

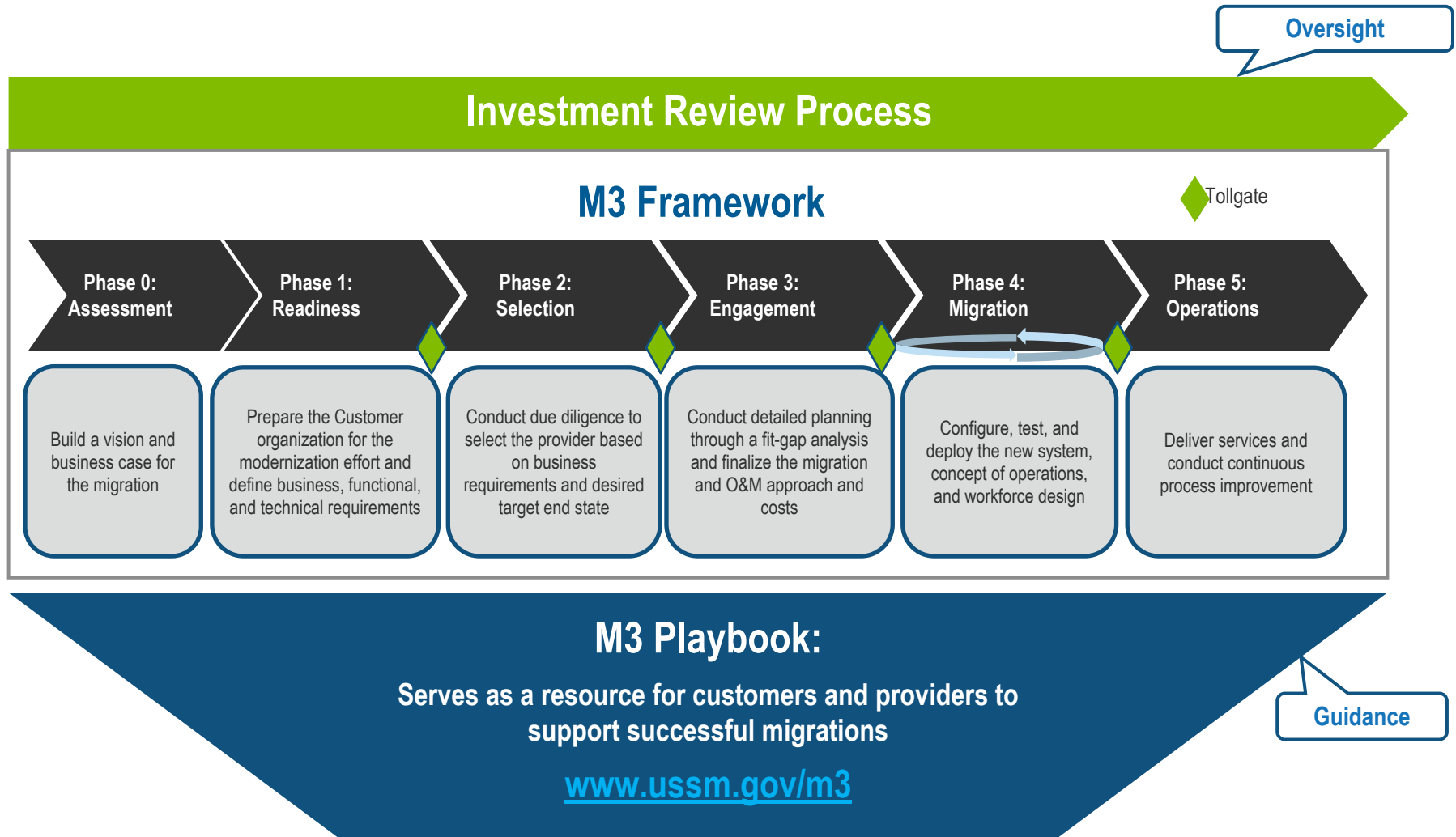
Modernization and Migration Management (M3) Playbook

GSA, Unified Shared Services Management

Introduction

Modernization and Migration Management (M3) Framework

The Modernization and Migration (M3) Framework is the roadmap for agencies to “buying a service” - delivering projects on time, on budget, and on value.



What is the M3 Framework?

Modernization and Migration Management (M3) is a framework designed to help Chief Financial Officers (CFO) Act agencies achieve successful outcomes and reduce risk during administrative system and/or service modernizations and migrations. It segments modernizations and migrations into six discrete phases, each of which includes a series of objectives and recommended activities that should be completed by the customer and/or provider organization based on the phase objectives.

The M3 Playbook was developed to help customer and provider organizations apply the M3 Framework. The M3 Playbook is **not prescriptive**, but provides guidance, tools, and templates, based on best practice, to help CFO Act agency customers and providers improve the likelihood of successful outcomes of their modernization and migration projects. Customers and providers are encouraged to leverage their own tools and templates to satisfy the expected outcomes.

The M3 Framework is a **six-phased approach** to system and service modernizations and migrations including key activities and outcomes for each phase. Within each phase there are associated activities that are detailed in the M3 Playbook.

The activities are broken into four work streams that are common to modernization and migration programs/projects:



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
<ol style="list-style-type: none">1. Create Vision Statement and Objectives of modernization or migration2. 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) website4. 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 acquire6. Determine High Level Timelines for modernization or migration
Inputs
<ul style="list-style-type: none">• Government-wide Standards defined through the FIBF
Outputs
<ul style="list-style-type: none">• Vision Statement• In-scope service area(s) and function(s)• Expected Benefits• High level Timelines
Stakeholders
<ul style="list-style-type: none">• Executive Sponsor (C)• Organization Executives (CXOs) (C)• Program Manager (C)• PMO Lead, if on-boarded (C)
Best Practice
<ul style="list-style-type: none">• 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

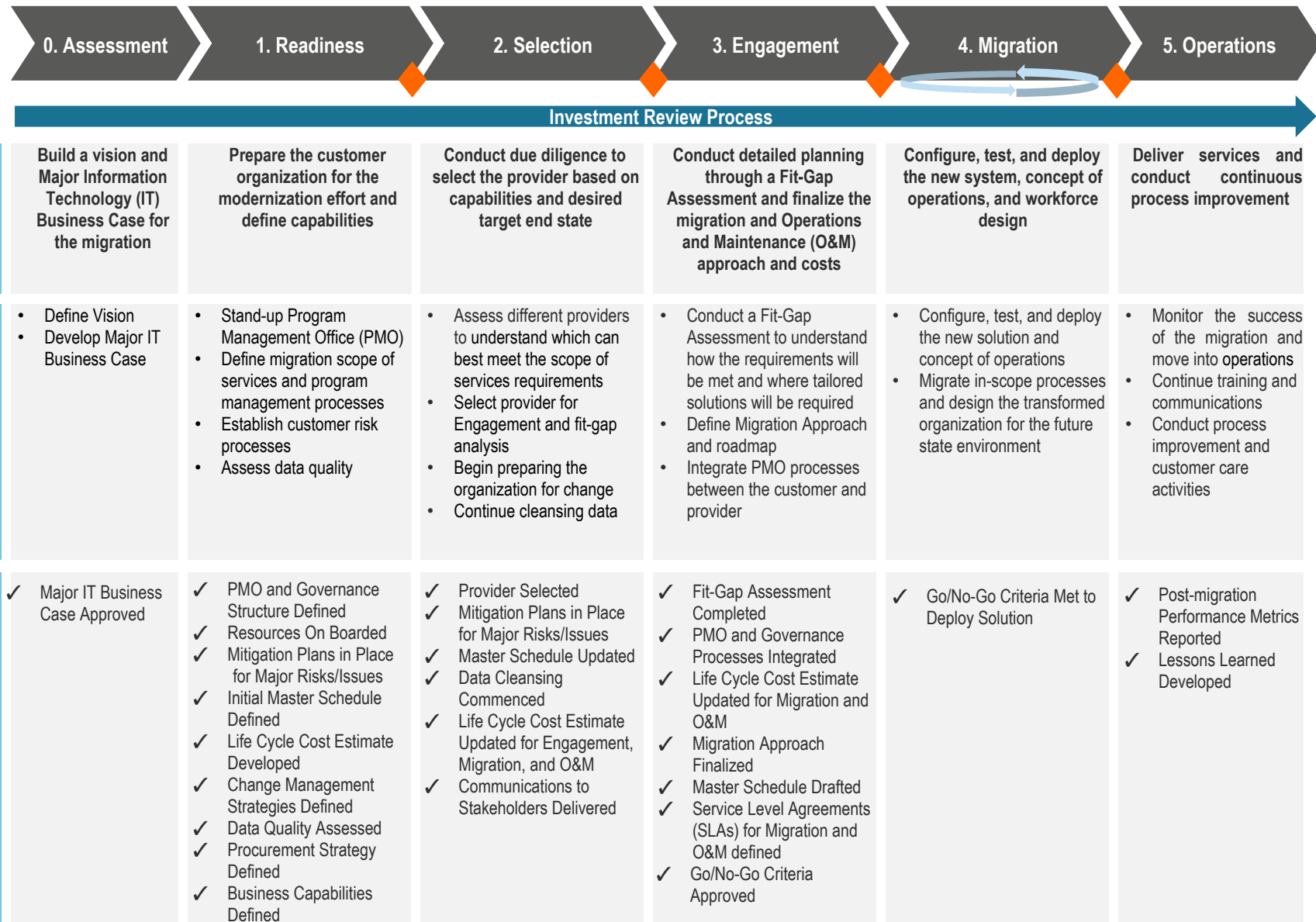
Executive Summary

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



* 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 Execution
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 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](#). If you need access to the M3 Artifacts Samples page, please email your request to ussm.m3@gsa.gov.

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

Exit Criteria (to move into Phase 3)






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

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)	For Federal:	For Commercial:
2. Complete Business Needs Workbook on requested services (C)	5. Complete Business Needs Workbook on provided services (P)	5. Review RFI responses (C)
3. Develop statement of work (Business Needs Workbook for Federal, Request for Information (RFI) for commercial) (C)	6. Develop migration timeline and Rough Order of Magnitude (ROM) estimates for Phases 3-5 (P)	6. Attend any Industry Days to meet with potential providers (C, P)
4. Enter into agreement with providers, if Federal, and issue RFI, if commercial (C, P)	7. If decision is to move to a Federal provider, develop provider assessment report (C)	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)
	8. Develop, negotiate, and finalize draft Interagency Agreement IAA for Phase 3 with scope of services, roles and responsibilities, and success metrics (P)	
 Inputs		 Stakeholders
<ul style="list-style-type: none">• Scope of Services• Business Capabilities• Target State Concept of Operations		<ul style="list-style-type: none">• 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)
 Outputs		
<ul style="list-style-type: none">• Business Needs Workbook• Evaluation Criteria• Draft RFI and Responses (Commercial Only)• Implementation Approach/Schedule		
<ul style="list-style-type: none">• 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)		
 Best Practice		
<ul style="list-style-type: none">• 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)	7. Develop and distribute Status Reports/Dashboards (C)
2. Manage Initial Master Schedule through weekly updates of activities, dates, duration, and dependencies (C)	8. Hold status meetings to monitor status against milestones, issues, risks, and make decisions needed for work-streams (C)
3. Manage costs against the budget (C)	9. Escalate decisions and issues as needed through Governance bodies (C)
4. Manage procurement lifecycle and contract performance against Procurement Plan for Phase 2 program support services (C)	10. Conduct executive briefings with organization leadership and oversight entities as necessary (C)
5. Manage and update HR/Staffing Plan as resources are on or off boarded or as needs change (C)	11. Develop and manage HR/Staffing Plan, Scope of Services overview, Mitigation Plans (P)
6. Update program management documentation as necessary (C)	12. Draft initial program management documentation for Engagement (P)

 Inputs	 Stakeholders
<ul style="list-style-type: none"> Program Charter Program Management Plan Initial Master Schedule Independent Verification & Validation (IV&V) Plan 	<ul style="list-style-type: none"> Executive Sponsor (C) Business Owner (C) Program Manager (C) PMO Lead (C) PMO Team (C) Managing Partner/Service Area Sponsor (Service Area)

 Outputs
<ul style="list-style-type: none"> Procurement Plan Initial Master Schedule HR/Staffing Plan Program Management Plan

 Best Practice
<ul style="list-style-type: none"> 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)
 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)
- Work with your Labor Relation/Union Liaisons to:**



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	
<ol style="list-style-type: none">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	 Stakeholders
<ul style="list-style-type: none">• Data Cleansing Plan• Data Quality Assessment Results	<ul style="list-style-type: none">• Business Owner (C)• Program Manager (C)• Functional Lead (C)• Technical Lead/Solution Architect (C)• Data Conversion Lead (C)• Data SME (C)
 Outputs	
<ul style="list-style-type: none">• Data Cleansing Plan• Data Cleansing Scripts	
 Best Practice	
<ul style="list-style-type: none">• 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	
<ol style="list-style-type: none">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	 Stakeholders
<ul style="list-style-type: none">• As-is Systems Environment• Communication Plan	<ul style="list-style-type: none">• Business Owner (C)• Functional Lead (C)• Functional Team (C)• Technical Lead/Solution Architect (C)• Technical SME (C)• Functional SME (C)• PMO Lead (C)
 Outputs	
<ul style="list-style-type: none">• Decommission Plan• Communication Plan	
 Best Practice	
<ul style="list-style-type: none">• 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	Information Contained in Tollgate Review Discussion
<ul style="list-style-type: none"> • 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 	<ol style="list-style-type: none"> 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)	
<ul style="list-style-type: none"> ✓ Provider Selected (Federal Only) ✓ RFP Drafted (Commercial Only) ✓ Business Needs Workbook ✓ Mitigation Plans in Place for Major Risks/Issues ✓ Initial Master Schedule Updated 	<ul style="list-style-type: none"> ✓ 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
<ul style="list-style-type: none">• 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	<ul style="list-style-type: none">• 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