

M3 Playbook Guidance

Phase 1: Readiness

This guidance is intended for use by organizations to confirm and validate that their plans are comprehensive and have adequate level of detail for proper migration planning. The guidance highlights key considerations for organizations in their planning process for activities that are critical to the migration and where typical risks occur during the migration process.

Agencies have the discretion to develop these outputs using agency-specific guidelines as long as the overall objective of each M3 activity is fulfilled. Where specific guidance is not provided for an activity below, agencies should refer to the M3 Playbook activities for instructions.

1.1 Establish Initial Customer PMO and Processes

Human Resources (HR)/Staffing Plan

Overview:

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

Guidance:

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

Initial Master Schedule

Overview:

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

Guidance:

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

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

Independent Verification and Validation (IV&V) Plan

Overview:

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

Guidance:

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

Status Reports/Dashboards

Overview:

Status Reports/Dashboards provide program leadership and governance with updates on

program progress, and strategic program risks/issues.

Guidance:

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

1.2 Establish Customer Governance Structure and Processes

Governance Charter

Overview:

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

Guidance:

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

1.3 Establish Customer Risk Processes

Risk Management Plan

Overview:

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

Guidance:

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

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

Overview:

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

Guidance:

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

1.4 Conduct Procurement Planning

Procurement Plan

Overview:

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

Guidance:

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

1.5 Develop Lifecycle Cost in the Business Case

Lifecycle Cost Estimate (LCCE)

Overview:

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

Guidance:

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

1.6 Define Benefits of the Program

Baseline and Target Performance and Success Metrics

Overview:

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

Agencies should leverage the federal-wide performance metrics collected under the GSA Benchmarks Initiatives to complement their unique and mission critical performance metrics. The database (found at www.benchmarks.gsa.gov) provides access to standard cost, quality and customer satisfaction data that will allow agencies to consistently compare the performance of different providers and their solutions. The database can provide baseline metrics at the Department level for common performance metrics and may be used in conjunction with those unique metrics relevant to the agencies' strategic goals and objectives.

Guidance:

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

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

Agencies may use existing metrics collected over multiple years by GSA Benchmarking Initiative. Personnel with ".gov" email can access their agency's existing Financial Management, Human Capital, IT Management and Contracting metrics, as well as the Government median, through OMB Max at <https://benchmarks.gsa.gov/>. Agencies may also create their own or utilize any of the sample metrics documented in [Sample Performance and Success Metrics](#) located in the M3 Templates Library.

1.7 Assess Change Management Approach

Stakeholder Analysis

Overview:

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

Guidance:

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

Communications Plan

Overview:

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

Guidance:

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

1.9 Define As-Is and Initial Target State Systems Environments

As-Is Systems Environment

Overview:

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

Guidance:

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

1.10 Plan and Conduct Initial Data Quality Assessment

Data Governance Model

Overview:

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

Guidance:

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

Data Cleansing Plan

Overview:

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

Guidance:

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

1.11 Understand As-Is Business Processes

Validated As-Is Process Maps

Overview:

The Validated As-Is Process Maps provide an overview of current processes and details supporting tools needed to execute processes that may be impacted by the migration.

Guidance:

- Validate As-Is Process Maps and include the following:
 - Process flows and handoffs
 - Transaction volumes
 - Enabling technology
 - User roles and responsibilities
 - Supporting tools/documentation used to complete processes

1.13 Define Scope of Services Requirements Document Initial Business Capabilities & Define Mission Critical Needs

Requirements Management Plan

Overview:

The Requirements Management Plan outlines the approach used to identify, gather, and manage

requirements throughout the migration. When defining capabilities within the customer organization, agencies should consult the Federal Integrated Business Framework Line of Business (FIBF LOB), which standardizes functions for Human Capital (HCM), Financial Management (FM), Grants Management (GRM), Acquisitions (ACQ), Travel (TRT) and Information Technology (IT) across the federal government. The FIBF service list is an important first step for agencies documenting their target capabilities, and a helpful tool in aligning the target state with Providers' capabilities.

Guidance:

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

Initial Scope of Services

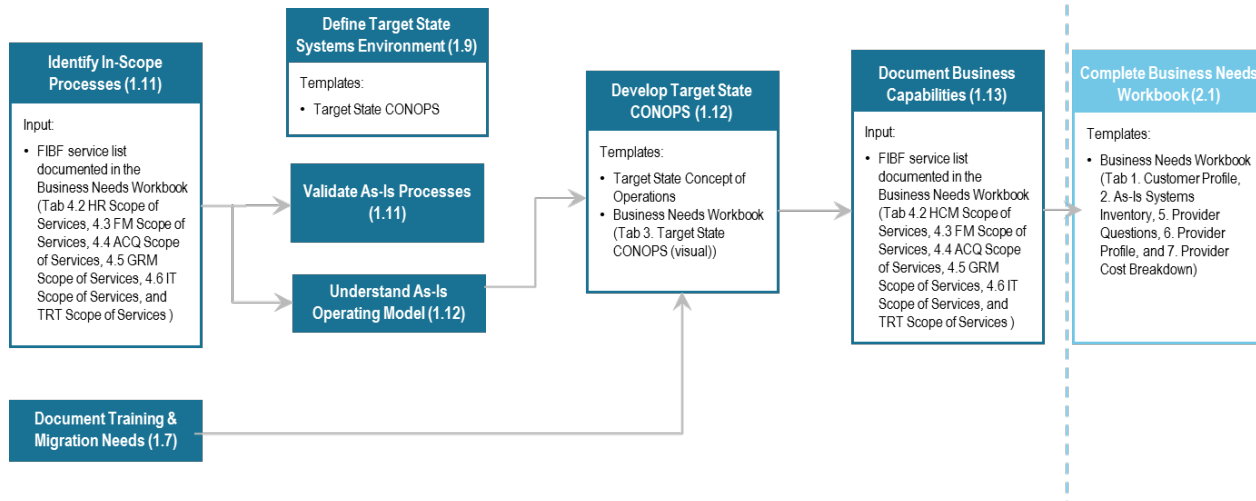
Overview:

The Scope of Services document details the systems/services that will be acquired from a provider by a customer organization.

Guidance:

- Define all target systems/services, including expected performance requirements (e.g., estimated service/transaction volumes)
- Prioritize target systems/services for implementation, and develop prioritization basis
- Use the following graphic to understand which steps (from activities in the M3 Playbook) should occur prior to developing the Scope of Services:

Phase 1



The actions above may occur at the same time, or may be updated as a result of information gathered during a subsequent activity

Initial Business Capabilities

Overview:

Document initial business capabilities based on the following:

- Standard capabilities from Line of Business Managing Partners, and other standard requirements, regulations, and policies
- Initial Scope of Services
- Initial Target State Concept of Operations
- Initial Target State Systems Environment

In Phase 1, customers should not create detailed business requirements for every service, but should instead focus on documenting must-have capabilities. Examples of capabilities that should be documented include must-have mandatory system interfaces, hours of operation or availability of services, or other criteria that a provider must be able to meet in order to provide services to the customer.

Customers and providers will not jointly discuss detailed technical and functional requirements until Phase 3.

Guidance:

- Using services defined in the Scope of Services tab, review the existing business capabilities defined by the Line of Business Managing Partners (e.g. [Financial Management](#), [Human Resources](#)) (if available)
- Document agency-unique must-have capabilities citing the source for each capability including

reference to the specific legislation and/or policy source document(s)

- Focus on “what” capability is needed to successfully execute the business process and not “how” the system should operate or how the process should be performed
- Categorize and prioritize business capabilities, mission critical and unique must-have capabilities based on mission need and legislation/policy

Tollgate Preparation

USSM Risk Assessment Tool

Overview:

USSM's risk assessment tool provides a comprehensive, independent, objective review of project risk in preparation for tollgate reviews. Its standardized risk assessment framework presents key risk criteria to help CFO Act agencies better assess and identify risk areas in Shared Services migrations and IT modernization efforts.

Guidance:

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

M3 Playbook Guidance

Phase 2: Selection

This guidance is intended for use by organizations to confirm and validate that their plans are comprehensive and have adequate level of detail for proper migration planning. The guidance highlights key considerations for organizations in their planning process for activities that are critical to the migration and where typical risks occur during the migration process.

Agencies have the discretion to develop these outputs using agency-specific guidelines as long as the overall objective of each M3 activity is fulfilled. Where specific guidance is not provided for an activity below, agencies should refer to the M3 Playbook activities for instructions.

2.1 Select Provider for Engagement (Federal or Commercial)

Business Needs Workbook

Overview:

The Business Needs Workbook provides key information about the customer environment and capabilities and key information about the provider's capabilities to help customers and providers determine if they are a good fit. The customer documents initial business capabilities in Phase 1, but customers and providers will not jointly discuss detailed technical and functional requirements until Phase 3.

Use the Business Needs Workbook to facilitate due diligence conversations on the Provider's ability to satisfy those Federal Integrated Business Framework (FIBF) common services on which the Customer's environment is based. Customers should not create detailed business requirements for every service, but should instead focus on documenting must-have capabilities.

Examples of capabilities that should be documented include must-have mandatory system interfaces, hours of operation or availability of services, or other criteria that a provider must be able to meet in order to provide services to the customer.

Guidance:

- Document the target systems/services, including expected performance capabilities (e.g., estimated service/transaction volumes)
- Prioritize target systems/services for implementation according to the customer's prioritization basis
- Develop rough order of magnitude (ROM) estimates of system/service implementation and operations and maintenance (O&M) costs
- Document provider cost drivers and basis of cost estimates
- Provider confirms capability and capacity to provide target services to customer

Provider Assessment Report (Federal Only)

Overview:

The Provider Assessment Report is used by the customer organization to provide details on how

the organization assessed and selected its provider for the Engagement Phase. Use of this report template is mandatory.

Guidance:

- Define and document the process used to obtain information about providers' capabilities
- Define and document provider selection criteria
- Customers and providers conduct due diligence and evaluation
- Select provider based on due diligence and analysis
- Involve stakeholders in the decision making process

Implementation Approach/Schedule

Overview:

The Implementation Approach/Schedule details the high-level plan for, and integration activities required to, deploy systems/services within the customer organization.

Guidance*:

- Define implementation scope, including systems that will be implemented and release approach
- Develop approach to defining technical integration strategy between the customer and provider
- Develop approach to identifying and filling gaps in the provider's technical solution
- Identify roles and responsibilities across both the customer and provider, and define specific integration points between the customer and provider with associated processes

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Engagement Phase Interagency Agreement (IAA) (Federal Only)

Overview:

The Engagement Phase IAA provides the information necessary to formally establish and initiate the Engagement process between the customer and provider. This document includes detail behind the roles and responsibilities, Scope of Services, and costs associated with completing the Engagement process.

Guidance:

- Define the scope of the migration, services requested, and key activities that will be completed by the customer and the provider during the Engagement Phase
- Define key customer and provider roles and responsibilities during the Engagement Phase. Define shared activities, along with the roles, responsibilities, and expectations for shared activities.
- Identify specific reporting procedures and other monitoring tools that will be used by both the customer and provider
- Define the role of governance in managing the IAA, including decision rights and how customer and provider governance organizations will collaborate and resolve issues
- Define the scope of all deliverables that will be completed by the customer and/or provider

within the Engagement Phase

- The customer and provider define Quality Assurance Surveillance Plan (QASP) metrics, including any service quality threshold requirements
- Define costs associated with receiving and providing engagement services
- Define the period of performance for the agreement

2.2 Update Lifecycle Cost Estimate for Engagement, Migration, and O&M

Updated Lifecycle Cost Estimate (LCCE) for Engagement, Migration, and O&M

Overview:

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

Guidance:

- Provide cost estimate detail at the work breakdown structure (WBS) product or activity level
- The LCCE accounts for cost risk and/or cost sensitivities such as schedule overruns, service volume uncertainties, and other known unknowns
- Update the LCCE based on due diligence of the selected provider, and have it account for cost estimates provided by the provider for engagement, migration, and O&M costs
- Document cost assumptions with cost estimate assumptions
- Break out costs as recurring/non-recurring (e.g., migration and O&M costs)
- Align budget estimates and other required investment documentation (e.g., E300) to the LCCE
- The Executive Sponsor approves the LCCE

2.3 Monitor and Control Program Execution

Status Reports/Dashboards

Overview:

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

Guidance:

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

Human Resource (HR)/Staffing Plan

Overview:

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

Guidance:

- Identify the Executive Sponsor

- Define the program management structure, to include:
 - Program management roles and responsibilities
 - Program management reporting structure

- Define the program/Program Management Office (PMO) organization chart including leadership, program management, functional, technical, and change management workstreams (leads and support staff or contractors)

- The Resource Plan corresponds to the program/PMO organization chart, and includes at a minimum:
 - Role and whether role requires Federal resource or can be Federal or contractor resource
 - Responsibilities associated with each role
 - Skills required for each role
 - Number of required resources/FTEs for each role including percent commitment required
 - Number of resources/FTEs filled to date for each role including percent commitment and resource name
 - Resource or skills gaps and mitigation plan for each resource gap including date to fill resource gap or detail to acquire necessary skills (i.e., training date)

- Identify Subject Matter Experts (SMEs)
 - Identify SME roles along with number of SMEs, required skills, responsibilities, and time commitment for each role
 - Identify SME roles with resource name and percent commitment to the program
 - Align SMEs to specific workstreams and roles within the PMO structure

- Complete the breakdown of full time Federal versus contractor personnel
 - Break down personnel counts by workstream and role
 - Identify Federal leads for each contractor workstream and role

Updated Initial Master Schedule

Overview:

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

Guidance:

- Develop the WBS
 - The WBS includes the full scope of work for the program, and provides additional detail for activities through the Engagement Phase
 - Link activities within the WBS based on defined logical dependencies
 - The WBS enables summary and detail-level reports of program schedule
- Develop the critical path
 - Identify and logically sequence critical path milestones
- Develop the schedule management process
 - Define processes to update and maintain the Master Schedule weekly
 - Define change control procedures with decision rights

- Assign resources within the schedule
 - Align program resources to the program HR/Staffing Plan and Procurement Plan
 - The Initial Master Schedule is resource loaded and identifies which resources are under or over utilized
- Identify dependencies in the schedule
- Make schedule feasibility apparent with accompanying basis of schedule estimates

Updated Independent Verification and Validation (IV&V) Plan

Overview:

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

Guidance:

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

Updated Procurement Plan

Overview:

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

Guidance:

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

2.4 Maintain and Execute Risk Processes

Updated Risk Management Plan

Overview:

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

Guidance:

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

Updated Risks, Issues, Actions, and Decisions (RAID) Log

Overview:

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

Guidance:

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

2.5 Assess Labor Relations Outreach

Labor Relations Strategy

Overview:

The Labor Relations Strategy defines the best approach to engage with the union(s) as an organization migrates to a provider.

Guidance:

- Develop list of labor relations stakeholders
- Understand impacts to collective bargaining agreements (CBAs), including the migration activities that are impacted by CBAs and the potential for bargaining impact of implementation

- Define an approach to engaging labor relations
- Develop plans and schedules for engaging labor relations and union stakeholders
- Notify or negotiate with unions in accordance with the CBAs

2.6 Develop Change Management Plan

Updated Communications Plan

Overview:

The Communications Plan outlines the strategy to communicate with stakeholders throughout the migration. Communications should support the change management strategy to increase stakeholder awareness and adoption of the future solution.

Guidance:

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

2.7 Conduct Initial Data Cleansing Activities

Updated Data Cleansing Plan

Overview:

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

Guidance:

- Define data cleansing approach based on results of data quality assessment
- Identify stakeholders involved in data cleansing
- Define key milestone dates to accomplish success criteria
- Establish criteria for clean data
- Develop approach to categorizing data for cleansing and reporting

Tollgate Preparation

USSM Risk Assessment Tool

Overview:

USSM's risk assessment tool provides a comprehensive, independent, objective review of project risk in preparation for tollgate reviews. Its standardized risk assessment framework presents key risk criteria to help CFO Act agencies better assess and identify risk areas in Shared Services migrations and IT modernization efforts.

Guidance:

- The USSM risk assessment tool lists the 12 key risks the project will be evaluated against along with their descriptions, the related artifacts and metrics, and pre-defined criteria to

complete the assessment. Based on the CFO Act agency's self-assessment and the USSM independent assessment:

- A numeric value is attributed to each risk;
- The cumulative risk rating is determined for each phase;
- The agency risk profile is determined;
- Mitigation strategies are documented for medium and high risk areas to help applicable agencies attain the lowest score possible and lower their risk profile.

M3 Playbook Guidance

Phase 3: Engagement

This guidance is intended for use by organizations to confirm and validate that their plans are comprehensive and have adequate level of detail for proper migration planning. The guidance highlights key considerations for organizations in their planning process for activities that are critical to the migration and where typical risks occur during the migration process.

Agencies have the discretion to develop these outputs using agency-specific guidelines as long as the overall objective of each M3 activity is fulfilled. Where specific guidance is not provided for an activity below, agencies should refer to the M3 Playbook activities for instructions.

3.1 Integrate PMO Structures

Integrated Human Resources (HR)/Staffing Plan

Overview:

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

Guidance:

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

3.2 Integrate Governance Structures

Integrated Governance Charter

Overview:

The Integrated Governance Charter details the roles, responsibilities, stakeholders, and procedures required for oversight and decision making throughout the migration across both the customer and provider organizations.

Guidance:

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

3.3 Update and Maintain Procurement Plan

Updated Procurement Plan

Overview:

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

Guidance:

- Define procurement needs for both the customer and provider for the Migration Phase (Federal only)
- Define procurement needs for professional services and infrastructure, hardware, and software
- Align all program acquisitions with HR/Staffing Plan
- Define scope and period of performance for each contract
- Identify timing and required budget resources for each planned acquisition
- Identify, on board, and integrate Contracting Officer/Contracting Officer's Representative (CO/COR) resources into customer and provider PMO

- Define types of contracts and procurement methods (e.g., contract vehicle) for all planned program acquisitions
- Establish procurement metrics for each planned acquisition to evaluate performance of contractors
- Align the Procurement Plan to the category management plan

3.4 Monitor and Control Program Execution

Status Reports/Dashboards

Overview:

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

Guidance:

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

Updated Implementation Approach/Timeline

Overview:

The Implementation Approach/Timeline details the high-level plan for, and integration activities required to, deploy systems/services within the customer organization.

Guidance:

- Define the implementation scope, including systems that will be implemented and any releases
- Develop the technical integration strategy between the customer and provider
- Understand gaps in the provider's technical solution identified, and level of effort to fill gaps
- Identify roles and responsibilities across both the customer and provider, and define specific integration points between the customer and provider with associated processes

Lessons Learned Report

Overview:

The Lessons Learned Report provides information for future iterations of this program (and others) based on activities completed to date, and reflects lessons learned by both the customer and provider.

Guidance:

- Identify key phase successes, including the factors that supported those successes
- Identify main challenges to the phase, including:
 - Shortcomings or unforeseen circumstances
 - How unforeseen challenges were overcome (if they were)

- An assessment as to whether the challenge ultimately impacted phase/program success, and what must be changed in the future in order to achieve success
- Develop recommendations to improve future programs and identify items to continue performing
- Define plan to implement recommendations into migration processes
- Record follow-up actions (as necessary) based on the tollgate review

3.5 Maintain and Execute Risk Processes

Integrated Risk Management Plan

Overview:

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

Guidance:

- Establish risk management roles and responsibilities for both the customer and provider
- Integrate risk management responsibilities across the customer and provider program teams
- Establish and follow escalation criteria and processes for risks/issues
 - Define processes for risk identification, assessment, mitigation, and closeout
 - Define method and cadence for risk/issue escalation
 - Establish authority for risk/issue escalation and risk/issue review
 - Response strategies for risks reflect feedback received from risk escalation procedures

Integrated Risks, Issues, Actions, and Decisions (RAID) Log

Overview:

The Integrated RAID Log is the mechanism to capture and track information on risks and issues from both the customer and provider.

Guidance:

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

3.6 Finalize Migration Approach

Migration Phase Interagency Agreement (IAA) Terms and Conditions (Federal Only)

Overview:

The Migration Phase IAA Terms and Conditions are the contract between the customer and provider that will drive customer and provider interaction and the associated migration activities.

Guidance:

- Clearly define the scope of the migration, including services requested, key activities that will be completed by the customer and provider, and all deliverables
- Define reporting procedures between the customer and provider
- Define roles of governance bodies, including decision rights
- Clearly define customer and provider roles and responsibilities during migration
- Complete Quality Assurance Surveillance Plan (QASP), with associated performance targets
- Identify and define deliverables to be completed during the Migration Phase
- Define period of performance for the Migration Phase
- Develop cost estimates for Migration Phase activities
- Program leadership and governance approve of the IAA

Go/No-Go Criteria for Go-Live Assessment

Overview:

The Go/No-Go Criteria for Go-Live Assessment will be used by program leadership and governance to evaluate the readiness for service deployment.

Guidance:

- Assessment criteria account for all activities/artifacts required for successful system/service functionality
- Prioritize criteria based on criticality to migration success
- Program leadership, and customer and provider governance bodies, approve of all evaluation criteria

Integrated Master Schedule (IMS)

Overview:

The IMS is used to define the program schedule, critical path, key milestones, resources aligned to activities, and dependencies between tasks across both the customer and provider.

Guidance:

- Re-baseline the program schedule
- Develop the work breakdown structure (WBS)
 - The WBS includes full scope of work for the program through the migration for both the customer and provider
 - Link activities within the WBS based on defined logical dependencies
 - The WBS enables summary and detail-level reports of program schedule
- Develop the critical path*

- Identify and logically sequence critical path milestones
- Develop the schedule management process
 - Define processes to update and maintain the IMS weekly
 - Define change control procedures with decision rights
- Assign resources within the schedule
 - Align program resources to the HR/Staffing Plan and Procurement Plan
 - Identify program resources in the IMS
- Identify dependencies in the IMS
- Make schedule feasibility apparent with accompanying basis of schedule estimates

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

3.7 Update Lifecycle Cost Estimate for Migration and O&M

Updated Lifecycle Cost Estimate (LCCE) for Migration and Operations and Maintenance (O&M)

Overview:

The updated LCCE for Migration and O&M details the total cost of ownership and cost estimate calculation assumptions for the migration and O&M.

Guidance:

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

3.8 Engage with Labor Relations

Updated Labor Relations Strategy

Overview:

The Labor Relations Strategy defines the best approach to engage with the union(s) as an organization migrates to a provider.

Guidance:

- Develop list of labor relations stakeholders
- Understand impacts to Collective Bargaining Agreements (CBAs), including the migration activities that are impacted by CBAs and the potential for bargaining impact of implementation
- Define approach to engaging labor relations
- Develop plans and schedules for engaging labor relations and union stakeholders
- Notify and negotiate with unions in accordance with the CBAs

3.9 Execute Change Management Plan

Updated Communications Plan

Overview:

The Communications Plan outlines the strategy to communicate with stakeholders throughout the migration. Communications should support the change management strategy to increase stakeholder awareness and adoption of the future solution.

Guidance:

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

3.10 Develop Training Plan

Training Plan

Overview:

The Training Plan establishes all the components necessary to institute training for the customer organization migrating to a provider. The plan provides time boundaries, training objectives stakeholders sought, and roles and responsibilities to those involved.

Guidance:

- Define roles and responsibilities of training planning, material development, delivery, and evaluation
- Define scope of training, considering both system and process training, for all necessary courses
- Define both migration and O&M training services
- Identify training audiences, stakeholder groups, and number of expected end users who require training
- Establish approach to training (e.g., in-person, train the trainer)
- Develop training schedule
- Define process to collect feedback on training delivery from participants

3.11 Finalize Requirements

Updated Requirements Management Plan

Overview:

The Requirements Management Plan outlines the approach used to identify, gather, and manage requirements throughout the migration.

Guidance:

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

Updated Requirements Traceability Matrix (RTM)

Overview:

The RTM is used to document, store, and trace requirements throughout the migration lifecycle. Business requirements are developed and documented in Phase 1. In Phase 3, customers and providers jointly discuss detailed technical and functional requirements and document them in the RTM.

Requirements are defined by the Project Management Institute (PMI) as follows:

Business Requirements describe the high-level needs of the overall organization to address a problem or opportunity. These requirements provide the rationale for why a project or program is launched.

Functional Requirements denote particular behaviors and operations that the solution will perform. These focus on the required functionality to enable stakeholders to accomplish their objectives, which in turn fulfills the business need.

Technical Requirements include interface, quality, security, workflow and other issues that affect the system and other relevant external factors. These requirements may include but are not limited to:

- Interface: The up and downstream integration with other systems and applications
- Quality: The usability, performance, or scalability standards associated with the expected functionality
- Security: The requirements related to security and user administration
- Migration: The workflow, migration and other automation requirements

For IaaS, PaaS, and SaaS solutions, remember that technical requirements should not detail how the solution should be designed as the solution already exists. These requirements should detail "what" (not "how") the acquired service must perform to meet mission, regulatory, or other policy objectives.

Guidance:

- Align requirements with applicable Line of Business standard requirements and trace them to processes and sub-processes as defined in the applicable Line of Business Service Catalog and process decomposition

- Align requirements to initial Scope of Services and objectives
- Make requirements inclusive of: functional, technical, interface, security, cybersecurity, reporting, help desk, controls, business intelligence (BI)/reporting as applicable to the service layer selected
- Make requirements that are outcome based and focused on “what” capability is needed to successfully execute the business process and not “how” the system should operate or how the process should be performed
- Categorize and prioritize requirements based on mission need and legislation/policy
- Define the source for each requirement including reference to the specific legislation and/or policy source document(s)
- Provide the status of each requirement including whether it is awaiting approval, approved, rejected, or deferred

3.12 Conduct Requirements Fit-Gap Analysis

Gap Analysis Report

Overview:

The Gap Analysis Report identifies where requirements can be met by the provider’s standard solution and where gaps may exist. Where there are gaps, the Gap Analysis Report outlines proposed solution options, documents the desired gap resolution options with defined cost, scheduling, and resource implications to the program.

Guidance:

- 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
- Identify fit or gap for each requirement in the RTM and document gaps using formal gap ID forms and assess consensus with feedback surveys. A sample gap ID form is available [here](#)
- For each gap identified:
 - Identify proposed solutions
 - Define resolution type (Report, Interface, Conversion, Enhancement, Form, Workflow, or BI)
 - Select gap solution with cost, schedule, and resource implications defined

3.13 Finalize Target State Systems Environment

Target State Systems Environment

Overview:

The Initial Target State Systems Environment validates the As-Is Concept of Operations of the As-Is Systems Environment and documents the Target State Concept of Operations that capture all required interfaces, applications, and data layers. This document provides the overall Systems Architecture for the target state.

Guidance:

- Define changes required to legacy systems
- Identify systems to be migrated

- Identify required interfaces, including new interfaces that must be developed
- Establish network requirements, including connectivity between the customer and provider
- Select applications included within target state environment
- Define BI and reporting solution
- Define system capacity and performance (e.g., availability, reliability)
- Define backup and disaster recovery solution

3.14 Develop Integrated Technical Strategy

Configuration Management Plan

Overview:

The Configuration Management Plan defines how configuration items will be managed throughout the lifecycle, including software, hardware, interfaces, and documentation.

Test Plan

Overview:

The Test Plan identifies the strategies, objectives, and approach of testing to be performed, test data requirements, resources needed, and scope and schedule of planned test activities. It identifies test items, the features to be tested, testing roles and responsibilities, and any risks requiring contingency planning.

Guidance:

- Define scope and approach of testing cycles, including:
 - Unit testing
 - Integration testing
 - Security testing
 - User acceptance testing
 - Performance testing
 - Section 508 Compliance testing
 - Data conversion testing
 - Regression testing
- Identify stakeholders involved in each testing cycle
- Track requirements to test cases, defects, and resolution
- Define test data sets
- Define defect tracking and resolution processes
- Develop approach to train testers
- Define instance management procedures
- Define success criteria for each testing cycle
- Define testing schedule

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

Data Conversion Plan

Overview:

The Data Conversion Plan identifies the strategies for converting data from an existing system to

Guidance:

- Develop procedures to extract data
- Create and define extract transform load tools and protocols
- Define system structure, major components, and type of conversion effort
- Define system hardware and software conversion steps
- Identify data that must be available for conversion and the requirements for preparing the data for conversion
- Identify affected interfaces and necessary updates to the interfaces
- Establish data quality assurance controls for before and after the data conversion
- Define tasks, procedures, and necessary support for carrying out the conversion effort
- Define and address security issues related to conversion effort
- Develop conversion schedule

Updated Data Cleansing Plan

Overview:

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

Guidance:

- Define data cleansing approach based on results of data quality assessment
- Identify stakeholders involved in data cleansing
- Define key milestone dates to accomplish success criteria
- Establish criteria for clean data
- Develop approach to categorizing data for cleansing and reporting

3.17 Define Integrated Contact Center Structure

Integrated Contact Center Strategy

Overview:

The Integrated Contact Center Strategy details the help desk capabilities from the provider and provides methodology to integrate customer care procedures between the customer and provider for issue resolution

Guidance:

- Define tier structure for how inquiries are escalated
- Establish integration points and handoffs between customer, provider, and vendor including inquiry and issue routing
- Establish ownership and responsibilities (i.e., ticket owner, help desk personnel, SMEs)
- Identify technology to be used to track and record inquiries
- Define performance metrics to track calls (e.g., wait times, average call time, call volume)
- Define plans to train help desk support
- Identify knowledge required for the contact center

3.18 Define Service Level Agreements

O&M Service Level Agreements (SLAs)

Overview:

SLAs are established to design metrics to measure performance (overall program and individual processes) during the migration and define the desired SLA metrics for the O&M phase.

Guidance:

- Establish period of performance for O&M phase
- Establish security requirements and agreements related to SLAs
- Define standards for the manner in which disputes will be identified and resolved between provider and customer
- Establish migration terms necessary to convert the customer organization to the provider
- Clearly define services provided along with the funding and cost of services
- Establish roles and responsibilities
- Establish performance metrics for the services provided around clearly defined in-scope services
- Establish termination details of the service level requirement agreements

Tollgate Preparation

USSM Risk Assessment Tool

Overview:

USSM's risk assessment tool provides a comprehensive, independent, objective review of project risk in preparation for tollgate reviews. Its standardized risk assessment framework presents key risk criteria to help CFO Act agencies better assess and identify risk areas in Shared Services migrations and IT modernization efforts.

Guidance:

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

M3 Playbook Guidance

Phase 4: Migration

This guidance is intended for use by organizations to confirm and validate that their plans are comprehensive and have adequate level of detail for proper migration planning. The guidance highlights key considerations for organizations in their planning process for activities that are critical to the migration and where typical risks occur during the migration process.

Agencies have the discretion to develop these outputs using agency-specific guidelines as long as the overall objective of each M3 activity is fulfilled. Where specific guidance is not provided for an activity below, agencies should refer to the M3 Playbook activities for instructions.

4.1 Monitor and Control Program Execution

Status Reports/Dashboards

Overview:

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

Guidance:

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

Updated Integrated Master Schedule (IMS)

Overview:

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

Guidance:

- Develop the work breakdown structure (WBS)
 - The WBS includes full scope of work for the program, and provides additional detail for activities through Go-Live
 - Link activities within the WBS based on defined logical dependencies
 - The WBS enables summary and detail-level reports of program schedule
- Develop the critical path*
- Identify and logically sequence critical path milestones
- Develop the schedule management process
 - Define processes to update and maintain the IMS weekly
 - Define change control procedures with decision rights
- Assign resources within the schedule
 - Align program resources to the program Human Resources (HR)/Staffing Plan and Procurement Plan
 - The IMS is resource loaded and identifies which resources are under or over utilized
- Identify dependencies in the IMS
- Make schedule feasibility apparent with accompanying basis of schedule estimates

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

4.2 Maintain and Execute Risk Processes

Updated Integrated Risk Management Plan

Overview:

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

Guidance:

- Establish risk management roles and responsibilities for both the customer and provider
- Integrate risk management responsibilities across the customer and provider program teams
- Establish and follow escalation criteria and processes for risks/issues
 - Define processes for risk identification, assessment, mitigation, and closeout
 - Define the method and cadence for risk/issue escalation
 - Establish authority for risk/issue escalation and risk/issue review
 - Response strategies for risks reflect feedback received from risk escalation procedures

Updated Integrated Risks, Issues, Actions, and Decisions (RAID) Log

Overview:

The RAID Log is the mechanism to capture and track information on risks and issues from both the customer and provider.

Guidance:

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

4.3 Develop Integrated O&M Governance

Integrated Operations and Maintenance (O&M) Governance Charter

Overview:

The Integrated O&M Governance Charter details the integrated roles, responsibilities, and decision rights as they relate to the management of services after migration.

Guidance:

- Develop integrated governance body of providers and customers with defined membership

- Established decisions rights and escalation criteria account for all O&M activities (e.g., pricing/chargeback, upgrades, and system changes)
 - Define breakdown of decision rights
 - Put criteria for escalating decisions in place
- Define roles and responsibilities for customers and providers
- Establish voting procedures, which include:
 - Identified voting membership
 - Established quorum requirements
 - Majority voting thresholds
- Determine governance meeting cadence and communications, including:
 - Meeting frequency and location
 - Meeting format and participants
 - Pre- and post- meeting communications

4.4 Prepare O&M Scope of Services and Contracts

O&M Contract or Interagency Agreement (IAA)

Overview:

The O&M Contract or IAA describes the type and distribution of O&M activities across the customer and provider organizations, and establishes the basis for managing service after the migration is complete.

Guidance:

- Define O&M roles and responsibilities between customers and provider or vendor
- Establish Service Level Agreements (SLAs) with the provider or vendor, which include performance metrics
- Define termination clauses and exit criteria
- Define the period of performance, including contract option periods
- Define pricing and payment schedule

4.5 Assess Readiness for Go-Live

Contingency Plan

Overview:

The Contingency Plan details activities to be completed, as well as expected impacts, if a “Go” decision is not reached during the Go/No-Go assessment, or environment needs to be rolled back during cutover.

Guidance:

- The Contingency Plan accounts for all decision scenarios resulting from the Go/No-Go assessment (e.g., No-Go Decision, Roll-Back Decision). For each scenario, the Contingency Plan accounts for:
 - Completed plans for immediate activities to be completed for each scenario
 - Completed analysis of impacted systems and interfaces

- Defined roles and responsibilities for re-planning activities
- Defined roles and responsibilities for managing legacy systems
- Completed plans for required communications for each scenario

4.6 Update Lifecycle Cost Estimate for O&M

Updated Lifecycle Cost Estimate (LCCE) for O&M

Overview:

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

Guidance:

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

4.9 Execute Training for Go-Live

Updated Training Plan

Overview:

The Training Plan establishes all the components necessary to institute training for the customer organization migrating to a provider. The plan provides time boundaries, training objectives stakeholders sought, and roles and responsibilities to those involved.

Guidance:

- Define roles and responsibilities of training planning, material development, delivery, and evaluation
- Define scope of training, considering both system and process training, for all necessary courses
- Define both migration and O&M training services
- Identify training audiences, stakeholder groups, and number of expected end users who require training
- Establish approach to training (e.g., in-person, train the trainer)
- Develop training schedule, and identify trainings completed
- Define the process to collect feedback on training delivery from participants

4.17 Conduct Mock Conversions

Updated Data Conversion Plan

Overview:

The Data Conversion Plan identifies the strategies for converting data from an existing system to a new system environment.

Guidance:

- Define system structure, major components, and type of conversion effort
- Define System Hardware and Software conversion steps
- Identify data that must be available for conversion and the requirements for preparing the data for conversion
- Identify affected interfaces and necessary updates to the interfaces
- Establish data quality assurance controls for before and after the data conversion
- Define tasks, procedures, and necessary support for carrying out the conversion effort
- Define and address security issues related to conversion effort
- Develop conversion schedule

Mock Conversion Report

Overview:

The Mock Conversion Report documents result of each conversion run.

Guidance:

- Define data required for conversion
- Understand percent of data converted successfully and failed
- Develop data conversion issue list including whether issues have been resolved or still outstanding (outstanding issues have assigned resource and organization)
- Evaluate data conversion against success criteria to determine readiness for cutover
- Develop history of prior data conversion runs

4.18 Test Systems and Processes

Test Plan

Overview:

The Test Plan documents the objectives and approach of testing to be performed, test data requirements, resources needed, planned test activities, and schedule of planned test activities.

Guidance:

- Define test approach and process
- Define testing type (e.g., Unit Test, Integration Test, System Test, User Acceptance Test, Performance Test, Data Conversion Test, Smoke Test, Regression Test, Security Test, Section 508 Compliance Test)
- Define test items in scope and out of scope for each test type
- Develop pre-test and post-test activities, test cases or test scenarios for each test type
- Define data requirements for each test type
- Develop and provide User Acceptance Testing (UAT) test training as part of UAT testing
- Develop test schedule with target start and end dates

Overview:

The Test Defect Log defines the test cases and track testing activities and results for each requirement.

Guidance:

- Create test case and associated test scripts for each requirement
- Define tester and test acceptance criteria for each requirement
- Log, track, and assign ownership for resolution of test issues
- Prioritize and resolve test issues

Test Results Report

Overview:

The Test Results Report documents the results of each test type.

Guidance:

- Document the following:
 - System functions that are being tested
 - User Story mapped to test cases
 - Percent of test cases executed, passed, failed, and not completed
 - Test Issue list including resolved defects and unresolved defects
 - Determination of test acceptance and readiness of system for next steps

4.19 Develop and Execute Cutover Plan for Go-Live

Cutover Plan

Overview:

The Cutover Plan defines the specific activities required to be completed before and after go-live. It also includes mitigation steps and contingency plan in preparation for unexpected events that may occur during cutover.

Guidance:

- Define cutover communication steps
- Define checkpoint meetings
- Align resources
- Identify risks and put contingency plan in place
- Define pre-cutover activities leading up to the day of cutover
- Define activities on the day of cutover
- Define post-cutover activities

4.20 Finalize Service Level Agreements

Updated O&M SLAs

Overview:

SLAs are established to design metrics to measure performance (overall program and individual processes) during the migration and define the desired SLA metrics for the O&M phase.

Guidance:

- Establish the period of performance for the O&M phase
- Establish security requirements and agreements related to SLAs
- Define standards for the manner in which disputes will be identified and resolved between provider and customer

4.21 Design Target State Processes

Target State Process Maps

Overview:

The Target State Process Maps provide an overview of the to-be processes and details supporting tools needed to execute processes integrated by the migration.

Guidance:

Document the following in the Target State Process Maps:

- Process flows and handoffs
- Transaction volumes
- Enabling technology
- User roles and responsibilities
- Supporting tools/documentation used to complete processes

Standard Operating Procedures

Overview:

Standard Operating Procedures are agency-specific step-by-step instructions for the execution of routine operations, and are aimed at ensuring efficiency, quality output, consistency and uniformity of performance, and compliance with relevant regulations. They ensure adherence of new and current users to processes.

Guidance:

- Organize the to-be process maps into end-to-end executable steps
- Specify scope, purpose, input, output, tools and relevant regulation.

Updated Business Process Reengineering Strategy

Overview:

The Updated Business Process Reengineering Strategy refines the workflows and business processes within the organization that were defined in earlier Phase(s).

Guidance:

- Updated and refine the
- The organizational structure
- Management systems
- Staff responsibilities and incentives
- Performance measurement
- Skills development
- Use of IT processes

Tollgate Preparation

USSM Risk Assessment Tool

Overview:

USSM's risk assessment tool provides a comprehensive, independent, objective review of project risk in preparation for tollgate reviews. Its standardized risk assessment framework presents key risk criteria to help CFO Act agencies better assess and identify risk areas in Shared Services migrations and IT modernization efforts.

Guidance:

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

M3 Playbook Guidance

Phase 5: Operations

This guidance is intended for use by organizations to monitor delivery of services and perform continuous improvement. The guidance highlights key considerations for organizations in their operations and maintenance activities.

Agencies have the discretion to develop these outputs using agency-specific guidelines as long as the overall objective of each M3 activity is fulfilled. Where specific guidance is not provided for an activity below, agencies should refer to the M3 Playbook activities for instructions.

5.1 Review Performance Against Expected Benefits

Final Report on Success Metrics

Overview:

The Final Report on Success Metrics documents the program's effectiveness in achieving the Target Performance and Success Metrics.

Guidance:

- Compare the Baseline Performance and Success Metrics against the Target Performance Success Metrics to identify the program's successes.
- Identify the unmet performance gaps and develop continuous improvement strategies that can help eliminate them.

The GSA Benchmarking Initiative at <https://benchmarks.gsa.gov/> is a useful resource, providing federal-wide management benchmarks in mission-support service areas.

Refer to Activity 1.6 for guidance on target performance and success metrics used at the beginning of the project. Agencies may also consult the [Sample Performance and Success Metrics](#) located in the M3 Templates Library.