

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

The diagram shows a form titled "Sample Template of Activity Description". At the top right, there is a progress indicator with steps 0 through 5, where step 1 is highlighted. The form contains several sections: "Objective:" with a text input field; "Activities" with a large text area; "Inputs" and "Outputs" with text input fields; "Stakeholders" with a list area; and "Lessons Learned" with a text area. A legend for "Responsible Party" is located at the top right of the form, showing options for Customer (C), Provider (P), and Shared (S). A vertical green bar on the right side of the form indicates the phase of the activity.

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



Objective	0. Assessment	1. Readiness	2. Selection	3. Engagement	4. Migration	5. Operations
Key Activities	<ul style="list-style-type: none"> Define Vision and Operational End State Develop Major IT Business Case 	<ul style="list-style-type: none"> Stand-up Program Management Office (PMO) Define migration scope of services and program management processes Establish customer risk processes Assess data quality 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> Monitor the success of the migration and move into operations Continue training and communications Conduct process improvement and customer care activities
Exit Outcomes	<ul style="list-style-type: none"> ✓ Major IT Business Case Approved 	<ul style="list-style-type: none"> ✓ 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 	<ul style="list-style-type: none"> ✓ 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 	<ul style="list-style-type: none"> ✓ 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 	<ul style="list-style-type: none"> ✓ Go/No-Go Criteria Met to Deploy Solution 	<ul style="list-style-type: none"> ✓ Post-migration Performance Metrics Reported ✓ Lessons Learned Developed

M3 Playbook Outline

Responsible Party: ■ Customer ■ Provider ■ Shared



Program Management

Workforce, Organization, & Stakeholders

Technology

Process & Service Delivery

Investment Review Process					
Phase 0: Assessment	Phase 1: Readiness	Phase 2: Selection	Phase 3: Engagement	Phase 4: Migration	Phase 5: Operations
<ul style="list-style-type: none"> 0.1 Define Vision and Operational End State 0.2 Develop Major IT Business Case 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> 5.1 Review Performance against Expected Benefits 5.2 Collect Lessons Learned 5.3 Implement Integrated O&M Governance
	<ul style="list-style-type: none"> 1.7 Assess Change Management Approach 1.8 Understand As-Is Workforce 	<ul style="list-style-type: none"> 2.5 Assess Labor Relations Outreach 2.6 Develop Change Management Plan 	<ul style="list-style-type: none"> 3.8 Engage with Labor Relations 3.9 Execute Change Management Plan 3.10 Develop Training Plan 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> 5.4 Support Stabilization and Perform Change Management
	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> 2.7 Conduct Initial Data Cleansing Activities 	<ul style="list-style-type: none"> 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) 	<ul style="list-style-type: none"> 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 	<ul style="list-style-type: none"> 5.5 Maintain Applications Post Go-Live 5.6 Decommission Legacy Systems
	<ul style="list-style-type: none"> 1.12 Understand As-Is Business Processes 1.13 Develop Initial Target State Concept of Operations 1.14 Define Scope of Services Requirements 		<ul style="list-style-type: none"> 3.16 Finalize Target State Concept of Operations 3.17 Define Integrated Contact Center Structure 3.18 Define Service Level Agreements 	<ul style="list-style-type: none"> 4.20 Finalize Service Level Agreements 4.21 Design Target State Processes 	<ul style="list-style-type: none"> 5.7 Conduct Continuous Process Improvement 5.8 Manage Integrated Contact Center 5.9 Monitor and Update Service Level Agreements

Phase 3: Engagement

Phase 3 Summary and Documentation

Phase Objective Conduct detailed planning through a fit-gap analysis and finalize the implementation roadmap

Responsible Party: ■ Customer ■ Provider ■ Shared

Phase 3: Engagement	 Program Management	 Workforce, Organization, & Stakeholders	 Technology	 Process & Service Delivery
	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	3.8 Engage with Labor Relations 3.9 Execute Change Management Plan 3.10 Develop Training Plan	3.11 Finalize Requirements 3.12 Conduct Requirements Fit-Gap Analysis 3.13 Finalize Target State Systems Environment 3.14 Develop Integrated Technical Strategy 3.15 Prepare Data for Mock Conversions (Data Cleansing, Data Mapping)	3.16 Finalize Target State Concept of Operations 3.17 Define Integrated Contact Center Structure 3.18 Define Service Level Agreements

Phase Documentation The following documentation is developed during Phase 3 and is used to inform the development of the Phase 3 Tollgate Review Discussion

Phase 3 Documentation	Information Contained in Tollgate Review Discussion
<ul style="list-style-type: none"> • Updated Implementation Approach/Timeline • Updated LCCE for Migration and O&M • Gap Analysis Report • Updated Data Cleansing Plan • O&M SLAs • Go/No-Go Criteria for Go-Live Assessment • Intent to Exercise Migration Option (Commercial) • Integrated Program Charter • Integrated HR/Staffing Plan • IMS • Integrated Program Management Plan • Integrated IV&V Plan • Integrated Governance Charter • Gap Analysis Register • Updated Procurement Plan • Status Reports/Dashboards • Change Request Log • Change Request Form • Lessons Learned Report • Integrated Risk Management Plan • Integrated RAID Log • Migration Phase IAA Terms and Conditions (Federal Only) 	<ul style="list-style-type: none"> • Migration Approach, including Technical Strategies • Updated Labor Relations Strategy • Updated Change Management Plan • Updated Communications Plan • Updated Readiness Assessment • Updated Workforce Assessment • Initial Training Plan • Updated Requirements Management Plan • RTM • Validated and Updated As-Is Systems Environment • Target State Systems Environment • Test Plan • Configuration Management Plan • Coop and Disaster Recovery Plan • Interface Strategy • Enhancement Strategy • Updated Data Cleansing Scripts • Documented Data Structure and Mapping • Data Conversion Plan • Target State Concept of Operations • Scope of Services • Integrated Contact Center Strategy
<ul style="list-style-type: none"> 1. Target State Solution Scope 2. Fit-Gap Analysis 3. Migration Plan, Schedule, and Release Approach 4. Top Risks 5. Updated Lifecycle Cost Estimate 6. Updated HR/Staffing Plan (Customer) 7. Updated HR/Staffing Plan (Provider) 8. Procurement Approach (Customer) 9. Procurement Approach (Provider, Federal) 	<ul style="list-style-type: none"> 10. Updated Change Management and Communications Approach 11. Training Approach 12. Contact Center Approach 13. Data Management/Data Quality Approach 14. Integrated Program Governance Model 15. Lessons Learned
Exit Criteria (to move into Phase 4)	
<ul style="list-style-type: none"> ✓ Fit-Gap Analysis Completed ✓ PMO and Governance Process Integrated ✓ LCCE Updated for Migration and O&M 	<ul style="list-style-type: none"> ✓ Migration Approach Finalized ✓ Integrated Master Schedule Drafted ✓ SLAs for Migration and O&M Defined ✓ Go/No-Go Criteria Approved

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

Program Management

3.1 Integrate PMO Structures

Objective: Establish an integrated PMO team and processes to manage and oversee the activities shared by the customer and provider throughout the migration

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

Activities

- | | |
|---|---|
| <ol style="list-style-type: none"> 1. Onboard provider PMO lead and team (P) 2. Review and update the Program Charter based on changes to the scope or timeline of the program (S) 3. Determine and agree on PMO roles and responsibilities between the customer and provider agencies (S) 4. Document the roles and responsibilities in an integrated HR/Staffing Plan (S) 5. Review customer Independent Verification and Validation (IV&V) procedures and update IV&V Plan (S) 6. Develop integrated Program Management Plan (including schedule, scope, risk, procurement, cost, communications/stakeholder, and quality) (S) | <ol style="list-style-type: none"> 7. Develop integrated Quality Assurance Surveillance Plan (QASP) for procurement activities to monitor metrics and performance of provider during the program (C) 8. Create an Integrated Master Schedule (IMS), using the customer's Initial Schedule and refine and continuously elaborate on the IMS for all activities during Phase 3 (S) 9. Begin managing schedule through agreed upon procedures (S) |
|---|---|

Inputs

- | | |
|---|--|
| <ul style="list-style-type: none"> • Customer Program Charter • HR/Staffing Plan • Initial Schedule • IV&V Plan | <ul style="list-style-type: none"> • Program Management Plan • Status Report |
|---|--|

Stakeholders

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

Outputs

- | | |
|--|--|
| <ul style="list-style-type: none"> • Integrated Program Charter • Integrated HR/Staffing Plan • IMS • Integrated Program Management Plan | <ul style="list-style-type: none"> • Integrated IV&V Plan |
|--|--|

Lessons Learned

- Hold detailed discussions on the customer's and provider's goals, processes that will be migrated, systems, and program close-out roles and responsibilities early on
- Develop an integrated program plan that is a coordinated view of activities from the customer and provider and takes specific customer needs into consideration
- Staff and engage both customer and provider PMO teams in the governance process to prevent governance gaps and disruptions to the flow of information
- Establish and communicate customer and provider roles and responsibilities through written agreements

Program Management

3.2 Integrate Governance Structures

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

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

Activities

1. Identify provider governance bodies that will participate in the migration effort (P)
2. Define integrated governance authority, roles, and responsibilities for oversight, management decision-making and risk/issue escalation (S)
3. Establish integrated governance meeting cadence and status reporting timelines for the remainder of the program (S)
4. Create Integrated Governance Charter (S)
5. Begin executing against Governance Charter to guide Phase 3 activities (S)

Inputs

- Existing Governance Bodies and Processes within Customer and Provider Agencies
- Customer Governance Charter
- Engagement Phase IAA (Federal Only)

Stakeholders

- Executive Sponsor (C, P)
- Business Owners (C, P)
- Program Managers (C, P)
- PMO Leads (C, P)
- PMO Teams (C, P)

Outputs

- Integrated Governance Charter

Lessons Learned

- Establish goals, timeframes, resources, and responsibilities clearly during the migration that has buy-in from senior management at the customer and provider agencies
- Develop an integrated governance model to make decisions in alignment with the objectives and goals of the program
- Obtain buy-in from internal customer and provider agencies early on to establish communication channels throughout the migration
- Encourage decisions to be made at the lowest possible level, while allowing elevation of important or contentious issues through the governance model
- Develop an integrated recurring meeting and status reporting cadence to help align customer and provider leadership on the status of ongoing activities and priorities

Program Management

3.3 Update and Maintain Procurement Plans

Objective: Develop integrated Procurement Plans and strategy to meet migration and O&M needs, inclusive of professional services and hardware/software/infrastructure

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

 **Activities**

1. Sign IAA for Phase 3 Engagement support if a Federal provider was selected in Phase 2 (S)
2. Release Request for Proposal (RFP) for Phase 3 Engagement services if a commercial provider path was selected in Phase 2 (C)
3. Evaluate solicitation responses, conduct final evaluation and award contract to selected commercial provider (C)
4. Update Procurement Plans based on migration timeline and scope (C, P)
5. Collaborate with category manager (or designated team) to identify acquisition strategy for any additional support contracts (C, P)
6. Manage procurement lifecycle and contract performance against Procurement Plan for Phase 3 program support services (C, P)
7. Develop RFPs, Requests for Quotes (RFQs), and Performance Work Statements (PWSs) for Phases 4 and 5 (C, P)
8. Draft IAA for Phase 4 and draft, negotiate, and finalize IAA (C, P)
9. Report changes to Procurement Plans and procurement decisions in governance meetings and Status Reports/Dashboards (C, P)

 **Inputs**

- Customer Procurement Strategy
- Provider Procurement Strategy
- Integrated PMO Structure and Processes
- Integrated Governance Structure and Processes

 **Stakeholders**

- Executive Sponsor (C, P)
- Business Owners (C, P)
- Program Managers (C, P)
- PMO Leads (C, P)
- PMO Teams (C, P)
- Contracting or Procurement Officer (as needed) (C, P)

 **Outputs**

- Updated Procurement Plan

 **Lessons Learned**

- Identify personnel from the customer and provider agencies with critical skill sets and align them with specific program activities
- Bring on subject matter experts (SMEs) and information technology (IT) personnel on a timely manner to ensure a successful migration
- Define people, budget, and contracts before beginning implementation activities; align activities to specific resources in the IMS
- Validate software license needs based on user counts

Program Management

3.4 Monitor and Control Program Execution

Objective: Monitor, measure, and report on program migration progress

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

Activities

- | | |
|--|---|
| <ol style="list-style-type: none"> 1. Manage scope and program performance using Program Management Plan (S) 2. Manage IMS through weekly updates of activities, dates, duration, and dependencies (S) 3. Manage costs against the budget (S) 4. Manage and update HR/Staffing Plan as resources are on or off boarded or as needs change (S) 5. Manage and update the IV&V Plan (S) 6. Update program management documentation as necessary (S) | <ol style="list-style-type: none"> 7. Initiate and perform change requests to address changes in schedule, scope, and requirements throughout the program through the Change Request Form, documenting changes through the Change Request Log (S) 8. Develop and distribute Status Reports/Dashboards (S) 9. Hold status meetings to monitor status against milestones, issues, risks, and make decisions needed for work streams (S) 10. Escalate decisions and issues as needed through governance bodies (S) 11. Conduct executive briefings with organization leadership and oversight entities as necessary (S) |
|--|---|

Inputs

- | | |
|---|---|
| <ul style="list-style-type: none"> • Integrated Program Charter • Integrated Program Management Plan • Updated IMS • Integrated IV&V Plan | <ul style="list-style-type: none"> • Updated HR/Staffing Plans • Integrated Governance Charter • Status Reports/Dashboards |
|---|---|

Stakeholders

- Executive Sponsor (C, P)
- Business Owners (C, P)
- Program Managers (C, P)
- PMO Leads (C, P)
- PMO Teams (C, P)
- Functional Lead (C, P)
- Technical Lead/Solution Architect (C, P)

Outputs

- | | |
|---|--|
| <ul style="list-style-type: none"> • Integrated Program Management Plan • Status Reports/Dashboards • Integrated IV&V Plan • Change Request Log | <ul style="list-style-type: none"> • Change Request Form • IMS • Lessons Learned Report • Updated Implementation Approach/Timeline |
|---|--|

Lessons Learned

- Include all migration activities and responsible parties in the Integrated Master Schedule
- Implement weekly change control process to manage changes to the IMS to understand downstream impacts and associated risks
- Review and update the integrated program plan regularly and establish an integrated recurring meeting and status reporting cadence
- Utilize collaboration tools to the fullest extent in order to facilitate information sharing across the migration program
- Create a consolidated list of action items for the customer and provider

Program Management

3.5 Maintain and Execute Risk Processes

Objective: Execute risk management processes to identify and mitigate risks and issues throughout the migration

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

Activities

1. Integrate risk processes between the customer and provider and update the Risk Management Plan (S)
2. Maintain and update Risks, Actions Items, Issues, and Decisions (RAID) Log, coordinating across all work streams, with new risks, changes to existing risks, and status of risk mitigation activities continuously (at a minimum of every two weeks) throughout Phase 3 (S)
3. Develop and employ mitigation strategies continuously throughout Phase 3 (S)
4. Report on new risks/issues and ongoing risk/issue mitigation activities in governance meetings and Status Reports/Dashboards (S)

Inputs

- Integrated Governance Charter
- Updated Status Reports/Dashboards
- Integrated Risk Management Plan
- Integrated RAID Log

Stakeholders

- Executive Sponsor (C, P)
- Business Owners (C, P)
- Program Managers (C, P)
- Risk Manager (C, P)
- PMO Leads (C, P)
- PMO Teams (C, P)

Outputs

- Integrated Risk Management Plan
- Integrated RAID Log

Lessons Learned

- Develop integrated risk management between the customer and provider and establish a risk management function within the PMO to coordinate all risk management activities across the customer and provider before migration
- Hold regular risk management meetings and include risk management into status reporting and escalation procedures. Ensure documentation of risks in RAID Log in order to facilitate communication of risks
- Develop risk management roles and responsibilities for customer and provider team members and executives and train team members on identifying and mitigating risks

Program Management

3.6 Finalize Migration Approach

Objective: Develop Migration Approach, schedule, and cost based on fit-gap analysis and enter into Migration Phase IAA/Contract

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

Activities

1. Develop an initial Migration Approach and IMS based on RTM and timeline requirements (S)
2. Finalize Migration Approach including a release approach based on fit-gap analysis and finalized Scope of Services (P)
3. Develop plan for system decommissioning post migration (C)
4. Develop detailed design of the retained organization (C)
5. Develop draft IAA (Federal only) for Phase 4 migration activities with scope of services, including cost estimates, based on the Migration Approach and schedule (P)
6. Prepare Intent to Exercise Migration Option (Commercial only) (C)
7. Develop Go/No-Go Criteria to assess readiness for Go-Live. Criteria may include: program readiness, system readiness, workforce readiness, and operational readiness (S)
8. Report updates in governance meetings and Status Reports/Dashboards (S)

Inputs

- RTM
- Gap Analysis Report
- Data Conversion Strategy
- Test Strategy

Stakeholders

- Executive Sponsor (C, P)
- Business Owners (C, P)
- Program Manager (C, P)
- PMO Lead (C, P)
- PMO Team (C, P)
- Functional Lead (C, P)
- Technical Lead/Solution Architect (C, P)
- Contracting Officer (C, P)

Outputs

- Migration Phase IAA Terms and Conditions (Federal Only)
- Intent to Exercise Migration Option (Commercial)
- Migration Approach, including Technical Strategies
- Go/No-Go Criteria for Go-Live Assessment
- IMS

Lessons Learned

- Define, agree on, and communicate customer and provider roles and responsibilities prior to the start of implementation through the IAA and implementation team organization charts and Responsible, Accountable, Consulted, Informed (RACI) Matrix
- Understand the IAA services, SLAs, and cost structures and develop relevant metrics to be able to monitor provider performance

Program Management

3.7 Update Lifecycle Cost Estimate for Migration and O&M

Objective: Update the estimated costs of a migration based on fit-gap analysis and updated requirements to manage and plan budgetary needs

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

Activities

1. Provide migration and O&M cost estimates to customer based on requirements validation and fit-gap analysis, process for closing gaps, implementation timeline, and migration and O&M roles and responsibilities between the customer and provider (P)
2. Negotiate and agree on best and final offer for migration and O&M costs (S)
3. Identify changes required to LCCE based on selected providers' cost estimates and consider reasonableness and affordability (C)
4. Update LCCE (according to cost management plan) for migration and O&M (C)
5. Compare actual spending with budget and adjust LCCE as needed (C)
6. Report changes to program costs and actual spending in governance meetings and Status Reports/Dashboards (S)

Inputs

- Migration Approach
- RTM
- Gap Analysis Report
- Updated LCCE
- Updated Procurement Plan

Outputs

- Updated LCCE for Migration and O&M

Stakeholders

- Executive Sponsor (C)
- Business Owners (C)
- Program Managers (C)
- PMO Leads (C)
- PMO Teams (C)
- Budget or Financial Analysts (as needed) (C)

Lessons Learned

- Conduct lifecycle cost analyses and incorporate migration cost estimates from the provider to plan out-year budget needs and requests

Workforce, Organization & Stakeholders

3.8 Engage with Labor Relations

Objective: Continue to engage and communicate with labor relations to obtain approval towards a shared services migration

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

Activities

1. Determine target state workforce needs (C)
2. Identify potential impact on staff by reviewing Target State Concept of Operations and workforce assessment (C)
3. Engage in communications with union leadership based on Labor Relations strategy (C)
4. Determine the methods to align to Collective Bargaining Agreements (CBAs), resolve issues and document outcomes and next steps (C)
5. Update the Labor Relations Strategy as needed (C)
6. Report updates in governance meetings and Status Reports/Dashboards (S)

Inputs

- Labor Relations Strategy

Stakeholders

- Program Manager (C)
- Change Management Lead (C)
- Communications Lead (C)
- Labor Relations Leader(s) (C)

Outputs

- Updated Labor Relations Strategy

Lessons Learned

- Account for union-related activities in the Integrated Master Schedule and building dependencies for change management activities (e.g., communications, training)

Workforce, Organization & Stakeholders

3.9 Execute Change Management Plan

Objective: Maintain and execute the change management and communications plan based on feedback from the previous phases; implement updates as appropriate

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

Activities

1. Develop and deliver messages based on the Communications Plan (C)
2. Monitor feedback from stakeholders and adjust Communications Plan (C)
3. Update Communications Plan based on labor relations meetings (C)
4. Conduct assessment to identify how the workforce may be impacted by the migration (C)
5. Update Readiness Assessment to further understand stakeholder ability to adapt to change (C)
6. Determine if provider needs to adjust staffing levels based on the requirements of the new customer and, if yes, develop staffing plan (P)
7. Report updates in governance meetings and Status Reports/Dashboards (S)

Inputs

- Change Management Plan
- Communications Plan
- Baseline Readiness Assessment

Stakeholders

- Program Manager (C)
- Change Management Lead (C)
- Communications Lead (C)
- Workforce Lead (C)
- Functional Lead (C, P)

Outputs

- Updated Change Management Plan
- Updated Communications Plan
- Updated Readiness Assessment
- Updated Workforce Assessment

Lessons Learned

- Institute frequent communication sessions with stakeholders
- Align business process efforts to change management tasks to better communicate and coordinate process changes with the change management strategy components

Workforce, Organization & Stakeholders

3.10 Develop Training Plan

Objective: Develop a plan and approach for training curriculum, design, development, delivery, and evaluation

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

Activities

1. Review customer organization training Scope of Services (S)
2. Review provider migration and O&M training capabilities and associated costs (S)
3. Finalize training services for Phases 4 and 5 and define roles and responsibilities for development and delivery (S)
4. Develop Initial Training Plan to include approach, audience, purpose, delivery methods, timeline, and evaluation (P)
5. Review and finalize Initial Training Plan (S)
6. Report updates in governance meetings and Status Reports/Dashboards (S)

Inputs

- Business Needs Workbook
- Scope of Services
- Stakeholder Analysis
- As-Is Workforce Assessment

Stakeholders

- Program Manager (C, P)
- Change Management Lead (C, P)
- Training Lead (C, P)
- Communications Lead (C, P)
- Functional Lead (C, P)

Outputs

- Initial Training Plan

Lessons Learned

- Define the customer's and provider's training needs early on in the program lifecycle

Technology

3.11 Finalize Requirements

Objective: Perform knowledge transfer of requirements, validate requirements, and baseline all standard and unique requirements with approvals to inform the fit-gap analysis

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

Activities

1. Update Requirements Management Plan and processes based on provider's approach (S)
2. Share updates to documentation of requirements, Target State Systems Environment, and Target State Concept of Operations with provider (C)
3. Create a join Requirements Traceability Matrix (RTM) (S)
4. Prioritize mission critical and nice-to-have requirements against standard requirements and provider capability, and capacity in the RTM (S)
5. Finalize requirements with Business Owners and baseline the RTM (S)
6. Report updates in governance meetings and Status Reports/Dashboards (S)

Inputs

- Target State Systems Environment
- Target State Concept of Operations
- Detailed Business Requirements
- Business Needs Workbook
- Line of Business Standard Requirements (e.g. [Financial Management Human Resources](#))

Outputs

- Updated Requirements Management Plan
- RTM

Stakeholders

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

Lessons Learned

- Conduct system demonstrations and Conference Room Pilots (CRPs) to validate the solution meets the intended scope of services requirements
- Provide training to SMEs on requirements processes and how to define, communicate, and document requirements effectively (e.g., essential, verifiable requirements)
- Provide criteria to define mission critical versus nice-to-have requirements to enable improved provider selection
- Use requirements management tool and establish requirements management approach that follows leading practices to increase consistency and enhance traceability throughout the program's lifecycle
- Validate the requirements are testable

Technology

3.12 Conduct Requirements Fit-Gap Analysis

Objective: Understand gaps between the customer requirements and provider’s standard solution and processes and develop gap solutions to inform the migration approach, timeline, and revised cost estimates

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

Activities

1. Identify where functional and technical (e.g., security, interfaces) requirements can be met by the provider’s standard solution and where gaps may exist using the baselined RTM (P)
2. Conduct stakeholder validation sessions to review the fit-gap analysis (S)
3. Design gap solutions with options for configuration changes, enhancements, and processes changes and review with the customer (P)
4. Select the desired solution to resolve each gap (S)
5. Document gaps and proposed solutions in Gap Analysis Report (P)
6. Use gap solutions to inform migration and release approach, schedule, and revised cost estimate (S)
7. Manage requirements through the RTM and PMO change control processes as agreed upon in the Requirements Management Plan and PMO governance (P)
8. Report updates in governance meetings and Status Reports/Dashboards (S)

Inputs

- Baselined RTM
- Gap Analysis Report from Due Diligence
- Provider’s Standard Solution and Requirements

Outputs

- Gap Analysis Report
- Gap Analysis Register

Stakeholders

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

Lessons Learned

- Assess functional, technical, and operational requirements as part of the fit-gap analysis
- Use the Gap Analysis Report to identify the potential opportunities to standardize business processes across divisions and offices

Technology

3.13 Finalize Target State Systems Environment

Objective: Perform knowledge transfer of as-is environment and finalize the Initial Target State Systems Environment that capture all required interfaces, application, security/privacy, and data layers

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

 **Activities**

1. Perform knowledge transfer to provider to gain an understanding of the customer's As-is Systems Environment including which interfaces to legacy systems will be required (C)
2. Review Initial Target State Systems Environment and compare against the provider's standard solution to determine where gaps exist (S)
3. Develop solutions for technical gaps where enhancements are required to systems and infrastructure and where new interfaces will be required (P)
4. Assess gap solutions of technical environment based on cost and timeline implications and document impacts to release strategy (S)
5. Finalize Target State Systems Environment, through technical reviews if necessary, to define the scope of the migration and at each release, if applicable (S)
6. Report updates in governance meetings and Status Reports/Dashboards (S)

 **Inputs**

- Vision and Business Case
- RTM
- Existing Enterprise Architecture Documents & System Specifications
- Initial Target State Systems Environment

 **Stakeholders**

- Program Manager (C, P)
- Business Owners (C, P)
- Functional Lead (C, P)
- Technical Lead/Solution Architect (C, P)
- Interface Lead (C, P)
- Functional SMEs (C, P)
- Technical SMEs (C, P)

 **Outputs**

- Validated and Updated As-Is Systems Environment
- Target State Systems Environment

 **Lessons Learned**

- Leverage the current systems architecture and specification documents as a starting point
- Document critical interfaces between legacy systems and new systems including detailed data requirements and network requirements

Technology

3.14 Develop Integrated Technical Strategy

Objective: Develop the IT strategy to define the overall management and execution approach to system enhancements and implementation

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

 Activities	
<p>Based on the fit-gap analysis and finalized Target State Systems Environment, develop the Migration Plan, including the approach for technical components:</p> <ol style="list-style-type: none"> 1. Develop Business Intelligence and Data Warehouse Strategy (S) 2. Develop reports strategy including business intelligence (BI) development standards and tool analysis (S) 3. Develop Interface Strategy (S) 4. Develop Enhancement Strategy (S) 6. Update plan to decommission systems post-migration (C) 7. Document development controls (S) 8. Document configuration and workflow strategy (S) 9. Develop Configuration Management/Change Request Process (S) 10. Document Continuity of Operations (CooP) and Disaster Recovery Plan (S) 11. Develop Test Plan (S) 12. Report updates in governance meetings and Status Reports/Dashboards (S) 	
 Inputs	 Stakeholders
<ul style="list-style-type: none"> • RTM • Target State Concept of Operations • Target State Systems Environment • Business Intelligence and Data Warehouse Strategy 	<ul style="list-style-type: none"> • Program Manager (C, P) • Business Owners (C, P) • Functional Lead (C, P) • Technical Lead/Solution Architect (C, P) • Interface Lead (C, P) • Data Conversion Lead (C, P) • Functional SMEs (C, P) • Technical SMEs (C, P) • Change Management Lead (C, P) • PMO Lead (C, P)
 Outputs	
<ul style="list-style-type: none"> • Test Plan • Configuration Management Plan • CooP and Disaster Recovery Plan • Interface Strategy • Enhancement Strategy 	
 Lessons Learned	
<ul style="list-style-type: none"> • Conduct a thorough analysis early to determine which existing reports are still in use and need to be included in requirements • Minimize enhancements, leverage bolt-ons where possible, to help ease patch/fix application and upgrade path 	

Technology

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

Objective: Jointly develop a Data Conversion Plan, with input from the data cleansing process, and execute against plan to address potential data conversion issues

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

Activities

1. Develop integrated data governance approach to include, process, roles and responsibilities and cleansing and mapping criteria (S)
2. Review customer data architecture (P)
3. Discuss standard data management approach with customer (P)
4. Finalize an integrated approach and plan for data cleansing, mapping, extract/transfer/load, mock conversion, conversion, and data validation (S)
5. Assess data quality based on cleansing activities from previous phase against defined criteria (S)
6. Initiate legacy-to-target data mapping (S)
7. Identify data errors/anomalies and prioritize resolution activities (S)
8. Develop and execute Data Cleansing Scripts and perform manual corrections as needed, updating as needed (S)
9. Validate results of data cleansing and readiness for conversion based on data quality criteria and metrics (C)
10. Report updates in governance meetings and Status Reports/Dashboards (S)

Inputs

- Data Cleansing Plan
- Data Quality Assessment Results
- Existing System Data Dictionaries
- Existing Data Governance Model
- Initial Data Cleansing Results
- Existing Data Quality Assessments
- Existing Data Cleansing Plan

Stakeholders

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

Outputs

- Updated Data Cleansing Plan
- Updated Data Cleansing Scripts
- Documented Data Structure and Mapping
- Data Conversion Plan

Lessons Learned

- Begin data cleansing activities prior to migration activities and continuously throughout the implementation to assist with data readiness
- Agree on data governance including metadata management and data quality management
- Incorporate additional post Go-Live data cleansing and quality activities into data conversion strategy, schedule, and resource planning
- Investigate provider service offerings around post Go-Live conversion support prior to finalizing cleansing metrics

Process and Service Delivery

3.16 Finalize Target State Concept of Operations

Objective: Define which processes and services will be performed between the customer and provider to understand the Target State Concept of Operations

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

Activities

1. Review Engagement Phase IAA/Contract to determine in scope processes and target state requirements (S)
2. Review and agree upon where the business processes and services should be performed in the future (e.g., internally versus with provider) based on the requirements and fit-gap analysis (S)
3. Update the Initial Concept of Operations (S)
4. Validate updated Concept of Operations with stakeholders (S)
5. Define roles and responsibilities for O&M (e.g., systems maintenance, incident identification, change control and release management, service level agreement reviews, and governance) (S)
6. Finalize Target State Concept of Operations based on processes to be migrated to the provider and the designed retained organization (S)
7. Report updates in governance meetings and Status Reports/Dashboards (S)

Inputs

- Initial Target State Concept of Operations
- As-Is Workforce
- As-Is Process Flows
- Scope of Services
- RTM
- Gap Analysis Report

Stakeholders

- Business Owners (C, P)
- Program Manager (C, P)
- Functional Lead (C, P)
- Technical Lead/Solution Architect (C, P)
- Technical SMEs (C, P)
- Functional SMEs (C, P)

Outputs

- Target State Concept of Operations

Lessons Learned

Process and Service Delivery

3.17 Define Integrated Contact Center Structure

Objective: Understand the contact center capabilities from the provider, finalize customer care procedures, and define customer and provider roles and responsibilities for issue resolution

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

Activities

1. Document requirements for the customer contact center function based on Target State Concept of Operations and O&M requirements (C)
2. Review provider contact center capabilities, tier structure, and estimated cost of services (S)
3. Identify gaps between provider contact center capabilities and the customer requirements (S)
4. Develop gap solutions for contact center gaps and adjust estimated cost of services (S)
5. Document Integrated contact center Strategy to implement changes to contact center processes, roles, and capacity for customer and provider (S)
6. Report updates in governance meetings and Status Reports/Dashboards (S)

Inputs

- Business Needs Workbook
- Target State Concept of Operations
- Scope of Services

Outputs

- Scope of Services
- Integrated Contact Center Strategy

Stakeholders

- Business Owners (C, P)
- Program Manager (C, P)
- PMO Lead (C, P)
- PMO Team (C, P)
- Functional Lead (C, P)
- Functional SMEs (C, P)
- Change Management Lead (C, P)

Lessons Learned

- Develop procedures to triage and escalate inquiries and incidents between the customer and provider

Process and Service Delivery

3.18 Define Service Level Agreements

Objective: Define the level of service standards provided to the customer during operations and maintenance

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

Activities

1. Review Target State Concept of Operations and roles and responsibilities for O&M services (S)
2. Review and discuss existing provider service level metrics to determine if there need to be adjustments (S)
3. Identify additional service level metrics based on objective, clearly-defined, and measurable criteria (S)
4. Gain stakeholder buy-in on metrics that will be used post-migration to measure O&M performance as part of the Performance Management Plan (S)
5. Define performance management capabilities, processes, and tools (S)
6. Finalize service level metrics, targets, and remediation or issue resolution policies (S)
7. Report updates in governance meetings and Status Reports/Dashboards (S)

Inputs

- SLAs
- Engagement Phase IAA (Federal Only)

Stakeholders

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

Outputs

- O&M SLAs

Lessons Learned

- Include services and systems with identified target metrics in your SLAs

Documentation Required for Phase 3 Tollgate Review

The following documentation is required in guiding a discussion to demonstrate readiness and gain approval for Phase 3

Phase 3 Documentation	Information Contained in Tollgate Review Discussion
<ul style="list-style-type: none"> • Updated Implementation Approach/Timeline • Updated LCCE for Migration and O&M • Gap Analysis Report • Updated Data Cleansing Plan • O&M SLAs • Go/No-Go Criteria for Go-Live Assessment • Intent to Exercise Migration Option (Commercial) • Integrated Program Charter • Integrated HR/Staffing Plan • IMS • Integrated Program Management Plan • Integrated IV&V Plan • Integrated Governance Charter • Gap Analysis Register • Updated Procurement Plan • Status Reports/Dashboards • Change Request Log • Change Request Form • Lessons Learned Report • Integrated Risk Management Plan • Integrated RAID Log • Migration Phase IAA Terms and Conditions (Federal Only) • Migration Approach, including Technical Strategies • Updated Labor Relations Strategy • Updated Change Management Plan • Updated Communications Plan • Updated Readiness Assessment • Updated Workforce Assessment • Initial Training Plan • Updated Requirements Management Plan • RTM • Validated and Updated As-Is Systems Environment • Target State Systems Environment • Test Plan • Configuration Management Plan • Coop and Disaster Recovery Plan • Interface Strategy • Enhancement Strategy • Updated Data Cleansing Scripts • Documented Data Structure and Mapping • Data Conversion Plan • Target State Concept of Operations • Scope of Services • Integrated Contact Center Strategy 	<ol style="list-style-type: none"> 1. Target State Solution Scope 2. Fit-Gap Analysis 3. Migration Plan, Schedule, and Release Approach 4. Top Risks 5. Updated LCCE 6. HR/Staffing Plan Update (Customer) 7. HR/Staffing Plan Update (Provider) 8. Procurement Approach (Customer) 9. Procurement Approach (Provider, Federal) 10. Updated Change Management and Communications Approach 11. Training Approach 12. Contact Center Approach 13. Data Management/Data Quality Approach 14. Integrated Program Governance Model 15. Lessons Learned

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

Exit Criteria (to move into Phase 4)	
<ul style="list-style-type: none"> ✓ Gap Analysis Completed ✓ PMO and Governance Process Integrated ✓ LCCE Updated for Migration and O&M 	<ul style="list-style-type: none"> ✓ Migration Approach Finalized ✓ Integrated Master Schedule Drafted ✓ SLAs for O&M Defined ✓ Go/No-Go Criteria Approved

List of Guidance Items and Templates Available for Phase 3

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
<ul style="list-style-type: none"> • Integrated HR/Staffing Plan • Integrated Governance Charter • Updated Procurement Plan • Status Reports/Dashboards • Updated Implementation Approach/Timeline • Lessons Learned Report • Integrated Risk Management Plan • Integrated RAID Log • Migration Phase IAA Terms and Conditions (Federal Only) • Go/No-Go Criteria for Go-Live Assessment • IMS • Updated LCCE for Migration and O&M • Updated Labor Relations Strategy • Updated Communications Plan • Training Plan • Updated Requirements Management Plan • RTM • Gap Analysis Report • Target State Systems Environment 	<ul style="list-style-type: none"> • Configuration Management Plan • Test Plan • Data Conversion Plan • Updated Data Cleansing Plan • Integrated Contact Center Strategy • O&M SLAs <ul style="list-style-type: none"> • Migration Phase IAA Terms and Conditions (Federal Only) • Governance Charter • HR/Staffing Plan • Schedule • Status Reports/Dashboards • Risk Management Plan • RAID Log • Lesson Learned Report • Training Plan • Requirements Management Plan • RTM • Gap Analysis Report • Gap Analysis Register • Data Conversion Plan • Test Plan • Configuration Management Plan • Change Request Form • Tollgate 3 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