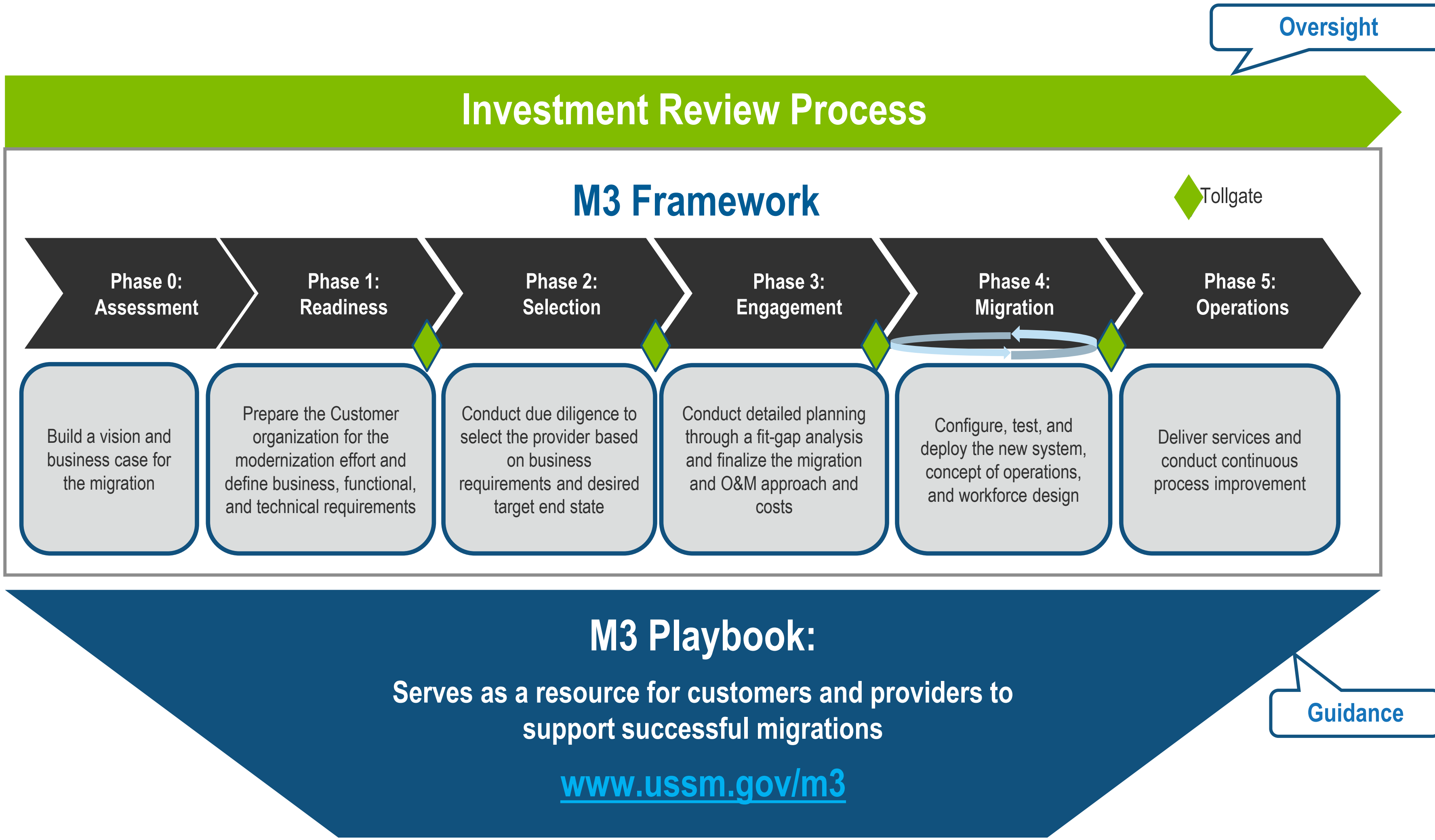
Modernization and Migration Management (M3) Playbook

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.



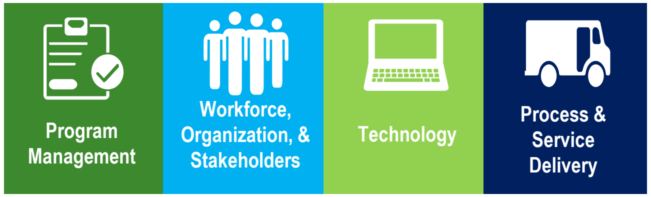
What is the M3 Framework?

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:



(1) Program Management
(2) Workforce, Organization and Stakeholders
(3) Technology
(4) Process and Service Delivery

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

Activities

1. Create Vision Statement and Objectives of modernization or migration
2. Identify in-scope service area(s) (i.e. financial management, human capital, procurement, grants management, travel)
3. Identify in-scope function(s) from service area list provided through the Federal Integrated Business Framework (FIBF) website
4. Begin to define Scope of Services (i.e. modernizing to shared system, migrating to shared transaction processing service(s), or both)
5. Define Expected Benefits from the Service and/or System being acquire
6. Determine High Level Timelines for modernization or migration

Inputs

- Government-wide Standards defined through the FIBF

Stakeholders

- Executive Sponsor (C)
- Organization Executives (CXOs) (C)
- Program Manager (C)
- PMO Lead , if on-boarded (C)

Outputs

- Vision Statement
- In-scope service area(s) and function(s)
- Expected Benefits
- High level TImelines

Best Practice

- Leverage an outside group for facilitation of visioning session with organization executives. Consider contacting Fed2FedSolutions@gsa.gov for facilitation services

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

Input	A document (usually created in a prior activity), or an event required by that process before a process proceeds
Output	A document, or event that is produced by an activity to facilitate robust planning and migration activities
Exit Outcome	An outcome that should be achieved by the time a phase is complete
Guidance Items	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
Template	A document that contains required fields and details for an output
Tollgate Review Discussions	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*	• Define Vision • Develop Major IT Business Case	• Stand-up Program Management Office (PMO) • Define migration scope of services and program management processes • Establish customer risk processes • Assess data quality	• Assess different providers to understand which can best meet the scope of services requirements • Select provider for Engagement and fit-gap analysis • Begin preparing the organization for change • Continue cleansing data	• Conduct a Fit-Gap Assessment to understand how the requirements will be met and where tailored solutions will be required • Define Migration Approach and roadmap • Integrate PMO processes between the customer and provider	• Configure, test, and deploy the new solution and concept of operations • Migrate in-scope processes and design the transformed organization for the future state environment	• Monitor the success of the migration and move into operations • Continue training and communications • Conduct process improvement and customer care activities
Exit Outcomes	✓ Major IT Business Case Approved	✓ PMO and Governance Structure Defined ✓ Resources On Boarded ✓ Mitigation Plans in Place for Major Risks/Issues ✓ Initial Master Schedule Defined ✓ Life Cycle Cost Estimate Developed ✓ Change Management Strategies Defined ✓ Data Quality Assessed ✓ Procurement Strategy Defined ✓ Business Capabilities Defined	✓ Provider Selected ✓ Mitigation Plans in Place for Major Risks/Issues ✓ Master Schedule Updated ✓ Data Cleansing Commenced ✓ Life Cycle Cost Estimate Updated for Engagement, Migration, and O&M ✓ Communications to Stakeholders Delivered	✓ Fit-Gap Assessment Completed ✓ PMO and Governance Processes Integrated ✓ Life Cycle Cost Estimate Updated for Migration and O&M ✓ Migration Approach Finalized ✓ Master Schedule Drafted ✓ Service Level Agreements (SLAs) for Migration and O&M defined ✓ Go/No-Go Criteria Approved	✓ Go/No-Go Criteria Met to Deploy Solution	✓ Post-migration Performance Metrics Reported ✓ Lessons Learned Developed

* 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

Investment Review Process

Tollgate

	Phase 0: Assessment	Phase 1: Readiness	Phase 2: Selection	Phase 3: Engagement	Phase 4: Migration	Phase 5: Operations
Program Management	0.1 Define Vision 0.2 Develop Major IT Business Case	1.1 Establish Initial Customer PMO and Processes 1.2 Establish Customer Governance Structure and Processes 1.3 Establish Customer Risk Processes 1.4 Conduct Procurement Planning 1.5 Develop Life Cycle Cost in the Business Case 1.6 Define Benefits of the Program	2.1 Select Provider for Engagement 2.2 Update Life Cycle Cost Estimate for Engagement, Migration, and O&M 2.3 Monitor and Control Program Execution 2.4 Maintain and Execute Risk Processes	3.1 Integrate PMO Structures 3.2 Integrate Governance Structures 3.3 Update and Maintain Procurement Plans 3.4 Monitor and Control Program Execution 3.5 Maintain and Execute Risk Processes 3.6 Finalize Migration Approach 3.7 Update LCCE for Migration and O&M	4.1 Monitor and Control Program Execution 4.2 Maintain and Execute Risk Processes 4.3 Develop O&M Governance 4.4 Prepare O&M Scope of Services and Contracts 4.5 Assess Readiness for Go-Live 4.6 Update LCCE for O&M	5.1 Review Performance against Expected Benefits 5.2 Collect Lessons Learned 5.3 Implement O&M Governance
Workforce, Organization, & Stakeholders		1.7 Define Change Management Approach 1.8 Understand As-Is Workforce	2.5 Design Labor Relations Outreach 2.6 Develop Change Management Plan	3.8 Engage with Labor Relations 3.9 Execute Change Management Plan 3.10 Develop Training Plan	4.7 Design Target State Organization 4.8 Execute Workforce Transition and Prepare for Go-Live 4.9 Execute Training for Go-Live 4.10 Execute Labor Relations Strategy	5.4 Support Stabilization and Perform Change Management
Technology		1.9 Define As-Is and Initial Target State Systems Environments 1.10 Plan and Conduct Initial Data Quality Assessment	2.7 Conduct Initial Data Cleansing Activities 2.8 Develop a Decommission Plan	3.11 Finalize Requirements 3.12 Conduct Requirements Fit-Gap Analysis 3.13 Finalize Target State Systems Environment 3.14 Develop Technical Strategy 3.15 Prepare Data for Mock Conversions (Data Cleansing, Data Mapping)	4.11 Conduct Security and Privacy Reviews 4.12 Define Roles and User Access 4.13 Configure Systems 4.14 Design and Develop Interfaces 4.15 Design and Develop Reports 4.16 Conduct Mock Conversions 4.17 Test Systems and Processes 4.18 Develop and Execute Cutover Plan for Go-Live	5.5 Maintain Applications Post Go-Live 5.6 Decommission Legacy Systems
Process & Service Delivery		1.11 Develop Initial Target State Concept of Operations and Scope of Services 1.12 Review Standard Business Capabilities & Document Initial Business Capabilities	2.9 Understand As-Is Business Processes	3.16 Finalize Target State Concept of Operations 3.17 Define Contact Center Structure 3.18 Define Service Level Agreements	4.19 Finalize Service Level Agreements 4.20 Design Target State Processes	5.7 Conduct Continuous Process Improvement 5.8 Manage Contact Center 5.9 Monitor and Update SLAs

*An agile approach should be adopted for Phase 4.

Phase 2: Selection

Phase 2 Summary and Documentation

Objective:	**Conduct due diligence to identify and select the provider based on requirements and initial target end state.**

Responsible Party: Customer | Provider | Shared

Phase 2: Selection Activities

Program Management	Workforce, Organization, & Stakeholders	Technology	Process & Service Delivery
2.1 Select Provider for Engagement 2.2 Update Life Cycle Cost Estimate for Engagement, Migration, and O&M 2.3 Monitor and Control Program Execution 2.4 Maintain and Execute Risk Processes	2.5 Design Labor Relations Outreach 2.6 Develop Change Management Plan	2.7 Conduct Initial Data Cleansing Activities 2.8 Develop a Decommission Plan	2.9 Understand As-is Business Processes

Phase 2 Documentation:	**The following documentation is developed during Phase 2 and is used to inform the Phase 2 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 2 Documentation

- Provider Assessment Report (Federal Only)
- Engagement Phase Interagency Agreement (IAA) (Federal Only)
- Data Cleansing Plan
- Draft Request for Proposal (RFP) (Commercial Only)
- M3 Risk Assessment Tool
- Business Needs Workbook
- Evaluation Criteria
- Draft Request for Information (RFI) and Responses (Commercial Only)
- Implementation Approach/Schedule
- Price Estimates for Engagement, Migration, and Operations and Maintenance (O&M)
- Business Process Reengineering Strategy
- Validated As-Is Process Maps
- Life Cycle Cost Estimate (LCCE) for Engagement, Migration, and O&M
- Procurement Plan
- Initial Master Schedule
- HR/Staffing Plan
- Program Management Plan
- Independent Verification and Validation (IV&V) Plan
- Status Reports/Dashboards
- Risk Management Plan
- Risks, Actions, Issues, and Decisions (RAID) Log
- Labor Relations Strategy
- Change Management Plan
- Communications Plan
- Baseline Readiness Assessment
- Data Cleansing Scripts
- Decommission Plan

Information Contained in Tollgate Review Discussion

1. M3 Risk Assessment Tool
2. Initial Master Schedule Overview
3. LCCE
4. Provider Selection Summary
5. HR/Staffing Plan Update (Customer)
6. HR/Staffing Plan Overview (Provider)
7. Scope of Services Overview
8. Business Needs Workbook
9. Procurement Approach
10. Change Management and Communication Approach
11. Labor Relations Strategy
12. Data Management/Data Quality Approach
13. Draft RFI and Responses (Commercial Only)
14. Top Risks
15. Decommission Plan

Exit Criteria (to move into Phase 3)

- ✓ Provider Selected (Federal Only)
- ✓ RFP Drafted (Commercial Only)
- ✓ Business Needs Workbook
- ✓ Mitigation Plans in Place for Major Risks/Issues
- ✓ Initial Master Schedule Updated
- ✓ Staffing Plan Ready for Execution
- ✓ Data Cleansing Commenced
- ✓ LCCE Updated for Engagement, Migration, and O&M
- ✓ Communications to Stakeholder Delivered

Program Management

2.1 Select Provider for Engagement

Objective: Customers will conduct market research to evaluate the capabilities of potential providers, and providers will help determine the fit of a potential customer-provider engagement. The Business Needs Workbook provides common federal services on which the customer environment is based and against which the provider's services are assessed to determine if they are a good fit.

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

Activities

1. Develop evaluation criteria (C)
2. Complete Business Needs Workbook on requested services (C)
3. Develop statement of work (Business Needs Workbook for Federal, Request for Information (RFI) for commercial) (C)
4. Enter into agreement with providers, if Federal, and issue RFI, if commercial (C, P)

For Federal:

5. Complete Business Needs Workbook on provided services (P)
6. Develop migration timeline and Rough Order of Magnitude (ROM) estimates for Phases 3-5 (P)
7. If decision is to move to a Federal provider, develop provider assessment report (C)
8. Develop, negotiate, and finalize draft Interagency Agreement IAA for Phase 3 with scope of services, roles and responsibilities, and success metrics (P)

For Commercial:

5. Review RFI responses (C)
6. Attend any Industry Days to meet with potential providers (C, P)
7. If decision to move to a commercial provider, draft Request for Proposal (RFP) for Phase 3 with optional tasks for Phase 4 and 5, and review with USSM prior to releasing for commercial providers to respond (C)

Inputs

- Scope of Services
- Business Capabilities
- Target State Concept of Operations

Outputs

- Business Needs Workbook
- Evaluation Criteria
- Draft RFI and Responses (Commercial Only)
- Implementation Approach/Schedule
- Price Estimates for Engagement, Migration, and Operations and Maintenance (O&M)
- Provider Assessment Report (Federal Only)
- Engagement Phase Interagency Agreement (IAA) (Federal Only)
- Draft RFP (Commercial Only)

Stakeholders

- Executive Sponsor (C)
- Business Owner (C)
- Program Manager (C, P)
- Functional Lead (C, P)
- Functional SME (C, P)
- Technical Lead/Solution Architect (C, P)
- Technical SME (C, P)
- Managing Partner/Service Area Sponsor (Service Area)

Best Practice

- Include use of M3 Playbook in the requirements for the contract with the provider and support contractors to better manage project risks
- Use previously developed understanding of the target state to populate the Business Needs Workbook
- Use the Business Needs Workbook to facilitate due diligence conversations on the Provider's ability to satisfy those the Federal Integrated Business Framework (FIBF) common requirements on which the Customer's environment is based

Program Management

2.2 Update Life Cycle Cost Estimate for Engagement, Migration, and O&M

Objective: Update the estimated costs of a migration based on Phase 1 and the cost estimates from providers to manage and plan budgetary needs.

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

Activities

1. Identify changes required to the Life Cycle Cost Estimate (LCCE) based on cost estimates provided by providers during Phase 2 including reasonableness and affordability (C)
2. Update LCCE (according to cost management plan) for all future phases (C)
3. Compare actual spending with budget for Phase 2 and adjust LCCE as needed (C)
4. Report changes to projected costs and results of actual spending in governance meetings and Status Reports/Dashboards (C)

Inputs

- LCCE
- Business Capabilities
- Target State Concept of Operations
- Target State Systems Environment
- Cost Estimates from Provider
- Scope of Services

Outputs

- LCCE for Engagement, Migration, and Operations and Maintenance (O&M)

Stakeholders

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

Best Practice

- Conduct life cycle cost analyses and incorporate initial migration cost estimates from the provider in order to plan out-year budget needs and requests
- Be realistic about when cost savings will be realized by tracking cost and efficiencies achieved during the full implementation of the vision through to the decommissioning of the legacy system
- Include direct and indirect costs in estimates

Program Management
2.3 Monitor and Control Program Execution

Objective: Monitor and report on program progress.

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

Activities

1. Manage scope and program performance using Program Management Plan (C)
2. Manage Initial Master Schedule through weekly updates of activities, dates, duration, and dependencies (C)
3. Manage costs against the budget (C)
4. Manage procurement lifecycle and contract performance against Procurement Plan for Phase 2 program support services (C)
5. Manage and update HR/Staffing Plan as resources are on or off boarded or as needs change (C)
6. Update program management documentation as necessary (C)
7. Develop and distribute Status Reports/Dashboards (C)
8. Hold status meetings to monitor status against milestones, issues, risks, and make decisions needed for work-streams (C)
9. Escalate decisions and issues as needed through Governance bodies (C)
10. Conduct executive briefings with organization leadership and oversight entities as necessary (C)
11. Develop and manage HR/Staffing Plan, Scope of Services overview, Mitigation Plans (P)
12. Draft initial program management documentation for Engagement (P)

Inputs

- Program Charter
- Program Management Plan
- Initial Master Schedule
- Independent Verification & Validation (IV&V) Plan
- HR/Staffing Plan
- Governance Charter
- Status Reports/Dashboards
- Procurement Strategy

Outputs

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

Stakeholders

- Executive Sponsor (C)
- Business Owner (C)
- Program Manager (C)
- PMO Lead (C)
- PMO Team (C)
- Managing Partner/Service Area Sponsor (Service Area)

Best Practice

- Implement knowledge management tools that can be leveraged across the program team
- Use the Status Reports/Dashboards to focus on metrics that will help the program team and executive sponsor to identify whether or not the migration is successful

Program Management
2.4 Maintain and Execute Risk Processes

Objective: Execute risk management processes to identify and mitigate risks and issues throughout the migration.

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

Activities

1. Maintain and update Risk Management Plan, as necessary (C)
2. Maintain and update Risks, Actions, Issues, and Decisions (RAID) Log with new risks, changes to existing risks, status of risk mitigation activities, and action item resolution and decisions continuously (at a minimum of every two weeks) throughout Phase 2 (C)
3. Develop and employ mitigation strategies continuously throughout Phase 2 (C)
4. Report on new risks/issues and ongoing risk/issue mitigation activities in governance meetings and Status Reports/Dashboards (C)
5. Perform risk assessment (C)

Inputs

- Governance Charter
- Risk Management Plan
- RAID Log

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)
- IV&V Team (C)

Best Practice

- Hold regular risk management meetings and include risk management in status reporting and escalation procedures
- Document risks and issues in RAID Log in order to clearly communicate risks

Workforce, Organization & Stakeholders
2.5 Design Labor Relations Outreach

Objective: Develop a strategy to engage with the unions and establish a relationship with the labor relations and/or unions to understand Collective Bargaining Agreements.

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

Activities

1. Identify Labor Relation/Union Liaisons within the customer agency (C)

Work with your Labor Relation/Union Liaisons to:

2. Review Target State Concept of Operations, capabilities, and workforce assessment to identify potential impacts on Collective Bargaining Agreements (C)
3. Identify what, if any, activities may be dependent on union approval (e.g., impact of implementation) (C)
4. Develop labor relations strategy to achieve timely and effective negotiations with unions and begin documenting necessary information to communicate to Labor Relations (C)
5. Engage in communications with union leadership based on Labor Relations Strategy (C)
6. Report updates in governance meetings and Status Reports/Dashboards (C)

Inputs

- Collective Bargaining Agreements
- Stakeholder Analysis
- Scope of Services
- Change Management Plan

Outputs

- Labor Relations Strategy

Stakeholders

- Executive Sponsor (C)
- Business Owner (C)
- Change Management Lead (C)
- Labor Relations Leader (C)

Best Practice

- Notify unions of changes that may impact bargaining unit employees as well as potential changes of their work
- Account for union-related activities in the Initial Master Schedule and building dependencies for change management activities (e.g., communications, training)
- Establish expectations with labor relations and union leadership

Workforce, Organization & Stakeholders
2.6 Develop Change Management Plan

Objective: Develop change management activities and deliver communications to engage stakeholders prior to the migration.

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

Activities

1. Create an initial Change Management Plan that includes a workforce planning approach, Communications Plan, Labor Relations Strategy and training needs (C)
2. Develop and deliver messages based on the Communications Plan (C)
3. Monitor feedback from stakeholders and adjust Communications Plan (C)
4. Update Communications Plan based on labor relations meetings (C)
5. Conduct Readiness Assessment (C)
6. Report updates in governance meetings and Status Reports/Dashboards (C)

Inputs

- Communications Plan
- Stakeholder Feedback
- Labor Relations Activities

Stakeholders

- Business Owner (C)
- Program Manager (C)
- Change Management Lead (C)
- Communications Lead (C)

Outputs

- Change Management Plan
- Communications Plan
- Baseline Readiness Assessment

Best Practice

- Communicate the value/benefits of migrations and business process changes to the larger workforce throughout the program
- Identify and describe the people, groups, departments, organizations, business processes, programs, and information technology (IT) systems/infrastructure that will serve as barriers to the change. Describe the ways in which these things will be a barrier to change.
- Include barriers and understand key stakeholders and how they will react to the migration in the key messages
- Ensure all major stakeholders understand and buy in to the shared vision defined in Phase 0, and understand the role they play in the success of the initiative as outlined in the Major IT Business Case. The shared vision and roles stakeholders play should be reflected in the organization's Strategic Plan and personnel performance appraisals.

Technology

2.7 Conduct Initial Data Cleansing Activities

Objective: Continue cleansing data based upon data quality assessment results and agreed upon quality metrics in data governance model.

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

Activities

1. Assess data quality against defined criteria after cleansing activities from previous phase (C)
2. Update manual and automated cleansing methods as necessary for additional cleansing needs (C)
3. Conduct additional data cleansing and update scripts and batch cycles (C)
4. Report updates in governance meetings and Status Reports/Dashboards (C)

Inputs

- Data Cleansing Plan
- Data Quality Assessment Results

Outputs

- Data Cleansing Plan
- Data Cleansing Scripts

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 SMEs with the appropriate skill sets to support data conversion activities throughout the implementation
- Establish criteria and metrics through the Data Governance approach on what constitutes “clean” data

Technology

2.8 Develop a Decommission Plan

Objective: Develop a plan to retire legacy system.

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

Activities

1. Review and understand contract language of legacy system to determine decommissioning activities, including licensing expirations, contract expirations, options to extend, etc. for both software and infrastructure contracts, and the O&M support contracts (S)
2. Identify application components (i.e. classify components to be decommissioned such as testing or production environments, systems user IDs, and business app) (C)
3. Ascertain hardware components - if applicable (i.e. ascertain where infrastructure is in its maintenance/resource life cycle) (C)
4. Pinpoint network devices (C)
5. Work with system owner, Agency Records Manager, and other key stakeholders of legacy system to establish how far back to archive data, what data will be migrated, and timelines for migration (C)
6. Identify network, software and hardware location/ownership (i.e. activities include but are not limited to population of assets, management of data stores and development and validation of assets) (C)
7. Prioritize decommission effort (i.e. which components are simple versus complex to offline) (C)
8. Identify failover/offline procedures (i.e. have components backup/archive current state been verified) (C)
9. Coordinate with agency IT Security office to identify guidelines for managing/cleansing the data (C)
10. Draft Decommission Plan with timelines and key activities for retiring legacy system (based on activities noted above) (C)

Inputs

- As-is Systems Environment
- Communication Plan

Outputs

- Decommission Plan
- Communication Plan

Stakeholders

- Business Owner (C)
- Functional Lead (C)
- Functional Team (C)
- Technical Lead/Solution Architect (C)
- Technical SME (C)
- Functional SME (C)
- PMO Lead (C)

Best Practice

- Conduct cost benefit analysis to determine cost of archiving, or migrating legacy data, or maintaining legacy systems in place
- Leverage common standards and solutions defined by NARA for records management found at www.ussm.gov/FIBF
- If system is accessed via website, coordinate domain name transition through Domain Name System (DNS) and with IT security POC

Process and Service Delivery
2.9 Understand As-Is Business Processes

Objective: Validate as-is processes to understand current state environment, existing challenges, and opportunities for improvement/standardization.

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

Activities

1. Identify initial business process re-engineering strategy by understanding areas of change (C)
2. Validate as-is business processes with stakeholders to understand process flows, transaction volumes, workload, end user security roles, and enabling technology. If as-is business processes do not exist, develop a strategy to address training and change management gaps created by the lack of as-is business processes (C)
3. Report updates in governance meetings and Status Reports/Dashboards (C)

Inputs

- Existing As-Is Process Documentation

Outputs

- Business Process Reengineering Strategy
- Validated As-Is Process Maps

Stakeholders

- Business Owner (C)
- Functional Lead (C)
- Functional Team (C)
- Technical Lead/Solution Architect (C)
- Technical SME (C)
- Functional SME (C)

Best Practice

- Validate as-is processes and workloads to be able to understand the magnitude of change in the target state environment
- Perform business process realignment activities in addition to traditional business process reengineering
- Identify key functional process leads and Subject Matter Experts (SMEs) to drive process ownership and decision making
- Leverage business use cases through the Federal Integrated Business Framework (FIBF) website

Documentation Required for Phase 2 Tollgate Review

The following documentation is required in guiding a discussion to demonstrate readiness and gain approval for Phase 2. Agencies purchasing transaction processing services only will identify relevant activities and artifacts for their project using the M3 Services Tailoring Guide.

Phase 2 Documentation

- Provider Assessment Report (Federal Only)
- Engagement Phase Interagency Agreement IAA (Federal Only)
- Data Cleansing Plan
- Draft RFP (Commercial Only)
- M3 Risk Assessment Tool
- Business Needs Workbook
- Evaluation Criteria
- Draft Request for Information (RFI) and Responses (Commercial Only)
- Implementation Approach/Schedule
- Price Estimates for Engagement, Migration, and O&M
- Business Process Reengineering Strategy
- Validated As-Is Process Maps
- Life Cycle Cost Estimate (LCCE) for Engagement, Migration, and O&M
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- Initial Master Schedule
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- Status Reports/Dashboards
- Risk Management Plan
- Risks, Actions, Issues, and Decisions (RAID) Log
- Labor Relations Strategy
- Change Management Plan
- Communications Plan
- Baseline Readiness Assessment
- Data Cleansing Scripts
- Decommission Plan

Information Contained in Tollgate Review Discussion

1. M3 Risk Assessment Tool
2. Initial Master Schedule Overview
3. LCCE
4. Provider Selection Summary
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6. HR/Staffing Plan Overview (Provider)
7. Scope of Services (Overview)
8. Business Needs Workbook
9. Procurement Approach
10. Change Management and Communication Approach
11. Labor Relations Strategy
12. Data Management/Data Quality Approach
13. Draft RFI and Responses (Commercial Only)
14. Top Risks
15. Decommission Plan

Exit Criteria (to move into Phase 3)

- ✓ Provider Selected (Federal Only)
- ✓ RFP Drafted (Commercial Only)
- ✓ Business Needs Workbook
- ✓ Mitigation Plans in Place for Major Risks/Issues
- ✓ Initial Master Schedule Updated
- ✓ Staffing Plan Ready for Execution
- ✓ Data Cleansing Commenced
- ✓ LCCE Updated for Engagement, Migration, and O&M
- ✓ Communications to Stakeholder Delivered

List of Guidance Items and Templates Available for Phase 2

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
• M3 Services Tailoring Guide • Business Needs Workbook • Provider Assessment Report (Federal Only) • Scope of Services • Implementation Approach/Schedule • Engagement Phase Interagency Agreement (IAA) (Federal Only) • Life Cycle Cost Estimate (LCCE) for Engagement, Migration, and O&M • Status Reports/Dashboards • HR/Staffing Plan • Initial Master Schedule • IV&V Plan • Procurement Plan • Risk Management Plan • Risks, Actions, Issues, and Decisions (RAID) Log • M3 Risk Assessment Tool • Labor Relations Strategy • Communications Plan • Data Cleansing Plan	• M3 Services Tailoring Guide • M3 Risk Assessment Tool • Business Needs Workbook • Provider Assessment Report (Federal Only) • Engagement Phase IAA (Federal only) • HR/Staffing Plan • Initial Master Schedule • Status Reports/Dashboards • Risk Management Plan • RAID Log • Requirements Management Plan • Tollgate 2 Review Discussion

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