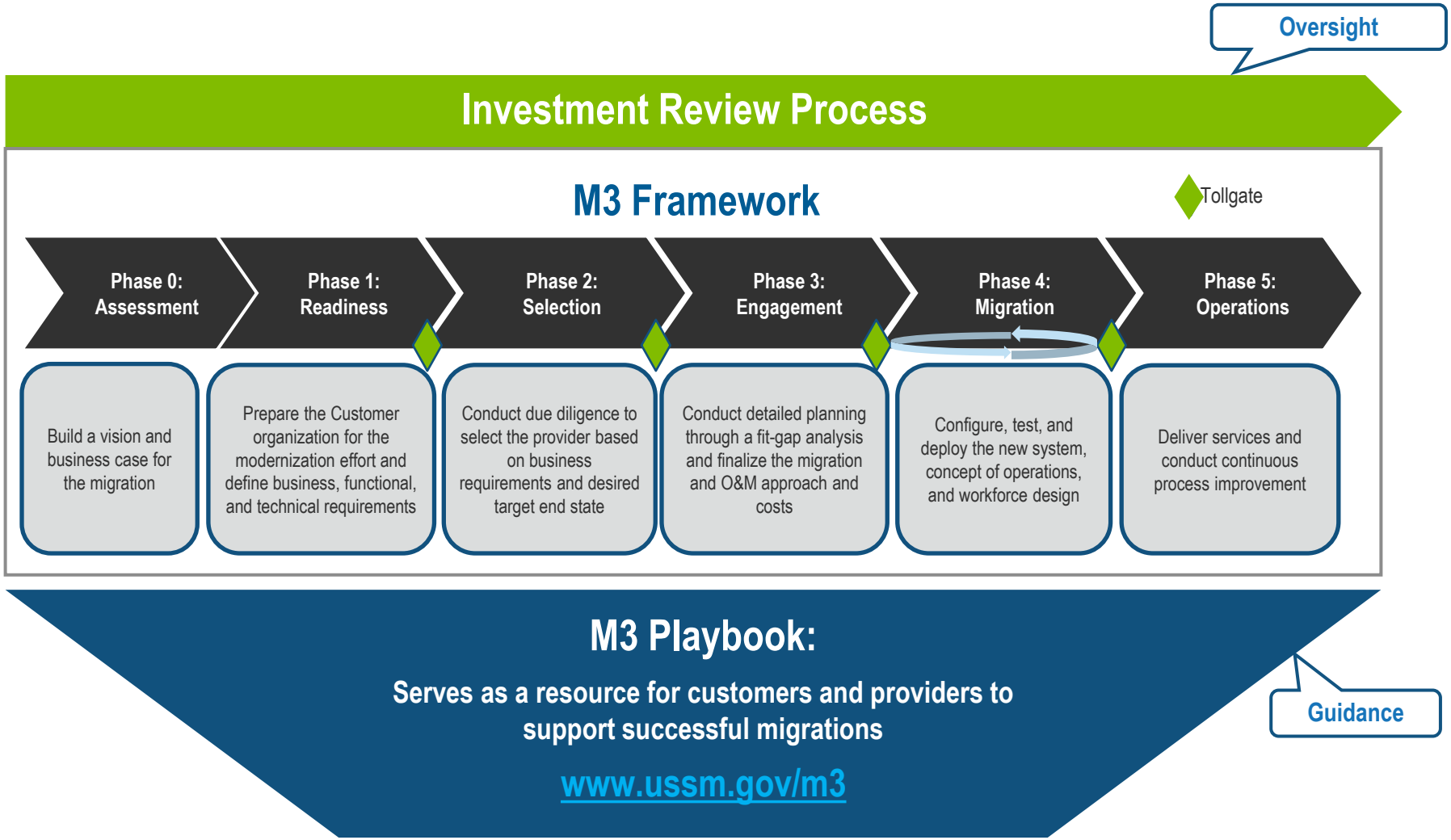
Modernization and Migration Management (M3) Playbook

GSA, Unified Shared Services Management

Introduction

Modernization and Migration Management (M3) Framework

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

0. Assessment → **1. Readiness** → **2. Selection** → **3. Engagement** → **4. Migration** → **5. Operations**

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

Investment Review Process

Tollgate

	Phase 0: Assessment	Phase 1: Readiness	Phase 2: Selection	Phase 3: Engagement	Phase 4: Migration	Phase 5: Operations
Program Management	0.1 Define Vision 0.2 Develop Major IT Business Case	1.1 Establish Initial Customer PMO and Processes 1.2 Establish Customer Governance Structure and Processes 1.3 Establish Customer Risk Processes 1.4 Conduct Procurement Planning 1.5 Develop Life Cycle Cost in the Business Case 1.6 Define Benefits of the Program	2.1 Select Provider for Engagement 2.2 Update Life Cycle Cost Estimate for Engagement, Migration, and O&M 2.3 Monitor and Control Program Execution 2.4 Maintain and Execute Risk Processes	3.1 Integrate PMO Structures 3.2 Integrate Governance Structures 3.3 Update and Maintain Procurement Plans 3.4 Monitor and Control Program Execution 3.5 Maintain and Execute Risk Processes 3.6 Finalize Migration Approach 3.7 Update LCCE for Migration and O&M	4.1 Monitor and Control Program Execution 4.2 Maintain and Execute Risk Processes 4.3 Develop O&M Governance 4.4 Prepare O&M Scope of Services and Contracts 4.5 Assess Readiness for Go-Live 4.6 Update LCCE for O&M	5.1 Review Performance against Expected Benefits 5.2 Collect Lessons Learned 5.3 Implement O&M Governance
Workforce, Organization, & Stakeholders		1.7 Define Change Management Approach 1.8 Understand As-Is Workforce	2.5 Design Labor Relations Outreach 2.6 Develop Change Management Plan	3.8 Engage with Labor Relations 3.9 Execute Change Management Plan 3.10 Develop Training Plan	4.7 Design Target State Organization 4.8 Execute Workforce Transition and Prepare for Go-Live 4.9 Execute Training for Go-Live 4.10 Execute Labor Relations Strategy	5.4 Support Stabilization and Perform Change Management
Technology		1.9 Define As-Is and Initial Target State Systems Environments 1.10 Plan and Conduct Initial Data Quality Assessment	2.7 Conduct Initial Data Cleansing Activities 2.8 Develop a Decommission Plan	3.11 Finalize Requirements 3.12 Conduct Requirements Fit-Gap Analysis 3.13 Finalize Target State Systems Environment 3.14 Develop Technical Strategy 3.15 Prepare Data for Mock Conversions (Data Cleansing, Data Mapping)	4.11 Conduct Security and Privacy Reviews 4.12 Define Roles and User Access 4.13 Configure Systems 4.14 Design and Develop Interfaces 4.15 Design and Develop Reports 4.16 Conduct Mock Conversions 4.17 Test Systems and Processes 4.18 Develop and Execute Cutover Plan for Go-Live	5.5 Maintain Applications Post Go-Live 5.6 Decommission Legacy Systems
Process & Service Delivery		1.11 Develop Initial Target State Concept of Operations and Scope of Services 1.12 Review Standard Business Capabilities & Document Initial Business Capabilities	2.9 Understand As-Is Business Processes	3.16 Finalize Target State Concept of Operations 3.17 Define Contact Center Structure 3.18 Define Service Level Agreements	4.19 Finalize Service Level Agreements 4.20 Design Target State Processes	5.7 Conduct Continuous Process Improvement 5.8 Manage Contact Center 5.9 Monitor and Update SLAs

*An agile approach should be adopted for Phase 4.

Phase 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.

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 (C)
2. Identify in-scope service area(s) (i.e. financial management, human capital, procurement, grants management, travel) (C)
3. Identify in-scope function(s) from service area list provided through the Federal Integrated Business Framework (FIBF) website (C)
4. Begin to define Scope of Services (i.e. modernizing to shared system, migrating to shared transaction processing service(s), or both) (C)
5. Define Expected Benefits from the Service and/or System being acquire (C)
6. Determine High Level Timelines for modernization or migration (C)

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

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 (C)
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 (C)
3. Provide the total estimated life cycle cost for this investment (C)
4. Outline the activities that are performed to achieve the outcome of each project (C)
5. Identify risks to each project's success and create a mitigation plan for the identified risk (C)
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 (C)

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 (C)

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

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	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.

Phase 1 Documentation

- 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

Information Contained in Tollgate Review Discussion

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)

- ✓ PMO and Governance Structure Defined
- ✓ Resources On-Boarded
- ✓ Mitigation Plans in Place for Major Risks/Issues
- ✓ Initial Master Schedule Defined
- ✓ LCCE Developed
- ✓ Procurement Approach Defined
- ✓ Change Management Strategies Defined
- ✓ Data Quality Assessed
- ✓ Risks and Issues Management Defined
- ✓ Business Capabilities
- ✓ Performance and Success Metrics 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

Stakeholders

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

Outputs

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

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
- 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

Outputs

- As-Is Systems Environment
- Target State Systems Environment

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)

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

1. Review Vision (C)
2. Understand the as-is operating model including people, process, organization, and systems (C)
3. Validate and update as-is operating model with stakeholders (C)
4. Validate the scope of service for Operations and Maintenance (O&M) and Migration (C):
   a. O&M type of support (e.g. seeking transaction processing, system only, or full services)
   b. Additional O&M support services (e.g. help desk, business intelligence, training, surge support)
   c. Migration support services (e.g. training, data conversion, data clean-up)
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)
6. Define the Target State Concept of Operations for retained and modernized/migrated systems and processes, which includes the Target State Systems Environment (C)
7. Report updates in governance meetings and Status Reports/Dashboards (C)

Inputs

- Vision
- Business Case
- As-Is Business Process Documentation
- As-Is Systems Environment
- Target State Systems Environment
- Migration and O&M Training needs

Outputs

- Target State Concept of Operations
- Scope of Services updated in Business Needs Workbook

Stakeholders

- Executive Sponsor (C)
- Business Owner (C)
- Program Manager (C)
- Functional Lead (C)
- Function SME (C)
- PMO Lead (C)
- PMO Team (C)

Best Practice

- Understand which processes should be retained versus migrated
- Understand which processes will have to change due to the migration to a shared environment

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

- 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

Information Contained in Tollgate Review Discussion

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)

- ✓ PMO and Governance Structure Defined
- ✓ Resources on-boarded
- ✓ Mitigation Plans in Place for Major Risks/Issues
- ✓ Initial Master Schedule Defined
- ✓ LCCE Developed
- ✓ 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
• 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	• 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

Phase 2: Selection

Phase 2 Summary and Documentation

Objective:	Conduct due diligence to identify and select the provider based on requirements and initial target end state.

Responsible Party: Customer | Provider | Shared

Phase 2: Selection Activities

Program Management	Workforce, Organization, & Stakeholders	Technology	Process & Service Delivery
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	2.5 Design Labor Relations Outreach 2.6 Develop Change Management Plan	2.7 Conduct Initial Data Cleansing Activities 2.8 Develop a Decommission Plan	2.9 Understand As-is Business Processes

Phase 2 Documentation:	The following documentation is developed during Phase 2 and is used to inform the Phase 2 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.

Phase 2 Documentation

- Provider Assessment Report (Federal Only)
- Engagement Phase Interagency Agreement (IAA) (Federal Only)
- Data Cleansing Plan
- Draft Request for Proposal (RFP) (Commercial Only)
- M3 Risk Assessment Tool
- Business Needs Workbook
- Evaluation Criteria
- Draft Request for Information (RFI) and Responses (Commercial Only)
- Implementation Approach/Schedule
- Price Estimates for Engagement, Migration, and Operations and Maintenance (O&M)
- Business Process Reengineering Strategy
- Validated As-Is Process Maps
- Life Cycle Cost Estimate (LCCE) for Engagement, Migration, and O&M
- Procurement Plan
- Initial Master Schedule
- HR/Staffing Plan
- Program Management Plan
- Independent Verification and Validation (IV&V) Plan
- Status Reports/Dashboards
- Risk Management Plan
- Risks, Actions, Issues, and Decisions (RAID) Log
- Labor Relations Strategy
- Change Management Plan
- Communications Plan
- Baseline Readiness Assessment
- Data Cleansing Scripts
- Decommission Plan

Information Contained in Tollgate Review Discussion

1. M3 Risk Assessment Tool
2. Initial Master Schedule Overview
3. LCCE
4. Provider Selection Summary
5. HR/Staffing Plan Update (Customer)
6. HR/Staffing Plan Overview (Provider)
7. Scope of Services Overview
8. Business Needs Workbook
9. Procurement Approach
10. Change Management and Communication Approach
11. Labor Relations Strategy
12. Data Management/Data Quality Approach
13. Draft RFI and Responses (Commercial Only)
14. Top Risks
15. Decommission Plan

Exit Criteria (to move into Phase 3)

- ✓ Provider Selected (Federal Only)
- ✓ RFP Drafted (Commercial Only)
- ✓ Business Needs Workbook
- ✓ Mitigation Plans in Place for Major Risks/Issues
- ✓ Initial Master Schedule Updated
- ✓ Staffing Plan Ready for Execution
- ✓ Data Cleansing Commenced
- ✓ LCCE Updated for Engagement, Migration, and O&M
- ✓ Communications to Stakeholder Delivered

Program Management

2.1 Select Provider for Engagement

Objective: Customers will conduct market research to evaluate the capabilities of potential providers, and providers will help determine the fit of a potential customer-provider engagement. The Business Needs Workbook provides common federal services on which the customer environment is based and against which the provider's services are assessed to determine if they are a good fit.

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

Activities

1. Develop evaluation criteria (C)
2. Complete Business Needs Workbook on requested services (C)
3. Develop statement of work (Business Needs Workbook for Federal, Request for Information (RFI) for commercial) (C)
4. Enter into agreement with providers, if Federal, and issue RFI, if commercial (C, P)

For Federal:

5. Complete Business Needs Workbook on provided services (P)
6. Develop migration timeline and Rough Order of Magnitude (ROM) estimates for Phases 3-5 (P)
7. If decision is to move to a Federal provider, develop provider assessment report (C)
8. Develop, negotiate, and finalize draft Interagency Agreement IAA for Phase 3 with scope of services, roles and responsibilities, and success metrics (P)

For Commercial:

5. Review RFI responses (C)
6. Attend any Industry Days to meet with potential providers (C, P)
7. If decision to move to a commercial provider, draft Request for Proposal (RFP) for Phase 3 with optional tasks for Phase 4 and 5, and review with USSM prior to releasing for commercial providers to respond (C)

Inputs

- Scope of Services
- Business Capabilities
- Target State Concept of Operations

Outputs

- Business Needs Workbook
- Evaluation Criteria
- Draft RFI and Responses (Commercial Only)
- Implementation Approach/Schedule
- Price Estimates for Engagement, Migration, and Operations and Maintenance (O&M)
- Provider Assessment Report (Federal Only)
- Engagement Phase Interagency Agreement (IAA) (Federal Only)
- Draft RFP (Commercial Only)

Stakeholders

- Executive Sponsor (C)
- Business Owner (C)
- Program Manager (C, P)
- Functional Lead (C, P)
- Functional SME (C, P)
- Technical Lead/Solution Architect (C, P)
- Technical SME (C, P)
- Managing Partner/Service Area Sponsor (Service Area)

Best Practice

- Include use of M3 Playbook in the requirements for the contract with the provider and support contractors to better manage project risks
- Use previously developed understanding of the target state to populate the Business Needs Workbook
- Use the Business Needs Workbook to facilitate due diligence conversations on the Provider's ability to satisfy those the Federal Integrated Business Framework (FIBF) common requirements on which the Customer's environment is based

Program Management
2.2 Update Life Cycle Cost Estimate for Engagement, Migration, and O&M

Objective: Update the estimated costs of a migration based on Phase 1 and the cost estimates from providers to manage and plan budgetary needs.

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

Activities

1. Identify changes required to the Life Cycle Cost Estimate (LCCE) based on cost estimates provided by providers during Phase 2 including reasonableness and affordability (C)
2. Update LCCE (according to cost management plan) for all future phases (C)
3. Compare actual spending with budget for Phase 2 and adjust LCCE as needed (C)
4. Report changes to projected costs and results of actual spending in governance meetings and Status Reports/Dashboards (C)

Inputs

- LCCE
- Business Capabilities
- Target State Concept of Operations
- Target State Systems Environment
- Cost Estimates from Provider
- Scope of Services

Outputs

- LCCE for Engagement, Migration, and Operations and Maintenance (O&M)

Stakeholders

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

Best Practice

- Conduct life cycle cost analyses and incorporate initial migration cost estimates from the provider in order to plan out-year budget needs and requests
- Be realistic about when cost savings will be realized by tracking cost and efficiencies achieved during the full implementation of the vision through to the decommissioning of the legacy system
- Include direct and indirect costs in estimates

Program Management
2.3 Monitor and Control Program Execution

Objective: Monitor and report on program progress.

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

Activities

1. Manage scope and program performance using Program Management Plan (C)
2. Manage Initial Master Schedule through weekly updates of activities, dates, duration, and dependencies (C)
3. Manage costs against the budget (C)
4. Manage procurement lifecycle and contract performance against Procurement Plan for Phase 2 program support services (C)
5. Manage and update HR/Staffing Plan as resources are on or off boarded or as needs change (C)
6. Update program management documentation as necessary (C)
7. Develop and distribute Status Reports/Dashboards (C)
8. Hold status meetings to monitor status against milestones, issues, risks, and make decisions needed for work-streams (C)
9. Escalate decisions and issues as needed through Governance bodies (C)
10. Conduct executive briefings with organization leadership and oversight entities as necessary (C)
11. Develop and manage HR/Staffing Plan, Scope of Services overview, Mitigation Plans (P)
12. Draft initial program management documentation for Engagement (P)

Inputs

- Program Charter
- Program Management Plan
- Initial Master Schedule
- Independent Verification & Validation (IV&V) Plan
- HR/Staffing Plan
- Governance Charter
- Status Reports/Dashboards
- Procurement Strategy

Outputs

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

Stakeholders

- Executive Sponsor (C)
- Business Owner (C)
- Program Manager (C)
- PMO Lead (C)
- PMO Team (C)
- Managing Partner/Service Area Sponsor (Service Area)

Best Practice

- Implement knowledge management tools that can be leveraged across the program team
- Use the Status Reports/Dashboards to focus on metrics that will help the program team and executive sponsor to identify whether or not the migration is successful

Program Management
2.4 Maintain and Execute Risk Processes

Objective: Execute risk management processes to identify and mitigate risks and issues throughout the migration.

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

Activities

1. Maintain and update Risk Management Plan, as necessary (C)
2. Maintain and update Risks, Actions, Issues, and Decisions (RAID) Log with new risks, changes to existing risks, status of risk mitigation activities, and action item resolution and decisions continuously (at a minimum of every two weeks) throughout Phase 2 (C)
3. Develop and employ mitigation strategies continuously throughout Phase 2 (C)
4. Report on new risks/issues and ongoing risk/issue mitigation activities in governance meetings and Status Reports/Dashboards (C)
5. Perform risk assessment (C)

Inputs

- Governance Charter
- Risk Management Plan
- RAID Log

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)
- IV&V Team (C)

Best Practice

- Hold regular risk management meetings and include risk management in status reporting and escalation procedures
- Document risks and issues in RAID Log in order to clearly communicate risks

Workforce, Organization & Stakeholders
2.5 Design Labor Relations Outreach

Objective: Develop a strategy to engage with the unions and establish a relationship with the labor relations and/or unions to understand Collective Bargaining Agreements.

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

Activities

1. Identify Labor Relation/Union Liaisons within the customer agency (C)

Work with your Labor Relation/Union Liaisons to:

2. Review Target State Concept of Operations, capabilities, and workforce assessment to identify potential impacts on Collective Bargaining Agreements (C)
3. Identify what, if any, activities may be dependent on union approval (e.g., impact of implementation) (C)
4. Develop labor relations strategy to achieve timely and effective negotiations with unions and begin documenting necessary information to communicate to Labor Relations (C)
5. Engage in communications with union leadership based on Labor Relations Strategy (C)
6. Report updates in governance meetings and Status Reports/Dashboards (C)

Inputs

- Collective Bargaining Agreements
- Stakeholder Analysis
- Scope of Services
- Change Management Plan

Outputs

- Labor Relations Strategy

Stakeholders

- Executive Sponsor (C)
- Business Owner (C)
- Change Management Lead (C)
- Labor Relations Leader (C)

Best Practice

- Notify unions of changes that may impact bargaining unit employees as well as potential changes of their work
- Account for union-related activities in the Initial Master Schedule and building dependencies for change management activities (e.g., communications, training)
- Establish expectations with labor relations and union leadership

Workforce, Organization & Stakeholders
2.6 Develop Change Management Plan

Objective: Develop change management activities and deliver communications to engage stakeholders prior to the migration.

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

Activities

1. Create an initial Change Management Plan that includes a workforce planning approach, Communications Plan, Labor Relations Strategy and training needs (C)
2. Develop and deliver messages based on the Communications Plan (C)
3. Monitor feedback from stakeholders and adjust Communications Plan (C)
4. Update Communications Plan based on labor relations meetings (C)
5. Conduct Readiness Assessment (C)
6. Report updates in governance meetings and Status Reports/Dashboards (C)

Inputs

- Communications Plan
- Stakeholder Feedback
- Labor Relations Activities

Outputs

- Change Management Plan
- Communications Plan
- Baseline Readiness Assessment

Stakeholders

- Business Owner (C)
- Program Manager (C)
- Change Management Lead (C)
- Communications Lead (C)

Best Practice

- Communicate the value/benefits of migrations and business process changes to the larger workforce throughout the program
- Identify and describe the people, groups, departments, organizations, business processes, programs, and information technology (IT) systems/infrastructure that will serve as barriers to the change. Describe the ways in which these things will be a barrier to change.
- Include barriers and understand key stakeholders and how they will react to the migration in the key messages
- Ensure all major stakeholders understand and buy in to the shared vision defined in Phase 0, and understand the role they play in the success of the initiative as outlined in the Major IT Business Case. The shared vision and roles stakeholders play should be reflected in the organization's Strategic Plan and personnel performance appraisals.

Technology
2.7 Conduct Initial Data Cleansing Activities

Objective: Continue cleansing data based upon data quality assessment results and agreed upon quality metrics in data governance model.

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

Activities

1. Assess data quality against defined criteria after cleansing activities from previous phase (C)
2. Update manual and automated cleansing methods as necessary for additional cleansing needs (C)
3. Conduct additional data cleansing and update scripts and batch cycles (C)
4. Report updates in governance meetings and Status Reports/Dashboards (C)

Inputs

- Data Cleansing Plan
- Data Quality Assessment Results

Outputs

- Data Cleansing Plan
- Data Cleansing Scripts

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 SMEs with the appropriate skill sets to support data conversion activities throughout the implementation
- Establish criteria and metrics through the Data Governance approach on what constitutes “clean” data

Technology
2.8 Develop a Decommission Plan

Objective: Develop a plan to retire legacy system.

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

Activities

1. Review and understand contract language of legacy system to determine decommissioning activities, including licensing expirations, contract expirations, options to extend, etc. for both software and infrastructure contracts, and the O&M support contracts (S)
2. Identify application components (i.e. classify components to be decommissioned such as testing or production environments, systems user IDs, and business app) (C)
3. Ascertain hardware components - if applicable (i.e. ascertain where infrastructure is in its maintenance/resource life cycle) (C)
4. Pinpoint network devices (C)
5. Work with system owner, Agency Records Manager, and other key stakeholders of legacy system to establish how far back to archive data, what data will be migrated, and timelines for migration (C)
6. Identify network, software and hardware location/ownership (i.e. activities include but are not limited to population of assets, management of data stores and development and validation of assets) (C)
7. Prioritize decommission effort (i.e. which components are simple versus complex to offline) (C)
8. Identify failover/offline procedures (i.e. have components backup/archive current state been verified) (C)
9. Coordinate with agency IT Security office to identify guidelines for managing/cleansing the data (C)
10. Draft Decommission Plan with timelines and key activities for retiring legacy system (based on activities noted above) (C)

Inputs

- As-is Systems Environment
- Communication Plan

Outputs

- Decommission Plan
- Communication Plan

Stakeholders

- Business Owner (C)
- Functional Lead (C)
- Functional Team (C)
- Technical Lead/Solution Architect (C)
- Technical SME (C)
- Functional SME (C)
- PMO Lead (C)

Best Practice

- Conduct cost benefit analysis to determine cost of archiving, or migrating legacy data, or maintaining legacy systems in place
- Leverage common standards and solutions defined by NARA for records management found at www.ussm.gov/FIBF
- If system is accessed via website, coordinate domain name transition through Domain Name System (DNS) and with IT security POC

Process and Service Delivery
2.9 Understand As-Is Business Processes

Objective: Validate as-is processes to understand current state environment, existing challenges, and opportunities for improvement/standardization.

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

Activities

1. Identify initial business process re-engineering strategy by understanding areas of change (C)
2. Validate as-is business processes with stakeholders to understand process flows, transaction volumes, workload, end user security roles, and enabling technology. If as-is business processes do not exist, develop a strategy to address training and change management gaps created by the lack of as-is business processes (C)
3. Report updates in governance meetings and Status Reports/Dashboards (C)

Inputs

- Existing As-Is Process Documentation

Outputs

- Business Process Reengineering Strategy
- Validated As-Is Process Maps

Stakeholders

- Business Owner (C)
- Functional Lead (C)
- Functional Team (C)
- Technical Lead/Solution Architect (C)
- Technical SME (C)
- Functional SME (C)

Best Practice

- Validate as-is processes and workloads to be able to understand the magnitude of change in the target state environment
- Perform business process realignment activities in addition to traditional business process reengineering
- Identify key functional process leads and Subject Matter Experts (SMEs) to drive process ownership and decision making
- Leverage business use cases through the Federal Integrated Business Framework (FIBF) website

Documentation Required for Phase 2 Tollgate Review

The following documentation is required in guiding a discussion to demonstrate readiness and gain approval for Phase 2. Agencies purchasing transaction processing services only will identify relevant activities and artifacts for their project using the M3 Services Tailoring Guide.

Phase 2 Documentation

- Provider Assessment Report (Federal Only)
- Engagement Phase Interagency Agreement IAA (Federal Only)
- Data Cleansing Plan
- Draft RFP (Commercial Only)
- M3 Risk Assessment Tool
- Business Needs Workbook
- Evaluation Criteria
- Draft Request for Information (RFI) and Responses (Commercial Only)
- Implementation Approach/Schedule
- Price Estimates for Engagement, Migration, and O&M
- Business Process Reengineering Strategy
- Validated As-Is Process Maps
- Life Cycle Cost Estimate (LCCE) for Engagement, Migration, and O&M
- Procurement Plan
- Initial Master Schedule
- HR/Staffing Plan
- Program Management Plan
- Independent Verification and Validation (IV&V) Plan
- Status Reports/Dashboards
- Risk Management Plan
- Risks, Actions, Issues, and Decisions (RAID) Log
- Labor Relations Strategy
- Change Management Plan
- Communications Plan
- Baseline Readiness Assessment
- Data Cleansing Scripts
- Decommission Plan

Information Contained in Tollgate Review Discussion

1. M3 Risk Assessment Tool
2. Initial Master Schedule Overview
3. LCCE
4. Provider Selection Summary
5. HR/Staffing Plan Update (Customer)
6. HR/Staffing Plan Overview (Provider)
7. Scope of Services (Overview)
8. Business Needs Workbook
9. Procurement Approach
10. Change Management and Communication Approach
11. Labor Relations Strategy
12. Data Management/Data Quality Approach
13. Draft RFI and Responses (Commercial Only)
14. Top Risks
15. Decommission Plan

Exit Criteria (to move into Phase 3)

- ✓ Provider Selected (Federal Only)
- ✓ RFP Drafted (Commercial Only)
- ✓ Business Needs Workbook
- ✓ Mitigation Plans in Place for Major Risks/Issues
- ✓ Initial Master Schedule Updated
- ✓ Staffing Plan Ready for Execution
- ✓ Data Cleansing Commenced
- ✓ LCCE Updated for Engagement, Migration, and O&M
- ✓ Communications to Stakeholder Delivered

List of Guidance Items and Templates Available for Phase 2

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
• M3 Services Tailoring Guide • Business Needs Workbook • Provider Assessment Report (Federal Only) • Scope of Services • Implementation Approach/Schedule • Engagement Phase Interagency Agreement (IAA) (Federal Only) • Life Cycle Cost Estimate (LCCE) for Engagement, Migration, and O&M • Status Reports/Dashboards • HR/Staffing Plan • Initial Master Schedule • IV&V Plan • Procurement Plan • Risk Management Plan • Risks, Actions, Issues, and Decisions (RAID) Log • M3 Risk Assessment Tool • Labor Relations Strategy • Communications Plan • Data Cleansing Plan	• M3 Services Tailoring Guide • M3 Risk Assessment Tool • Business Needs Workbook • Provider Assessment Report (Federal Only) • Engagement Phase IAA (Federal only) • HR/Staffing Plan • Initial Master Schedule • Status Reports/Dashboards • Risk Management Plan • RAID Log • Requirements Management Plan • Tollgate 2 Review Discussion

Phase 3: Engagement

Phase 3 Summary and Documentation

Objective: Conduct detailed planning through a fit-gap analysis and finalize the implementation roadmap. An Agile approach should be adopted for this phase.

Responsible Party: Custom, Provider, Shared

Phase 3: Engagement Activities

Program Management	Workforce, Organization, & Stakeholders	Technology	Process & Service Delivery
3.1 Integrate Project Management Office (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	3.8 Engage with Labor Relations 3.9 Execute Change Management Plan 3.10 Develop Training 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)	3.16 Finalize Target State Concept of Operations 3.17 Define Contact Center Structure 3.18 Define Service Level Agreements

Phase Documentation: The following documentation is developed during Phase 3 and is used to inform the Phase 3 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.

Phase 3 Documentation

- Implementation Approach/Timeline
- LCCE for Migration and O&M
- Gap Analysis Report
- Data Cleansing Plan
- O&M Service Level Agreements (SLAs)
- Go/No-Go Criteria for Go-Live Assessment
- Intent to Exercise Migration Option (Commercial)
- M3 Risk Assessment Tool
- Program Charter
- HR/Staffing Plan
- Integrated Master Schedule (IMS)
- Program Management Plan
- Independent Verification & Validation (IV&V) Plan
- Governance Charter
- Migration Approach, including Technical Strategies
- Procurement Plan
- Status Reports/Dashboards
- Change Request Log
- Change Request Form
- Lessons Learned Report
- Risk Management Plan
- Risks, Actions, Issues, and Decisions (RAID) Log
- Migration Phase Interagency Agreement (IAA) Terms and Conditions (Federal Only)
- Labor Relations Strategy
- Change Management Plan
- Communications Plan
- Readiness Assessment
- Workforce Assessment
- Training Plan
- Requirements Management Plan
- Requirements Traceability Matrix (RTM)
- Validated and Updated As-Is Systems Environment
- Target State Systems Environment
- Test Plan
- Configuration Management Plan
- CooP and Disaster Recovery Plan
- Interface Strategy
- Enhancement Strategy
- Data Cleansing Scripts
- Documented Data Structure and Mapping
- Data Conversion Plan
- Target State Concept of Operations
- Contact Center Strategy

Information Contained in Tollgate Review Discussion

1. M3 Risk Assessment Tool
2. Target State Solution Scope
3. Fit-Gap Analysis
4. Migration Plan, Schedule, and Release Approach
5. Top Risks
6. LCCE
7. HR/Staffing Plan (Customer)
8. HR/Staffing Plan (Provider)
9. Procurement Approach (Customer)
10. Procurement Approach (Provider, Federal)
11. Change Management and Communications Approach
12. Training Approach
13. Contact Center Approach
14. Data Management/Data Quality Approach
15. Program Governance Model
16. Lessons Learned

Exit Criteria (to move into Phase 4)

- ✓ Fit-Gap Analysis Completed
- ✓ PMO and Governance Process Integrated
- ✓ LCCE Updated for Migration and O&M
- ✓ Migration Approach Finalized
- ✓ Integrated Master Schedule Drafted
- ✓ SLAs for Migration and O&M Defined
- ✓ Go/No-Go Criteria Approved

Program Management
3.1 Integrate PMO Structures

Objective: Establish an integrated PMO team and processes to manage and oversee the activities shared by the customer and provider throughout the migration.

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

Activities

1. Onboard provider Program Management Office (PMO) lead and team (P)
2. Review and update the Program Charter based on changes to the scope or timeline of the program (S)
3. Determine and agree on PMO roles and responsibilities between the customer and provider agencies (S)
4. Document the roles and responsibilities in an integrated HR/Staffing Plan (S)
5. Review customer Independent Verification and Validation (IV&V) procedures and update IV&V Plan (S)
6. Develop integrated Program Management Plan (including schedule, scope, risk, procurement, cost, communications/stakeholder, and quality) (S)
7. Develop integrated Quality Assurance Surveillance Plan (QASP) for procurement activities to monitor metrics and performance of provider during the program (C)
8. Create an Integrated Master Schedule (IMS), using the customer's Initial Master Schedule and refine and continuously elaborate on the IMS for all activities during Phase 3 (S)
9. Begin managing schedule through agreed upon procedures (S)

Inputs

- Customer Program Charter
- HR/Staffing Plan
- Initial Master Schedule
- IV&V Plan
- Program Management Plan
- Status Report

Outputs

- Program Charter
- HR/Staffing Plan
- IMS
- Program Management Plan
- IV&V Plan

Stakeholders

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

Best Practice

- To maximize program integration, including network access and conferencing needs for large agencies and for complex implementations involving segregated business processes, teams should be co-located to ensure ease of communication, collaboration and problem solving
- Hold detailed discussions on the customer's and provider's goals, processes that will be migrated, systems, and program close-out roles and responsibilities early on
- Develop an integrated program plan that is a coordinated view of activities from the customer and provider and takes specific customer needs into consideration
- Staff and engage both customer and provider PMO teams in the governance process to prevent governance gaps and disruptions to the flow of information
- Establish and communicate customer and provider roles and responsibilities through written agreements
- Establish and confirm common nomenclature between the provider and customer organizations to ensure clear and concise communication throughout Phase 3 and 4
- Use Memorandums of Understanding (MOUs) to document Subject Matter Experts (SMEs) commitment and maintain accountability for participating in Fit-Gap sessions
- Ensure Provider transparency with regular reporting on expenditure to date

Program Management
3.2 Integrate Governance Structures

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

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

Activities

1. Identify provider governance bodies that will participate in the migration effort (P)
2. Define integrated governance authority, roles, and responsibilities for oversight, management decision-making and risk/issue escalation (S)
3. Establish integrated governance meeting cadence and status reporting timelines for the remainder of the program (S)
4. Create Integrated Governance Charter (S)
5. Begin executing against Governance Charter to guide Phase 3 activities (S)

Inputs

- Existing Governance Bodies and Processes within Customer and Provider Agencies
- Customer Governance Charter
- Engagement Phase Interagency Agreement (IAA) (Federal Only)

Outputs

- Governance Charter

Stakeholders

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

Best Practice

- Establish goals, timeframes, resources, and responsibilities clearly during the migration that has buy-in from senior management at the customer and provider agencies
- Develop an integrated governance model to make decisions in alignment with the objectives and goals of the program
- Obtain buy-in from internal customer and provider agencies early on to establish communication channels throughout the migration
- Encourage decisions to be made at the lowest possible level, while allowing elevation of important or contentious issues through the governance model
- Develop an integrated recurring meeting and status reporting cadence to help align customer and provider leadership on the status of ongoing activities and priorities

Program Management
3.3 Update and Maintain Procurement Plans

Objective: Develop integrated Procurement Plans and strategy to meet migration and Operations and Maintenance (O&M) needs, inclusive of professional services, hardware, software, and infrastructure.

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

Activities

1. Sign Interagency Agreement (IAA) for Phase 3 Engagement support if a Federal provider was selected in Phase 2 (S)
2. Release Request for Proposal (RFP) for Phase 3 Engagement services if a commercial provider path was selected in Phase 2 (C)
3. Evaluate solicitation responses, conduct final evaluation and award contract to selected commercial provider (C)
4. Update Procurement Plans based on migration timeline and scope (C, P)
5. Collaborate with category manager (or designated team) to identify acquisition strategy for any additional support contracts (C, P)
6. Manage procurement lifecycle and contract performance against Procurement Plan for Phase 3 program support services (C, P)
7. Develop RFPs, Requests for Quotes (RFQs), and Performance Work Statements (PWSs) for Phases 4 and 5 (C, P)
8. Draft IAA for Phase 4 and draft, negotiate, and finalize IAA (C, P)
9. Report changes to Procurement Plans and procurement decisions in governance meetings and Status Reports/Dashboards (C, P)

Inputs

- Customer Procurement Strategy
- Provider Procurement Strategy
- PMO Structure and Processes
- Governance Structure and Processes

Outputs

- Procurement Plan

Stakeholders

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

Best Practice

- Identify personnel from the customer and provider agencies with critical skill sets and align them with specific program activities
- Bring on subject matter experts (SMEs) and information technology (IT) personnel on a timely manner to ensure a successful migration
- Define people, budget, and contracts before beginning implementation activities; align activities to specific resources in the IMS
- Validate software license needs based on user counts

Program Management
3.4 Monitor and Control Program Execution

Objective: Monitor, measure, and report on program migration progress.

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

Activities

1. Manage scope and program performance using Program Management Plan (S)
2. Manage Integrated Master Schedule (IMS) through weekly updates of activities, dates, duration, and dependencies (S)
3. Manage costs against the budget (S)
4. Manage and update HR/Staffing Plan as resources are on or off boarded or as needs change (S)
5. Manage and update the Independent Verification and Validation (IV&V) Plan (S)
6. Update program management documentation as necessary (S)
7. Initiate and perform change requests to address changes in schedule, scope, and requirements throughout the program through the Change Request Form, documenting changes through the Change Request Log (S)
8. Develop and distribute Status Reports/Dashboards (S)
9. Hold status meetings to monitor status against milestones, issues, risks, and make decisions needed for work streams (S)
10. Escalate decisions and issues as needed through governance bodies (S)
11. Conduct executive briefings with organization leadership and oversight entities as necessary (S)
12. Develop Lessons Learned Report (S)

Inputs

- Program Charter
- Program Management Plan
- IMS
- IV&V Plan
- HR/Staffing Plan
- Governance Charter
- Status Reports/Dashboards

Outputs

- Program Management Plan
- Status Reports/Dashboards
- IV&V Plan
- Change Request Log
- Change Request Form
- IMS
- Lessons Learned Report

Stakeholders

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

Best Practice

- Include all migration activities and responsible parties in the IMS
- Implement weekly change control process to manage changes to the IMS to understand downstream impacts and associated risks
- Review and update the integrated program plan regularly and establish an integrated recurring meeting and status reporting cadence
- Utilize collaboration tools to the fullest extent in order to facilitate information sharing across the migration program
- Create a consolidated list of action items for the customer and provider

Program Management
3.5 Maintain and Execute Risk Processes

Objective: Execute risk management processes to identify and mitigate risks and issues throughout the migration.

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

Activities

1. Integrate risk processes between the customer and provider and update the Risk Management Plan (S)
2. Maintain and update Risks, Actions, Issues, and Decisions (RAID) Log, coordinating across all work streams, with new risks, changes to existing risks, and status of risk mitigation activities continuously (at a minimum of every two weeks) throughout Phase 3 (S)
3. Develop and employ mitigation strategies continuously throughout Phase 3 (S)
4. Report on new risks/issues and ongoing risk/issue mitigation activities in governance meetings and Status Reports/Dashboards (S)
5. Perform M3 risk assessment (S)

Inputs

- Governance Charter
- Status Reports/Dashboards
- Risk Management Plan
- RAID Log

Outputs

- Risk Management Plan
- RAID Log
- M3 Risk Assessment

Stakeholders

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

Best Practice

- Develop integrated risk management between the customer and provider and establish a risk management function within the PMO to coordinate all risk management activities across the customer and provider before migration
- Hold regular risk management meetings and include risk management into status reporting and escalation procedures. Ensure documentation of risks in RAID Log in order to facilitate communication of risks.
- Develop risk management roles and responsibilities for customer and provider team members and executives and train team members on identifying and mitigating risks
- Train and empower risk liaisons and points of contact in risk management to improve accountability

Program Management
3.6 Finalize Migration Approach

Objective: Develop Migration Approach, schedule, and cost based on fit-gap analysis and enter into Migration Phase IAA/Contract.

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

Activities

1. Develop an initial Migration Approach and Integrated Master Schedule (IMS) based on Requirements Traceability Matrix (RTM) and timeline requirements (S)
2. Finalize Migration Approach including a release approach based on fit-gap analysis and finalized Scope of Services (P)
3. Update plan for system decommissioning post migration (C)
4. Develop detailed design of the retained organization (C)
5. Develop draft Interagency Agreement (IAA) (Federal only) for Phase 4 migration activities with scope of services, including cost estimates, based on the Migration Approach and schedule (P)
6. Prepare Intent to Exercise Migration Option (Commercial only) (C)
7. Develop Go/No-Go Criteria to assess readiness for Go-Live. Criteria may include: program readiness, system readiness, workforce readiness, and operational readiness (S)
8. Report updates in governance meetings and Status Reports/Dashboards (S)

Inputs

- RTM
- Gap Analysis Report
- Data Conversion Strategy
- Test Strategy
- Decommission Plan

Outputs

- Migration Phase IAA Terms and Conditions (Federal Only)
- Intent to Exercise Migration Option (Commercial)
- Migration Approach, including Technical Strategies
- Go/No-Go Criteria for Go-Live Assessment
- IMS
- Decommission Plan

Stakeholders

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

Best Practice

- Define, agree on, and communicate customer and provider roles and responsibilities prior to the start of implementation through the IAA and implementation team organization charts and Responsible, Accountable, Consulted, Informed (RACI) Matrix
- Understand the IAA services, Service Level Agreements (SLAs), and cost structures and develop relevant metrics to be able to monitor provider performance
- Set up the Service Level Agreement to foster a mutually beneficial relationship. Make sure that both the provider and customer are clear on expectations of success defined in Activity 1.6
- Leverage an agile approach in the migration and consider phasing the implementation to provide for quick wins

Program Management
3.7 Update LCCE for Migration and O&M

Objective: Update the estimated costs of the migration based on fit-gap analysis, and to manage and plan budgetary needs.

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

Activities

1. Provide migration and Operations and Maintenance (O&M) cost estimates to customer based on requirements validation and fit-gap analysis, process for closing gaps, implementation timeline, and migration and O&M roles and responsibilities between the customer and provider (P)
2. Negotiate and agree on best and final offer for migration and O&M costs (S)
3. Identify changes required to develop Life Cycle Cost Estimate (LCCE) based on selected providers' cost estimates and consider reasonableness and affordability (C)
4. Update LCCE (according to cost management plan) for migration and O&M (C)
5. Compare actual spending with budget and adjust LCCE as needed (C)
6. Report changes to program costs and actual spending in governance meetings and Status Reports/Dashboards (S)

Inputs

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

Outputs

- LCCE for Migration and O&M

Stakeholders

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

Best Practice

- Conduct life cycle cost analyses and incorporate migration cost estimates from the provider to plan out-year budget needs and requests

Workforce, Organization & Stakeholders
3.8 Engage with Labor Relations

Objective: Continue to engage and communicate with labor relations to obtain approval towards a shared services migration.

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

Activities

1. Determine target state workforce needs (C)
2. Identify potential impact on staff by reviewing Target State Concept of Operations and workforce assessment (C)
3. Engage in communications with union leadership based on Labor Relations strategy (C)
4. Determine the methods to align to Collective Bargaining Agreements, resolve issues and document outcomes and next steps (C)
5. Update the Labor Relations Strategy as needed (C)
6. Report updates in governance meetings and Status Reports/Dashboards (S)

Inputs

- Labor Relations Strategy

Outputs

- Labor Relations Strategy

Stakeholders

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

Best Practice

- Account for union-related activities in the Integrated Master Schedule and building dependencies for change management activities (e.g., communications, training)

Workforce, Organization & Stakeholders
3.9 Execute Change Management Plan

Objective: Maintain and execute the change management and communications plan based on feedback from the previous phases; implement updates as appropriate.

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

Activities

1. Develop and deliver messages based on the Communications Plan (C)
2. Monitor feedback from stakeholders and adjust Communications Plan (C)
3. Update Communications Plan based on labor relations meetings (C)
4. Conduct assessment to identify how the workforce may be impacted by the migration (C)
5. Update Readiness Assessment to further understand stakeholder ability to adapt to change (C)
6. Determine if provider needs to adjust staffing levels based on the requirements of the new customer and, if yes, develop staffing plan (P)
7. Report updates in governance meetings and Status Reports/Dashboards (S)

Inputs

- Change Management Plan
- Communications Plan
- Baseline Readiness Assessment

Outputs

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

Stakeholders

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

Best Practice

- Institute frequent communication sessions with stakeholders
- Align business process efforts to change management tasks to better communicate and coordinate process changes with the change management strategy components
- Create and deploy user surveys to monitor success of Organizational Change Management drives

Workforce, Organization & Stakeholders
3.10 Develop Training Plan

Objective: Develop a plan and approach for training curriculum, design, development, delivery, and evaluation.

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

Activities

1. Review customer organization training Scope of Services (S)
2. Review provider migration and O&M training capabilities and associated costs (S)
3. Finalize training services for Phases 4 and 5 and define roles and responsibilities for development and delivery (S)
4. Develop Initial Training Plan to include approach, audience, purpose, delivery methods, timeline, and evaluation (P)
5. Review and finalize Initial Training Plan (S)
6. Report updates in governance meetings and Status Reports/Dashboards (S)

Inputs

- Business Needs Workbook
- Scope of Services
- Stakeholder Analysis
- As-Is Workforce Assessment

Outputs

- Training Plan

Stakeholders

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

Best Practice

- Define the customer's and provider's training needs early on in the program life cycle

Technology
3.11 Finalize Requirements

Objective: Perform knowledge transfer of requirements, validate requirements, and baseline all standard and unique requirements with approvals to inform the fit-gap analysis.

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

Activities

1. Update Requirements Management Plan and processes based on provider's approach (S)
2. Share updates to documentation of requirements, Target State Systems Environment, and Target State Concept of Operations with provider (C)
3. Create a joint Requirements Traceability Matrix (RTM) (S)
4. Prioritize mission critical and nice-to-have requirements against standard requirements and provider capability, and capacity in the RTM (S)
5. Finalize requirements with Business Owners and baseline the RTM (S)
6. Report updates in governance meetings and Status Reports/Dashboards (S)

Inputs

- Target State Systems Environment
- Target State Concept of Operations
- Business Capabilities
- Business Needs Workbook
- Government-wide Standards defined through the the Federal Integrated Business Framework (FIBF)

Outputs

- Requirements Management Plan
- RTM

Stakeholders

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

Best Practice

- Conduct system demonstrations and Conference Room Pilots to validate the solution meets the intended scope of services requirements
- Provide training to SMEs on requirements processes and how to define, communicate, and document requirements effectively (e.g., essential, verifiable requirements)
- Provide criteria to define mission critical versus nice-to-have requirements to enable improved provider selection
- Use requirements management tool and establish requirements management approach that follows leading practices to increase consistency and enhance traceability throughout the program's life cycle
- Validate the requirements are testable

Technology
3.12 Conduct Requirements Fit-Gap Analysis

Objective: Understand gaps between the customer requirements and provider's standard solution and processes and develop gap solutions to inform the migration approach, timeline, and revised cost estimates.

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

Activities

1. Identify where functional and technical (e.g., security, interfaces) requirements can be met by the provider's standard solution and where gaps may exist using the baselined Requirements Traceability Matrix (RTM) (P)
2. Conduct stakeholder validation sessions to review the fit-gap analysis. A sample fit-gap process kick-off is available here online there is no link line to "here" that can be used to guide agencies (S)
3. Design gap solutions with options for configuration changes, enhancements, and processes changes and review with the customer (P)
4. Select the desired solution to resolve each gap (S)
5. Document gaps and proposed solutions in Gap Analysis Report (P)
6. Use gap solutions to inform migration and release approach, schedule, and revised cost estimate (S)
7. Manage requirements through the RTM and PMO change control processes as agreed upon in the Requirements Management Plan and PMO governance (P)
8. Report updates in governance meetings and Status Reports/Dashboards (S)

Inputs

- RTM
- Provider's Standard Solution and Requirements

Outputs

- Gap Analysis Report
- RTM

Stakeholders

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

Best Practice

- Assess functional, technical, and operational requirements as part of the fit-gap analysis
- Develop a detailed approach for the fit-gap with a Business Process Reengineering (BPR) Statement document that includes an Overview, BPR Vision, fit-gap Purpose and Objectives, and defines exit/success criteria for the process. A sample fit-gap process kick-off guide is available here.
- Use live demonstrations for fit-gap review sessions
- Document gaps using formal gap ID forms and assess consensus with feedback surveys. A sample gap ID form is available here.
- Use the Gap Analysis Report to identify the potential opportunities to standardize business processes across divisions and offices

Technology
3.13 Finalize Target State Systems Environment

Objective: Perform knowledge transfer of as-is environment and finalize the Initial Target State Systems Environment that capture all required interfaces, application, security/privacy, and data layers.

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

Activities

1. Perform knowledge transfer to provider to gain an understanding of the customer's As-is Systems Environment including which interfaces to legacy systems will be required (C)
2. Review Initial Target State Systems Environment and compare against the provider's standard solution to determine where gaps exist (S)
3. Develop solutions for technical gaps where enhancements are required to systems and infrastructure and where new interfaces will be required (P)
4. Assess gap solutions of technical environment based on cost and timeline implications and document impacts to release strategy (S)
5. Finalize Target State Systems Environment, through technical reviews if necessary, to define the scope of the migration and at each release, if applicable (S)
6. Report updates in governance meetings and Status Reports/Dashboards (S)

Inputs

- Vision and Business Case
- Requirements Traceability Matrix (RTM)
- Existing Enterprise Architecture Documents & System Specifications
- Target State Systems Environment

Outputs

- Validated and Updated As-Is Systems Environment
- Target State Systems Environment

Stakeholders

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

Best Practice

- Leverage the current systems architecture and specification documents as a starting point
- Document critical interfaces between legacy systems and new systems including detailed data requirements and network requirements

Technology
3.14 Develop Technical Strategy

Objective: Develop the IT strategy to define the overall management and execution approach to system enhancements and implementation.

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

Activities

Based on the fit-gap analysis and finalized Target State Systems Environment, develop the Migration Plan, including the approach for technical components:

1. Develop reports strategy including BI development standards and tool analysis (S)
2. Develop Interface Strategy (S)
3. Develop Enhancement Strategy (S)
4. Update plan to decommission systems post-migration (C)
5. Document development controls (S)
6. Document configuration and workflow strategy (S)
7. Develop Configuration Management/Change Request Process (S)
8. Document Continuity of Operations (CooP) and Disaster Recovery Plan (S)
9. Develop Test Plan (S)
10. Report updates in governance meetings and Status Reports/Dashboards (S)

Inputs

- Requirements Traceability Matrix (RTM)
- Target State Concept of Operations
- Target State Systems Environment
- Decommission Plan

Outputs

- Test Plan
- Configuration Management Plan
- CooP and Disaster Recovery Plan
- Interface Strategy
- Enhancement Strategy
- Decommission Plan

Stakeholders

- Program Manager (C, P)
- Business Owner (C, P)
- Functional Lead (C, P)
- Technical Lead/Solution Architect (C, P)
- Interface Lead (C, P)
- Data Conversion Lead (C, P)
- Functional SME (C, P)
- Technical SME (C, P)
- Change Management Lead (C, P)
- PMO Lead (C, P)

Best Practice

- Conduct a thorough analysis early to determine which existing reports are still in use and need to be included in requirements
- Minimize enhancements, leverage bolt-ons where possible, to help ease patch/fix application and upgrade path

Technology
3.15 Prepare Data for Mock Conversions (Data Cleansing, Data Mapping)

Objective: Jointly develop a Data Conversion Plan, with input from the data cleansing process, and execute against plan to address potential data conversion issues.

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

Activities

1. Develop integrated data governance approach to include process, roles and responsibilities, and cleansing and mapping criteria (S)
2. Review customer data architecture (P)
3. Discuss standard data management approach with customer (P)
4. Finalize an integrated approach and plan for data cleansing, mapping, extract/transfer/load, mock conversion, conversion, and data validation (S)
5. Assess data quality based on cleansing activities from previous phase against defined criteria (S)
6. Initiate legacy-to-target data mapping (S)
7. Identify data errors/anomalies and prioritize resolution activities (S)
8. Develop and execute Data Cleansing Scripts and perform manual corrections as needed, updating as needed (S)
9. Validate results of data cleansing and readiness for conversion based on data quality criteria and metrics (C)
10. Report updates in governance meetings and Status Reports/Dashboards (S)

Inputs

- Data Cleansing Plan
- Data Quality Assessment Results
- Existing System Data Dictionaries
- Existing Data Governance Model
- Data Cleansing Results
- Existing Data Quality Assessment

Outputs

- Data Cleansing Plan
- Data Cleansing Scripts
- Documented Data Structure and Mapping
- Data Conversion Plan

Stakeholders

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

Best Practice

- Begin data cleansing activities prior to migration activities and continuously throughout the implementation to assist with data readiness
- Agree on data governance including metadata management and data quality management
- Incorporate additional post Go-Live data cleansing and quality activities into data conversion strategy, schedule, and resource planning
- Investigate provider service offerings around post Go-Live conversion support prior to finalizing cleansing metrics

Process and Service Delivery
3.16 Finalize Target State Concept of Operations

Objective: Define which processes and services will be performed between the customer and provider to understand the Target State Concept of Operations.

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

Activities

1. Review Engagement Phase Interagency Agreement (IAA)/Contract to determine in scope processes and target state requirements (S)
2. Review and agree upon where the business processes and services should be performed in the future (e.g., internally versus with provider) based on the requirements and fit-gap analysis (S)
3. Update the Initial Concept of Operations (CONOPS) (S)
4. Validate updated CONOPS with stakeholders (S)
5. Define roles and responsibilities for Operations and Maintenance (O&M) (e.g., systems maintenance, incident identification, change control and release management, service level agreement reviews, and governance) (S)
6. Finalize Target State CONOPS based on processes to be migrated to the provider and the designed retained organization (S)
7. Report updates in governance meetings and Status Reports/Dashboards (S)

Inputs

- Target State CONOPS
- As-Is Workforce
- As-Is Process Flows
- Scope of Services
- Requirements Traceability Matrix (RTM)
- Gap Analysis Report

Outputs

- Target State CONOPS

Stakeholders

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

Process and Service Delivery
3.17 Define Contact Center Structure

Objective: Understand provider contact center capabilities, finalize customer care procedures, and define customer and provider roles and responsibilities for issue resolution.

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

Activities

1. Document requirements for the customer contact center function based on Target State Concept of Operations and Operations and Maintenance (O&M) requirements (C)
2. Review provider contact center capabilities, tier structure, and estimated cost of services (S)
3. Identify gaps between provider contact center capabilities and the customer requirements (S)
4. Develop gap solutions for contact center gaps and adjust estimated cost of services (S)
5. Document Integrated contact center Strategy to implement changes to contact center processes, roles, and capacity for customer and provider (S)
6. Report updates in governance meetings and Status Reports/Dashboards (S)

Inputs

- Business Needs Workbook
- Target State Concept of Operations
- Scope of Services

Outputs

- Contact Center Strategy

Stakeholders

- Business Owner (C, P)
- Program Manager (C, P)
- PMO Lead (C, P)
- PMO Team (C, P)
- Functional Lead (C, P)
- Functional SME (C, P)
- Change Management Lead (C, P)

Best Practice

- Develop procedures to triage and escalate inquiries and incidents between the customer and provider

Process and Service Delivery
3.18 Define Service Level Agreements

Objective: Define the level of service standards provided to the customer during Operations and Maintenance.

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

Activities

1. Review Target State Concept of Operations and roles and responsibilities for Operations and Maintenance (O&M) services (S)
2. Review and discuss existing provider service level metrics to determine if there need to be adjustments (S)
3. Identify additional service level metrics based on objective, clearly-defined, and measurable criteria (S)
4. Gain stakeholder buy-in on metrics that will be used post-migration to measure O&M performance as part of the Performance Management Plan (S)
5. Define performance management capabilities, processes, and tools (S)
6. Finalize service level metrics, targets, and remediation or issue resolution policies (S)
7. Report updates in governance meetings and Status Reports/Dashboards (S)

Inputs

- Service Level Agreements (SLAs)
- Engagement Phase IAA (Federal Only)

Outputs

- O&M SLAs

Stakeholders

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

Best Practice

- Include services and systems with identified target metrics in your SLAs

Documentation Required for Phase 3 Tollgate Review

The following documentation is required in guiding a discussion to demonstrate readiness and gain approval for Phase 3. Agencies purchasing transaction processing services only will identify relevant activities and artifacts for their project using the M3 Services Tailoring Guide.

Phase 3 Documentation

- Implementation Approach/Timeline
- LCCE for Migration and O&M
- Gap Analysis Report
- Data Cleansing Plan
- O&M Service Level Agreements (SLAs)
- Go/No-Go Criteria for Go-Live Assessment
- Intent to Exercise Migration Option (Commercial)
- M3 Risk Assessment Tool
- Program Charter
- HR/Staffing Plan
- Integrated Master Schedule (IMS)
- Program Management Plan
- Independent Verification & Validation (IV&V) Plan
- Governance Charter
- Procurement Plan
- Status Reports/Dashboards
- Change Request Log
- Change Request Form
- Lessons Learned Report
- Risk Management Plan
- Risks, Actions, Issues, and Decisions (RAID) Log
- Migration Phase IAA Terms and Conditions (Federal Only)
- Migration Approach, including Technical Strategies
- Labor Relations Strategy
- Change Management Plan
- Communications Plan
- Readiness Assessment
- Workforce Assessment
- Training Plan
- Requirements Management Plan
- Requirements Traceability Matrix (RTM)
- Validated and Updated As-Is Systems Environment
- Target State Systems Environment
- Test Plan
- Configuration Management Plan
- CooP and Disaster Recovery Plan
- Interface Strategy
- Enhancement Strategy
- Data Cleansing Scripts
- Documented Data Structure and Mapping
- Data Conversion Plan
- Target State Concept of Operations
- Contact Center Strategy

Information Contained in Tollgate Review Discussion

1. M3 Risk Assessment Tool
2. Target State Solution Scope
3. Fit-Gap Analysis
4. Migration Plan, Schedule, and Release Approach
5. Top Risks
6. LCCE
7. HR/Staffing Plan (Customer)
8. HR/Staffing Plan (Provider)
9. Procurement Approach (Customer)
10. Procurement Approach (Provider, Federal)
11. Change Management and Communications Approach
12. Training Approach
13. Contact Center Approach
14. Data Management/Data Quality Approach
15. Program Governance Model
16. Lessons Learned

Exit Criteria (to move into Phase 4)

- ✓ Fit-Gap Analysis Completed
- ✓ PMO and Governance Process Integrated
- ✓ LCCE Updated for Migration and O&M
- ✓ Migration Approach Finalized
- ✓ Integrated Master Schedule Drafted
- ✓ SLAs for O&M Defined
- ✓ Go/No-Go Criteria Approved

List of Guidance Items and Templates Available for Phase 3

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
• M3 Services Tailoring Guide • HR/Staffing Plan • Governance Charter • Procurement Plan • Status Reports/Dashboards • Implementation Approach/Timeline • Lessons Learned Report • Risk Management Plan • Risks, Actions, Issues, and Decisions (RAID) Log • M3 Risk Assessment Tool • Migration Phase IAA Terms and Conditions (Federal Only) • Go/No-Go Criteria for Go-Live Assessment • Integrated Master Schedule (IMS) • Life Cycle Cost Estimate (LCCE) for Migration and Operations and Maintenance (O&M) • Labor Relations Strategy • Communications Plan • Training Plan • Requirements Management Plan • Requirements Traceability Matrix (RTM) • Gap Analysis Report • Target State Systems Environment Configuration Management Plan • Test Plan • Data Conversion Plan • Data Cleansing Plan • Contact Center Strategy • O&M Service Level Agreements (SLAs)	• M3 Services Tailoring Guide • M3 Risk Assessment Tool • Migration Phase IAA Terms and Conditions (Federal Only) • Governance Charter • HR/Staffing Plan • Status Reports/Dashboards • Risk Management Plan • RAID Log • Lesson Learned Report • Training Plan • Requirements Management Plan • RTM • Gap Analysis Report • Data Conversion Plan • Test Plan • Configuration Management Plan • Change Request Form • Tollgate 3 Review Discussion • Gap ID Form • Sample Fit-Gap Process Kick-Off Guide

Phase 4: Migration

Phase 4 Summary and Documentation

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

Responsible Party: Customer Provider Shared

Phase 4: Migration Activities

Program Management	Workforce, Organization, & Stakeholders	Technology	Process & Service Delivery
4.1 Monitor and Control Program Execution 4.2 Maintain and Execute Risk Processes 4.3 Develop Operations and Maintenance (O&M) Governance 4.4 Prepare O&M Scope of Services and Contracts 4.5 Assess Readiness for Go-Live 4.6 Update LCCE for O&M	4.7 Design Target State Organization 4.8 Execute Workforce Transition and Prepare for Go-Live 4.9 Execute Training for Go-Live 4.10 Execute Labor Relations Strategy	4.11 Conduct Security and Privacy Reviews 4.12 Define Roles and User Access 4.13 Configure Systems 4.14 Design and Develop Interfaces 4.15 Design and Develop Reports 4.16 Conduct Mock Conversions 4.17 Test Systems and Processes 4.18 Develop and Execute Cutover Plan for Go-Live 4.19 Finalize Service Level Agreements	4.20 Design Target State Processes

Phase 4 Documentation:	The following documentation is developed during Phase 4 and is used to inform the Phase 4 Tollgate Review discussion. Agencies purchasing transaction processing services only will identify relevant activities and artifacts for their project using the M3 Services Tailoring Guide.
Artifact Samples:	For sample documentation from previous modernizations and migrations, please go to M3 Artifact Samples MAX Page.

Phase 4 Documentation

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

Information Contained in Tollgate Review Discussion

1. M3 Risk Assessment Tool
2. Program Management Readiness Criteria Tasks and Status
3. Organizational Readiness Criteria Tasks and Status
4. Technology Readiness Criteria Tasks and Status
5. Business Operations Readiness Criteria Tasks and Status
6. Contingency Plan
7. Risk and Issues Summary
8. Test Results
9. Data Conversion Results

Exit Criteria

✓ Go/No-Go Criteria Met

Program Management
4.1 Monitor and Control Program Execution

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

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

Activities

1. Manage Migration Integrated Master Schedule (IMS) through weekly updates of activities, dates, duration, and dependencies (S)
2. Manage scope and monitor program performance using Program Management Plan (S)
3. Manage costs against the budget (S)
4. Manage and update Human Resources (HR)/Staffing Plan as resources are on or off boarded or as needs change (S)
5. Manage and update the Integrated Independent Validation and Verification (IV&V) Plan (S)
6. Update program management documentation as necessary (S)
7. Develop and distribute Status Reports/Dashboards and escalate decisions and issues as needed through governance bodies (S)
8. Hold status meetings to monitor status against milestones, issues, risks, and make decisions needed for work streams (S)
9. Hold executive briefing to share progress on transition (S)
10. Continue to initiate and perform change requests to address changes in schedule, scope, and requirements throughout the program through the Change Request Form, documenting changes through the Change Request Log (S)

Inputs

- Program Charter
- Governance Charter
- IMS
- Program Management Plan

Outputs

- Change Request Form
- Change Request Log
- IMS
- Program Management Plan
- IV&V Plan

Stakeholders

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

Best Practice

- Review and update the IMS as necessary and maintain an integrated recurring meeting and reporting cadence
- Include all migration activities and responsible parties in the IMS. Migrations that include core and non-core services should align all services to the IMS.
- Create a consolidated list of action items for the customer and provider
- Utilize collaboration tools to the fullest extent in order to facilitate information sharing across the migration program
- For large agencies and complex implementations involving segregated business processes, teams should be co-located to ensure ease of communication, collaboration and problem solving; and to maximize program integration, including network access, conferencing needs
- Ensure Provider transparency with regular reporting on expenditure to date

Program Management
4.2 Maintain and Execute Risk Processes

Objective: Execute risk management processes to identify and mitigate risks and issues throughout the migration.

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

Activities

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

Inputs

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

Outputs

- Risk Management Plan
- RAID Log
- M3 Risk Assessment

Stakeholders

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

Best Practice

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

Program Management
4.3 Develop O&M Governance

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

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

Activities

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

Inputs

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

Outputs

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

Stakeholders

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

Best Practice

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

Program Management
4.4 Prepare O&M Scope of Services and Contracts

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

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

Activities

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

Inputs

- Scope of Services

Outputs

- O&M Contract or IAA

Stakeholders

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

Best Practice

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

Program Management
4.5 Assess Readiness for Go-Live

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

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

Activities

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

Inputs

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

Outputs

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

Stakeholders

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

Best Practice

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

Program Management
4.6 Update LCCE for O&M

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

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

Activities

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

Inputs

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

Outputs

- LCCE for O&M

Stakeholders

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

Best Practice

- Conduct life cycle cost analyses and incorporate cost estimates from the provider to plan out-year budget needs and requests

Workforce, Organization & Stakeholders
4.7 Design Target State Organization

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

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

Activities

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

Inputs

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

Outputs

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

Stakeholders

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

Best Practice

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

Workforce, Organization & Stakeholders
4.8 Execute Workforce Transition and Prepare for Go-Live

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

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

Activities

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

Inputs

- Communications Plan
- Cutover Plan
- Change Management Plan

Outputs

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

Stakeholders

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

Best Practice

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

Workforce, Organization & Stakeholders
4.9 Execute Training for Go-Live

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

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

Activities

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

Inputs

- Training Plan

Outputs

- Training Plan
- Training Materials
- Training Evaluations

Stakeholders

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

Best Practice

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

Workforce, Organization & Stakeholders
4.10 Execute Labor Relations Strategy

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

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

Activities

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

Inputs

- Labor Relations Strategy
- Change Management Plan

Outputs

- Labor Relations Strategy

Stakeholders

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

Best Practice

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

Technology
4.11 Conduct Security and Privacy Reviews

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

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

Activities

Conduct Privacy Reviews:

1. Develop Privacy Framework to include system categorization, data type, handling, storing and sharing method, and incident response process (S)
2. Develop Privacy documentation and training material (if needed) to provide guidance to all stakeholders (S)
3. Implement Privacy training roadmap and integrate with overall training plan (S)
4. Roll out privacy regulations to all users (S)
5. Document and receive Systems of Record Notice (SORN), if required (S)

Conduct Security Reviews:

1. Understand provider security environment and assess against requirements (S)
2. Develop Security documentation and Security Test Plan if applicable (S)
3. Execute security test according to test plan to include both physical and logical security, document and correct issues (S)
4. Request and receive Authority to Operate (ATO) if necessary (S)

Inputs

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

Outputs

- Security Documentation, including Security Test Results and ATO
- Privacy Documentation, including Initial Privacy Assessment, FIPS 199, SORN, Privacy Impact Assessment

Stakeholders

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

Best Practice

- Understand the customer's ATO process and allow sufficient time to get documentation through review and approvals
- Develop and define Security/Privacy plan before development as part of the Target State Solution Architecture
- Begin security and privacy planning early and include security steps across all migration phases

Technology
4.12 Define Roles and User Access

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

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

Activities

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

Inputs

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

Outputs

- Baselined List of ID Credentials

Stakeholders

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

Best Practice

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

Technology
4.13 Configure Systems

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

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

Activities

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

Inputs

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

Outputs

- RTM
- Configuration Workbooks

Stakeholders

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

Best Practice

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

Technology
4.14 Design and Develop Interfaces

Objective: Design and develop interfaces between applications.

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

Activities

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

Inputs

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

Outputs

- Interface Control Document

Stakeholders

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

Best Practice

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

Technology
4.15 Design and Develop Reports

Objective: Design and develop operational reports.

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

Activities

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

Inputs

- RTM
- Reports Design Document

Outputs

- Reports Design Document

Stakeholders

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

Best Practice

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

Technology
4.16 Conduct Mock Conversions

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

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

Activities

1. Define and test conversion scenarios (S)
2. Design, build and unit test data conversion including extracting, transforming, and loading procedures (S)
3. Design, build, and unit test validation/reconciliation reports (S)
4. Test manual conversion and document results (P)
5. Run mock conversion and document results (P)
6. Clean up data issues uncovered during mock conversions (S)
7. Repeat subsequent mock conversions and update scripts as necessary, cleansing more data each time until program team is satisfied with data accuracy (S)

Inputs

- Requirements Traceability Matrix (RTM)
- Technical Strategy
- Data Conversion Strategy
- Data Cleansing Plan
- Data Quality Results

Outputs

- Data Conversion Plan
- Mock Conversion Report
- Conversion Defect Log

Stakeholders

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

Best Practice

- Conduct multiple mock conversions to mitigate complex conversion risks and include enough time in the IMS to correct anomalies and update conversion programs

Technology
4.17 Test Systems and Processes

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

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

Activities

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

Inputs

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

Outputs

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

Stakeholders

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

Best Practice

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

Technology
4.18 Develop and Execute Cutover Plan for Go-Live

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

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

Activities

1. Develop Cutover Plan to include pre cutover, cutover, and post cutover steps (S)
2. Integrate the Cutover Plan with the overall communication and program Go-Live schedule (S)
3. Communicate the cutover activities to stakeholders (S)
4. Execute pre cutover tasks (S)
5. Schedule all necessary checkpoints to monitor Go-Live progress (S)
6. Execute cutover tasks to include deployment of code to production, activation of system components, and securing or shutting down legacy systems (P)
7. Initiate post cutover activities to include warranty period support (P)
8. Update decommission plan for legacy systems (C)

Inputs

- Requirements Traceability Matrix (RTM)
- Technical Strategy
- Integrated Master Schedule (IMS)
- Decommission Plan

Outputs

- Cutover Plan
- Decommission Plan

Stakeholders

- Program Manager (C, P)
- Functional Lead (C, P)
- Technical Lead/Solution Architect (C, P)
- Security Lead (ISSO) (C, P)
- Network SME (C, P)
- PMO Lead (C, P)
- PMO Team (C, P)
- Change Management Lead (C, P)
- Communications Lead (C, P)
- Data Conversion Lead (C, P)
- Interface Lead (C, P)

Best Practice

- Establish an ongoing and committed contact center support at each organization to help facilitate Go-Live transition
- Have all key Subject Matter Experts (SMEs) available onsite during final pilot trial and actual deployment
- Conduct daily meetings to monitor progress and issues for timely resolution

Process and Service Delivery
4.19 Finalize Service Level Agreements

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

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

Activities

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

Inputs

- SLAs

Outputs

- O&M SLAs

Stakeholders

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

Best Practice

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

Process and Service Delivery
4.20 Design Target State Processes

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

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

Activities

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

Inputs

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

Outputs

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

Stakeholders

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

Best Practice

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

Documentation Required for Phase 4 Tollgate Review

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

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

Information Contained in Tollgate Review Discussion
1. M3 Risk Assessment Tool 2. Program Management Readiness Criteria Tasks and Status 3. Organizational Readiness Criteria Tasks and Status 4. Technology Readiness Criteria Tasks and Status 5. Business Operations Readiness Criteria Tasks and Status 6. Contingency Plan 7. Risk and Issues Summary 8. Test Results 9. Data Conversion Results

Exit Criteria
✓ Go/No-Go Criteria Met

List of Guidance Items and Templates Available

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

Guidance Items	Templates
• M3 Services Tailoring Guide • Status Reports/Dashboards • Integrated Master Schedule (IMS) • Risk Management Plan • M3 Risk Assessment Tool • Risks, Actions, Issues, and Decisions (RAID) Log • O&M Governance Charter • Operations and Maintenance (O&M) Contract or Interagency Agreement (IAA) • Contingency Plan • Life Cycle Cost Estimate (LCCE) for O&M • Training Plan • Data Conversion Plan • Mock Conversion Report • Test Plan • Test Defect Log • Test Results Report • Cutover Plan • O&M Service Level Agreements (SLAs)	• M3 Services Tailoring Guide • M3 Risk Assessment Tool • Status Reports/Dashboards • Governance Charter • IMS • Change Request Form • Risk Management Plan • RAID Log • Requirements Traceability Matrix (RTM) • Training Plan • Test Plan • Test Report • Data Conversion Plan • Tollgate 4 Review Discussion

Phase 5: Operations

Phase 5 Summary

Objective:	Deliver services and conduct continuous process improvement.

Responsible Party: Customer Provider Shared

Phase 5: Operations Activities	Program Management	Workforce, Organization, & Stakeholders	Technology	Process & Service Delivery
	5.1 Review Performance against Expected Benefits 5.2 Collect Lessons Learned 5.3 Implement O&M Governance	5.4 Support Stabilization and Perform Change Management	5.5 Maintain Applications Post Go-Live 5.6 Decommission Legacy Systems	5.7 Conduct Continuous Process Improvement 5.8 Manage Integrated Contact Center 5.9 Monitor and Update Service Level Agreements

Program Management
5.1 Review Performance against Expected Benefits

Objective: Evaluate and measure the migration's performance and success to determine if objectives were achieved.

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

Activities

1. Receive all final deliverables/milestones to determine program completion (S)
2. Evaluate schedule, scope, and cost of the migration against baseline metrics (S)
3. Collect data and evaluate Success Metrics against baseline and targets (S)
4. Document the results of the program against Success Metrics and present results to USSM, provider and customer executives (S)
5. Collect and archive your cost actuals (S)

Inputs

- Program Charter
- Program Management Plan
- Integrated Master Schedule (IMS)
- Success Metrics
- Operations and Maintenance (O&M) Service Level Agreements (SLA)

Outputs

- Final Report on Success Metrics

Stakeholders

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

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
- Measure performance against KPIs set in Phase 1 and internal and external standards, including benchmarks.gsa.gov
- Correctly set expectations of performance noting that while savings often are realized from shared support arrangements, the efficiencies do not appear immediately and in the short-run may appear to be more costly during the stabilization period

Program Management
5.2 Collect Lessons Learned

Objective: Identify the Program's successes and areas for improvement, and report findings in a Lessons Learned Report.

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

Activities

1. Develop a Lessons Learned Questionnaire and provide it to program stakeholders to gather feedback on the successes and areas for improvement, including feedback on the Communications Plan (S)
2. Distribute questionnaire and provide time for response (S)
3. Hold an optional meeting with program stakeholders to review lessons learned findings (S)
4. Identify major successes and areas for improvement based on stakeholder responses (S)
5. Document the major successes, areas for improvement and lessons learned of the program and present results to USSM, provider and customer executives (S)
6. Conduct knowledge transfer from migration team to Operations and Maintenance (O&M) team and closeout program (S)

Inputs

- Program Charter
- Program Management Plan
- Integrated Master Schedule (IMS)
- Status Report/Dashboard

Outputs

- Lessons Learned Questionnaire
- Lessons Learned Report

Stakeholders

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

Best Practice

- Provide the Lessons Learned Report to both the Customer and Provider

Program Management
5.3 Implement O&M Governance

Objective: Implement O&M governance structures to manage and oversee performance after Go-Live.

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

Activities

1. Finalize Integrated Operations and Maintenance (O&M) Governance Charter to include Integrated governance authority, roles, and responsibilities for decision-making on topics such as risk/issue escalation, Service Level Agreement (SLA) monitoring, contract negotiations, service requests/change requests management after system Go-Live (S)
2. Implement processes and integrated governance meeting cadence and reporting timelines for customer and provider (S)
3. Update charter and processes as changes are identified or conduct an annual review (at a minimum) to determine if changes are needed (S)
4. Review and report on SLAs after Go-Live on the timeline specified in the SLA (P)
5. Review Interagency Agreements (IAAs)/contracts and SLAs at least once annually and determine if updates need to be made (C)

Inputs

- O&M SLAs
- O&M Interagency Agreement (IAA)/Contracts

Outputs

- O&M Governance Charter
- O&M SLA Performance Reports
- Change Request Log

Stakeholders

- Business Owner (C, P)
- O&M Team (C, P)

Best Practice

- Encourage decisions to be made at the lowest possible level, while allowing elevation of important or contentious issues through the governance model
- Implement an integrated recurring meeting and status reporting cadence to help align customer and provider leadership on the status of ongoing activities and priorities

Workforce, Organization & Stakeholders
5.4 Support Stabilization and Perform Change Management

Objective: Maintain regular communication with stakeholders and assess the effectiveness of the training after the migration is complete to support stabilization and user adoption.

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

Activities

1. Develop and deliver messages based on the targeted cutover Communications Plan (S)
2. Assess the impact of the targeted cutover Communications Plan and provide stabilization support for transition (S)
3. Continue to conduct training for employees during the stabilization period (S)
4. Assess the impact of the training for employees through elevations and metrics (S)
5. Document lessons learned from Training Evaluations and stakeholder feedback on communications (S)
6. Develop a new Communications and Training Plan for Operations and Maintenance (O&M) (S)
7. Conduct training on a regular basis and specifically as new employees are on-boarded or as process improvements and/or system enhancements are made (S)
8. Develop and deliver ongoing methods and Communications Materials to message process improvements and/or system enhancements (S)

Inputs

- Change Management Plan
- Training Materials
- Training Assessment and Metrics
- Targeted Cutover Communications Plan

Outputs

- Completed Training Evaluations
- O&M Communications and Training Plan
- Communications Materials
- Training Materials

Stakeholders

- Business Owner (C,P)
- O&M Team (C, P)

Best Practice

- Develop and execute frequent and multi-directional communications to increase the likelihood that most stakeholders receive the messages
- Maintain job-aids, Standard Operating Procedures (SOPs) and Frequently Asked Questions (FAQs) and other documentation and ensure they are readily available for employees to refresh after migration

Technology
5.5 Maintain Applications Post Go-Live

Objective: Support and maintain application post Go-Live to address system and user's concerns for operational effectiveness.

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

Activities

1. Provide heightened levels of service for 90 days after Go-Live to ensure stabilization (e.g., service desk, incident management, event management, access management) (P)
2. Develop Post Implementation and Evaluation Report to capture lessons learned and next steps (S)
3. Maintain applications, update documentations, and adjust resource, as required, through Information Technology Information Library (ITIL) management to meet Service Level Agreements (SLAs) and sustain an agreed upon level of operational performance (P)
4. Plan and perform future modernization efforts to improve operational effectiveness (P)

Inputs

- Requirements Traceability Matrix (RTM)
- Target State Systems Environment
- Technical Strategy
- Cutover Plan

Outputs

- Post Implementation and Evaluation Report

Stakeholders

- O&M Team (C, P)

Best Practice

- Engage Operations and Maintenance (O&M) team early and conduct multiple simulations and training to adequately prepare support team before cutover
- Gain agreement on SLAs and SLA reporting and processes in advance of cutover
- Determine system administration split of responsibilities between customer and provider early and develop documentation to support

Technology
5.6 Decommission Legacy Systems

Objective: Retire legacy systems including hardware, software, licenses, interface, and close out support contracts.

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

Activities

1. Once the Cutover Plan is complete, execute the Decommission Plan (C)
2. Finalize plans for hardware disposition, software licensing, and contract end of life plan (C)
3. Archive software, data, and documentations (security and access) necessary to bring back the system if required (C)
4. Retire applications, databases, and hardware per requirements (C)
5. Provide Decommission Report (C)

Inputs

- Cutover Plan
- Decommission Plan

Outputs

- Decommission Report

Stakeholders

- Program Manager (C)
- Business Owner (C)
- Functional Lead (C)
- Technical Lead/Solution Architect (C)
- Security SME (C)
- Network SME (C)
- O&M Team (C)
- PMO Lead (C)

Best Practice

- Build the decommission plan into the overall migration program to capitalize on cost reduction and operational improvements

Process and Service Delivery
5.7 Conduct Continuous Process Improvement

Objective: Monitor operational performance to identify and implement process improvement opportunities.

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

Activities

1. Monitor performance of the new system and processes (S)
2. Identify areas for process improvement (S)
3. Validate As-Is and document Target State Process Flows and update Standard Operating Procedures (SOPs) (S)
4. Communicate changes to stakeholders and train end users as necessary (S)

Inputs

- Target State Process Flows
- SOPs
- Operations and Maintenance (O&M) Service Level Agreements (SLAs)

Outputs

- Process Flows
- SOPs
- O&M SLAs

Stakeholders

- O&M Team (C, P)

Best Practice

- Define key performance metrics to monitor operations and identify improvement opportunities
- Define meeting cadence and mechanism for performance reviews, including customer satisfaction surveys
- Leverage the Performance Principles and Practices (P3) Playbook and Goal Playbook for guidance on continuous process improvement

Process and Service Delivery
5.8 Manage Contact Center

Objective: Provide service and assistance to customers in O&M.

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

Activities

1. Provide customer care for issue resolution and escalation according to service level agreement (SLA) metrics (P)
2. Coordinate escalated requests between customer and provider (S)
3. Document frequent issues and make appropriate requirement changes and training adjustments (S)

Inputs

- Operations and Maintenance (O&M) SLAs
- Contact Center Strategy

Outputs

- O&M SLAs

Stakeholders

- Business Owner (C, P)
- Program Manager (C ,P)
- PMO Lead (C, P)
- PMO Team (C, P)
- Functional Lead (C, P)
- Functional SME (C, P)
- Training Lead (C, P)
- Change Management Lead (C, P)
- Communications Lead (C, P)

Best Practice

- Define mandatory requirements clearly and align with SLAs

Process and Service Delivery
5.9 Monitor and Update SLAs

Objective: Update the agreement on the level of service provided by the provider to the customer during operations and maintenance (O&M) for a defined period of time.

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

Activities

1. Create reports based on ongoing tracking/managing of performance against established Service Level Agreements (SLAs) (S)
2. Identify any gaps between customer service level requirements and provider capabilities (S)
3. Update SLAs according to the new operational and financial terms and conditions (i.e., timing of services, cost for services, payment terms) (S)

Inputs

- O&M SLAs

Outputs

- O&M SLAs

Stakeholders

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

Best Practice

- Establish SLAs with proper monitoring where both customer and provider responsibilities are clearly defined
- Work collaboratively across the provider and customer to identify and capture the appropriate performance metrics and targets (service level agreements include customer defined performance measures with associated targets inclusive of metrics to monitor customer responsiveness and quality)

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