

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.

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

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

1.7 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 Document Detailed Requirements and 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.

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)

Detailed Business Requirements

Overview:

Document the detailed business requirements, based on the following:

- Standard Requirements from Line of Business Service Catalogs, Standard Requirements, Regulations, and Policies Financial Management Human Resources
- Initial Scope of Services
- Initial Target State Concept of Operations
- Initial Target State Systems Environment

In Phase 1, 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.

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

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 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)

1.11 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

1.12 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

1.14 Define Scope of Services Requirements

Initial Scope of Services

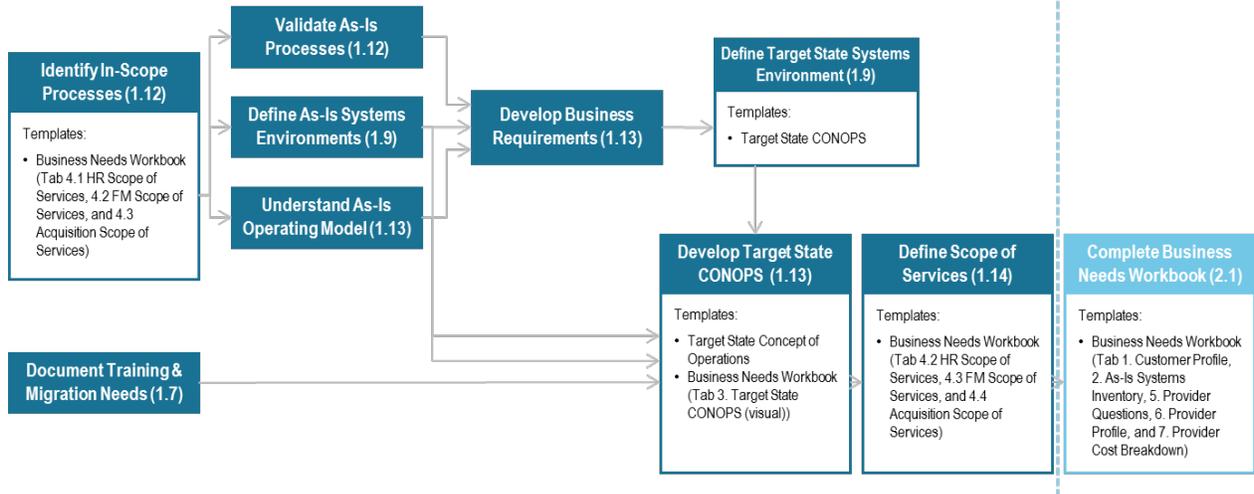
Overview:

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 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



Phase 2