

M3 Playbook Guidance

Phase 1: Readiness

In conjunction with the [M3 Playbook](#), this guidance is intended for use by organizations to confirm and validate that their plans are comprehensive and have adequate level of detail for proper migration planning. The guidance highlights key considerations for organizations in their planning process for activities that are critical to the migration and where typical risks occur during the migration process. Agencies have the discretion to develop these outputs using agency-specific guidelines as long as the overall objective of each M3 activity is fulfilled. Where specific guidance is not provided for an activity below, agencies should refer to the M3 Playbook activities for instructions. For sample documentation from previous modernizations and migrations, please go to the [M3 Artifact Samples MAX Page](#). If you need access to the M3 Artifacts Samples page, please email your request to ussm.m3@gsa.gov.

1.1 Establish Initial Customer PMO and Processes

Human Resources (HR)/Staffing Plan

Overview:

The HR/Staffing Plan details the program structure, required resources and associated skillsets, resource gaps, and mitigation plans for filling resource gaps.

Guidance:

- Identify the Executive Sponsor
- Define program management structure
 - Identify program management roles and responsibilities
 - Develop program management reporting structure
- Define program/Program Management Office (PMO) organization chart including leadership, program management, functional, technical, and change management workstreams (leads and support staff or contractors)
- The HR/Staffing Plan corresponds to the program/PMO organization chart, including at a minimum:
 - Role and whether the role requires Federal resources or can be Federal or contractor resource
 - Responsibilities associated with each role
 - Skills required for each role
 - Number of required resources/full time equivalents (FTEs) for each role including percent commitment required
 - Number of resources/FTEs filled to date for each role including percent commitment and resource name
 - Resource or skills gaps and mitigation plan for each resource gap including date to fill resource gap or detail to acquire necessary skills (i.e., training date)
- Identify Subject Matter Experts (SMEs)
 - Identify SME roles along with number of SMEs, required skills, responsibilities, and time commitment for each role
 - Identify SME roles with resource name and percent commitment to the program
 - Align SMEs to specific workstreams and roles within the PMO structure
- Complete breakdown of full time Federal versus contractor personnel
 - Break down personnel counts by workstream and role
 - Identify Federal leads for each contractor workstream and role

Initial Master Schedule

Overview:

The Initial Master Schedule is used to define the program schedule, critical path, key milestones, resources aligned to activities, and dependencies between tasks.

Guidance:

- Baseline program schedule
- Develop work breakdown structure (WBS)
 - The WBS includes full scope of work for the program, and provides additional detail for activities through the Selection Phase
 - Link activities within the WBS based on defined logical dependencies
 - The WBS enables summary and detail-level reports of program schedule
- Develop the critical path
 - Identify and logically sequence critical path milestones
- Develop schedule management process
 - Define processes to update and maintain the Initial Master Schedule weekly
 - Define change control procedures with decision rights
- Assign resources within the schedule
 - Align program resources to the HR/Staffing Plan and Procurement Plan
 - Identify program resources in the Initial Master Schedule
- Identify dependencies in the Initial Master Schedule
- Make schedule feasibility apparent with accompanying basis of schedule estimates

Agencies purchasing transaction processing services only should use the M3 Services Tailoring Guide to identify M3 activities and outputs relevant to their project.

Independent Verification and Validation (IV&V) Plan

Overview:

The IV&V Plan details the roles, responsibilities, and procedures for program verification and validation.

Guidance:

- Identify independent party to provide IV&V services and integrate into migration team structure
- Define reporting structure for IV&V team within the customer PMO, and establish a cadence and method for review of IV&V findings
- Integrate governance processes for decision making and identify risks as a result of IV&V deliverables
- Identify deliverables for review by IV&V
- Put procedures in place to incorporate IV&V findings into program activities

Status Reports/Dashboards

Overview:

Status Reports/Dashboards provide program leadership and governance with updates on program progress, and strategic program risks/issues.

Guidance:

- Define accomplishments and upcoming activities based on the Initial Master Schedule with dates
- Report high impact risks with mitigation strategies
- Include Gantt chart of program schedule and progress

1.2 Establish Customer Governance Structure and Processes

Governance Charter

Overview:

The Governance Charter details the roles, responsibilities, stakeholders, and procedures required for oversight and decision making throughout the migration.

Guidance:

- Identify customer governing body(ies) with defined membership and Chair
 - Define reporting structure relative to program team
 - Identify Chair, membership, and non-voting advisors
- Establish decisions rights and escalation criteria
 - Define breakdown of decision rights
 - Put criteria for escalating decisions in place
- Define and document roles and responsibilities for governance body
- Establish voting procedures, which include:
 - Identified voting membership
 - Established quorum requirements
 - Majority voting thresholds
- Define meeting cadence and communications, including:
 - Meeting frequency and location
 - Meeting format and participants
 - Pre- and post- meeting communications

1.3 Establish Customer Risk Processes

Risk Management Plan

Overview:

The Risk Management Plan details the approach to risk management, and identifies the procedures required to identify, manage, and close risks throughout the migration.

Guidance:

- Establish risk management roles and responsibilities
- Establish escalation criteria and processes for risks/issues
 - Define processes for risk identification, assessment, mitigation, and closeout
 - Define method and cadence for risk/issue escalation
 - Establish authority for risk/issue escalation and risk/issue review
 - Response strategies for risks reflect feedback received from risk escalation procedures

Risk, Issues, Actions, and Decisions (RAID) Log

Overview:

The RAID Log is the mechanism to capture and track information on risks and issues.

Guidance:

- Write all risks as “IF, THEN” statements
- Assign all risks/issues to a risk owner
- Establish an approved response strategy (i.e. accept, mitigate) for all risks/issues
- Establish an approved mitigation strategy and contingency approach for risks/issues when appropriate
- Establish a probability and impact assessment for all risks/issues
- Establish risk closure criteria for all risks/issues
- Identify expected dates of risk/issue closure and/or update

- Identify top risks/issues (by probability and impact)
- Identify trigger dates for when risks become issues

1.4 Conduct Procurement Planning

Procurement Plan

Overview:

The Procurement Plan details the strategy and approach to acquire and manage resources needed to complete the program.

Guidance:

- Define procurement needs for the customer
- Define procurement needs for professional services and infrastructure, hardware, software
- Align all program acquisitions with HR/Staffing Plan
- Define scope and period of performance for each contract
- Identify timing and required budget resources for each planned acquisition
- Identify, on board, and integrate Contracting Officer/Contracting Officer's Representative (CO/COR) resources into customer PMO
- Define types of contracts and procurement methods, (e.g., contract vehicle) for all planned program acquisitions
- Align Procurement Plan to category management plan

1.5 Develop Life Cycle Cost in the Business Case

Life Cycle Cost Estimate (LCCE)

Overview:

The LCCE details the total cost of ownership and cost estimate calculation assumptions.

Guidance:

- Provide cost estimate detail at the WBS product or activity level
- The LCCE accounts for cost risk and/or cost sensitivities such as schedule overruns, service volume uncertainties, and other known unknowns
- The LCCE accounts for cost estimates for engagement, migration, and Operations and Maintenance (O&M) costs
- Document cost assumptions with cost estimate assumptions
- Break out costs as recurring/non-recurring (e.g., migration and O&M costs)
- Align budget estimates and other required investment documentation (e.g., E300) to the LCCE
- The Executive Sponsor approves the LCCE

1.6 Define Benefits of the Program

Baseline and Target Performance and Success Metrics

Overview:

The Performance and Success Metrics establish a clear, quantifiable set of measures that can be used to monitor progress and track the achievement of the program's stated goals and objectives. They identify the areas of performance, when goals are met, and justify the financial outlay by monitoring value for money.

Guidance:

Use a combination of compliance, process and workload measures to define baseline and target metrics.

- Compliance metrics evaluate the program's performance against accessibility goals and objectives and risk exposure
- Process metrics evaluate business processes, establish improvement goals and measure against them to determine the effectiveness of business process changes
- Workload metrics are transactional measures that demonstrate workloads, capacity and resource utilization

Consider contacting Fed2FedSolutions@gsa.gov for assistance researching agency specific and government-wide results.

1.7 Define Change Management Approach

Stakeholder Analysis

Overview:

A Stakeholder Analysis outlines activities to determine which stakeholder groups to consider in the change management, communications, training, and workforce activities. A Stakeholder Analysis is necessary to strategically and proactively communicate and involve stakeholders in the change management activities, which will improve stakeholder engagement, reduce risk, and remove barriers to migration.

Guidance:

- Identify list of all impacted groups of the migration
- Complete stakeholder assessments to address communications and training strategies

Communications Plan

Overview:

The Communications Plan outlines the approach to identify stakeholders, communicate key messages, and determine training needs for staff throughout the migration.

Guidance:

- Identify communication channels
- Establish frequency of communication
- Define key messages
- Develop procedures for communication and review
- Identify and categorize impacted stakeholder groups, and establish approach to engage groups

1.8 Understand As-Is Workforce

Change Readiness Assessment

Overview:

A change readiness assessment can determine what actions are needed to take to increase the likelihood of success, mitigate disruption, and reinforce a positive association with improvement efforts both for the short-term and long-term positive effects on the workforce.

Guidance:

- [Measuring Readiness](#)
 - A good change management readiness assessment involves periodic assessment of how stakeholders are responding or engaging with the change. Note that this is not a

one-time assessment. If an organization's leadership and management are driving the change in a modeled way, then they should see changes in readiness scores as the change process approaches and unfolds. It also addresses multiple conditions of change without overreliance on one element, such as executive sponsorship.

- Measuring the Success of your Approach
 - The assessment should track to the change management model chosen to build the change effort. Do not assess readiness at the beginning; instead, measures the movement to actual change compared to when you started. In other words, the most important things to measure have to do with how you manage the change, meeting people where they are, rather than how ready they are or are not. Because change needs to happen, the focus should be on the process and progression of change acceptance.

Consider contacting Fed2FedSolutions@gsa.gov for assistance choosing which change management model(s) to use in designing the change effort.

1.9 Define As-Is and Initial Target State Systems Environments

As-Is Systems Environment

Overview:

The As-Is Systems Environment Assessment provides an overview of the current systems environment and details systems and supporting structures that may be impacted by the migration.

Guidance:

- Complete As-Is Systems Environment Assessment
 - Develop inventory of current systems
 - Develop software inventory
 - Define existing interfaces for each system
 - Define current system capacity requirements

1.10 Plan and Conduct Initial Data Quality Assessment

Data Governance Model

Overview:

The Data Governance Model is the framework for the overall management of the availability, usability, integrity, and security of data.

Guidance:

- Define Governance Model with decision rights on data management
- Set success criteria on what constitutes quality mock data
- Define universe of data set by process area
- Define initial quality assessment results by process area against success criteria
- Define data cleansing approach based on results of data quality assessment
- Define key milestone dates to accomplish success criteria
- Identify Business Owners by process area
- Define roles and responsibilities for setting data code design

Data Cleansing Plan

Overview:

The Data Cleansing Plan outlines the course of actions to cleanse data in legacy systems or staging area and prepare it for migration to the provider system.

Guidance:

- Define data cleansing approach based on results of data quality assessment
- Identify stakeholders involved in data cleansing
- Define key milestone dates to accomplish success criteria

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

Scope of Services

Overview:

The scope of services for Operations and Maintenance O&M and Migration defined in the Business Needs Workbook

Guidance:

- Define all target systems/services, including expected performance requirements (e.g., estimated service/transaction volumes)
- Prioritize target systems/services for implementation, and develop prioritization basis

1.12 Review Standard Business Capabilities & Document Initial Business Capabilities

Requirements Management Plan

Overview:

The Requirements Management Plan outlines the approach used to identify, gather, and manage requirements throughout the migration. When defining capabilities within the customer organization, agencies should consult the Federal Integrated Business Framework (FIBF) Service Area, which standardizes functions for Financial Management, Human Capital, Procurement, Grants Management, and Travel across the federal government. The FIBF service list is an important first step for agencies documenting their target capabilities, and a helpful tool in aligning the target state with Providers' capabilities.

Guidance:

- Define the requirements documentation process
- Establish the organization's plan to leverage existing [FIBF](#) Service Area business capabilities as a baseline and add only mission specific, truly unique, or regulatory requirements
- Identify the stakeholders that will be engaged in the requirements documentation process
- Explain how stakeholders will be trained on the right way to document requirements (e.g., outcome based, focused on "what" and not "how")
- Establish requirements change control procedures
- Establish requirements documentation schedule (by major process area or function)

Business Capabilities

Overview:

Document initial business capabilities based on the following:

- Standard capabilities from Service Area leads found on the [FIBF website](#), and additional must-have requirements based on regulations or policies
- Scope of Services
- Target State Concept of Operations
- Target State Systems Environment

In Phase 1, customers should not create detailed business requirements for every service, but should instead focus on documenting must-have capabilities. Examples of capabilities that should be

documented include must-have mandatory system interfaces, hours of operation or availability of services, or other criteria that a provider must be able to meet in order to provide services to the customer. Customers and providers will not jointly discuss detailed technical and functional requirements until Phase 3.

Guidance:

- Define the requirements documentation process
- Leverage existing business capabilities defined through the [FIBF](#) for the respective service area.
- Identify the stakeholders that will be engaged in the requirements documentation process
- Explain how stakeholders will be trained on the right way to document requirements (e.g., outcome based, focused on “what” and not “how”)
- Document agency-unique must-have capabilities citing the authoritative source for each capability including reference to the specific legislation and/or policy source document(s)
- Focus on “what” capability is needed to successfully execute the business process and not “how” the system should operate or how the process should be performed
- Categorize and prioritize business capabilities, mission critical and unique must-have capabilities based on mission need and legislation/policy

Tollgate Preparation

M3 Risk Assessment Tool

Overview:

The M3 Risk Assessment Tool provides a comprehensive, independent, objective review of project risk in preparation for tollgate reviews. Its standardized risk assessment framework presents key risk criteria to help CFO Act agencies better assess and identify risk areas in Common Solutions modernization and migrations efforts.

Guidance:

- The M3 Risk Assessment Tool lists the 12 key risks the project will be evaluated against along with their descriptions, the related artifacts and metrics, and pre-defined criteria to complete the assessment. Based on the CFO Act agency’s self-assessment and the USSM independent assessment:
 - A numeric value is attributed to each risk;
 - The cumulative risk rating is determined for each phase;
 - The agency risk profile is determined;
 - Mitigation strategies are documented for medium and high risk areas to help applicable agencies attain the lowest score possible and lower their risk profile.