

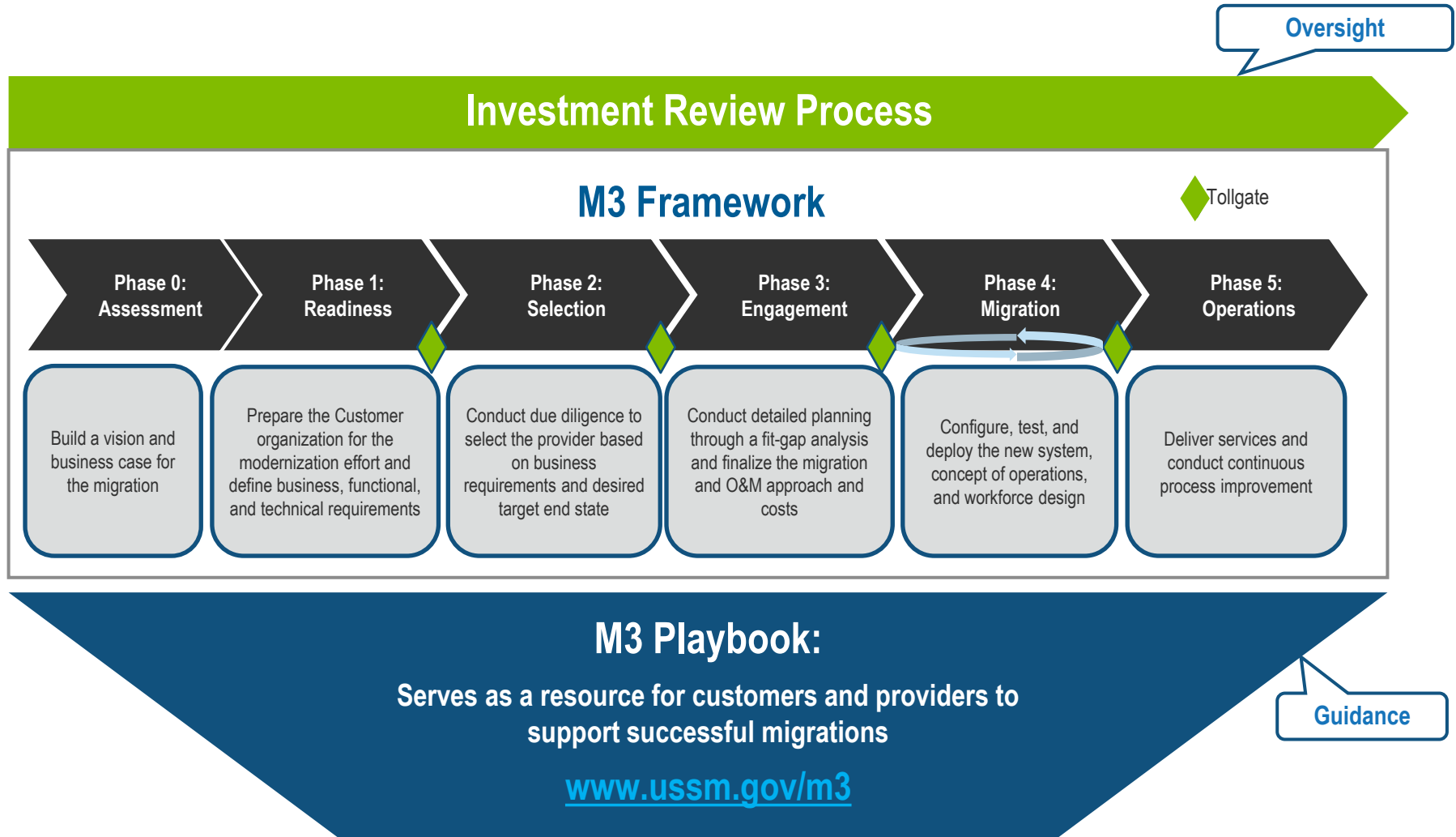
Modernization and Migration Management (M3) Playbook

GSA, Unified Shared Services Management

Introduction

Modernization and Migration Management (M3) Framework

The Modernization and Migration (M3) Framework is the roadmap for agencies to “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

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

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>Activities</p> <ol style="list-style-type: none">1. Create Vision Statement and Objectives of modernization or migration2. 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) website4. 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 acquire6. Determine High Level Timelines for modernization or migration	<p>Inputs</p> <ul style="list-style-type: none">• Government-wide Standards defined through the FIBF	<p>Stakeholders</p> <ul style="list-style-type: none">• Executive Sponsor (C)• Organization Executives (CXOs) (C)• Program Manager (C)• PMO Lead , if on-boarded (C)
<p>Outputs</p> <ul style="list-style-type: none">• Vision Statement• In-scope service area(s) and function(s)• Expected Benefits• High level Timelines		
<p>Best Practice</p> <ul style="list-style-type: none">• Leverage an outside group for facilitation of visioning session with organization executives. Consider contacting Fed2FedSolutions@gsa.gov for facilitation services		

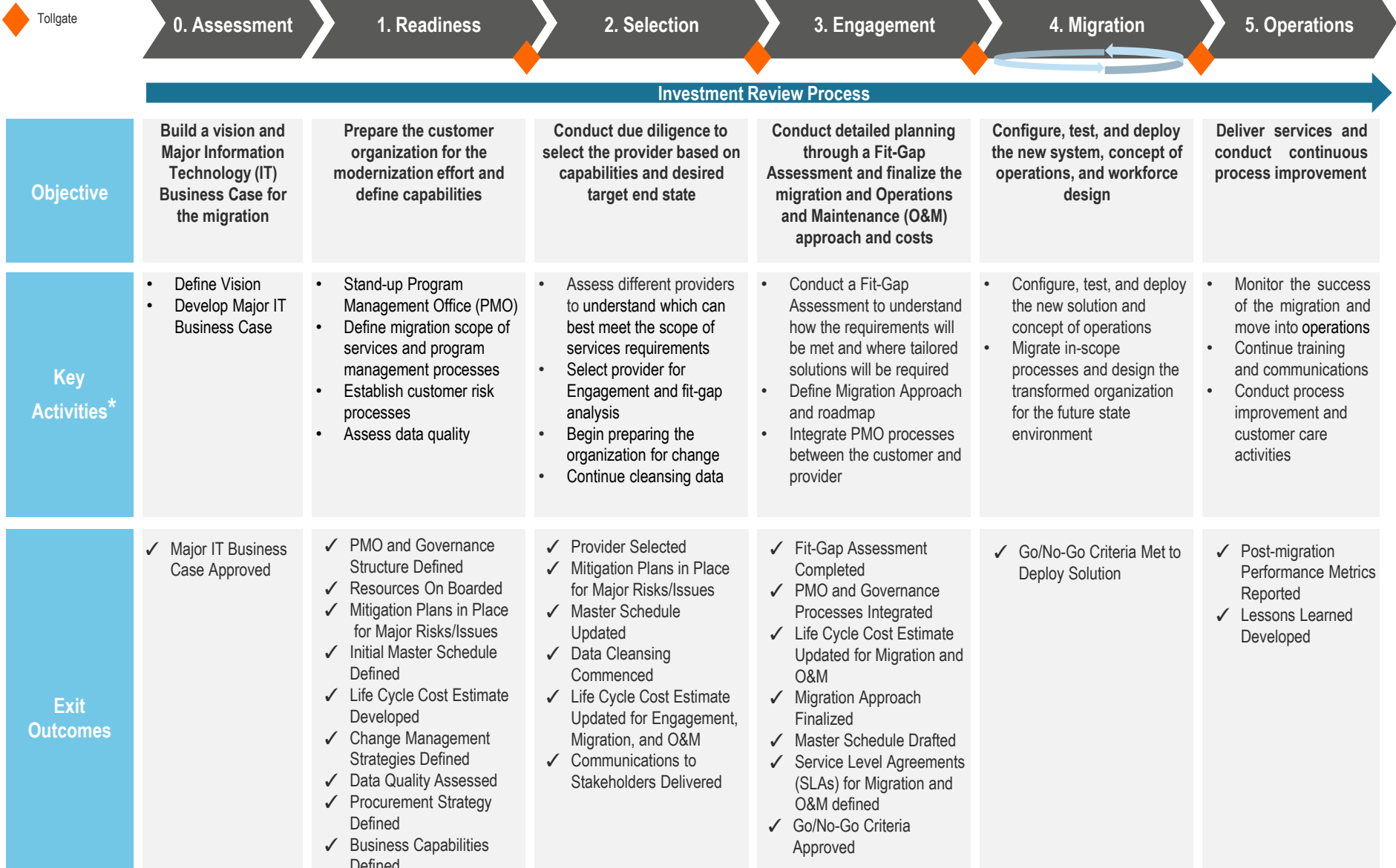
Frequently Used Terms

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.



* 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 4: Migration

Phase 4 Summary and Documentation

Objective: Build, test, and deploy the new system, concept of operations, and workforce design. An Agile approach should be adopted for this Phase.

Responsible Party: Customer ■ Provider ■ Shared ■

Phase 4: Migration Activities	 Program Management	 Workforce, Organization, & Stakeholders	 Technology	 Process & Service Delivery
	4.1 Monitor and Control Program Execution 4.2 Maintain and Execute Risk Processes 4.3 Develop Operations and Maintenance (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	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	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 4.19 Finalize Service Level Agreements	4.20 Design Target State Processes

Phase 4 Documentation: The following documentation is developed during Phase 4 and is used to inform the Phase 4 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](#). If you need access to the M3 Artifacts Samples page, please email your request to ussm.m3@gsa.gov

Phase 4 Documentation

- Go/No-Go Readiness Criteria
- Go/No-Go Assessment Report
- [M3 Risk Assessment Tool](#)
- Change Request Form
- Change Request Log
- [Integrated Master Schedule \(IMS\)](#)
- Program Management Plan
- Independent Verification & Validation (IV&V) Plan
- [Status Reports/Dashboards](#)
- [Risk Management Plan](#)
- [Risks, Actions, Issues, and Decisions \(RAID\) Log](#)
- [O&M Governance Charter](#)
- O&M Contract or Interagency Agreement (IAA)
- Contingency Plan
- Life Cycle Cost Estimate (LCCE) for O&M
- Target State Organization Design
- Workforce Assessment
- Workforce Transition Strategy
- [Communications Plan](#)
- Targeted Cutover Communications Plan
- Readiness Assessment
- Change Management Plan
- [Training Plan](#)
- Training Materials
- Training Evaluations
- Labor Relations Strategy
- Security Documentation
- Privacy Documentation
- Baselined List of ID Credentials
- Requirements Traceability Matrix (RTM)
- Configuration Workbooks
- Interface Control Document
- Reports Design Document
- [Data Conversion Plan](#)
- Mock Conversion Report
- Conversion Defect Log
- [Test Plan](#)
- Test Scripts
- Test Results Report
- Test Defect Log
- Decommission Plan
- Cutover Plan
- O&M Service Level Agreements (SLAs)
- Target State Process Maps
- Standard Operating Procedures
- Business Process Reengineering Strategy

Information Contained in Tollgate Review Discussion

- M3 Risk Assessment Tool
- Program Management Readiness Criteria Tasks and Status
- Organizational Readiness Criteria Tasks and Status
- Technology Readiness Criteria Tasks and Status
- Business Operations Readiness Criteria Tasks and Status
- Contingency Plan
- Risk and Issues Summary
- Test Results
- Data Conversion Results

Exit Criteria






- ✓ Go/No-Go Criteria Met

Program Management

4.1 Monitor and Control Program Execution

Objective: Monitor, measure, and communicate program migration progress.

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

 Activities	
<ol style="list-style-type: none"> 1. Manage Migration Integrated Master Schedule (IMS) through weekly updates of activities, dates, duration, and dependencies (S) 2. Manage scope and monitor program performance using Program Management Plan (S) 3. Manage costs against the budget (S) 4. Manage and update Human Resources (HR)/Staffing Plan as resources are on or off boarded or as needs change (S) 5. Manage and update the Integrated Independent Validation and Verification (IV&V) Plan (S) 	<ol style="list-style-type: none"> 6. Update program management documentation as necessary (S) 7. Develop and distribute Status Reports/Dashboards and escalate decisions and issues as needed through governance bodies (S) 8. Hold status meetings to monitor status against milestones, issues, risks, and make decisions needed for work streams (S) 9. Hold executive briefing to share progress on transition (S) 10. Continue to initiate and perform change requests to address changes in schedule, scope, and requirements throughout the program through the Change Request Form, documenting changes through the Change Request Log (S)
 Inputs	 Stakeholders
<ul style="list-style-type: none"> • Program Charter • Governance Charter • IMS • Program Management Plan 	<ul style="list-style-type: none"> • Executive Sponsor (C, P) • Business Owner (C, P) • Program Manager (C, P) • PMO Lead (C, P) • PMO Team (C, P) • Functional Lead (C, P) • Technical Lead/Solution Architect (C, P)
 Outputs	
<ul style="list-style-type: none"> • Change Request Form • Change Request Log • IMS • Program Management Plan 	<ul style="list-style-type: none"> • IV&V Plan
 Best Practice	
<ul style="list-style-type: none"> • Review and update the IMS as necessary and maintain an integrated recurring meeting and reporting cadence • Include all migration activities and responsible parties in the IMS. Migrations that include core and non-core services should align all services to the IMS. • Create a consolidated list of action items for the customer and provider • Utilize collaboration tools to the fullest extent in order to facilitate information sharing across the migration program • For large agencies and complex implementations involving segregated business processes, teams should be co-located to ensure ease of communication, collaboration and problem solving; and to maximize program integration, including network access, conferencing needs • Ensure Provider transparency with regular reporting on expenditure to date 	

Program Management

4.2 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 (S)
2. Develop and employ mitigation strategies continuously throughout the migration (S)
3. Maintain and update Risks, Actions, Issues, and Decisions (RAID) Log with new risks and status of risk mitigation at a minimum of every 2 weeks throughout the migration (S)
4. Report on new risk and ongoing risk mitigation activities in governance meetings and Status Reports/Dashboards (S)
5. Perform M3 risk assessment (S)



Inputs

- Governance Structure and Process
- Status Reports/Dashboards
- Independent Verification and Validation (IV&V) Plan
- Risk Management Plan
- RAID Log



Outputs

- Risk Management Plan
- RAID Log
- M3 Risk Assessment



Stakeholders

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



Best Practice

- Maintain a risk management function within the PMO to coordinate all risk management activities across the customer and provider before migration
- Hold regular risk management meetings and include risk management into status reporting and escalation procedures. Include documentation of risks in RAID Log in order to facilitate communication of risks.
- Maintain risk management roles and responsibilities for customer and provider team members and executives, and train team members on identifying and mitigating risks

Program Management

4.3 Develop O&M Governance

Objective: Develop integrated Operations and Maintenance (O&M) governance structure to manage and oversee system and process performance.

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



Activities

1. Identify provider governance bodies that will participate during O&M (P)
2. Define integrated governance authority, roles, and responsibilities for oversight and management decision-making on topics such as risk/issue escalation, Service Level Agreement (SLA) monitoring, contract negotiations, service/change requests, and management after system Go-Live (S)
3. Establish integrated governance meeting cadence and reporting timelines for customer and provider (S)
4. Create integrated O&M Governance Charter (S)
5. Begin executing against governance charter to facilitate decision-making and issue escalation upon Go-Live (S)



Inputs

- Existing Governance Bodies and Processes within customer and provider agencies
- Customer Governance Charter
- Migration Phase Interagency Agreement (IAA) (Federal Only)



Outputs

- O&M Governance Charter
- Risks, Actions, Issues, and Decisions (RAID) Log



Stakeholders

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



Best Practice

- Establish goals, timeframes, resources, and responsibilities clearly during the migration that has buy-in from senior management at the customer and provider agencies
- Encourage decisions to be made at the lowest possible level, while allowing elevation of important or contentious issues through the governance model

Program Management

4.4 Prepare O&M Scope of Services and Contracts

Objective: Develop Operations and Maintenance (O&M) scope of services, contract terms and conditions, and Service Level Agreements (SLAs) and gain agreement to have support in place post-deployment.

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



Activities

1. Sign Interagency Agreement (IAA) for Phase 4 migration activities, if Federal provider selected (S)
2. Update Procurement Plans for the migration based on scope of services and migration timeline (S)
3. Manage procurement life cycle and contract performance against Procurement Plan for Phase 4 program support services (C)
4. Report changes to Procurement Plans in governance meetings and Status Reports/Dashboards (S)
5. Draft O&M IAA/Contract, including SLAs and costs, based on the scope of services expected for Phase 5 and continued O&M activities (P)
6. Negotiate terms and conditions of IAA/Contract for O&M including scope of services, SLAs, and cost structure (S)
7. Sign IAA/Contract for O&M (S)
8. Report updates in governance meetings and Status Reports/Dashboards (S)



Inputs

- Scope of Services



Outputs

- O&M Contract or IAA



Stakeholders

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



Best Practice

- Understand the IAA services, SLAs, and cost structures and develop relevant metrics to be able to monitor provider performance

Program Management

4.5 Assess Readiness for Go-Live

Objective: Monitor program performance and measure against Go-Live criteria to assess the program's readiness for Go-Live.

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



Activities

1. Finalize Go/No-Go Criteria, which may include program readiness, system readiness, workforce readiness, and operational readiness (S)
2. Identify deliverables/milestones required to demonstrate successful migration (S)
3. Develop Contingency Plan to prepare in case a No-Go decision is made or solution needs to be rolled back to existing environment (S)
4. Perform Go/No-Go Assessment using criteria and develop Go/No-Go Assessment Report and preliminary decision 30 – 60 days prior to Go-Live (S)
5. Present Go/No-Go Assessment to customer and provider leadership, USSM, and Service Area Lead to review decision and finalize (S)
6. Document results of Go/No-Go decision, including mitigation steps for risks for deploying the solution or executing the Contingency Plan (S)
7. If Go decision is made, begin executing Cutover Plan and monitor activities towards deployment (S)
8. If No-Go decision is made, execute Contingency Plan procedures (S)



Inputs

- Go/No-Go Assessment Criteria
- Status Reports/Dashboards
- Integrated Master Schedule (IMS)
- Program Management Plan
- Risks, Actions, Issues, and Decisions (RAID) Log
- Cutover Plan



Outputs

- Contingency Plan
- Go/No-Go Readiness Criteria
- Go/No-Go Assessment Report



Stakeholders

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



Best Practice

- Define Go/No-Go Assessment Criteria upfront and define measurable criteria to make decisions

Program Management

4.6 Update LCCE for O&M

Objective: Update the estimated costs of a migration based on Operations and Maintenance (O&M) Scope of Services to manage and plan budgetary needs.

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



Activities

1. Update O&M cost estimates to customer based on agreed upon scope of services (P)
2. Negotiate and agree on best and final offer for O&M costs (S)
3. Identify changes required to Life Cycle Cost Estimate (LCCE) based on selected provider's cost estimates and consider reasonableness and affordability (C)
4. Update LCCE (according to cost management plan) for O&M (C)
5. Compare actual spending with budget and adjust LCCE as needed (C)
6. Report changes to program costs and actual spending in governance meetings and Status Reports/Dashboards (C)



Inputs

- Migration Approach
- Requirements Traceability Matrix (RTM)
- Gap Analysis Report
- LCCE
- Procurement Plan



Outputs

- LCCE for 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 cost estimates from the provider to plan out-year budget needs and requests

Workforce, Organization & Stakeholders

4.7 Design Target State Organization

Objective: Identify and design the target state organization needs and prepare for changes to the workforce.

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



Activities

1. Review Target State Concept of Operations (CONOPS) and Target State Process Flows (C)
2. Align customer organizations to Target State Process Flows (C)
3. Define roles and responsibilities including position descriptions and job duties (C)
4. Map staff to positions (C)
5. Continue to assess impact of reorganization on the workforce (C)
6. Develop strategy for workforce transition (C)
7. Evaluate provider organization workforce based on customer migration and determine if there are impacts to provider workforce and Organization Structure (P)



Inputs

- As-Is Workforce Assessment
- Current Organization Structure
- Target State Process Flows
- Target State CONOPS



Outputs

- Target State Organization Design
- Workforce Assessment
- Workforce Transition Strategy



Stakeholders

- Program Manager (C, P)
- Change Management Lead (C, P)
- Training Lead (C, P)
- Communications Lead (C, P)



Best Practice

- Confirm the accuracy of the organizational structures based on the records maintained by first level managers versus the customer human capital office

Workforce, Organization & Stakeholders

4.8 Execute Workforce Transition and Prepare for Go-Live

Objective: Execute against and expand upon Communications Plan to include targeted communications against the Cutover Plan.

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



Activities

1. Develop and deliver messages based on the Communications Plan (C)
2. Monitor feedback from stakeholders and adjust Communications Plan (C)
3. Update Communications Plan based on labor relations meetings (C)
4. Update Workforce Assessment to identify how the workforce may be impacted by the migration (C)
5. Update Readiness Assessment to further understand stakeholder ability to adapt to change (C)
6. Create an additional, targeted Communications Plan based on Cutover Plan timeline and activities (S)
7. Update Communications Plan based on workforce transitions to the Target State Organization Structure, if needed (C)
8. Develop strategy for employee transition and notify staff of reorganization, if required (C)
9. Develop and deliver messages based on the targeted Communications Plan (S)



Inputs

- Communications Plan
- Cutover Plan
- Change Management Plan



Outputs

- Communications Plan
- Targeted Cutover Communications Plan
- Workforce Assessment
- Readiness Assessment
- Change Management Plan



Stakeholders

- Program Manager (C, P)
- Training Lead (C, P)
- Change Management Lead (C, P)
- Communications Lead (C, P)
- Functional Lead (C, P)
- Technical Lead/Solution Architect (C, P)



Best Practice

- Deliver communications to stakeholders directly before Go-Live regarding new systems, processes, and roles
- Establish or maintain a PMO dedicated to continue to assess the impact of reorganization on the workforce

Workforce, Organization & Stakeholders

4.9 Execute Training for Go-Live

Objective: Develop and deliver training to the organization to prepare for Go-Live.

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



Activities

1. Review and update the Training Plan to include specific training styles tailored to customer segments affected by the migration (C)
2. Design training content and supporting materials and develop job-aids (S)
3. Plan logistics for training delivery and confirm training roles and responsibilities (S)
4. Deliver training (S)
5. Develop Training Evaluation form and feedback process (S)
6. Collect feedback and update Training Materials and delivery methods as needed (S)



Inputs

- Training Plan



Outputs

- Training Plan
- Training Materials
- Training Evaluations



Stakeholders

- Program Manager (C, P)
- Training Lead (C, P)
- Change Management Lead (C, P)
- Communications Lead (C, P)



Best Practice

- Consider developing webpages to share information for ease of access and frequent use by employees
- Provide training in a variety of formats to accommodate different learning styles of stakeholders

Workforce, Organization & Stakeholders

4.10 Execute Labor Relations Strategy

Objective: Continue to manage the relationship(s) with the union(s).

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



Activities

1. Review Target State Organization Design and updates to requirements based on the migration along with the updated workforce assessment to identify potential impacts on staff (C)
2. Engage in communications with Union Leadership based on Labor Relations Strategy (C)
3. Determine the methods to align to collective bargaining agreements, resolve issues and document outcomes and next steps (C)
4. Update the Labor Relations Strategy as needed (C)
5. Finalize union agreements to proceed with deployment activities (C)



Inputs

- Labor Relations Strategy
- Change Management Plan



Outputs

- Labor Relations Strategy



Stakeholders

- Program Manager (C)
- Change Management Lead (C)
- Communications Lead (C)
- Labor Relations Leader (C)



Best Practice






- Encourage participation in regularly scheduled “Meet and Discuss” session with union leadership and organization management

Technology

4.11 Conduct Security and Privacy Reviews

Objective: Conduct security and privacy reviews to validate the system (data, applications, interfaces, network) is protected and personally identifiable information (PII) and data are secure.

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

<div> Activities</div> <div><div>Conduct Privacy Reviews:<ol style="list-style-type: none">1. Develop Privacy Framework to include system categorization, data type, handling, storing and sharing method, and incident response process (S)2. Develop Privacy documentation and training material (if needed) to provide guidance to all stakeholders (S)3. Implement Privacy training roadmap and integrate with overall training plan (S)4. Roll out privacy regulations to all users (S)5. Document and receive Systems of Record Notice (SORN), if required (S)</div><div>Conduct Security Reviews:<ol style="list-style-type: none">1. Understand provider security environment and assess against requirements (S)2. Develop Security documentation and Security Test Plan if applicable (S)3. Execute security test according to test plan to include both physical and logical security, document and correct issues (S)4. Request and receive Authority to Operate (ATO) if necessary (S)</div></div>	
<div> Inputs</div> <div><ul style="list-style-type: none">• Requirements Traceability Matrix (RTM)• Gap Analysis Report• Target State Concept of Operations (CONOPS)• Technical Strategy</div>	<div><div> Stakeholders</div><div><ul style="list-style-type: none">• Program Manager (C, P)• Functional Lead (C, P)• Functional SME (C,P)• Data SME (C)• Technical Lead/Solution Architect (C, P)• Security Lead (C, P)• ISSO (C, P)• Network SME (C, P)• PMO Lead (C, P)</div></div>
<div> Outputs</div> <div><div><ul style="list-style-type: none">• Security Documentation, including Security Test Results and ATO</div><div><ul style="list-style-type: none">• Privacy Documentation, including Initial Privacy Assessment, FIPS 199, SORN, Privacy Impact Assessment</div></div>	
<div> Best Practice</div> <div><ul style="list-style-type: none">• Understand the customer's ATO process and allow sufficient time to get documentation through review and approvals• Develop and define Security/Privacy plan before development as part of the Target State Solution Architecture• Begin security and privacy planning early and include security steps across all migration phases</div>	

Technology

4.12 Define Roles and User Access

Objective: Define roles and user access according to user requirements.

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



Activities

1. Document roles and access rights, segregation of duties, identification (ID) request and ID management processes based on Identity, Credentials, and Access Management Framework (ICAM) (S)
2. Finalize roles and responsibilities for granting user access in Operations and Maintenance (O&M) (S)
3. Implement Security Configuration for user roles and user access as documented in ICAM (P)
4. Assign user access rights to employees (S)
5. Load production user accounts (P)
6. Test production user accounts (P)
7. Provide credentials to end users for testing, training, and production (S)



Inputs

- Requirements Traceability Matrix (RTM)
- Gap Analysis Report
- Target State Process Flows
- Target State Organization Structure
- Technical Strategy



Outputs

- Baselined List of ID Credentials



Stakeholders

- Program Manager (C, P)
- Functional Lead (C, P)
- Technical Lead/Solution Architect (C, P)
- Security Lead (C, P)
- ISSO (C, P)
- Network SME (C, P)
- PMO Lead (C, P)
- Change Management Lead (C,P)
- Training Lead (C, P)



Best Practice

- Have an ID management tool, ID request process, and contact center procedures to resolve access related issues in place before cutover
- Provide sufficient security access to the deployment team to perform their tasks effectively in advance of deployment
- Establish security roles and responsibilities well in advance of deployment to resolve issues while time allows

Technology

4.13 Configure Systems

Objective: Configure changes and enhancements of system software, hardware, and documentation throughout the life cycle.

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



Activities

1. Document Configuration Workbooks to understand data and system layouts (P)
2. Create baseline system configuration and execute unit test to validate configuration changes (P)
3. Assess and define batch jobs (P)
4. Define and verify business process controls framework (P)
5. Baseline and sign-off on functional and technical requirements (S)
6. Develop functional and technical specifications for enhancement based on requirements (P)
7. Code and unit test enhancements (P)
8. Validate the configuration and controls with customer Functional Subject Matter Experts (SMEs) (and Technical SMEs) to validate enhancements have met requirements (S)



Inputs

- Requirements Traceability Matrix (RTM)
- Target State Architecture Solution
- Technical Strategy
- Gap Analysis Report
- Configuration Management Plan



Outputs

- RTM
- Configuration Workbooks



Stakeholders

- Program Manager (P)
- Technical Lead/Solution Architect (P)
- Configuration Lead (P)
- Development Team (P)
- Functional Lead (C, P)
- Functional SME (C, P)
- Managing Partner/Service Area Sponsor (Service Area)



Best Practice

- Leverage functional specifications to support contact center team, test case, script development, training development, and user guide development
- Conduct Configuration Workbook validation after Conference Room Pilots (CRPs) to help the customer better understand the configuration options
- Consider hiring or staffing independent Enterprise Resource Planning (ERP) experts to provide unbiased configuration alternatives for the customer

Technology

4.14 Design and Develop Interfaces

Objective: Design and develop interfaces between applications.

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



Activities

1. Create or update Interface Control Documents to describe the functionality including data flow, security and controls, and transfer methods between various legacy systems (P)
2. Leverage standard interfaces and application programming interfaces (APIs) to create connections between applications (S)
3. Coordinate with the interface partner to collaborate and agree on data exchanges, integration methods and unit testing timeframes (S)
4. Code and unit test Interfaces (P)
5. Establish batch jobs to execute interfaces and conduct integration testing (S)



Inputs

- Requirements Traceability Matrix (RTM)
- Target State Architecture Solution
- Technical Strategy
- Gap Analysis Report
- Target State Concept of Operations (CONOPS)



Outputs

- Interface Control Document



Stakeholders

- Program Manager (C, P)
- Technical Lead/Solution Architect (C, P)
- Development Team (C, P)
- Functional Lead (C, P)
- Network Subject Matter Expert (SME) (C, P)



Best Practice

- Maintain a detailed network architecture to help troubleshoot interface design and development issues
- Conduct frequent checkpoints with interfacing application developers between customer and provider
- Coordinate early with external interface providers to properly plan testing windows

Technology

4.15 Design and Develop Reports

Objective: Design and develop operational reports.

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



Activities

1. Based on reporting requirements within Requirements Traceability Matrix (RTM), design reports (P)
2. Leverage standard reports available in the existing application (S)
3. Validate report designs with customer (S)
4. Build and unit test reports (P)
5. Provide sample reports and prepare for user testing (P)



Inputs

- RTM
- Reports Design Document



Outputs

- Reports Design Document



Stakeholders

- Program Manager (P)
- Technical Lead/Solution Architect (P)
- Development Team (P)
- Functional Lead (P)
- Functional SME (C, P)
- Network SME (P)








Best Practice

- Conduct a thorough analysis of current reports to determine which are still needed or used before developing reports in the new system
- Prioritize reporting requirements and develop reports in phases
- Include sufficient time to develop and test reports

4.16 Conduct Mock Conversions

Objective: Conduct mock data conversions to test transfer of data.

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

<div> Activities</div> <div><div>1. Define and test conversion scenarios (S)</div><div>2. Design, build and unit test data conversion including extracting, transforming, and loading procedures (S)</div><div>3. Design, build, and unit test validation/reconciliation reports (S)</div><div>4. Test manual conversion and document results (P)</div><div>5. Run mock conversion and document results (P)</div><div>6. Clean up data issues uncovered during mock conversions (S)</div><div>7. Repeat subsequent mock conversions and update scripts as necessary, cleansing more data each time until program team is satisfied with data accuracy (S)</div></div>	
<div> Inputs</div> <div><div><div><div>• Requirements Traceability Matrix (RTM)</div><div>• Technical Strategy</div><div>• Data Conversion Strategy</div><div>• Data Cleansing Plan Updated</div></div><div><div>• Data Quality Results</div></div></div></div>	<div><div> Stakeholders</div><div><div>• Program Manager (C, P)</div><div>• Functional Lead (C, P)</div><div>• Functional SME (C)</div><div>• Technical Lead/Solution Architect (C, P)</div><div>• Development Team (C, P)</div><div>• Network SME (C, P)</div><div>• Data Conversion Lead (C, P)</div><div>• Data SME (C, P)</div></div></div>
<div> Outputs</div> <div><div><div>• Data Conversion Plan</div><div>• Mock Conversion Report</div><div>• Conversion Defect Log</div></div></div>	
<div> Best Practice</div> <div><div>• Conduct multiple mock conversions to mitigate complex conversion risks and include enough time in the IMS to correct anomalies and update conversion programs</div></div>	

Technology

4.17 Test Systems and Processes

Objective: Test systems and processes and trace test cases and results in RTM.

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



Activities

1. Develop Test Plans and Scripts (Integration, System, Regression, Performance/Stress, User Acceptance, 508, Smoke) (S)
2. Plan and develop test data (S)
3. Execute tests for each test cycle (S)
4. Record, correct, and report defects (S)
5. Perform regression test (S)
6. Develop Test Results Report for each test cycle and confirm exit criteria have been met (S)



Inputs

- Requirements Traceability Matrix (RTM)
- Target State Concept of Operations (CONOPS)
- Technical Strategy



Outputs

- Test Plan
- Test Scripts
- Test Results Report
- Test Defect Log
- RTM



Stakeholders

- Program Manager (C, P)
- Technical Lead/Solution Architect (C, P)
- Development Team (C, P)
- Functional Lead (C, P)
- Test Lead (C, P)
- Test Team (C, P)



Best Practice






- Sequence System Integration Testing (SIT) and User Acceptance Testing (UAT) testing with mock conversions to be able to test with quality data to validate both system functionality and reports/data
- Implement a consolidated defect tracking tool for use by both provider and customer during test planning; agree upon implementation tools (like requirements management and defect tracking tools) in the Migration Interagency Agreement (IAA)
- Leverage the RTM to map and trace requirements, test cases, and test scripts
- Involve testing team members in requirements sessions to understand requirements better

Technology

4.18 Develop and Execute Cutover Plan for Go-Live

Objective: Create and execute Cutover Plan to deploy the solution into production.

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

<div> Activities</div> <div><div><div>1. Develop Cutover Plan to include pre cutover, cutover, and post cutover steps (S)</div><div>2. Integrate the Cutover Plan with the overall communication and program Go-Live schedule (S)</div><div>3. Communicate the cutover activities to stakeholders (S)</div><div>4. Execute pre cutover tasks (S)</div><div>5. Schedule all necessary checkpoints to monitor Go-Live progress (S)</div><div>6. Execute cutover tasks to include deployment of code to production, activation of system components, and securing or shutting down legacy systems (P)</div><div>7. Initiate post cutover activities to include warranty period support (P)</div></div><div><div>8. Update decommission plan for legacy systems (C)</div></div></div>	
<div> Inputs</div> <div><ul style="list-style-type: none">• Requirements Traceability Matrix (RTM)• Technical Strategy• Integrated Master Schedule (IMS)• Decommission Plan</div>	<div><div></div> Stakeholders</div> <div><ul style="list-style-type: none">• Program Manager (C, P)• Functional Lead (C, P)• Technical Lead/Solution Architect (C, P)• Security Lead (ISSO) (C, P)• Network SME (C, P)• PMO Lead (C, P)• PMO Team (C, P)• Change Management Lead (C, P)• Communications Lead (C, P)• Data Conversion Lead (C, P)• Interface Lead (C, P)</div>
<div> Outputs</div> <div><ul style="list-style-type: none">• Cutover Plan• Decommission Plan</div>	
<div> Best Practice</div> <div><ul style="list-style-type: none">• Establish an ongoing and committed contact center support at each organization to help facilitate Go-Live transition• Have all key Subject Matter Experts (SMEs) available onsite during final pilot trial and actual deployment• Conduct daily meetings to monitor progress and issues for timely resolution</div>	

Process and Service Delivery

4.19 Finalize Service Level Agreements

Objective: Finalize the agreement on the level of service from the provider during Operations and Maintenance (O&M).

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



Activities

1. Finalize O&M roles and responsibilities between the customer and provider (S)
2. Validate and agree upon Service Level Agreements (SLAs) as an input to O&M Interagency Agreements (IAA)/Contract (S)
3. Update/validate SLAs (as applicable) to ensure process steps are met that allow customers to meet agreed upon SLAs with provider (S)
4. Confirm there is adequate O&M support from provider for stabilization period written into SLA (S)



Inputs

- SLAs



Outputs

- O&M SLAs



Stakeholders

- Executive Sponsor (C, P)
- Business Owner (C, P)
- Program Manager (C, P)
- PMO Lead (C, P)
- PMO Team (C, P)
- Functional Lead (C, P)
- Technical Lead/Solution Architect (C, P)
- Technical SME (C, P)
- Functional SME (C, P)



Best Practice

- Establish SLAs with proper monitoring where both customer and provider responsibilities are clearly defined
- Given a potential dip in services immediately after Go-Live, customers should consider adding support/funding for stabilization (i.e. on-site support, Program Management Office (PMO) support, additional training)

Process and Service Delivery

4.20 Design Target State Processes

Objective: Design the Target State Process Maps, activities, decision points, interrelationships, & systems interactions.

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



Activities

1. Finalize list of in-scope processes for migration and identify which processes will undergo reengineering (S)
2. Validate and update the Business Process Reengineering Strategy (S)
3. Validate and update process decomposition for in-scope processes based on Service Area functions and activities (S)
4. Develop Target State Process Flows for in-scope processes, considering internal control, segregation of duties, technology, handoffs, workloads, and manual workarounds (S)
5. Review, validate, and update processes with stakeholders (S)
6. Update and develop Standard Operating Procedures (SOPs) and develop Desk Guides/User Guide for customer and provider processes (S)



Inputs

- Target State Concept of Operations (CONOPS)
- Target State Systems Environment



Outputs

- Target State Process Maps
- SOPs
- Business Process Reengineering Strategy



Stakeholders

- Business Owner (C, P)
- Functional Lead (C, P)
- Technical Lead/Solution Architect (C, P)
- Technical SME (C, P)
- Functional SME (C, P)
- Program Manager (C, P)



Best Practice

- Establish a standardized and common process decomposition to have consistency in terminology using guidance from the applicable Service Area
- Perform business process alignment activities rather than traditional business process reengineering to avoid bad practices continuing in the new system
- Identify key functional process lead and Subject Matter Experts (SMEs) to drive process ownership and decision making

Documentation Required for Phase 4 Tollgate Review

The following documentation is required in guiding a discussion to demonstrate readiness and gain approval for Phase 4. Agencies purchasing transaction processing services only will identify relevant activities and artifacts for their project using the [M3 Services Tailoring Guide](#).

Documentation for USSM	Information Contained in Tollgate Review Discussion
<ul style="list-style-type: none"> Go/No-Go Readiness Criteria Go/No-Go Assessment Report M3 Risk Assessment Tool Change Request Log Change Request Form Integrated Master Schedule (IMS) Program Management Plan Independent Validation & Verification (IV&V) Plan Status Reports/Dashboards Risk Management Plan Risks, Actions, Issues, and Decisions (RAID) Log O&M Governance Charter O&M Contract or Interagency Agreement (IAA) Contingency Plan Life Cycle Cost Estimate (LCCE) for O&M Target State Organization Design Workforce Assessment Workforce Transition Strategy Communications Plan Targeted Cutover Communications Plan Readiness Assessment Change Management Plan Training Plan Training Materials Training Evaluations Labor Relations Strategy Security Documentation Privacy Documentation Baselined List of ID Credentials Requirements Traceability Matrix (RTM) Configuration Workbooks Interface Control Document Reports Design Document Data Conversion Plan Mock Conversion Report Conversion Defect Log Test Plan Test Scripts Test Results Report Test Defect Log Decommission Plan Cutover Plan O&M Service Level Agreements (SLAs) Target State Process Maps Standard Operating Procedures Business Process Reengineering Strategy 	<ol style="list-style-type: none"> M3 Risk Assessment Tool Program Management Readiness Criteria Tasks and Status Organizational Readiness Criteria Tasks and Status Technology Readiness Criteria Tasks and Status Business Operations Readiness Criteria Tasks and Status Contingency Plan Risk and Issues Summary Test Results Data Conversion Results

Exit Criteria

✓ Go/No-Go Criteria Met

List of Guidance Items and Templates Available

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">• M3 Services Tailoring Guide• Status Reports/Dashboards• Integrated Master Schedule (IMS)• Risk Management Plan• M3 Risk Assessment Tool• Risks, Actions, Issues, and Decisions (RAID) Log• O&M Governance Charter• Operations and Maintenance (O&M) Contract or Interagency Agreement (IAA)• Contingency Plan• Life Cycle Cost Estimate (LCCE) for O&M• Training Plan• Data Conversion Plan• Mock Conversion Report• Test Plan• Test Defect Log• Test Results Report• Cutover Plan• O&M Service Level Agreements (SLAs)	<ul style="list-style-type: none">• M3 Services Tailoring Guide• M3 Risk Assessment Tool• Status Reports/Dashboards• Governance Charter• IMS• Change Request Form• Risk Management Plan• RAID Log• Requirements Traceability Matrix (RTM)• Training Plan• Test Plan• Test Report• Data Conversion Plan• Tollgate 4 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