Modernization and Migration Management (M3) Playbook

GSA, Unified Shared Services Management

Introduction

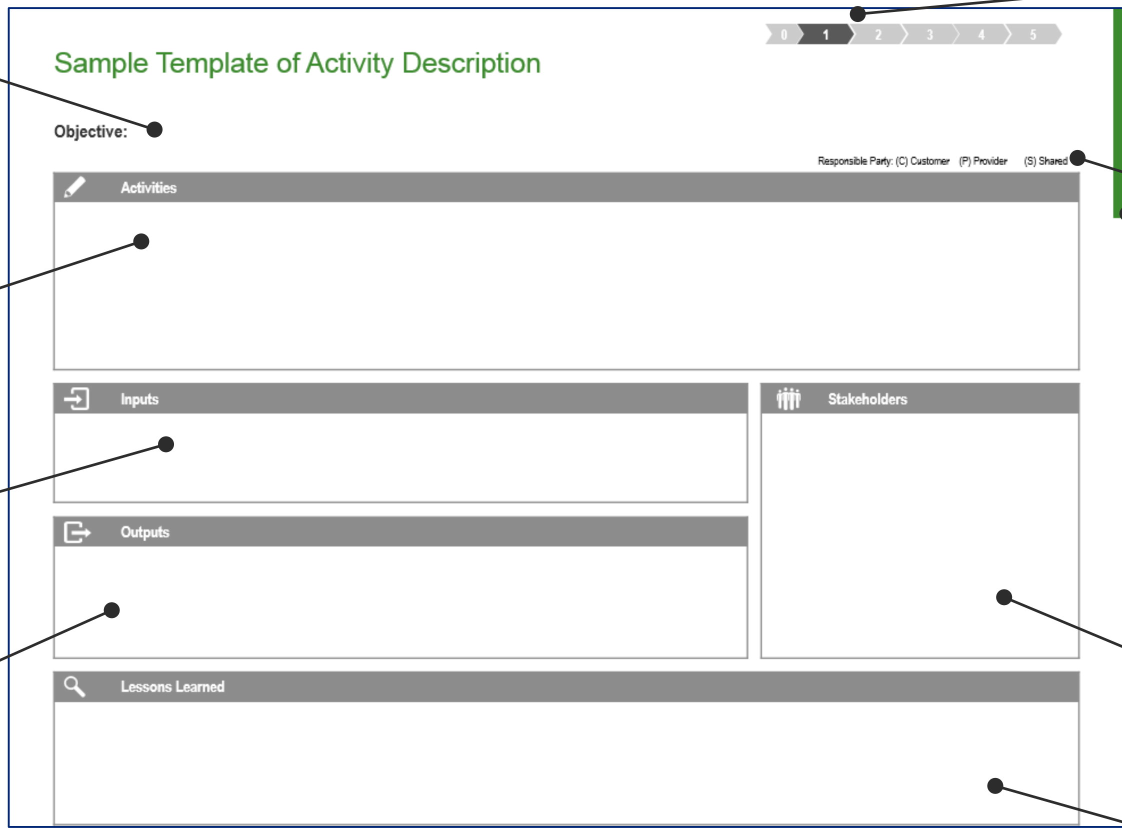
How to Read an Activity Description

Objective:
Provides the overall objective of the activity

Activities:
Describes the step-by-step activities that the program team should conduct in order to achieve the intended objective

Inputs:
Lists inputs that will be needed to conduct the activities

Outputs:
Lists the required outputs at the end of the activities



Phase:
Indicates the phase in which the activity occurs

Responsible Party:
Indicates the party/parties responsible for the activity

Workstreams:
Indicates the workstream in which the activity occurs: PMO (dark green), Change Management (light blue), Technology (light green), or Process & Service Delivery (dark blue)

Stakeholders
Describes who is typically involved in the activities

Lessons Learned:
Provides lessons learned from previous migrations for consideration as activities are conducted

Frequently Used Terms

Input	A document (usually created in a prior activity) or an event required by that process before a process proceeds
Output	A document or event that is produced by an activity to facilitate robust planning and migration activities
Exit Outcome	An outcome that should be achieved by the time a phase is complete
Guidance Items	A supporting tool for agencies to evaluate their plans and program artifacts against leading practices; guidance items can be used to guide the content of organization-specific documentation when not using a template
Template	A document that contains required fields and details for an output
Tollgate Review Discussions	A summary presentation that must be submitted at the end of a phase tollgate with key components to inform risk review and budget/funding decisions for the migration

Executive Summary

Modernization and Migration Management (M3) Playbook Overview

◆ Tollgate

Investment Review Process

	0. Assessment	1. Readiness	2. Selection	3. Engagement	4. Migration	5. Operations
Objective	Build a vision and Major Information Technology (IT) Business Case for the migration	Prepare the customer organization for the modernization effort and define requirements	Conduct due diligence to select the provider based on requirements and desired target end state	Conduct detailed planning through a Fit-Gap Assessment and finalize the migration and Operations and Maintenance (O&M) approach and costs	Configure, test, and deploy the new system, concept of operations, and workforce design	Deliver services and conduct continuous process improvement
Key Activities	• Define Vision and Operational End State • Develop Major IT Business Case	• Stand-up Program Management Office (PMO) • Define migration scope of services and program management processes • Establish customer risk processes • Assess data quality	• Assess different providers to understand which can best meet the scope of services requirements • Select provider for Engagement and fit-gap analysis • Begin preparing the organization for change • Continue cleansing data	• Conduct a Fit-Gap Assessment to understand how the requirements will be met and where tailored solutions will be required • Define Migration Approach and roadmap • Integrate PMO processes between the customer and provider	• Configure, test, and deploy the new solution and concept of operations • Migrate in-scope processes and design the transformed organization for the future state environment	• Monitor the success of the migration and move into operations • Continue training and communications • Conduct process improvement and customer care activities
Exit Outcomes	✓ Major IT Business Case Approved	✓ PMO and Governance Structure Defined ✓ Resources On Boarded ✓ Mitigation Plans in Place for Major Risks/Issues ✓ Initial Schedule Defined ✓ Lifecycle Cost Estimate Developed ✓ Change Management Strategies Defined ✓ Data Quality Assessed ✓ Procurement Strategy Defined ✓ Business Requirements Defined	✓ Provider Selected ✓ Mitigation Plans in Place for Major Risks/Issues ✓ Schedule Updated ✓ Data Cleansing Commenced ✓ Lifecycle Cost Estimate Updated for Engagement, Migration, and O&M ✓ Communications to Stakeholders Delivered	✓ Fit-Gap Assessment Completed ✓ PMO and Governance Processes Integrated ✓ Lifecycle Cost Estimate Updated for Migration and O&M ✓ Migration Approach Finalized ✓ Master Schedule Drafted ✓ SLAs for Migration and O&M defined ✓ Go/No-Go Criteria Approved	✓ Go/No-Go Criteria Met to Deploy Solution	✓ Post-migration Performance Metrics Reported ✓ Lessons Learned Developed

M3 Playbook Outline

Responsible Party: Customer | Provider | Shared

Tollgate

Program Health Assessment

Investment Review Process

	Phase 0: Assessment	Phase 1: Readiness	Phase 2: Selection	Phase 3: Engagement	Phase 4: Migration	Phase 5: Operations
Program Management	0.1 Define Vision and Operational End State 0.2 Develop Major IT Business Case	1.1 Establish Initial Customer PMO Processes 1.2 Establish Customer Governance Structure and Processes 1.3 Establish Customer Risk Processes 1.4 Conduct Procurement Planning 1.5 Develop Lifecycle Cost in the Business Case 1.6 Define Benefits of the Program	2.1 Select Provider for Engagement 2.2 Update Lifecycle Cost Estimate for Engagement, Migration, and O&M 2.3 Monitor and Control Program Execution 2.4 Maintain and Execute Risk Processes	3.1 Integrate PMO Structures 3.2 Integrate Governance Structures 3.3 Update and Maintain Procurement Plans 3.4 Monitor and Control Program Execution 3.5 Maintain and Execute Risk Processes 3.6 Finalize Migration Approach 3.7 Update Lifecycle Cost Estimate for Migration and O&M	4.1 Monitor and Control Program Execution 4.2 Maintain and Execute Risk Processes 4.3 Develop Integrated O&M Governance Process 4.4 Prepare O&M Scope of Services and Contracts 4.5 Assess Readiness for Go-Live 4.6 Update Lifecycle Cost Estimate for O&M	5.1 Review Performance against Expected Benefits 5.2 Collect Lessons Learned 5.3 Implement Integrated O&M Governance
Workforce, Organization, & Stakeholders		1.7 Assess Change Management Approach 1.8 Understand As-Is Workforce	2.5 Assess Labor Relations Outreach 2.6 Develop Change Management Plan	3.8 Engage with Labor Relations 3.9 Execute Change Management Plan 3.10 Develop Training Plan	4.7 Design Target State Organization 4.8 Execute Workforce Transition and Prepare for Go-Live 4.9 Execute Training for Go-Live 4.10 Execute Labor Relations Strategy	5.4 Support Stabilization and Perform Change Management
Technology		1.9 Define As-Is and Initial Target State Systems Environments 1.10 Document Detailed Business Requirements and Define Mission Critical Needs 1.11 Plan and Conduct Initial Data Quality Assessment	2.7 Conduct Initial Data Cleansing Activities	3.11 Finalize Requirements 3.12 Conduct Requirements Fit-Gap Assessment 3.13 Finalize Target State Systems Environment 3.14 Develop Integrated Technical Strategy 3.15 Prepare Data for Mock Conversions (Data Cleansing, Data Mapping)	4.11 Conduct Security and Privacy Reviews 4.12 Define Roles and User Access 4.13 Design, Configure, and Develop Systems 4.14 Design and Develop Interfaces 4.15 Design and Develop Reports 4.16 Design and Develop Data Warehouse 4.17 Conduct Mock Conversions 4.18 Test Systems and Processes 4.19 Develop and Execute Cutover Plan for Go-Live	5.5 Maintain Applications Post Go-Live 5.6 Decommission Legacy Systems
Process & Service Delivery		1.12 Understand As-Is Business Processes 1.13 Develop Initial Target State Concept of Operations 1.14 Define Scope of Services Requirements		3.16 Finalize Target State Concept of Operations 3.17 Define Integrated Contact Center Structure 3.18 Define Service Level Agreements	4.20 Finalize Service Level Agreements 4.21 Design Target State Processes	5.7 Conduct Continuous Process Improvement 5.8 Manage Integrated Contact Center 5.9 Monitor and Update Service Level Agreements

Phase 1: Readiness

Phase 1 Summary and Documentation

Phase Objective	Prepare the migrating organization by defining initial scope of services and customer governance for the modernization effort

Responsible Party: Customer · Provider · Shared

Phase 1: Readiness

Program Management	Workforce, Organization, & Stakeholders	Technology	Process & Service Delivery
1.1 Establish Initial Customer PMO Processes 1.2 Establish Customer Governance Structure and Processes 1.3 Establish Customer Risk Processes 1.4 Conduct Procurement Planning 1.5 Develop Lifecycle Cost in the Business Case 1.6 Define Benefits of the Program	1.7 Define Change Management Approach 1.8 Understand As-Is Workforce	1.9 Define As-Is and Initial Target State Systems Environments 1.10 Document Detailed Business Requirements and Define Mission Critical Needs 1.11 Plan and Conduct Initial Data Quality Assessment	1.12 Understand As-Is Business Processes 1.13 Develop Initial Target State Concept of Operations 1.14 Define Scope of Services Requirements

Phase Documentation	The following documentation is developed during Phase 1 and is used to inform the development of the Phase 1 Tollgate Review Discussion

Phase 1 Documentation

- **HR/Staffing Plan**
- **IV&V Plan**
- **Governance Charter**
- **LCCE**
- **Requirements Management Plan**
- **Detailed Business Requirements**
- Program Charter
- Program Management Plan
- Initial Schedule
- Status Reports/Dashboard
- Risk Management Plan
- RAID Log
- Procurement Plan
- QASP
- Baseline Performance and Success Metrics
- Target Performance and Success Metrics
- Stakeholder Analysis
- Communications Plan
- Migration and O&M training needs
- As-Is Workforce Documentation
- Change Readiness Assessment
- As-Is Systems Environment
- Initial Target State Systems Environment
- Initial Business Requirements
- Data Governance Model
- Data Cleansing Plan
- Initial Business Process Reengineering Strategy
- Validated As-Is Process Maps
- Initial Target State Concept of Operations
- Initial Scope of Services

**Bolded documentation should be submitted with the Tollgate Review Discussion. Additional information may be requested by USSM*

Information Contained in Tollgate Review Discussion

1. Initial Schedule Overview
2. LCCE
3. HR/Staffing Plan
4. Procurement Approach
5. IV&V Plan
6. Program Governance Model
7. Scope of Services Overview
8. Change Management and Communications Approach
9. Data Management/Data Quality Approach
10. Top Risks

Exit Criteria (to move into Phase 2)

- ✓ PMO and Governance Structure Defined
- ✓ Resources On Boarded
- ✓ Mitigation Plans in Place for Major Risks/Issues
- ✓ Initial-Schedule Defined
- ✓ LCCE Developed
- ✓ Procurement Approach Defined
- ✓ Change Management Strategies Defined
- ✓ Data Quality Assessed
- ✓ Risks and Issues Management Defined
- ✓ Business Requirements Defined

Program Management
1.1 Establish Initial Customer PMO and Processes

Objective: Establish a customer PMO structure as well as supporting PMO processes to manage and oversee program activities

Responsible Party: (C) Customer (P) Provider (S) Shared

Activities

1. Onboard PMO lead and team to support Phase 1 activities (C)
2. Develop charter for program (C)
3. Develop HR/Staffing Plan (including PMO roles and responsibilities)
4. Develop Program Management Plan (including risk, procurement, cost, communications/stakeholder, and quality) (C)
5. Develop Initial Schedule for Phases 1 and 2 activities (C)
6. Develop IV&V Plan (C)
7. Execute onboarding/off boarding activities as defined within the HR/Staffing Plan (C)
8. Begin executing against Program Management Plan (C)
9. Manage schedule weekly by updating activities, dates, duration, and dependencies in conjunction with activity owners (C)
10. Develop status report and report on schedule, issues, and risks (C)

Inputs

- Business Case
- Vision

Outputs

- Program Charter
- HR/Staffing Plan
- Program Management Plan
- Initial Schedule
- IV&V Plan
- Status Reports/Dashboards

Stakeholders

- Executive Sponsor (C)
- Program Manager (C)
- PMO Lead (C)
- PMO Team, if on boarded (C)

Lessons Learned

- Establish the necessary PMO structure, staff and processes upfront as it will set the stage for the remainder of the migration
- Maintain the same key personnel throughout the program
- Develop Program Charter with a defined scope upfront based on the agreed upon vision; the Initial Schedule should be flexible and closely monitored for necessary updates
- Develop IV&V Plan to independently and proactively identify risks

Program Management
1.2 Establish Customer Governance Structure and Processes

Objective: Develop a governance structure that establishes program activity ownership and decision making authority for the customer throughout the migration

Responsible Party: (C) Customer (P) Provider (S) Shared

Activities

1. Identify or create customer governance bodies that will participate in the program and integrate with broader governance structures (C)
2. Define governance authority, roles, and responsibilities for oversight, management decision-making, and risk/issue escalation procedures (C)
3. Establish regular meeting cadence and reporting timelines for Phases 1 and 2 (C)
4. Develop Governance Charter (C)
5. Begin executing against Governance Charter (C)
6. Escalate decisions, risks, and issues to governance bodies for decision making and issue resolution (C)
7. Hold regular governance meetings to review progress and address escalated decisions, risks, and issues (C)

Inputs

- Business Case
- Program Management Plan
- Existing Governance Bodies within Customer Organization

Outputs

- Governance Charter

Stakeholders

- Executive Sponsor (C)
- Business Owner(s) (C)
- Program Manager (C)
- PMO Lead (C)
- PMO Team (C)
- Functional Lead (C)
- Technical Lead/Solution Architect (C)
- Change Management Lead (C)

Lessons Learned

- Develop internal governance model at the beginning of the migration to make decisions in alignment with the objectives and goals of the program
- Obtain buy-in from internal organizations early on to establish collaboration throughout the migration; obtain buy-in from executives, managers, and line personnel as stakeholders and subject matter experts (SMEs)
- Encourage decisions to be made at the lowest possible level, while allowing elevation of important or contentious issues through the governance model

Program Management
1.3 Establish Customer Risk Processes

Objective: Establish a Risk Management Plan and supporting processes to identify risks and develop risk mitigation plans throughout the migration

Responsible Party: (C) Customer (P) Provider (S) Shared

Activities

1. Develop risk management processes and associated roles and responsibilities for identifying and mitigating risks (C)
2. Identify known risks and enter into Risk, Action Items, Issues, Decision (RAID) Log (C)
3. Develop and employ mitigation strategies continuously throughout Phase 1 (C)
4. Maintain and update RAID Log with new risks, changes to existing risks, and status of risk management activities continuously at a minimum of every two weeks throughout Phase 1 (C)
5. Report on new risks/issues and ongoing risk/issue mitigation activities in governance meetings and Status Reports/Dashboards (C)
6. Update Risk Management Plan as necessary (C)
7. Document Action Items and Decisions in the RAID log (C)

Inputs

- Program Charter
- Governance Charter
- Program Management Plan
- Initial Schedule

Outputs

- Risk Management Plan
- RAID Log

Stakeholders

- Executive Sponsor (C)
- Business Owners (C)
- Program Manager (C)
- Risk Manager (C)
- PMO Lead (C)
- PMO Team (C)

Lessons Learned

- Identify roles and responsibilities for risk management early on and establish a risk manager to coordinate all risk management activities throughout the program
- Train migration team members on how to identify and document risk mitigation plans and how to escalate and communicate to leadership effectively

Program Management
1.4 Conduct Procurement Planning

Objective: Develop approach and plan to procure products and services for customer planning and to support activities for which customer is responsible throughout the migration

Responsible Party: (C) Customer (P) Provider (S) Shared

Activities

1. Define procurement needs and associated timelines for the program which may include support for program management, change management, business process reengineering, data management, interface development, and integration (C)
2. Collaborate with category manager to identify acquisition strategy (C)
3. Develop a plan that documents the approach for program procurement for support services as well as provider migration and operations and maintenance (O&M) (C)
4. Develop Quality Assurance Surveillance Plan (QASP) and approach to monitor metrics and performance of provider during the migration (C)
5. Develop Requests for Proposals (RFPs), Requests for Quotes (RFQs), Requests for Information (RFIs), and Performance Work Statements (PWSs) to procure support or other services for activities the customer will be performing (C)
6. Obtain contract support through Phases 1 and 2 (C)
7. Report changes to Procurement Plans in governance meetings and Status Reports/Dashboards (C)

Inputs

- Program Charter
- Governance Charter
- Program Management Plan
- Updated LCCE

Outputs

- Procurement Plan
- QASP

Stakeholders

- Executive Sponsor (C)
- Business Owners (C)
- Program Manager (C)
- PMO Lead (C)
- PMO Team (C)
- Contracting or Procurement Officer (as needed) (C)

Lessons Learned

- Identify personnel with critical skill sets and align them with specific program activities; bring on subject matter experts (SMEs) and information technology (IT) personnel early to ensure a successful migration in later phases
- Define people, budget, and contracts before beginning implementation activities; align activities to specific resources in the Initial Schedule

Program Management

1.5 Develop Lifecycle Cost in the Business Case

Objective: Develop the estimated costs of a migration based on the customer Scope of Services requirements to manage and plan budgetary needs

Responsible Party: (C) Customer (P) Provider (S) Shared

Activities

1. Develop LCCE based on information gained in Phase 1 (e.g., requirements gathering, procurement decisions, risk mitigation, scope of services) and reasonableness and affordability (C)
2. Develop LCCE (according to cost management plan) for all future phases (C)
3. Compare actual spending with budget and adjust LCCE as needed (C)
4. Report changes to program costs and actual spending in governance meetings and Status Reports/Dashboards (C)

Inputs

- Business Case
- Initial Scope of Services
- Initial Target State Systems Environment
- Initial Target State Concept of Operations

Outputs

- LCCE

Stakeholders

- Executive Sponsor (C)
- Program Manager (C)
- PMO Lead (C)
- PMO Team (C)
- Budget or Financial Analyst (as needed) (C)

Lessons Learned

- Plan multi-year budget requests through lifecycle cost analyses based on expected scope and operational impacts of releases

Program Management
1.6 Define Benefits of the Program

Objective: Define expected benefits of the program based on the strategic objectives of the organization

Responsible Party: (C) Customer (P) Provider (S) Shared

Activities

1. Understand strategic drivers based on the objectives of the program (C)
2. Identify and document metrics to measure outcomes of the program against strategic drivers (C)
3. Set baselines for current state performance metrics and define success targets expected to be achieved after completion of the program (C)
4. Develop reporting mechanism and timeline to report on metrics after migration Go-Live (C)

Inputs

- Organization Strategic Goals and Objectives
- Initial Target-State Concept of Operations

Outputs

- Baseline Performance and Success Metrics
- Target Performance and Success Metrics

Stakeholders

- Business Owner(s) (C)
- Executive Sponsor (C)
- Program Manager (C)
- PMO Lead (C)
- PMO Team, if on boarded (C)

Lessons Learned

- Set defined performance and success metrics (including baselines and targets) at the beginning of the program to be able to measure and communicate the benefits intended, and ultimately achieved, by the program

Workforce, Organization & Stakeholders
1.7 Define Change Management Approach

Objective: Assess stakeholders impacted and their readiness for change to inform the change management approach

Responsible Party: (C) Customer (P) Provider (S) Shared

Activities

1. Conduct stakeholder analysis to identify all stakeholders that will potentially be affected (C)
2. Develop an initial Communications Plan including audience, purpose, delivery methods, and timeline considerations (C)
3. Document migration and O&M training needs to inform the Target State CONOPS and Initial Scope of Services (C)
4. Create a feedback mechanism to collect input from stakeholders throughout the program (C)

Inputs

- Vision
- Business Case
- Current Organization Structure

Outputs

- Stakeholder Analysis
- Communications Plan
- Migration and O&M training needs

Stakeholders

- PMO Team (C)
- Change Management Lead (C)
- Communications Lead (C)

Lessons Learned

- Include Communications Lead early in the process and consider Communications Lead's roles throughout the entire process
- Communicate the value and benefits of migration and business process changes to the larger workforce after the business case and throughout the implementation

Workforce, Organization & Stakeholders
1.8 Understand As-Is Workforce

Objective: Determine the as-is workforce of the customer organization to understand how the migration will impact the organization

Responsible Party: (C) Customer (P) Provider (S) Shared

Activities

1. Document as-is organization structure, skills, capabilities, and workload (C)
2. Validate As-is Workforce and Workload Documentation with customer organization managers (C)
3. Document approach for workforce transition planning (C)
4. Conduct a Change Readiness Assessment (C)
5. Report updates in governance meetings and Status Reports/Dashboards (C)

Inputs

- Stakeholder List
- Current Organization Structure
- Position Descriptions
- Initial Scope of Services

Outputs

- As-Is Workforce Documentation
- Change Readiness Assessment

Stakeholders

- Business Owner(s) (C)
- PMO Team (C)
- Change Management Lead (C)
- Communications Lead (C)
- Workforce Lead (C)

Lessons Learned

- Confirm the accuracy of the organization structures based on the records maintained by first level managers and the customer Human Capital office

Technology

1.9 Define As-Is and Initial Target State Systems Environments

Objective: Understand and validate the As-is Systems Environment, including applications, interfaces, data warehouses, and security needs, and draft the initial high-level Target State Systems Environment

Responsible Party: (C) Customer (P) Provider (S) Shared

Activities

Understand the As-is Systems Environment

1. Validate as-is application landscape (C)
2. Validate as-is interface inventory (C)
3. Validate IT architecture (C)
4. Validate data flows (C)

Define Initial Target State Systems Environment as part of the Initial Scope of Services desired from the migration

1. Determine functionality and systems to migrate to the provider and those that will be retained (C)
2. Identify required business intelligence and data warehouse capabilities to support reporting needs (C)
3. Identify required interfaces based on mandatory organization activities (C)
4. Document the initial requirements above to be included in the Initial Target State Concept of Operations and Initial Scope of Services (C)

Inputs

- Vision
- Business Case
- Existing Enterprise Architecture Documents & System Specifications

Outputs

- As-Is Systems Environment
- Initial Target State Systems Environment
- Initial Business Requirements

Stakeholders

- Business Owners (C)
- Program Manager (C)
- Functional Lead (C)
- Technical Lead/Solution Architect (C)
- Interface Lead (C)
- Functional Subject Matter Experts (SMEs) (C)
- Technical SMEs (C)

Lessons Learned

- Begin with the current systems architecture and specification documents to understand as-is systems environment
- Assess the data needs for business intelligence capabilities between mission and mission-support systems
- Assess current capabilities to help determine whether the capability should be developed internally or migrated to the provider

Technology

1.10 Document Detailed Business Requirements and Define Mission Critical Needs

Objective: Document business requirements, mission critical, and unique business requirements of the customer organization to support the fit-gap analysis

Responsible Party: (C) Customer (P) Provider (S) Shared

Activities

1. Define requirements gathering and management processes and document in the Requirements Management Plan (C)
2. Document detailed business requirements, starting with requirements from Line of Business service catalogs, standard requirements, regulations, and policies (C)
3. Document mission critical or must-have requirements citing the regulation or policy source document (C)
4. Discuss detailed business, mission critical, and must-have requirements with Line of Business Managing Partner (C)
5. Align requirements with the Initial Scope of Services and prioritize mission critical versus nice-to-have requirements against standard requirements (C)
6. Validate requirements with Business Owners and perform initial baseline (C)
7. Begin change control procedures as defined in the Requirements Management Plan (C)
8. Report updates in governance meetings and Status Reports/Dashboards (C)

Inputs

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

Outputs

- Requirements Management Plan
- Detailed Business Requirements

Stakeholders

- Executive Sponsor (C)
- Business Owners (C)
- Program Manager (C)
- Requirements Lead (C)
- Technical Lead/Solution Architect (C)
- Functional SMEs (C)
- Technical SMEs (C)
- Managing Partner/Line of Business Sponsor (Line of Business)

Lessons Learned

- Define requirements within the customer organization before engaging a provider to communicate needs in a consistent manner
- Provide criteria to define mission critical versus nice-to-have requirements to enable improved provider selection
- Provide training to SMEs on requirements processes and how to define, communicate, and document requirements
- Obtain a robust requirements management tool or process to manage requirements throughout the migration, including a robust change control process
- Validate that requirements are testable

Technology
1.11 Plan and Conduct Initial Data Quality Assessment

Objective: Develop initial data governance approach and conduct initial data quality assessment and cleansing plan

Responsible Party: (C) Customer (P) Provider (S) Shared

Activities

1. Develop Data Governance Model to include the approach, process, roles and responsibilities, criteria/metrics (C)
2. Determine criteria for assessing data quality (C)
3. Conduct Data Quality Assessment, including master and transactional data (C)
4. Identify data issues (e.g. duplication, missing data, incorrect data) based on the assessment and prioritize data cleansing needs (C)
5. Develop a Data Cleansing Plan based on the prioritization (C)
6. Report updates in governance meetings and Status Reports/Dashboards (C)
7. Begin initial data cleansing (C)

Inputs

- Existing System Data Dictionaries
- Existing Data Quality Assessments
- Functional Specifications

Outputs

- Data Governance Model
- Data Cleansing Plan

Stakeholders

- Business Owners (C)
- Program Manager (C)
- Functional Lead (C)
- Technical Lead/Solution Architect (C)
- Data Conversion Lead (C)
- Data SMEs (C)

Lessons Learned

- Begin data cleansing activities prior to migration activities and continuously throughout the implementation to assist with data readiness
- Gain agreement on data governance including metadata management and data quality management
- Allocate a sufficient number of SMEs with the appropriate skill sets to support data conversion activities throughout the implementation
- Establish criteria and metrics through the Data Governance Model on what threshold constitutes “clean” data

Process and Service Delivery
1.12 Understand As-Is Business Processes

Objective: Validate as-is processes to understand current state environment, existing challenges, and opportunities for improvement/standardization

Responsible Party: (C) Customer (P) Provider (S) Shared

Activities

1. Identify in-scope processes for the migration based on based on the services listed within the Business Needs Workbook and develop process decomposition for in-scope processes (C)
2. Identify initial business process re-engineering strategy by understanding areas of change (C)
3. Validate and update as-is business processes with stakeholders to understand process flows, transaction volumes, workload, end user security roles, and enabling technology (C)
4. Report updates in governance meetings and Status Reports/Dashboards (C)

Inputs

- Existing As-Is Process Documentation

Outputs

- Initial Business Process Reengineering Strategy
- Validated As-Is Process Maps

Stakeholders

- Business Owners (C)
- Functional Lead (C)
- Functional Team (C)
- Technical Lead/Solution Architect (C)
- Technical SMEs (C)
- Functional SMEs (C)

Lessons Learned

- Validate as-is processes and workloads to be able to understand the magnitude of change in the target state environment
- Perform business process realignment activities in addition to traditional business process reengineering
- Identify key functional process leads and SMEs to drive process ownership and decision making

Process and Service Delivery
1.13 Develop Initial Target State Concept of Operations

Objective: Define which processes and service layers are desired to be migrated to the provider versus retained to understand the Target State Concept of Operations and identify initial performance requirements

Responsible Party: (C) Customer (P) Provider (S) Shared

Activities

1. Review in-scope process documentation (C)
2. Document initial mandatory business requirements that a provider must have to be able to support the organization's mission and operations in the target state and validate with business owners (C)
3. Understand the as-is operating model including people, process, organization, and systems (C)
4. Validate and update as-is operating model with stakeholders (C)
5. Determine which business service layers are required, where they should be performed in the future (e.g., internally, with provider, shared) and determine the service type (i.e. Technology, Workforce, Advisory) (C)
6. Identify major processes that will be performed in the new solution, how users will interact with the solution, the future state operating model (which processes will be performed where in the future), and how the solution will be supporting during O&M
7. Define the Initial Target State Concept of Operations for retained and modernized/migrated systems and processes, which includes the Initial Target State Systems Environment (C)
8. Report updates in governance meetings and Status Reports/Dashboards (C)

Inputs

- Vision
- Business Case
- As-Is Business Process Documentation
- As-Is Systems Environment
- Initial Target State Systems Environment
- Migration and O&M Training needs

Stakeholders

- Executive Sponsor (C)
- Business Owners (C)
- Program Manager (C)
- Functional Lead (C)
- Function SMEs (C)
- PMO Lead (C)
- PMO Team (C)

Outputs

- Initial Business Requirements (including Performance Requirements for O&M)
- Initial Target State Concept of Operations

Lessons Learned

- Understand which processes should be retained versus migrated
- Understand which processes will have to change due to the migration to a shared environment

Process and Service Delivery
1.14 Define Scope of Services Requirements

Objective: Develop the scope of services requirements to inform the assessment of providers, and define metrics to measure the success of the migration after Go-Live

Responsible Party: (C) Customer (P) Provider (S) Shared

Activities

1. Document Initial Scope of Services and Business Requirements for O&M, including functions and service layers support, using in-scope process documentation, Target State CONOPS, and the Business Needs Workbook as a guide (C)
2. Document Initial Scope of Services for the migration (e.g., training, conversion, communications, testing) (C)
3. Validate Initial Scope of Services with Business Owners and Executive Sponsor (C)
4. Report updates in governance meetings and Status Reports/Dashboards (C)

Inputs

- Initial Target State Concept of Operations
- Initial Business Requirements (including Performance Requirements for O&M)

Outputs

- Initial Scope of Services (recommend capturing in the Business Needs Workbook)
- Initial Business Requirements (recommend capturing in the Business Needs Workbook)

Stakeholders

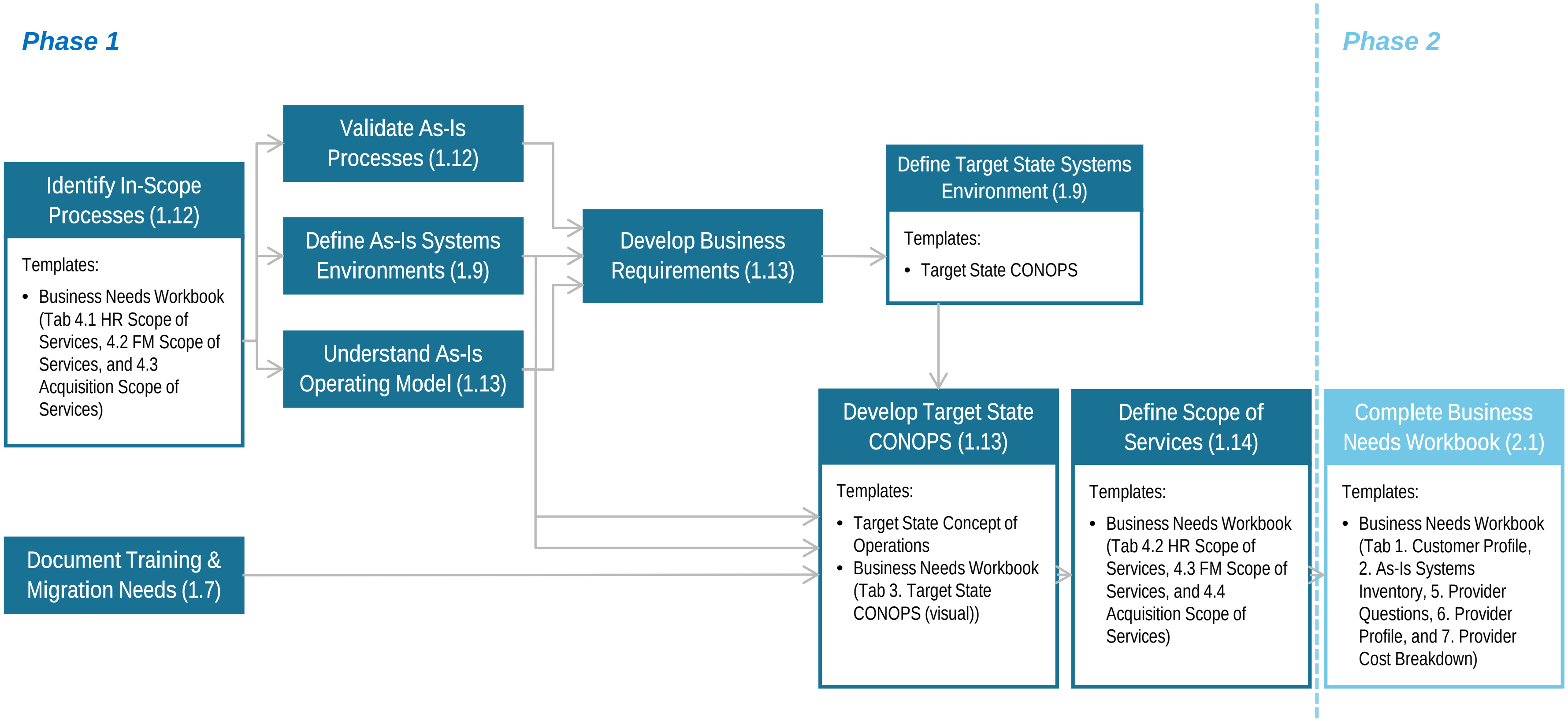
- Executive Sponsor (C)
- Business Owners (C)
- Program Manager (C)
- PMO Lead (C)
- Functional Lead (C)
- Technical Lead/Solution Architect (C)

Lessons Learned

- Consider both functional and technical Scope of Services
- Know your mission requirements (e.g., 24 hour contact center support)

Process and Service Delivery
Process to Develop Scope of Services and the Business Needs Workbook

This graphic depicts the inputs required and templates available leading up to the development of the Scope of Services (1.14) and, ultimately, the Business Needs Workbook outlined in activity 2.1 in Phase 2: Selection.



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

Documentation Required for Phase 1 Tollgate Review

The following documentation is required in guiding a discussion to demonstrate readiness and gain approval for Phase 1

Phase 1 Documentation

- **HR/Staffing Plan**
- **IV&V Plan**
- **Governance Charter**
- **LCCE**
- **Requirements Management Plan**
- **Detailed Business Requirements**
- Program Charter
- Program Management Plan
- Initial Schedule
- Status Reports/Dashboard
- Risk Management Plan
- RAID Log
- Procurement Plan
- QASP
- Baseline Performance and Success Metrics
- Target Performance and Success Metrics
- Stakeholder Analysis
- Communications Plan
- Migration and O&M training needs
- As-Is Workforce Documentation
- Change Readiness Assessment
- As-Is Systems Environment
- Initial Target State Systems Environment
- Initial Business Requirements
- Data Governance Model
- Data Cleansing Plan
- Initial Business Process Reengineering Strategy
- Validated As-Is Process Maps
- Initial Target State Concept of Operations
- Initial Scope of Services

Information Contained in Tollgate Review Discussion

1. Initial Schedule Overview
2. LCCE
3. HR/Staffing Plan
4. Procurement Approach
5. IV&V Plan
6. Program Governance Model
7. Scope of Services Overview
8. Change Management and Communications Approach
9. Data Management/Data Quality Approach
10. Top Risks

**Bolded documentation should be submitted with the Tollgate Review Discussion. Additional information may be requested by USSM*

Exit Criteria (to move into Phase 2)

- ✓ PMO and Governance Structure Defined
- ✓ Resources On Boarded
- ✓ Mitigation Plans in Place for Major Risks/Issues
- ✓ Initial Schedule Defined
- ✓ LCCE Developed
- ✓ Procurement Approach Defined
- ✓ Change Management Strategies Defined
- ✓ Data Quality Assessed
- ✓ Risks and Issues Management Defined
- ✓ Business Requirements Defined

List of Guidance Items and Templates Available for Phase 1

Guidance Items are used by agencies to help with the engagement process. Templates are provided for agencies to help in the development of program documentation

Guidance Items	Templates
• HR/Staffing Plan • Initial Schedule • IV&V Plan • Status Reports/Dashboards • Governance Charter • Risk Management Plan • RAID Log • Procurement Plan • LCCE • Stakeholder Analysis • Communications Plan • As-Is Systems Environment • Requirements Management Plan • Detailed Business Requirements • Data Governance Model • Data Cleansing Plan • Validated As-Is Process Maps • Initial Scope of Services	• HR/Staffing Plan • Schedule • Status Reports/Dashboards • Governance Charter • Risk Management Plan • RAID Log • Stakeholder Analysis • Communications Plan • As-Is Systems Environment • Requirements Management Plan • Initial Target State Concept of Operations • Tollgate 1 Review Discussion

Abbreviations

Abbreviation	Definition
ATO	Authority to Operate
BI	Business Intelligence
CBA	Collective Bargaining Agreement
CooP	Continuity of Operations
CPIC	Capital Planning and Investment Control
CRP	Conference Room Pilot
ERP	Enterprise Resource Planning
FAQ	Frequently Asked Questions
GSA	General Services Administration
HR	Human Resources
IAA	Interagency Agreement
ID	Identification
IMS	Integrated Master Schedule
ICAM	Identity, Credentials, and Access Management Framework
IT	Information Technology
ITIL	Information Technology Information Library
ISSO	Information Systems Security Officer
IV&V	Independent Verification and Validation
LCCE	Lifecycle Cost Estimate
O&M	Operations and Maintenance
OMB	Office of Management and Budget
PIV	Personal Identification Verification

Abbreviation	Definition
PMO	Program Management Office
PWS	Performance Work Statement
QASP	Quality Assurance Surveillance Plan
RAID	Risks, Actions Items, Issues, and Decisions
RACI	Responsible, Accountable, Consulted, Informed
RFI	Request for Information
RFP	Request for Proposal
RFQ	Request for Quote
ROI	Return on Investment
ROM	Rough Order of Magnitude
RTM	Requirements Traceability Matrix
SLA	Service Level Agreement
SME	Subject Matter Expert
SOP	Standard Operating Procedure
SORN	System of Records Notice
USSM	Unified Shared Services Management

Glossary - Stakeholders

Stakeholder	Definition
Budget or Financial Analyst	Individual who conducts budget or financial analysis
Business Owners	Responsible leader for particular business functions on customer side, e.g., CFO, CHCO
Change Management Lead	Responsible leader for change management activities for the program
Communications Lead	Responsible leader for communications activities for the program
Contracting/Procurement Officer	Individual responsible for procurement for the organization and managing contracts
Data Conversion Lead	Responsible leader for data conversion for the program
Data SMEs	Individuals with data subject matter expertise
Development Team	Group of individuals responsible for developing the technical solution
Executive Sponsor	Executive who sponsors the program
Functional Lead	Responsible leader for the functional aspect of solution implementation
Functional SMEs	Individuals with functional subject matter expertise
Interface Lead	Responsible leader for managing interfaces during the solution implementation
Information Systems Security Officer (ISSO)	Individual who is responsible for information systems security
Labor Relations Leader(s)	Responsible leader(s) for labor relations with the Union(s)

Stakeholder	Definition
Line of Business - Managing Partner/Line of Business Sponsor	Expert from a particular Line of Business who represents that Line of Business
Network SME	Individual with network subject matter expertise
O&M Team	Group of individuals who run O&M for customer and provider
Program Manager	Individual who manages the overall program and integration of activities
Requirements Lead	Responsible leader for the process of defining and managing requirements
Risk Lead	Responsible leader for risk management processes
Risk Manager	Individual who manages risk management processes
Security Lead	Responsible leader for security management
Security SME	Individual with security subject matter expertise
Technical Lead/Solution Architect	Responsible leader for the technical aspects of solution implementation
Technical SMEs	Individuals with technical subject matter expertise
Test Lead	Responsible leader for testing
Test Team	Group of individuals who run testing
Training Lead	Responsible leader for running training
Workforce Lead	Responsible leader for workforce planning

Glossary

Term	Definition
Input	An artifact (usually created in a prior activity) or an event recommended to support completion of activities
Output	An artifact or event that is produced by an activity to facilitate robust planning and migration activities in comprehensive program artifacts
Exit Outcome	An outcome that should be achieved by the time a phase is complete but is not necessarily a tollgate
Guidance Item	A supporting tool for agencies to evaluate their plans and program artifacts against leading practices; guidance items can be used to shape the content of agency specific documentation when not using a template
Tollgate	A checkpoint to assess risk and inform budget/funding decisions for the migration
Tollgate Review Discussion	A summary review that must be submitted at the end of a tollgate with key components to inform risk review and budget/funding decisions for the migration