

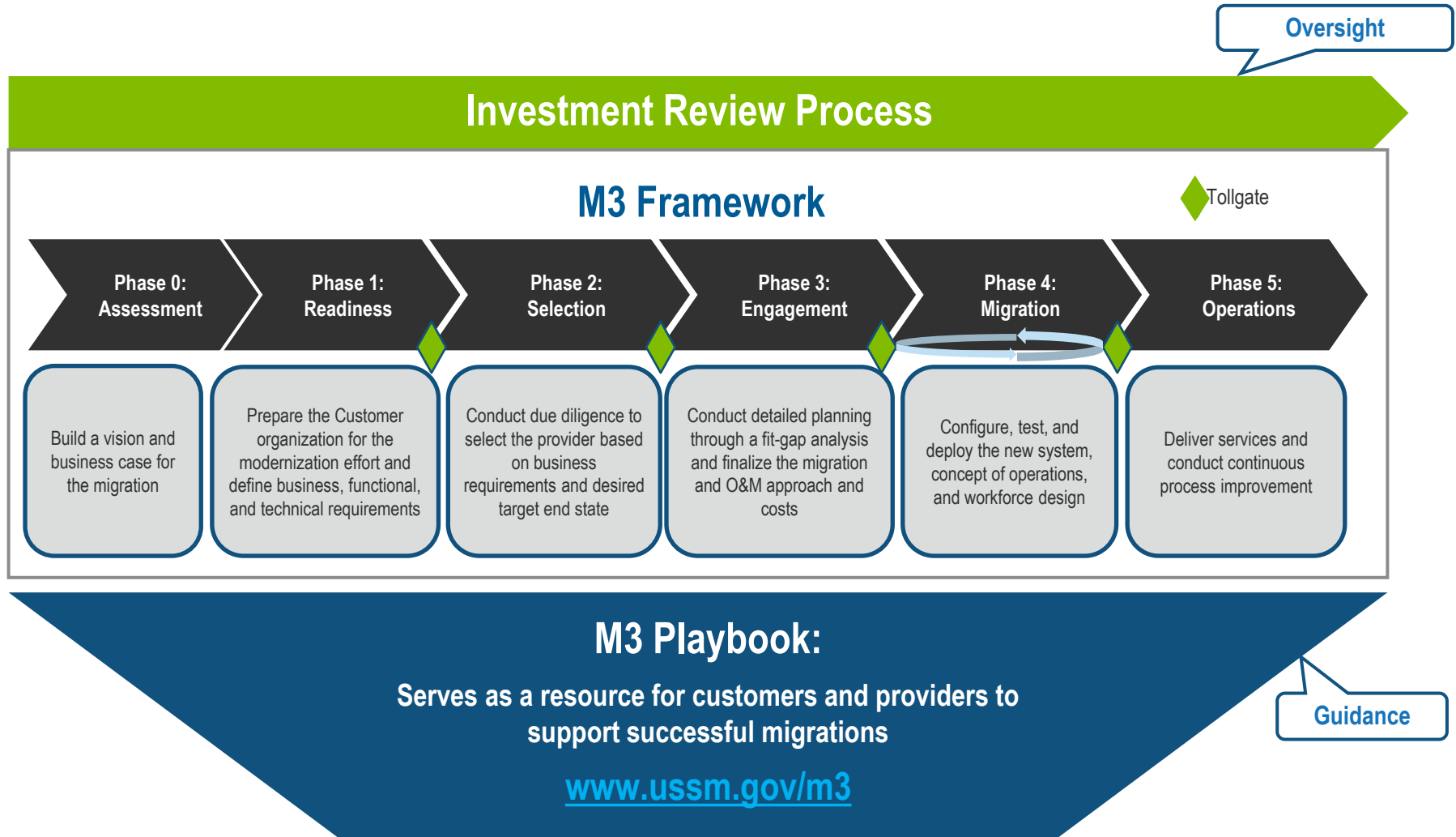
Modernization and Migration Management (M3) Playbook

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:



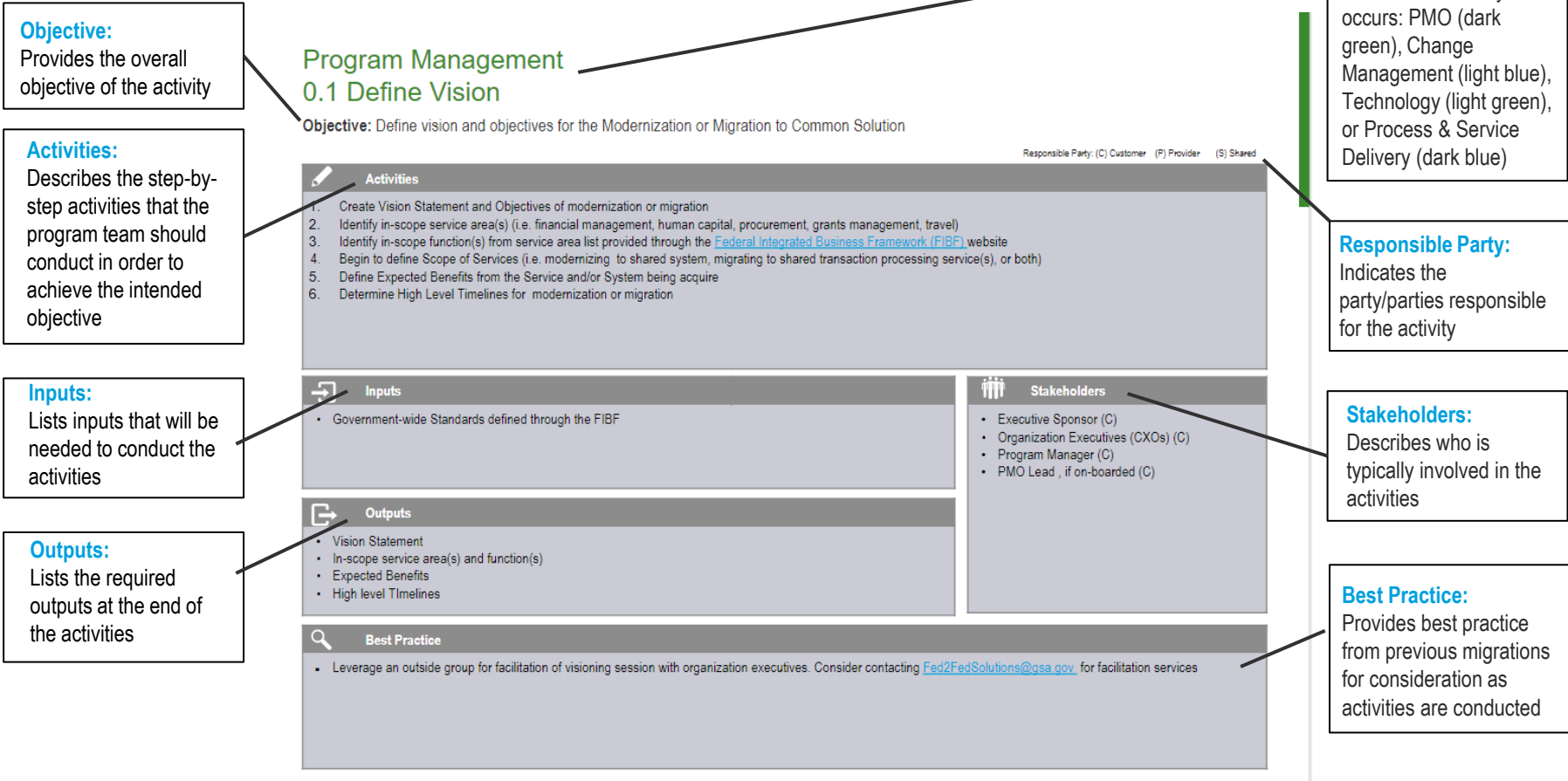
- (1) Program Management
- (2) Workforce, Organization and Stakeholders
- (3) Technology
- (4) Process and Service Delivery

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



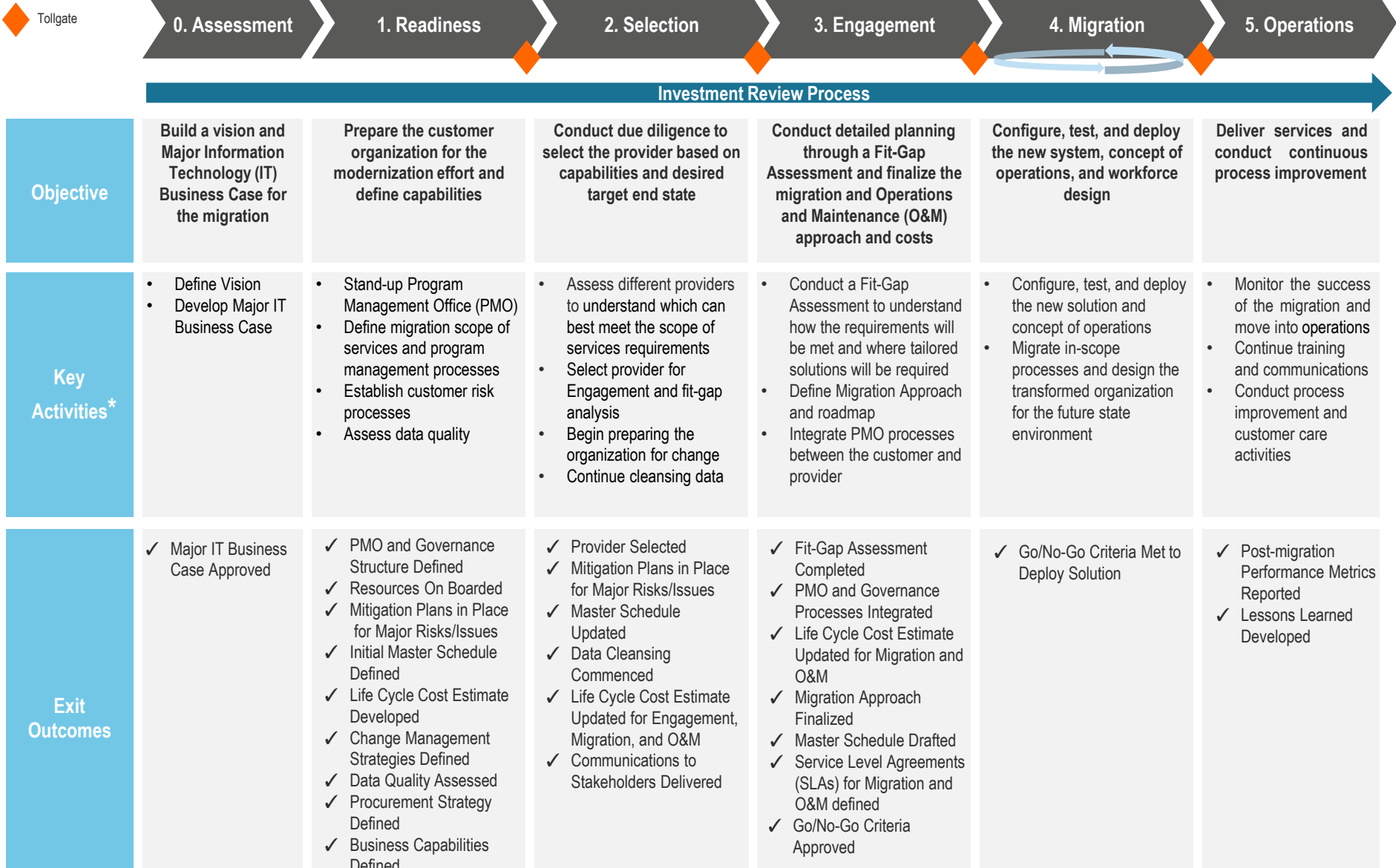
Frequently Used Terms

| | |
|------------------------------------|--|
| 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.

ES-3

Phase 1: Readiness

Phase 1 Summary and Documentation

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

Responsible Party: ■ Customer ■ Provider ■ Shared

| Phase 1: Readiness Activities | Responsible Party: ■ Customer ■ Provider ■ Shared | | | |
|-------------------------------|--|---|---|--|
| |  Program Management |  Workforce, Organization, & Stakeholders |  Technology |  Process & Service Delivery |
| | 1.1 Establish Initial Customer Program Management Office (PMO 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 | 1.7 Define Change Management Approach 1.8 Understand As-Is Workforce | 1.9 Define As-Is and Initial Target State Systems Environments 1.10 Plan and Conduct Initial Data Quality Assessment | 1.11 Develop Initial Target State Concept of Operations and Scope of Services 1.12 Review Standard Business Capabilities & Document Initial Business Capabilities |

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

Artifact Samples: For sample documentation from previous modernizations and migrations, please go to [M3 Artifact Samples MAX Page](#). If you need access to the M3 Artifacts Samples page, please email your request to ussm.m3@gsa.gov.

| 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 | <ul style="list-style-type: none"> 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"> M3 Risk Assessment Tool Initial Master Schedule Overview LCCE HR/Staffing Plan Procurement Approach IV&V Plan Program Governance Model Scope of Services Overview Business Capabilities Change Management and Communications Approach Data Management/Data Quality Approach Baseline and Target Performance Success Metrics Top Risks | |
| Exit Criteria (to move into Phase 2) | | | |
| ✓ PMO and Governance Structure Defined | ✓ Change Management Strategies Defined | ✓ Resources On-Boarded | ✓ Data Quality Assessed |
| ✓ Mitigation Plans in Place for Major Risks/Issues | ✓ Risks and Issues Management Defined | ✓ Initial Master Schedule Defined | ✓ Business Capabilities |
| ✓ LCCE Developed | ✓ Performance and Success Metrics Defined | ✓ Procurement Approach Defined | |

Program Management

1.1 Establish Initial Customer PMO and Processes

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

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



Activities

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



Inputs

- Business Case
- Vision



Outputs

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



Stakeholders

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



Best Practice

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

Program Management

1.2 Establish Customer Governance Structure and Processes

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

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



Activities

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



Inputs

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



Outputs

- Governance Charter



Stakeholders

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



Best Practice

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

Program Management

1.3 Establish Customer Risk Processes

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

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



Activities

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



Inputs

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



Outputs

- Risk Management Plan
- RAID Log
- M3 Risk Assessment



Stakeholders

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



Best Practice

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

Program Management

1.4 Conduct Procurement Planning

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

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



Activities

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



Inputs

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



Outputs

- Procurement Plan
- QASP



Stakeholders

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



Best Practice

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

Program Management

1.5 Develop Life Cycle Cost in the Business Case

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

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



Activities

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



Inputs

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



Outputs

- LCCE



Stakeholders

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



Best Practice

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

Program Management

1.6 Define Benefits of the Program

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

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



Activities

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



Inputs

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



Outputs

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



Stakeholders

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



Best Practice

- Set defined performance and success metrics (including baselines and targets) at the beginning of the program to be able to measure and communicate the benefits intended, and ultimately achieved, by the program
- Benchmark Key Performance Indicators (KPIs) against internal and external standards and use existing performance metric data to assist in identifying performance targets (i.e. previous Federal Benchmarking results, Customer Satisfaction Surveys, etc.). Consider contacting Fed2FedSolutions@gsa.gov for assistance researching agency specific and government-wide results.
- In most cases greater efficiencies are achieved, but short-term cost reductions are not. With the introduction of greater amounts of IT support however, substantial savings are realized in the longer term

Workforce, Organization & Stakeholders

1.7 Define Change Management Approach

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

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



Activities

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



Inputs

- Vision
- Business Case
- Current Organization Structure



Outputs

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



Stakeholders

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



Best Practice

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

Workforce, Organization & Stakeholders

1.8 Understand As-Is Workforce

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

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



Activities

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



Inputs

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



Outputs

- As-Is Workforce Documentation
- Change Readiness Assessment



Stakeholders

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



Best Practice

- Confirm the accuracy of the organization structures based on the records maintained by first level managers and the customer Human Capital office
- Consider contacting Fed2FedSolutions@gsa.gov for assistance choosing which change management model(s) to use in designing the change effort

Technology

1.9 Define As-Is and Initial Target State Systems Environments

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

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



Activities

Understand the As-is Systems Environment

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

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

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



Inputs

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



Stakeholders

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



Outputs

- As-Is Systems Environment
- Target State Systems Environment



Best Practice


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


Technology

1.10 Plan and Conduct Initial Data Quality Assessment

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


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

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

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

-  **Outputs**
- Data Governance Model
 - Data Cleansing Plan

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






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

Process and Service Delivery

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

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

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

|  Activities | |
|---|---|
| <div><div><div>1. Review Vision (C)</div><div>2. Understand the as-is operating model including people, process, organization, and systems (C)</div><div>3. Validate and update as-is operating model with stakeholders (C)</div><div>4. Validate the scope of service for Operations and Maintenance (O&M) and Migration (C):<div><div>a. O&M type of support (e.g. seeking transaction processing, system only, or full services)</div><div>b. Additional O&M support services (e.g. help desk, business intelligence, training, surge support)</div><div>c. Migration support services (e.g. training, data conversion, data clean-up)</div></div></div></div><div><div>5. Identify major processes that will be performed in the new solution, how users will interact with the solution, the future state operating model (which processes will be performed where in the future), and how the solution will be supported during O&M (C)</div><div>6. Define the Target State Concept of Operations for retained and modernized/migrated systems and processes, which includes the Target State Systems Environment (C)</div><div>7. Report updates in governance meetings and Status Reports/Dashboards (C)</div></div></div> | |
|  Inputs |  Stakeholders |
| <div><div><div>• Vision</div><div>• Business Case</div><div>• As-Is Business Process Documentation</div><div>• As-Is Systems Environment</div></div><div><div>• Target State Systems Environment</div><div>• Migration and O&M Training needs</div></div></div> | <div><div>• Executive Sponsor (C)</div><div>• Business Owner (C)</div><div>• Program Manager (C)</div><div>• Functional Lead (C)</div><div>• Function SME (C)</div><div>• PMO Lead (C)</div><div>• PMO Team (C)</div></div> |
|  Outputs | |
| <div><div>• Target State Concept of Operations</div><div>• Scope of Services updated in Business Needs Workbook</div></div> | |
|  Best Practice | |
| <div><div>• Understand which processes should be retained versus migrated</div><div>• Understand which processes will have to change due to the migration to a shared environment</div></div> | |

Process and Service Delivery

1.12 Review Standard Business Capabilities & Document Initial Business Capabilities

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

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



Activities

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



Inputs

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



Outputs

- Requirements Management Plan
- Business Needs Workbook
- Business Capabilities



Stakeholders

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



Best Practice

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

Documentation Required for Phase 1 Tollgate Review

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

| Phase 1 Documentation | Information Contained in Tollgate Review Discussion |
|--|--|
| <ul style="list-style-type: none"> • 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 Operations and Maintenance (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 Tool 2. Initial Master Schedule Overview 3. LCCE 4. HR/Staffing Plan 5. Procurement Approach 6. IV&V Plan 7. Program Governance Model 8. Scope of Services Overview 9. Business Capabilities 10. Change Management and Communications Approach 11. Data Management/Data Quality Approach 12. Baseline and Target Performance Success Metrics 13. 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 |

List of Guidance Items and Templates Available for Phase 1

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

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

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 |