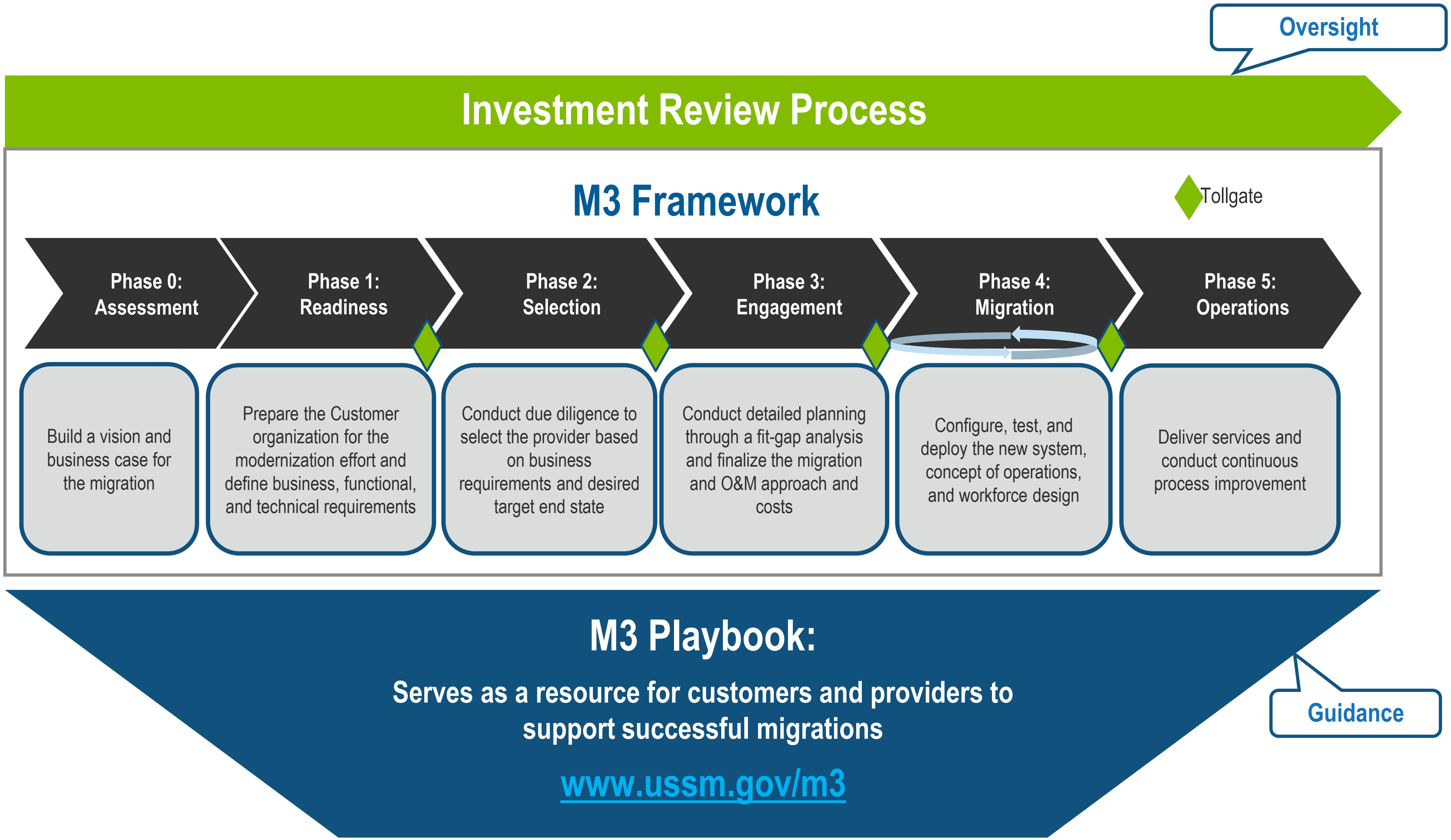
Modernization and Migration Management (M3) Playbook

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.



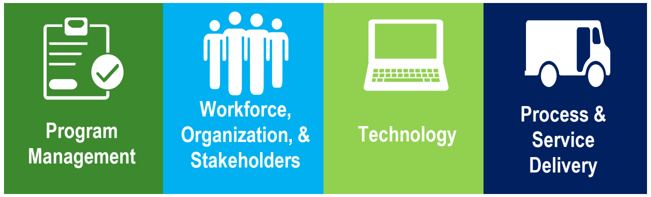
What is the M3 Framework?

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

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

Outputs

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

Stakeholders

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

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

Tollgate

Investment Review Process

	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 0: Assessment

Phase 0 Summary and Documentation

Objective:	**Fulfill requirement to submit capital planning investments though Capital Planning and Investment Control (CPIC) process with required additional information.**

Responsible Party: Customer Provider Shared

Phase 0: Assessment Activities

Program Management	Workforce, Organization, & Stakeholders	Technology	Process & Service Delivery
0.1 Define Vision 0.2 Develop Major IT Business Case			

Phase 0 Documentation:	**The following documentation is developed during Phase 0, follows Federal CPIC requirements, and is used to inform a review, if necessary. Agencies should follow CPIC guidance to develop these output. 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 0 Documentation

- Vision
- Major IT Business Case

Navigate to OMB CPIC Guidance to complete the Major IT Business Case by clicking here.

Information Contained in Review Discussion (if necessary)

1. Vision
2. In-Scope Service Area(s) and Function(s)
3. CPIC Documents

Exit Criteria (to Move to Phase 1)

✓ Purpose, Goals, and Current or Expected Benefits
✓ In-Scope Service Area(s) and Function(s)
✓ Submission of Major IT Business Case

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

Program Management
0.2 Develop Major IT Business Case

Objective: Submit Major IT Business Case for Funding.

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

Activities

Navigate to OMB CPIC Guidance to complete the Major IT Business Case:

1. Conduct high-level Alternatives Analysis to gather information needed for Major IT Business Case.
2. Provide general information about the major IT investment such as investment name, UII (unique investment identifier), brief description of investment, brief description of investment ROI including benefits both internal and external to the government
3. Provide the total estimated life cycle cost for this investment
4. Outline the activities that are performed to achieve the outcome of each project
5. Identify risks to each project's success and create a mitigation plan for the identified risk
6. Identify performance targets and results for evaluating operations. Operational performance metrics should seek to answer more subjective questions in the specific areas of: Customer Satisfaction, Strategic and Business Results, Financial Performance, and Innovation

Inputs

- Government-wide Standards defined through the Federal Integrated Business Framework (FIBF) website
- CPIC Guidance

Outputs

- Major IT Business Case

Stakeholders

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

Best Practice

- Use existing performance metric data to assist in identifying performance targets (i.e. previous Federal Benchmarking results, Customer Satisfaction Surveys, etc.). Consider contacting Fed2FedSolutions@gsa.gov for assistance researching agency specific and government-wide results

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