

# 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<sup>\*</sup>
  - 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.