

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.

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 requirements and key information about the provider's capabilities to help customers and providers determine if they are a good fit. Business, functional, and technical requirements are all developed and documented in the Requirements Traceability Matrix (RTM) in Phase 1, but customers and providers will not jointly discuss detailed technical and functional requirements until Phase 3. In the Business Needs Workbook, customers should not include all business requirements for every service, and should instead focus on must-have business requirements. Examples of requirements 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.

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.

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

Updated 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 requirements (e.g., estimated service/transaction volumes)
- Define performance requirements
- Prioritize target systems/services for implementation, and develop 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

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

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