Technology (light green), or Process & Service Delivery (dark blue)

**Responsible Party:**  
Indicates the party/parties responsible for the activity

**Stakeholders:**  
Describes who is typically involved in the activities

**Best Practice:**  
Provides best practice from previous migrations for consideration as activities are conducted

# Frequently Used Terms

<b>Input</b>	A document (usually created in a prior activity), or an event required by that process before a process proceeds
<b>Output</b>	A document, or event that is produced by an activity to facilitate robust planning and migration activities
<b>Exit Outcome</b>	An outcome that should be achieved by the time a phase is complete
<b>Guidance Items</b>	A supporting tool for agencies to evaluate their plans and program artifacts against leading practices; guidance items can be used to guide the content of organization-specific documentation when not using a template
<b>Template</b>	A document that contains required fields and details for an output
<b>Tollgate Review Discussions</b>	A summary presentation that must be submitted at the end of a phase tollgate with key components to inform risk review and budget/funding decisions for the migration

# Executive Summary

# Modernization and Migration Management (M3) Playbook Overview

The M3 Playbook is not prescriptive – it is guidance for customer and provider organizations to help improve the successful outcomes of modernizations and migrations. Customers and providers are encouraged to tailor the M3 Playbook to leverage their own tools and templates to satisfy the expected outcomes.



Tollgate



## Investment Review Process

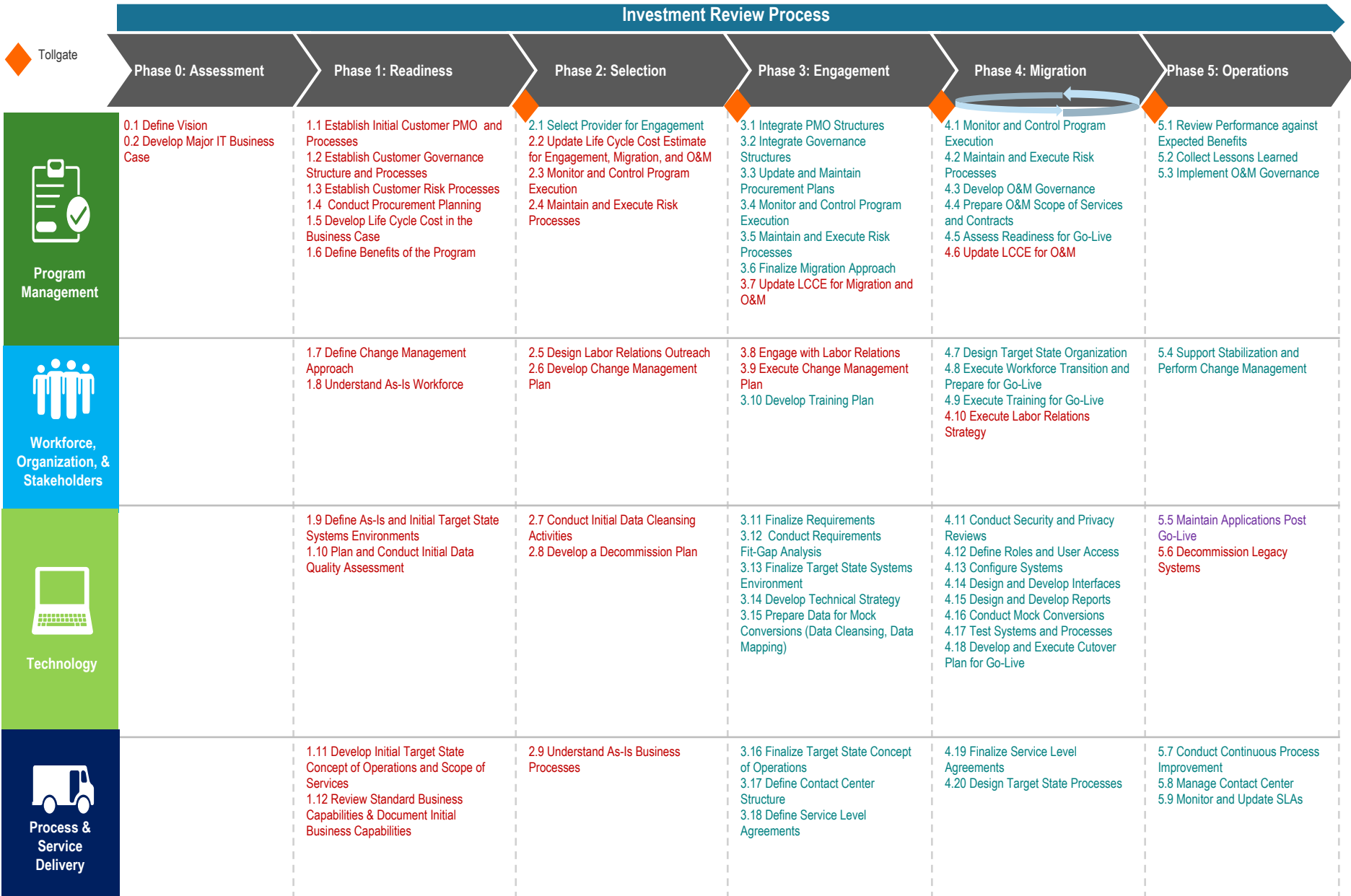
	0. Assessment	1. Readiness	2. Selection	3. Engagement	4. Migration	5. Operations
Objective	Build a vision and Major Information Technology (IT) Business Case for the migration	Prepare the customer organization for the modernization effort and define capabilities	Conduct due diligence to select the provider based on capabilities and desired target end state	Conduct detailed planning through a Fit-Gap Assessment and finalize the migration and Operations and Maintenance (O&M) approach and costs	Configure, test, and deploy the new system, concept of operations, and workforce design	Deliver services and conduct continuous process improvement
Key Activities*	<ul style="list-style-type: none"> <li>Define Vision</li> <li>Develop Major IT Business Case</li> </ul>	<ul style="list-style-type: none"> <li>Stand-up Program Management Office (PMO)</li> <li>Define migration scope of services and program management processes</li> <li>Establish customer risk processes</li> <li>Assess data quality</li> </ul>	<ul style="list-style-type: none"> <li>Assess different providers to understand which can best meet the scope of services requirements</li> <li>Select provider for Engagement and fit-gap analysis</li> <li>Begin preparing the organization for change</li> <li>Continue cleansing data</li> </ul>	<ul style="list-style-type: none"> <li>Conduct a Fit-Gap Assessment to understand how the requirements will be met and where tailored solutions will be required</li> <li>Define Migration Approach and roadmap</li> <li>Integrate PMO processes between the customer and provider</li> </ul>	<ul style="list-style-type: none"> <li>Configure, test, and deploy the new solution and concept of operations</li> <li>Migrate in-scope processes and design the transformed organization for the future state environment</li> </ul>	<ul style="list-style-type: none"> <li>Monitor the success of the migration and move into operations</li> <li>Continue training and communications</li> <li>Conduct process improvement and customer care activities</li> </ul>
Exit Outcomes	<ul style="list-style-type: none"> <li>✓ Major IT Business Case Approved</li> </ul>	<ul style="list-style-type: none"> <li>✓ PMO and Governance Structure Defined</li> <li>✓ Resources On Boarded</li> <li>✓ Mitigation Plans in Place for Major Risks/Issues</li> <li>✓ Initial Master Schedule Defined</li> <li>✓ Life Cycle Cost Estimate Developed</li> <li>✓ Change Management Strategies Defined</li> <li>✓ Data Quality Assessed</li> <li>✓ Procurement Strategy Defined</li> <li>✓ Business Capabilities Defined</li> </ul>	<ul style="list-style-type: none"> <li>✓ Provider Selected</li> <li>✓ Mitigation Plans in Place for Major Risks/Issues</li> <li>✓ Master Schedule Updated</li> <li>✓ Data Cleansing Commenced</li> <li>✓ Life Cycle Cost Estimate Updated for Engagement, Migration, and O&amp;M</li> <li>✓ Communications to Stakeholders Delivered</li> </ul>	<ul style="list-style-type: none"> <li>✓ Fit-Gap Assessment Completed</li> <li>✓ PMO and Governance Processes Integrated</li> <li>✓ Life Cycle Cost Estimate Updated for Migration and O&amp;M</li> <li>✓ Migration Approach Finalized</li> <li>✓ Master Schedule Drafted</li> <li>✓ Service Level Agreements (SLAs) for Migration and O&amp;M defined</li> <li>✓ Go/No-Go Criteria Approved</li> </ul>	<ul style="list-style-type: none"> <li>✓ Go/No-Go Criteria Met to Deploy Solution</li> </ul>	<ul style="list-style-type: none"> <li>✓ Post-migration Performance Metrics Reported</li> <li>✓ Lessons Learned Developed</li> </ul>

\* Agencies purchasing transaction processing services only will customize the M3 Playbook using the [M3 Services Tailoring Guide](#) to identify relevant activities and outputs within each Phase of the M3 Framework. \*\*An agile approach should be adopted for Phase 4.



# M3 Playbook Outline

Responsible Party: ■ Customer ■ Provider ■ Shared



\*An agile approach should be adopted for Phase 4.

# Phase 1: Readiness

# Phase 1 Summary and Documentation

**Objective:** Prepare the migrating organization by defining initial scope of services and customer governance for the modernization effort.

Responsible Party: ■ Customer ■ Provider ■ Shared

Phase 1: Readiness Activities	Program Management	Workforce, Organization, & Stakeholders	Technology	Process & Service Delivery
	<ul style="list-style-type: none"> <li>1.1 Establish Initial Customer Program Management Office (PMO Processes)</li> <li>1.2 Establish Customer Governance Structure and Processes</li> <li>1.3 Establish Customer Risk Processes</li> <li>1.4 Conduct Procurement Planning</li> <li>1.5 Develop Life Cycle Cost in the Business Case</li> <li>1.6 Define Benefits of the Program</li> </ul>	<ul style="list-style-type: none"> <li>1.7 Define Change Management Approach</li> <li>1.8 Understand As-Is Workforce</li> </ul>	<ul style="list-style-type: none"> <li>1.9 Define As-Is and Initial Target State Systems Environments</li> <li>1.10 Plan and Conduct Initial Data Quality Assessment</li> </ul>	<ul style="list-style-type: none"> <li>1.11 Develop Initial Target State Concept of Operations and Scope of Services</li> <li>1.12 Review Standard Business Capabilities &amp; Document Initial Business Capabilities</li> </ul>

**Phase 1 Documentation:** The following documentation is developed during Phase 1 and is used to inform the Phase 1 Tollgate Review discussion. Agencies purchasing transaction processing services only will identify relevant activities and artifacts for their project using the [M3 Services Tailoring Guide](#).

**Artifact Samples:** For sample documentation from previous modernizations and migrations, please go to [M3 Artifact Samples MAX Page](#).

Phase 1 Documentation	Information Contained in Tollgate Review Discussion																
<ul style="list-style-type: none"> <li>• <a href="#">HR/Staffing Plan</a></li> <li>• Independent Verification &amp; Validation (IV&amp;V) Plan</li> <li>• <a href="#">Governance Charter</a></li> <li>• Life Cycle Cost Estimate (LCCE)</li> <li>• <a href="#">Initial Master Schedule</a></li> <li>• <a href="#">Baseline and Target Performance and Success Metrics</a></li> <li>• Business Capabilities</li> <li>• <a href="#">M3 Risk Assessment Tool</a></li> <li>• Program Charter</li> <li>• Program Management Plan</li> <li>• <a href="#">Status Reports/Dashboard</a></li> <li>• <a href="#">Risk Management Plan</a></li> <li>• <a href="#">Risks, Actions, Issues, and Decisions (RAID) Log</a></li> <li>• Procurement Plan</li> <li>• Quality Assurance Surveillance Plan (QASP)</li> <li>• <a href="#">Requirements Management Plan</a></li> <li>• <a href="#">Stakeholder Analysis</a></li> <li>• <a href="#">Communications Plan</a></li> <li>• Migration and O&amp;M training needs</li> <li>• As-Is Workforce Documentation</li> <li>• Change Readiness Assessment</li> <li>• <a href="#">As-Is Systems Environment</a></li> <li>• Target State Systems Environment</li> <li>• Data Governance Model</li> <li>• Data Cleansing Plan</li> <li>• Business Needs Workbook</li> <li>• <a href="#">Target State Concept of Operations</a></li> </ul>	<table border="0"> <tr> <td>1. M3 Risk Assessment Tool</td> <td>9. Business Capabilities</td> </tr> <tr> <td>2. Initial Master Schedule Overview</td> <td>10. Change Management and Communications Approach</td> </tr> <tr> <td>3. LCCE</td> <td>11. Data Management/Data Quality Approach</td> </tr> <tr> <td>4. HR/Staffing Plan</td> <td>12. Baseline and Target Performance Success Metrics</td> </tr> <tr> <td>5. Procurement Approach</td> <td>13. Top Risks</td> </tr> <tr> <td>6. IV&amp;V Plan</td> <td></td> </tr> <tr> <td>7. Program Governance Model</td> <td></td> </tr> <tr> <td>8. Scope of Services Overview</td> <td></td> </tr> </table>	1. M3 Risk Assessment Tool	9. Business Capabilities	2. Initial Master Schedule Overview	10. Change Management and Communications Approach	3. LCCE	11. Data Management/Data Quality Approach	4. HR/Staffing Plan	12. Baseline and Target Performance Success Metrics	5. Procurement Approach	13. Top Risks	6. IV&V Plan		7. Program Governance Model		8. Scope of Services Overview	
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	Exit Criteria (to move into Phase 2)																
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# Program Management

## 1.1 Establish Initial Customer PMO and Processes

**Objective:** Establish a customer Program Management Office (PMO) structure as well as supporting PMO processes to manage and oversee program activities.

Responsible Party: (C) Customer (P) Provider (S) Shared

### Activities

1. Onboard PMO lead and team to support Phase 1 activities (C)
2. Develop charter for program (C)
3. Develop HR/Staffing Plan (including PMO roles and responsibilities) (C)
4. Develop Program Management Plan (including risk, procurement, cost, communications/stakeholder, and quality) (C)
5. Develop Initial Master Schedule for Phases 1 and 2 activities (C)
6. Develop Independent Verification & Validation (IV&V) Plan (C)
7. Execute onboarding/off boarding activities as defined within the HR/Staffing Plan (C)
8. Begin executing against Program Management Plan (C)
9. Manage schedule weekly by updating activities, dates, duration, and dependencies in conjunction with activity owners (C)
10. Develop status report and report on schedule, issues, and risks (C)

### Inputs

- Business Case
- Vision

### Outputs

- Program Charter
- HR/Staffing Plan
- Program Management Plan
- Initial Master Schedule
- IV&V Plan
- Status Reports/Dashboards

### Stakeholders

- Executive Sponsor (C)
- Program Manager (C)
- PMO Lead (C)
- PMO Team, if on-boarded (C)

### Best Practice

- Establish the necessary PMO structure, staff and processes upfront as it will set the stage for the remainder of the migration
- Maintain the same key personnel throughout the program
- Develop Program Charter with a defined scope upfront based on the agreed upon vision; the Initial Master Schedule should be flexible and closely monitored for necessary updates
- Develop IV&V Plan to independently and proactively identify risks
- Establish a shared vision with a sense of urgency based on data
- Clearly articulate goals and objectives that capture the “why” of the change and a high level statement of future activities
- Ensure adequate scheduling and accounting for each step of the plan

# Program Management

## 1.2 Establish Customer Governance Structure and Processes

**Objective:** Develop a governance structure that establishes program activity ownership and decision making authority for the customer throughout the migration.

Responsible Party: (C) Customer (P) Provider (S) Shared



### Activities

1. Identify or create customer governance bodies that will participate in the program and integrate with broader governance structures (C)
2. Define governance authority, roles, and responsibilities for oversight, management decision-making, and risk/issue escalation procedures (C)
3. Establish regular meeting cadence and reporting timelines for Phases 1 and 2 (C)
4. Develop Governance Charter (C)
5. Begin executing against Governance Charter (C)
6. Escalate decisions, risks, and issues to governance bodies for decision making and issue resolution (C)
7. Hold regular governance meetings to review progress and address escalated decisions, risks, and issues (C)



### Inputs

- Business Case
- Program Management Plan
- Existing Governance Bodies within Customer Organization



### Outputs

- Governance Charter



### Stakeholders

- Executive Sponsor (C)
- Business Owner (C)
- Program Manager (C)
- PMO Lead (C)
- PMO Team (C)
- Functional Lead (C)
- Technical Lead/Solution Architect (C)
- Change Management Lead (C)



### Best Practice

- Develop internal governance model at the beginning of the migration to make decisions in alignment with the objectives and goals of the program
- Obtain buy-in from internal organizations early on to establish collaboration throughout the migration; obtain buy-in from executives, managers, and line personnel as stakeholders and subject matter experts (SMEs)
- Encourage decisions to be made at the lowest possible level, while allowing elevation of important or contentious issues through the governance model
- Incorporate a variety of stakeholders, including the governance and transition team, in the development of the agency vision
- Ensure that leadership within the governance structure is able to make all necessary decisions with regard to financing and direction

# Program Management

## 1.3 Establish Customer Risk Processes

**Objective:** Establish a Risk Management Plan and supporting processes to identify risks and develop risk mitigation plans throughout the migration.

Responsible Party: (C) Customer (P) Provider (S) Shared

### Activities

1. Develop risk management processes and associated roles and responsibilities for identifying and mitigating risks (C)
2. Develop and employ mitigation strategies continuously throughout Phase 1 (C)
3. Maintain and update Risks, Actions, Issues, and Decisions (RAID) Log with new risks, changes to existing risks, and status of risk management activities continuously at a minimum of every two weeks throughout Phase 1 (C)
4. Report on new risks/issues and ongoing risk/issue mitigation activities in governance meetings and Status Reports/Dashboards (C)
5. Update Risk Management Plan as necessary (C)
6. Document Action Items and Decisions in the RAID log (C)
7. Perform risk assessment (C)

### Inputs

- Program Charter
- Governance Charter
- Program Management Plan
- Initial Master Schedule

### Outputs

- Risk Management Plan
- RAID Log
- M3 Risk Assessment

### Stakeholders

- Executive Sponsor (C)
- Business Owner (C)
- Program Manager (C)
- Risk Manager (C)
- PMO Lead (C)
- PMO Team (C)

### Best Practice

- Identify roles and responsibilities for risk management early on and establish a risk manager to coordinate all risk management activities throughout the program
- Train migration team members on how to identify and document risk mitigation plans and how to escalate and communicate to leadership effectively

# Program Management

## 1.4 Conduct Procurement Planning

**Objective:** Develop approach and plan to procure products and services for customer planning and to support activities for which customer is responsible throughout the migration.

Responsible Party: (C) Customer (P) Provider (S) Shared

### Activities

1. Define procurement needs and associated timelines for the program which may include support for program management, change management, business process reengineering, data management, interface development, and integration (C)
2. Collaborate with [category manager](#) to identify acquisition strategy (C)
3. Develop a plan that documents the approach for program procurement for support services as well as provider migration and operations and maintenance (O&M) (C)
4. Develop Quality Assurance Surveillance Plan (QASP) and approach to monitor metrics and performance of provider during the migration (C)
5. Develop Requests for Proposals (RFPs), Requests for Quotes (RFQs), Requests for Information (RFIs), and Performance Work Statements (PWSs) to procure support or other services for activities the customer will be performing (C)
6. Obtain contract support through Phases 1 and 2 (C)
7. Report changes to Procurement Plans in governance meetings and Status Reports/Dashboards (C)

### Inputs

- Program Charter
- Governance Charter
- Program Management Plan
- Life Cycle Cost Estimate (LCCE)

### Outputs

- Procurement Plan
- QASP

### Stakeholders

- Executive Sponsor (C)
- Business Owner (C)
- Program Manager (C)
- PMO Lead (C)
- PMO Team (C)
- Contracting or Procurement Officer (as needed) (C)

### Best Practice

- Identify personnel with critical skill sets and align them with specific program activities; bring on subject matter experts (SMEs) and information technology (IT) personnel early to ensure a successful migration in later phases
- Define people, budget, and contracts before beginning implementation activities; align activities to specific resources in the Initial Master Schedule
- Map the agency system development life cycle (SDLC), if existent, to the M3 framework to identify appropriate agency documentation and templates that can be adapted to the M3 framework in order to minimize re-work

# Program Management

## 1.5 Develop Life Cycle Cost in the Business Case

**Objective:** Develop the estimated costs of a migration based on the customer Scope of Services requirements to manage and plan budgetary needs.

Responsible Party: (C) Customer (P) Provider (S) Shared

### Activities

1. Develop Life Cycle Cost Estimate (LCCE) based on information gained in Phase 1 (e.g., requirements gathering, procurement decisions, risk mitigation, scope of services) and reasonableness and affordability (C)
2. Develop LCCE (according to cost management plan) for all future phases (C)
3. Compare actual spending with budget and adjust LCCE as needed (C)
4. Report changes to program costs and actual spending in governance meetings and Status Reports/Dashboards (C)

### Inputs

- Business Case
- Scope of Services
- Target State Systems Environment
- Target State Concept of Operations

### Outputs

- LCCE

### Stakeholders

- Executive Sponsor (C)
- Program Manager (C)
- PMO Lead (C)
- PMO Team (C)
- Budget or Financial Analyst (as needed) (C)

### Best Practice

- Plan multi-year budget requests through life cycle cost analyses based on expected scope and operational impacts of releases



# Program Management

## 1.6 Define Benefits of the Program

**Objective:** Define expected benefits of the program based on the strategic objectives of the organization.

Responsible Party: (C) Customer (P) Provider (S) Shared

### Activities

1. Understand strategic drivers based on the objectives of the program (C)
2. Identify and document metrics to measure outcomes of the program against strategic drivers (C)
3. Set baselines for current state performance metrics and define success targets expected to be achieved after completion of the program (C)
4. Develop reporting mechanism and timeline to report on metrics after migration Go-Live (C)

### Inputs

- Organization Strategic Goals and Objectives
- Target State Concept of Operations

### Outputs

- Baseline Performance and Success Metrics
- Target Performance and Success Metrics

### Stakeholders

- Business Owner (C)
- Executive Sponsor (C)
- Program Manager (C)
- PMO Lead (C)
- PMO Team, if on-boarded (C)

### Best Practice

- Set defined performance and success metrics (including baselines and targets) at the beginning of the program to be able to measure and communicate the benefits intended, and ultimately achieved, by the program.
- Benchmark Key Performance Indicators (KPIs) against internal and external standards and use existing performance metric data to assist in identifying performance targets (i.e. previous Federal Benchmarking results, Customer Satisfaction Surveys, etc.). Consider contacting [ussm.m3@gsa.gov](mailto:ussm.m3@gsa.gov) for assistance researching agency specific and government-wide results.
- In most cases greater efficiencies are achieved, but short-term cost reductions are not. With the introduction of greater amounts of IT support however, substantial savings are realized in the longer term.

# Workforce, Organization & Stakeholders

## 1.7 Define Change Management Approach

**Objective:** Assess stakeholders impacted and their readiness for change to inform the change management approach.

Responsible Party: (C) Customer (P) Provider (S) Shared

### Activities

1. Conduct stakeholder analysis to identify all stakeholders that will potentially be affected (C)
2. Develop an initial Communications Plan including audience, purpose, delivery methods, and timeline considerations (C)
3. Document migration and Operations and Maintenance (O&M) training needs to inform the Target State Concept of Operations (CONOPS) and Initial Scope of Services (C)
4. Create a feedback mechanism to collect input from stakeholders throughout the program (C)

### Inputs

- Vision
- Business Case
- Current Organization Structure

### Outputs

- Stakeholder Analysis
- Communications Plan
- Migration and O&M training needs

### Stakeholders

- PMO Team (C)
- Change Management Lead (C)
- Communications Lead (C)

### Best Practice

- Include Communications Lead early in the process and consider Communications Lead's roles throughout the entire process
- Communicate the value and benefits of migration and business process changes to the larger workforce after the business case and throughout the implementation

# Workforce, Organization & Stakeholders

## 1.8 Understand As-Is Workforce

**Objective:** Determine the as-is workforce of the customer organization to understand how the migration will impact the organization.

Responsible Party: (C) Customer (P) Provider (S) Shared

### Activities

1. Document as-is organization structure, skills, capabilities, and workload (C)
2. Validate As-is Workforce and Workload Documentation with customer organization managers (C)
3. Document approach for workforce transition planning (C)
4. Conduct a Change Readiness Assessment (C)
5. Report updates in governance meetings and Status Reports/Dashboards (C)

### Inputs

- Stakeholder List
- Current Organization Structure
- Position Descriptions
- Scope of Services

### Outputs

- As-Is Workforce Documentation
- Change Readiness Assessment

### Stakeholders

- Business Owner (C)
- PMO Team (C)
- Change Management Lead (C)
- Communications Lead (C)
- Workforce Lead (C)

### Best Practice

- Confirm the accuracy of the organization structures based on the records maintained by first level managers and the customer Human Capital office
- Consider contacting [ussm.m3@gsa.gov](mailto:ussm.m3@gsa.gov) for assistance choosing which change management model(s) to use in designing the change effort

# Technology

## 1.9 Define As-Is and Initial Target State Systems Environments

**Objective:** Understand and validate the As-is Systems Environment, including applications, interfaces, data management, and security needs, and draft the initial high-level Target State Systems Environment.

Responsible Party: (C) Customer (P) Provider (S) Shared

### Activities

#### Understand the As-is Systems Environment

1. Validate as-is application landscape (C)
2. Validate as-is interface inventory (C)
3. Validate IT architecture (C)
4. Validate data flows (C)

#### Define Initial Target State Systems Environment as part of the Initial Scope of Services desired from the migration

1. Determine functionality and systems to migrate to the provider and those that will be retained (C)
2. Identify required business intelligence capabilities and legacy data management strategy to support reporting needs (C)
3. Identify required interfaces based on mandatory organization activities (C)
4. Document the initial capabilities to be included in the Initial Target State Concept of Operations (C)

### Inputs

- Vision
- Business Case
- Existing Enterprise Architecture Documents & System Specifications

### Outputs

- As-Is Systems Environment
- Target State Systems Environment

### Stakeholders

- Business Owner (C)
- Program Manager (C)
- Functional Lead (C)
- Technical Lead/Solution Architect (C)
- Interface Lead (C)
- Functional Subject Matter Expert (SME) (C)
- Technical SME (C)

### Best Practice

- Begin with the current systems architecture and specification documents to understand as-is systems environment
- Assess the data needs for business intelligence capabilities between mission and mission-support systems
- Assess current capabilities to help determine whether the capability should be developed internally or migrated to the provider

# Technology

## 1.10 Plan and Conduct Initial Data Quality Assessment

**Objective:** Develop initial data governance approach and conduct initial data quality assessment and cleansing plan.

Responsible Party: (C) Customer (P) Provider (S) Shared

### Activities

1. Develop Data Governance Model to include the approach, process, roles and responsibilities, criteria/metrics (C)
2. Determine criteria for assessing data quality (C)
3. Conduct Data Quality Assessment, including master and transactional data (C)
4. Identify data issues (e.g. duplication, missing data, incorrect data) based on the assessment and prioritize data cleansing needs (C)
5. Develop a Data Cleansing Plan based on the prioritization (C)
6. Report updates in governance meetings and Status Reports/Dashboards (C)
7. Begin initial data cleansing (C)

### Inputs

- Existing System Data Dictionaries
- Existing Data Quality Assessments
- Functional Specifications

### Outputs

- Data Governance Model
- Data Cleansing Plan

### Stakeholders

- Business Owner (C)
- Program Manager (C)
- Functional Lead (C)
- Technical Lead/Solution Architect (C)
- Data Conversion Lead (C)
- Data SME (C)

### Best Practice


- Begin data cleansing activities prior to migration activities and continuously throughout the implementation to assist with data readiness
- Gain agreement on data governance including metadata management and data quality management
- Allocate a sufficient number of Subject Matter Experts (SMEs) with the appropriate skill sets to support data conversion activities throughout the implementation
- Establish criteria and metrics through the Data Governance Model on what threshold constitutes “clean” data


# Process and Service Delivery


## 1.11 Develop Initial Target State Concept of Operations and Scope of Services

**Objective:** Define which processes and service layers are desired to be migrated to the provider versus retained to understand the Target State Concept of Operations and identify initial performance requirements.


Responsible Party: (C) Customer (P) Provider (S) Shared

 Activities	
1. Review Vision (C)	5. Identify major processes that will be performed in the new solution, how users will interact with the solution, the future state operating model (which processes will be performed where in the future), and how the solution will be supported during O&M (C)
2. Understand the as-is operating model including people, process, organization, and systems (C)	6. Define the Target State Concept of Operations for retained and modernized/migrated systems and processes, which includes the Target State Systems Environment (C)
3. Validate and update as-is operating model with stakeholders (C)	7. Report updates in governance meetings and Status Reports/Dashboards (C)
4. Validate the scope of service for Operations and Maintenance (O&M) and Migration (C):	
a. O&M type of support (e.g. seeking transaction processing, system only, or full services)	
b. Additional O&M support services (e.g. help desk, business intelligence, training, surge support)	
c. Migration support services (e.g. training, data conversion, data clean-up)	

 Inputs	
<ul style="list-style-type: none"><li>• Vision</li><li>• Business Case</li><li>• As-Is Business Process Documentation</li><li>• As-Is Systems Environment</li></ul>	<ul style="list-style-type: none"><li>• Target State Systems Environment</li><li>• Migration and O&amp;M Training needs</li></ul>

 Outputs
<ul style="list-style-type: none"><li>• Target State Concept of Operations</li><li>• Scope of Services updated in Business Needs Workbook</li></ul>

 Stakeholders
<ul style="list-style-type: none"><li>• Executive Sponsor (C)</li><li>• Business Owner (C)</li><li>• Program Manager (C)</li><li>• Functional Lead (C)</li><li>• Function SME (C)</li><li>• PMO Lead (C)</li><li>• PMO Team (C)</li></ul>

 Best Practice
<ul style="list-style-type: none"><li>• Understand which processes should be retained versus migrated</li><li>• Understand which processes will have to change due to the migration to a shared environment</li></ul>

# Process and Service Delivery

## 1.12 Review Standard Business Capabilities & Document Initial Business Capabilities

Objective: Document business capabilities, mission critical, and unique capabilities of the customer organization to support the fit-gap analysis.

Responsible Party: (C) Customer (P) Provider (S) Shared



### Activities

1. Review Standard Business Capabilities previously defined by Government-wide Standards working group provided through the [Federal Integrated Business Framework \(FIBF\) website](#) (C)
2. As needed, document additional capabilities referencing the authoritative source and prioritize must-have versus nice-to-have capabilities against standard capabilities (C)
3. Identify Service Area Lead through the [FIBF website](#) and discuss additional capabilities identified in step 2 above with the Service Area Lead (C)
4. Validate capabilities with Business Owners and perform initial baselining (C)
5. Report updates in governance meetings and Status Reports/Dashboards (C)
6. Define requirements and management processes and document in the Requirements Management Plan (C)



### Inputs

- Vision
- Target State Concept of Operations
- Target State Systems Environment
- Government-wide Standards Defined through FIBF



### Outputs

- Requirements Management Plan
- Business Needs Workbook
- Business Capabilities



### Stakeholders

- Executive Sponsor (C)
- Business Owner (C)
- Program Manager (C)
- PMO Lead (C)
- Functional Lead (C)
- Technical Lead/Solution Architect (C)
- Requirements Lead (C)
- Functional SME (C)
- Technical SME (C)
- Service Area Lead (C)



### Best Practice

- Define capabilities within the customer organization before engaging a provider to communicate needs in a consistent manner
- Provide criteria to define mission critical versus nice-to-have capabilities to enable improved provider selection
- Provide training to Subject Matter Experts (SMEs) on requirements processes and how to define, communicate, and document mission critical requirements
- Obtain a robust requirements management tool or process to manage requirements throughout the migration, including a robust change control process

# Documentation Required for Phase 1 Tollgate Review

The following documentation is required in guiding a discussion to demonstrate readiness and gain approval for Phase 1 Agencies purchasing transaction processing services only will identify relevant activities and artifacts for their project using the [M3 Services Tailoring Guide](#).

Phase 1 Documentation	Information Contained in Tollgate Review Discussion
<ul style="list-style-type: none"> <li>• HR/Staffing Plan</li> <li>• Independent Verification &amp; Validation (IV&amp;V) Plan</li> <li>• Governance Charter</li> <li>• Life Cycle Cost Estimate (LCCE)</li> <li>• Initial Master Schedule</li> <li>• Baseline and Target Performance and Success Metrics</li> <li>• Business Capabilities</li> <li>• M3 Risk Assessment Tool</li> <li>• Program Charter</li> <li>• Program Management Plan</li> <li>• Status Reports/Dashboard</li> <li>• Risk Management Plan</li> <li>• Risks, Actions, Issues, and Decisions (RAID) Log</li> <li>• Procurement Plan</li> <li>• Quality Assurance Surveillance Plan (QASP)</li> <li>• Requirements Management Plan</li> <li>• Stakeholder Analysis</li> <li>• Communications Plan</li> <li>• Migration and Operations and Maintenance (O&amp;M) training needs</li> <li>• As-Is Workforce Documentation</li> <li>• Change Readiness Assessment</li> <li>• As-Is Systems Environment</li> <li>• Target State Systems Environment</li> <li>• Data Governance Model</li> <li>• Data Cleansing Plan</li> <li>• Business Needs Workbook</li> <li>• Target State Concept of Operations</li> </ul>	<ol style="list-style-type: none"> <li>1. M3 Risk Assessment Tool</li> <li>2. Initial Master Schedule Overview</li> <li>3. LCCE</li> <li>4. HR/Staffing Plan</li> <li>5. Procurement Approach</li> <li>6. IV&amp;V Plan</li> <li>7. Program Governance Model</li> <li>8. Scope of Services Overview</li> <li>9. Business Capabilities</li> <li>10. Change Management and Communications Approach</li> <li>11. Data Management/Data Quality Approach</li> <li>12. Baseline and Target Performance Success Metrics</li> <li>13. Top Risks</li> </ol>

Exit Criteria (to move into Phase 2)	
<ul style="list-style-type: none"> <li>✓ PMO and Governance Structure Defined</li> <li>✓ Resources on-boarded</li> <li>✓ Mitigation Plans in Place for Major Risks/Issues</li> <li>✓ Initial Master Schedule Defined</li> <li>✓ LCCE Developed</li> </ul>	<ul style="list-style-type: none"> <li>✓ Procurement Approach Defined</li> <li>✓ Change Management Strategies Defined</li> <li>✓ Data Quality Assessed</li> <li>✓ Risks and Issues Management Defined</li> <li>✓ Business Capabilities</li> <li>✓ Performance and Success Metrics Defined</li> </ul>



# List of Guidance Items and Templates Available for Phase 1

Guidance Items are used by agencies to help with the engagement process. Templates are provided for agencies to help in the development of program documentation.

Guidance Items	Templates
<ul style="list-style-type: none"><li>• M3 Services Tailoring Guide</li><li>• HR/Staffing Plan</li><li>• Initial Master Schedule</li><li>• Independent Verification &amp; Validation (IV&amp;V) Plan</li><li>• Status Reports/Dashboards</li><li>• Governance Charter</li><li>• Risk Management Plan</li><li>• Risks, Actions, Issues, and Decisions (RAID) Log</li><li>• Baseline and Target Performance and Success Metrics</li><li>• M3 Risk Assessment Tool</li><li>• Procurement Plan</li><li>• Life Cycle Cost Estimate (LCCE)</li><li>• Stakeholder Analysis</li><li>• Communications Plan</li><li>• As-Is Systems Environment</li><li>• Requirements Management Plan</li><li>• Business Capabilities</li><li>• Data Governance Model</li><li>• Data Cleansing Plan</li><li>• Business Needs Workbook</li></ul>	<ul style="list-style-type: none"><li>• M3 Services Tailoring Guide</li><li>• HR/Staffing Plan</li><li>• Initial Master Schedule</li><li>• Status Reports/Dashboards</li><li>• Governance Charter</li><li>• Requirements Management Plan</li><li>• Risk Management Plan</li><li>• RAID Log</li><li>• M3 Risk Assessment Tool</li><li>• Stakeholder Analysis</li><li>• Communications Plan</li><li>• As-Is Systems Environment</li><li>• Target State Concept of Operations</li><li>• Sample Performance and Success Metrics</li><li>• Tollgate 1 Review Discussion</li><li>• Business Needs Workbook</li></ul>

# Abbreviations

Abbreviation	Definition
ATO	Authority to Operate
BI	Business Intelligence
CooP	Continuity of Operations
CPIC	Capital Planning and Investment Control
ERP	Enterprise Resource Planning
FAQ	Frequently Asked Questions
GSA	General Services Administration
HR	Human Resources
IAA	Interagency Agreement
ID	Identification
IMS	Integrated Master Schedule
ICAM	Identity, Credentials, and Access Management Framework
IT	Information Technology
ITIL	Information Technology Information Library
ISSO	Information Systems Security Officer
IV&V	Independent Verification and Validation
LCCE	Life Cycle Cost Estimate
O&M	Operations and Maintenance
OMB	Office of Management and Budget
PIV	Personal Identification Verification

Abbreviation	Definition
PMO	Program Management Office
PWS	Performance Work Statement
QASP	Quality Assurance Surveillance Plan
RAID	Risks, Actions, Issues, and Decisions
RACI	Responsible, Accountable, Consulted, Informed
RFI	Request for Information
RFP	Request for Proposal
RFQ	Request for Quote
ROI	Return on Investment
ROM	Rough Order of Magnitude
RTM	Requirements Traceability Matrix
SLA	Service Level Agreement
SME	Subject Matter Expert
SOP	Standard Operating Procedure
SORN	System of Records Notice
USSM	Unified Shared Services Management

# Glossary - Stakeholders

Stakeholder	Definition
Budget or Financial Analyst	Individual(s) conducting budget or financial analysis
Business Owner	Responsible leader(s) for particular business functions on customer side, e.g., CFO, CHCO
Change Management Lead	Responsible leader(s) for change management activities for the program
Communications Lead	Responsible leader(s) for communications activities for the program
Contracting Procurement Officer	Individual(s) responsible for procurement for the organization and managing contracts
Data Conversion Lead	Responsible leader(s) for data conversion for the program
Data SME	Individual(s) with data subject matter expertise
Development Team	Group of individuals responsible for developing the technical solution
Executive Sponsor	Executive(s) who sponsors the program
Functional Lead	Responsible leader(s) for the functional aspect of solution implementation
Functional SME	Individual(s) with functional subject matter expertise
Interface Lead	Responsible leader(s) for managing interfaces during the solution implementation
Information Systems Security Officer (ISSO)	Individual(s) who is (are) responsible for information systems security
Labor Relations Leader	Responsible leader(s) for labor relations with the Union(s)

Stakeholder	Definition
Service Area - Managing Partner/ Service Area Sponsor	Expert(s) from a particular Service Area who represents that Service Area
Network SME	Individual(s) with network subject matter expertise
O&M Team	Group of individuals who run O&M for customer and provider
Program Manager	Individual(s) managing the overall program and integration of activities
Requirements Lead	Responsible leader(s) for the process of defining and managing requirements
Risk Lead	Responsible leader(s) for risk management processes
Risk Manager	Individual(s) managing risk management processes
Security Lead	Responsible leader(s) for security management
Security SME	Individual(s) with security subject matter expertise
Technical Lead/Solution Architect	Responsible leader(s) for the technical aspects of solution implementation
Technical SME	Individual(s) with technical subject matter expertise
Test Lead	Responsible leader(s) for testing
Test Team	Group of individuals who run testing
Training Lead	Responsible leader(s) for running training
Workforce Lead	Responsible leader(s) for workforce planning

# Glossary

Term	Definition
Input	An artifact (usually created in a prior activity) or an event recommended to support completion of activities
Output	An artifact or event that is produced by an activity to facilitate robust planning and migration activities in comprehensive program artifacts
Exit Outcome	An outcome that should be achieved by the time a phase is complete but is not necessarily a tollgate
Guidance Item	A supporting tool for agencies to evaluate their plans and program artifacts against leading practices; guidance items can be used to shape the content of agency specific documentation when not using a template
Tollgate	A checkpoint to assess risk and inform budget/funding decisions for the migration
Tollgate Review Discussion	A summary review that must be submitted at the end of a tollgate with key components to inform risk review and budget/funding decisions for the migration