

Phase 1 Tollgate Review Discussion Template

GSA, Unified Shared Services Management

Month, Year

Questions to be Answered

This template is intended to guide a Tollgate Review discussion between a Customer, USSM, and the Tollgate review team

Questions to Be Answered		Reviewers
0. Assessment	<ul style="list-style-type: none"> Does the scope and operational end state make sense? Does the agency's business plan align with federal strategy and target outcomes set by USSM/LOBs? 	Service Area Managing Partner
	<ul style="list-style-type: none"> Is there a valid need for the investment? 	USSM; Office of the Federal Chief Information Officer (OFCIO)
	<ul style="list-style-type: none"> Were alternatives considered (if shared services is not the strategy)? Does the organization understand the trade off between benefits and risks associated with the modernization or migration? 	USSM
	<ul style="list-style-type: none"> How reasonable is the preliminary total migration cost? What language should be included in pass-back? 	RMO - Customer (C); USSM
	<ul style="list-style-type: none"> Does the investment incorporate new or existing policy? Is it a result of new or existing policy? 	M-Office
1. Readiness	<ul style="list-style-type: none"> Does the effort align with each office initiative? 	M-Offices
	<ul style="list-style-type: none"> Has the Life Cycle Cost Estimate (LCCE) been updated to reflect business capabilities, and is it reasonable? 	Resource Management Office (RMO) (C); USSM; OFCIO
	<ul style="list-style-type: none"> Do the high-level capabilities identified by the agency meet the standard capabilities identified by the Service Area Managing Partner? Are any additional capabilities justified by mission needs or regulation? 	Service Area Managing Partner
	<ul style="list-style-type: none"> How inclusive is the risk analysis? Is the program adequately resourced (funding and people) to support due diligence and engagement with a provider? Does the program have adequate plans to mitigate critical issues and risks and contingency plans? Has the customer demonstrated robust planning in order to conduct due-diligence with providers? Does the organization have an general understanding of what the benefits of the program would be? 	USSM

Instructions for Completing This Template

This template is intended to guide a Tollgate Review Discussion between a Customer, USSM, and the Tollgate review team

To use this template:

- Use the source documents included within each slide to develop summary-level information that will help guide the Tollgate review
- Be prepared to discuss specific questions/content included on each slide before or during the Tollgate review
- Once complete, send this template and required documentation to the USSM M3 team (USSM.M3@gsa.gov) to schedule a Tollgate review meeting
- Direct any questions on content or information that should be included in this presentation to the USSM M3 team (USSM.M3@gsa.gov)

Documentation Required for Phase 1 Tollgate Review

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

Phase 1 Documentation	Information Contained in Tollgate Review Discussion
<ul style="list-style-type: none">• HR/Staffing Plan• Independent Verification & Validation (IV&V) Plan• Governance Charter• Life Cycle Cost Estimate (LCCE)• Initial Master Schedule• Baseline and Target Performance and Success Metrics• Business Capabilities• M3 Risk Assessment Tool• Program Charter• Program Management Plan• Status Reports/Dashboard• Risk Management Plan• Risks, Actions, Issues, and Decisions (RAID) Log• Procurement Plan• Quality Assurance Surveillance Plan (QASP)• Requirements Management Plan• Stakeholder Analysis• Communications Plan• Migration and O&M training needs• As-Is Workforce Documentation• Change Readiness Assessment• As-Is Systems Environment• Target State Systems Environment• Data Governance Model• Data Cleansing Plan• Business Needs Workbook• Target State Concept of Operations	<ol style="list-style-type: none">1. M3 Risk Assessment Tool2. Initial Master Schedule Overview3. LCCE4. HR/Staffing Plan5. Procurement Approach6. IV&V Plan7. Program Governance Model8. Scope of Services Overview9. Business Capabilities10. Change Management and Communications Approach11. Data Management/Data Quality Approach12. Baseline and Target Performance Success Metrics13. Top Risks

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

M3 Risk Assessment Tool

Determine the risk rating at the end of Phase 1 using the [M3 Risk Assessment Tool](#) and submit with tollgate review material.

Phase 1		Cumulative Risk Ratings	Phase 1: Objective is to prepare the migration organization by defining initial capabilities and customer governance for the modernization effort.		Direction: Agency self-assessment of the migration's risk profile by phase based on USSM's priority risk categories and artifacts. Consider risk statements by risk category for each level to determine current risk.					
Agency Self-assessment Overall USSM Rating					Click here to see the Minimum Documentation required for this Phase					
Phase 1 Risk Evaluation Criteria					Assessment					
Risk Category	Low	Medium	High	Agency Rating	Agency Value	Agency Applied Risk Mitigation Strategies	USSM	SSM Value	USSM Comments	
Data/Information Risk	<ul style="list-style-type: none"> There are no data quality concerns with legacy data, or identified data quality concerns are unlikely to impact migration Data quality concerns have been identified in the Data Cleansing Plan and cleansing activities are fully reflected in Initial Master Schedule 	<ul style="list-style-type: none"> Data quality concerns with legacy data that may impact migration are not fully addressed in the Data Cleansing Plan Data quality concerns have been identified in the Data Cleansing Plan, but activities are not fully reflected in Initial Master Schedule 	<ul style="list-style-type: none"> Severe data quality concerns with legacy data that will impact migration are identified in the Data Cleansing Plan Data Quality concerns have been identified in the Data Cleansing Plan, but activities are not identified on Initial Master Schedule 			<<Enter Your agency's Justification or Mitigation Strategies here, and rate yourself to the left with the dropdown box.>				
Cyber Information Security Risk	<ul style="list-style-type: none"> No unique cyber information security needs identified in Initial Target State Systems Environment or Operational End State. 	<ul style="list-style-type: none"> Agency identified unique security concerns in Initial Target State Systems Environment or Operational End State. 	<ul style="list-style-type: none"> Agency identified unique security concerns in Initial Target State Systems Environment or Operational End State that require secret cleared resources to resolve 			<<Enter Your agency's Justification or Mitigation Strategies here, and rate yourself to the left with the dropdown box.>				
Financial Risk	<ul style="list-style-type: none"> LCCE is developed (according to cost management plan) for all future phases Actual spending is being compared with budget and LCCE is adjusted as needed Changes to program costs and actual spending are reported in governance meetings and Status Reports/Dashboards 	<ul style="list-style-type: none"> LCCE is not fully realistic (according to cost management plan) for all future phases Actual spending is being compared with budget but LCCE is not reflecting appropriate adjustments Some changes to program costs and actual spending are not reported in governance meetings or Status Reports/Dashboards 	<ul style="list-style-type: none"> LCCE is not realistic (according to cost management plan) based upon comparison to projects with similar size and scope LCCE reflects that actual spending is not being compared with budget Program costs and actual spending are not reported in governance meetings or Status Reports/Dashboards 			<<Enter Your agency's Justification or Mitigation Strategies here, and rate yourself to the left with the dropdown box.>				

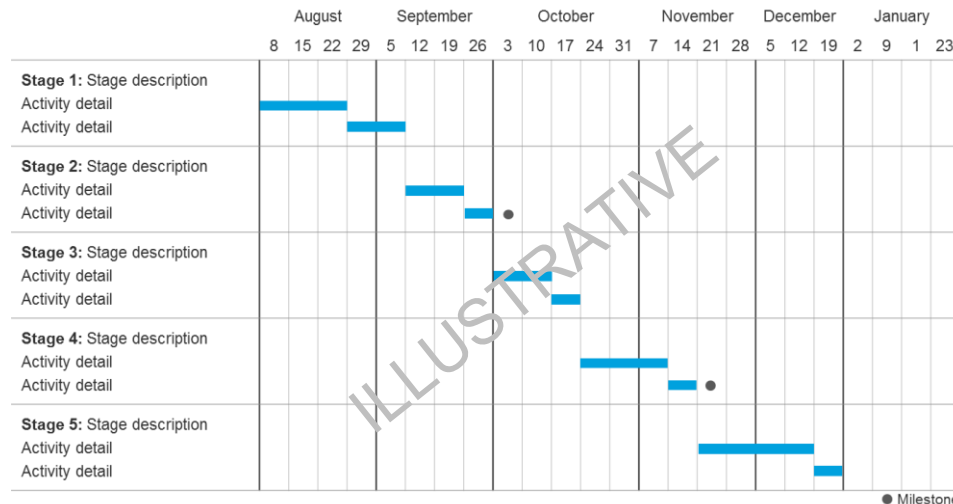
Initial Master Schedule Overview

Provide an overview of the Initial Master Schedule as of Phase 1

Provide a summary of the Master Schedule timeline, which should include:

- *Major activities and critical path milestones over the lifecycle of the program*
- *Expected Tollgate timeline*
- *Schedule constraints (e.g., contract end dates, system retirements)*
- *Whether activities and milestones are on- or off-track*

***Provide information by month and year*



Source Documentation from Playbook

▪ Master Schedule

Life Cycle Cost Estimate

Provide the estimated cost based on the LCCE*.

Develop the life cycle cost information for Phase 1 based on any changes or refinement in scope of the program from when the Major IT Business Case was developed

Estimated Costs for Migration and Operations and Maintenance (O&M)									
Responsible Party (Provider, Agency, Other)	Migration Cost Category / Work stream	FY N CPM	FY N+1 CPM	FY N+2 CPM	FY N+3 CPM	Total CPM	Cost Calculation	Required FTEs	Notes/Assumptions
	Program Management Support								
	Data Conversion Support								
	Change Mgmt./Train								
	Business Process Reengineering								
	Systems Engineering								
	<Project or Organization Determined>								
	Total Migration								
Provider	<Service Layer 1>								
Provider	<Service Layer 2>								
Agency	<Agency Cost>								
	Total O&M								
Grand Total									

*To avoid duplication of effort, agencies are encouraged to use their existing budgetary documentation, when available, to provide cost estimates.

Human Resources/Staffing Plan Overview

Provide an Organization Chart and indicate required number of full time equivalents (FTEs)/resources, existing resource gaps, and plan to fill resource gaps

Include the following:

- *The roles and responsibilities needed for the customer migration team in Phase 2*
- *Total number of resources needed and total number of resources staffed*
- *The percentage of time required for each position on the customer migration team*
- *Vacant positions and plan to fill each position*
- *For each role, indicate if resources are in an acting, detailed, or contractor-filled position*

Procurement Approach

Provide the details around planned procurements to support the migration

Potential data points could include:

- An overview of the approach to conducting market research to select a provider, including how Requests for Information (RFIs) or Interagency Agreements (IAAs) will be used to further market research efforts and ultimately select a provider*
- Potential additional support needed based on resourcing plan, legacy system support needs, data cleansing, and Independent Verification and Validation (IV&V)*

Planned Procurement (including Scope)	Acquisition Strategy	Status*	Planned Contract Value	Expected Award Date	Expected Period of Performance
<i>Data Conversion: Provide services to extract and translate data from legacy application...</i>					

**Statuses may include: Early Planning, Requirements Defined, Request for Proposal (RFP) Released, Award Complete*

Source Documentation from Playbook

▪ Procurement Plan

Independent Verification and Validation Plan

Describe the program's approach for onboarding and utilizing IV&V support

Provide an overview of:

- *Timeline to obtain IV&V support*
- *The scope IV&V activities that will occur during the program*
- *The timing of IV&V activities during the program*
- *The process to address IV&V feedback*
- *IV&V relationships (i.e., who the sponsor is, and how IV&V support will interact with the provider and USSM)*

Program Governance Model

Describe the program's governance model

Consider including the following:

- *The governance structure, which identifies the roles, responsibilities, and which offices are represented*
- *The process, cadence, and timeline to make decisions*
- *The process and criteria used to escalate decisions, issues, and risks*
- *The scope of the governance (i.e., whether or not the program manager has the authority to approve changes that do not extend the schedule, the maximum dollar value of the costs, and increases or decreases to the scope)*

Scope of Services Overview

Describe which services the organization desires for migration and Operations and Maintenance (O&M)

Migration

Describe required migration services (e.g., training, data conversion, systems integration) from the provider

O&M

Describe required O&M services, including:

- *Desired service (e.g., Financial Management, HR, Acquisition)*
- *Function (e.g., Payable Management)*
- *Description of selected service layers (i.e., system platform, transaction processing, business application support)*

Change Management and Communications Approach

Describe the stakeholders that will be impacted by the migration

Consider including information on the following:

- *The process for identifying impacted stakeholders*
- *Analysis of stakeholder awareness by the community*
- *Communications best practices that the stakeholder community will use*

Data Management/Data Quality Approach

Provide an overview of the data management and quality approach including an overview of findings from the initial data assessment

Consider including information on the following:

- *The results of your data quality assessment*
- *Data cleansing activities that have already begun*
- *The timeline for future data cleansing activities*
- *Success criteria used to measure data quality*

Baseline and Target Performance Success Metrics

Agencies may use existing federal-wide benchmarks available at <https://benchmarks.gsa.gov/> or create their own. Below are sample Performance and Success metrics by service area.

	Sample Performance and Success Metrics 2016	Baseline Metric	Target Metric	Government-wide median*
Contracting	Cost to Spend Ratio % - efficiency metric	<<your agency data here>>	<<your agency data here>>	<<include Government-wide median here>>
	Federal Awardee Performance and Integrity Information System (FAPIS) Compliance rate - efficiency metric	<<your agency data here>>	<<your agency data here>>	<<include Government-wide median here>>
	Percentage Contracting Professionals Satisfied with Their Unit's Quality of Work - operational quality metric	<<your agency data here>>	<<your agency data here>>	<< include Government-wide median here >>
Financial Management	Cost Per Invoice - efficiency metric	<<your agency data here>>	<<your agency data here>>	<< include Government-wide median here >>
	Cost Per Receivable Managed - efficiency metric	<<your agency data here>>	<<your agency data here>>	<< include Government-wide median here >>
	FM Systems Spend to Total IT Spend	<<your agency data here>>	<<your agency data here>>	<< include Government-wide median here >>
Human Capital	HR Provided and Development Cost Per Employee - efficiency metric	<<your agency data here>>	<<your agency data here>>	<< include Government-wide median here >>
	Recruiting and Hiring Cost Per External Position Filled - efficiency metric	<<your agency data here>>	<<your agency data here>>	<< include Government-wide median here >>
	OPM Hiring Satisfaction Survey: "What is your overall satisfaction with this hiring process?" (based on a scale of 1-10) - operational quality	<<your agency data here>>	<<your agency data here>>	<< include Government-wide median here >>
IT Management	Cost Per Help Desk Ticket - efficiency metric	<<your agency data here>>	<<your agency data here>>	<< include Government-wide median here >>
	% help Desk Tickets Escalated Above Tier 1 - operational quality metric	<<your agency data here>>	<<your agency data here>>	<< include Government-wide median here >>
	Cost Per Terabyte (TB) Network Storage - efficiency metric	<<your agency data here>>	<<your agency data here>>	<<your agency data here>>

* Government-wide medians can be found at benchmarks.gsa.gov

Top Risks

Provide the top 5 – 10 risks identified during Phase 1 and proposed mitigation strategies

Risk	Impact	Probability	Owner	Mitigation Strategy
<Risk 1: If adequate resources are not dedicated to data cleansing, then cleansing activities will be delayed and the quality of the conversion will be reduced>	High	Medium	Program Manager	<Dedicate additional resources to support data cleansing efforts no later than 5/5> <Secure contractor support for data cleansing>

Source Documentation from Playbook

- Risks, Actions, Issues, and Decisions (RAID) Log
- Risk Management Plan

Next Steps

Please describe the activities planned for the next 30, 60, and 90 days