Modernization and Migration Management (M3) Playbook

GSA, Unified Shared Services Management

Introduction

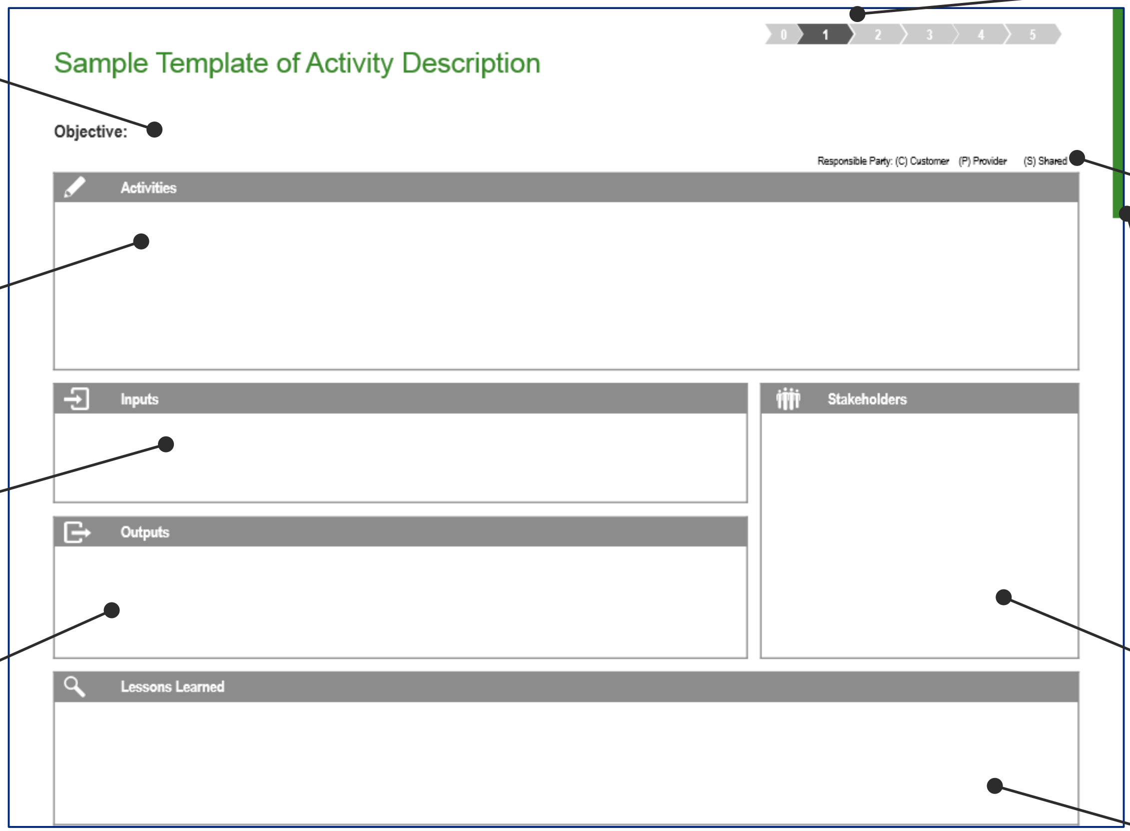
How to Read an Activity Description

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 4: Migration

Phase 4 Summary and Documentation

Phase Objective	Build, test, and deploy the new system, concept of operations, and workforce design

Responsible Party: Customer Provider Shared

Phase 4: Migration

Program Management	Workforce, Organization, & Stakeholders	Technology	Process & Service Delivery
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	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	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	4.20 Finalize Service Level Agreements 4.21 Design Target State Processes

Phase Documentation	The following documentation is developed during Phase 4 and is used to inform the development of the Phase 4 Tollgate Review Discussion

Phase 4 Documentation

- **Updated Go/No-Go Readiness Criteria**
- **Go/No-Go Assessment Report**
- Change Request Log
- Change Request Form
- Updated IMS
- Updated Integrated Program Management Plan
- Updated IV&V Plan
- Status Reports/Dashboards
- Updated Integrated Risk Management Plan
- Updated Integrated RAID Log
- Integrated O&M Governance Charter
- O&M Contract or IAA
- Contingency Plan
- Updated LCCE for O&M
- Target State Organization Design
- Updated Workforce Assessment
- Workforce Transition Strategy
- Updated Communications Plan
- Targeted Cutover Communications Plan
- Updated Readiness Assessment
- Updated Change Management Plan
- Updated Training Plan
- Training Materials
- Training Evaluations
- Updated Labor Relations Strategy
- Security Documentation
- Privacy Documentation
- Baselined List of ID Credentials
- Updated RTM
- Configuration Workbooks
- Interface Control Document
- Reports Design Document
- Updated Data Warehouse Design Document
- Data Warehouse and BI Reports
- Updated Data Conversion Plan
- Mock Conversion Report
- Conversion Defect Log
- Test Plan
- Test Scripts
- Test Results Report
- Test Defect Log
- Cutover Plan
- Updated O&M SLAs
- Target State Process Flows
- Standard Operating Procedures
- Updated Business Process Reengineering Strategy

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

Information Contained in Tollgate Review Discussion

1. Program Management Readiness Criteria Tasks and Status
2. Organizational Readiness Criteria Tasks and Status
3. Technology Readiness Criteria Tasks and Status
4. Business Operations Readiness Criteria Tasks and Status

Exit Criteria

✓ Go/No-Go Criteria Met

Program Management
4.1 Monitor and Control Program Execution

Objective: Monitor, measure, and communicate program migration progress

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

Activities

1. Manage Migration Integrated Master Schedule (IMS) through weekly updates of activities, dates, duration, and dependencies (S)
2. Manage scope and monitor program performance using Program Management Plan (S)
3. Manage costs against the budget (S)
4. Manage and update Human Resources (HR)/Staffing Plan as resources are on or off boarded or as needs change (S)
5. Manage and update the Integrated Independent Validation and Verification (IV&V) Plan (S)
6. Update program management documentation as necessary (S)
7. Develop and distribute Status Reports/Dashboards and escalate decisions and issues as needed through governance bodies (S)
8. Hold status meetings to monitor status against milestones, issues, risks, and make decisions needed for work streams (S)
9. Hold executive briefing to share progress on transition (S)
10. Continue to 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)

Inputs

- Program Charter
- Governance Charter
- IMS
- Program Management Plan
- Status Report/Dashboards

Outputs

- Change Request Form
- Change Request Log
- Updated IMS
- Updated Integrated Program Management Plan
- Updated IV&V Plan
- Status Reports/Dashboards

Stakeholders

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

Lessons Learned

- Review and update the IMS as necessary and maintain an integrated recurring meeting and reporting cadence
- Include all migration activities and responsible parties in the IMS. Migrations that include core and non-core services should align all services to the IMS
- Create a consolidated list of action items for the customer and provider
- Utilize collaboration tools to the fullest extent in order to facilitate information sharing across the migration program

Program Management
4.2 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. Maintain and update Risk Management Plan as necessary (S)
2. Develop and employ mitigation strategies continuously throughout the migration (S)
3. Maintain and update Risk, Action Items, Issue, Decision (RAID) Log with new risks and status of risk mitigation at a minimum of every 2 weeks throughout the migration (S)
4. Report on new risk and ongoing risk mitigation activities in governance meetings and Status Reports/Dashboards (S)

Inputs

- Integrated Governance Structure and Process
- Status Reports/Dashboards
- IV&V Plan
- Integrated Risk Management Plan
- Integrate RAID Log

Stakeholders

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

Outputs

- Updated Integrated Risk Management Plan
- Updated Integrated RAID Log

Lessons Learned

- Maintain 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. Include documentation of risks in RAID Log in order to facilitate communication of risks
- Maintain risk management roles and responsibilities for customer and provider team members and executives, and train team members on identifying and mitigating risks

Program Management
4.3 Develop Integrated O&M Governance

Objective: Develop integrated O&M governance structure to manage and oversee system and process performance

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

Activities

1. Identify provider governance bodies that will participate during O&M (P)
2. Define integrated governance authority, roles, and responsibilities for oversight and management decision-making on topics such as risk/issue escalation, SLA monitoring, contract negotiations, service/change requests, and management after system Go-Live (S)
3. Establish integrated governance meeting cadence and reporting timelines for customer and provider (S)
4. Create integrated O&M Governance Charter (S)
5. Begin executing against governance charter to facilitate decision-making and issue escalation upon Go-Live (S)

Inputs

- Existing Governance Bodies and Processes within customer and provider agencies
- Customer Governance Charter
- Migration Phase IAA (Federal Only)

Outputs

- Integrated O&M Governance Charter

Stakeholders

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

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
- Encourage decisions to be made at the lowest possible level, while allowing elevation of important or contentious issues through the governance model

Program Management
4.4 Prepare O&M Scope of Services and Contracts

Objective: Develop O&M scope of services, contract terms and conditions, and SLAs and gain agreement to have support in place post-deployment

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

Activities

1. Sign IAA for Phase 4 migration activities, if Federal provider selected (S)
2. Update Procurement Plans for the migration based on scope of services and migration timeline (S)
3. Manage procurement lifecycle and contract performance against Procurement Plan for Phase 4 program support services (C)
4. Report changes to Procurement Plans in governance meetings and Status Reports/Dashboards (S)
5. Draft O&M IAA/Contract, including SLAs and costs, based on the scope of services expected for Phase 5 and continued O&M activities (P)
6. Negotiate terms and conditions of IAA/Contract for O&M including scope of services, SLAs, and cost structure (S)
7. Sign IAA/Contract for O&M (S)
8. Report updates in governance meetings and Status Reports/Dashboards (S)

Inputs

- Scope of Services

Outputs

- O&M Contract or IAA

Stakeholders

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

Lessons Learned

- Understand the IAA services, SLAs, and cost structures and develop relevant metrics to be able to monitor provider performance

Program Management
4.5 Assess Readiness for Go-Live

Objective: Monitor program performance and measure against go-live criteria to assess the program's readiness for Go-Live

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

Activities

1. Finalize Go/No-Go Criteria, which may include program readiness, system readiness, workforce readiness, and operational readiness (S)
2. Identify deliverables/milestones required to demonstrate successful migration (S)
3. Develop Contingency Plan to prepare in case a No-Go decision is made or solution needs to be rolled back to existing environment (S)
4. Perform Go/No-Go Assessment using criteria and develop Go/No-Go Assessment Report and preliminary decision 30 – 60 days prior to Go-Live (S)
5. Present Go/No-Go Assessment to customer and provider leadership, USSM, and Line of Business Managing Partner to review decision and finalize (S)
6. Document results of Go/No-Go decision, including mitigation steps for risks for deploying the solution or executing the Contingency Plan (S)
7. If Go decision is made, begin executing Cutover Plan and monitor activities towards deployment (S)
8. If No-Go decision is made, execute Contingency Plan procedures (S)

Inputs

- Go/No-Go Assessment Criteria
- Updated Status Reports/Dashboards
- IMS
- Program Management Plan
- RAID Log

Outputs

- Contingency Plan
- Updated Go/No-Go Readiness Criteria
- Go/No-Go Assessment Report

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)

Lessons Learned

- Define Go/No-Go Assessment Criteria upfront and define measurable criteria to make decisions

Program Management
4.6 Update Lifecycle Cost Estimate for O&M

Objective: Update the estimated costs of a migration based on O&M Scope of Services to manage and plan budgetary needs

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

Activities

1. Update O&M cost estimates to customer based on agreed upon scope of services (P)
2. Negotiate and agree on best and final offer for O&M costs (S)
3. Identify changes required to Lifecycle Cost Estimate (LCCE) based on selected provider's cost estimates and consider reasonableness and affordability (C)
4. Update LCCE (according to cost management plan) for 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 (C)

Inputs

- Migration Approach
- Requirements Traceability Matrix (RTM)
- Gap Analysis Report
- Updated LCCE
- Updated Procurement Plan

Outputs

- Updated LCCE for 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 cost estimates from the provider to plan out-year budget needs and requests

Workforce, Organization & Stakeholders
4.7 Design Target State Organization

Objective: Identify and design the target state organization needs and prepare for changes to the workforce

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

Activities

1. Review Target State Concept of Operations and Target State Process Flows (C)
2. Align customer organizations to Target State Process Flows (C)
3. Define roles and responsibilities including position descriptions and job duties (C)
4. Map staff to positions (C)
5. Continue to assess impact of reorganization on the workforce (C)
6. Develop strategy for workforce transition (C)
7. Evaluate provider organization workforce based on customer migration and determine if there are impacts to provider workforce and Organization Structure (P)

Inputs

- As-Is Workforce Assessment
- Current Organization Structure
- Target State Process Flows
- Target State Concept of Operations

Outputs

- Target State Organization Design
- Updated Workforce Assessment
- Workforce Transition Strategy

Stakeholders

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

Lessons Learned

- Confirm the accuracy of the organizational structures based on the records maintained by first level managers versus the customer human capital office

Workforce, Organization & Stakeholders
4.8 Execute Workforce Transition and Prepare for Go-Live

Objective: Execute against and expand upon Communications Plan to include targeted communications against the Cutover Plan

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. Update Workforce 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. Create an additional, targeted Communications Plan based on Cutover Plan timeline and activities (S)
7. Update Communications Plan based on workforce transitions to the Target State Organization Structure, if needed (C)
8. Develop strategy for employee transition and notify staff of reorganization, if required (C)
9. Develop and deliver messages based on the targeted Communications Plan (S)

Inputs

- Communications Plan
- Cutover Plan
- Change Management Plan

Outputs

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

Stakeholders

- Program Manager (C, P)
- Training Lead (C, P)
- Change Management Lead (C, P)
- Communications Lead (C, P)
- Functional Lead (C, P)
- Technical Lead/Solution Architect (C, P)

Lessons Learned

- Deliver communications to stakeholders directly before Go-Live regarding new systems, processes, and roles

Workforce, Organization & Stakeholders
4.9 Execute Training for Go-Live

Objective: Develop and deliver training to the organization to prepare for Go-Live

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

Activities

1. Review and update the Training Plan to include specific training styles tailored to customer segments affected by the migration (C)
2. Design training content and supporting materials and develop job-aids (S)
3. Plan logistics for training delivery and confirm training roles and responsibilities (S)
4. Deliver training (S)
5. Develop Training Evaluation form and feedback process (S)
6. Collect feedback and update Training Materials and delivery methods as needed (S)

Inputs

- Training Plan

Outputs

- Updated Training Plan
- Training Materials
- Training Evaluations

Stakeholders

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

Lessons Learned

- Consider developing webpages to share information for ease of access and frequent use by employees
- Provide training in a variety of formats to accommodate different learning styles of stakeholders

Workforce, Organization & Stakeholders
4.10 Execute Labor Relations Strategy

Objective: Continue to manage the relationship(s) with the union(s)

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

Activities

1. Review Target State Organization Design and updates to requirements based on the migration along with the updated workforce assessment to identify potential impacts on staff (C)
2. Engage in communications with Union Leadership based on Labor Relations Strategy (C)
3. Determine the methods to align to collective bargaining agreements (CBAs), resolve issues and document outcomes and next steps (C)
4. Update the Labor Relations Strategy as needed (C)
5. Finalize union agreements to proceed with deployment activities (C)

Inputs

- Labor Relations Strategy
- Change Management Plan

Outputs

- Updated Labor Relations Strategy

Stakeholders

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

Lessons Learned

- Encourage participation in regularly scheduled “Meet and Discuss” session with union leadership and organization management

Technology

4.11 Conduct Privacy and Security Reviews

Objective: Conduct security and privacy reviews to validate the system (data, applications, interfaces, network) is protected and personally identifiable information (PII) and data are secure

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

Activities

Conduct Privacy Reviews:

1. Develop Privacy Framework to include system categorization, data type, handling, storing and sharing method, and incident response process (S)
2. Develop Privacy documentation and training material (if needed) to provide guidance to all stakeholders (S)
3. Implement Privacy training roadmap and integrate with overall training plan (S)
4. Roll out privacy regulations to all users (S)
5. Document and receive Systems of Record Notice, if required (S)

Conduct Security Reviews:

1. Understand provider security environment and assess against requirements (S)
2. Develop Security documentation and Security Test Plan if applicable (S)
3. Execute security test according to test plan to include both physical and logical security, document and correct issues (S)
4. Request and receive Authority to Operate (ATO) if necessary (S)

Inputs

- RTM
- Gap Analysis Report
- Target State Concept of Operations
- Integrated Technical Strategy

Outputs

- Security Documentation, including Security Test Results and ATO
- Privacy Documentation, including Initial Privacy Assessment, FIPS 199, System of Records Notice (SORN), Privacy Impact Assessment

Stakeholders

- Program Manager (C, P)
- Functional Lead (C, P)
- Functional SMEs (C,P)
- Data SMEs (C)
- Technical Lead/Solution Architect (C, P)
- Security Lead (C, P)
- ISSO (C, P)
- Network SME (C, P)
- PMO Lead (C, P)

Lessons Learned

- Understand the customer's ATO process and allow sufficient time to get documentation through review and approvals
- Develop and define Security/Privacy plan before development as part of the Target State Solution Architecture
- Begin security and privacy planning early and include security steps across all migration phases

Technology
4.12 Define Roles and User Access

Objective: Define roles and user access according to user requirements

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

Activities

1. Document roles and access rights, segregation of duties, identification (ID) request and ID management processes based on Identity, Credentials, and Access Management Framework (ICAM) (S)
2. Finalize roles and responsibilities for granting user access in O&M (S)
3. Implement Security Configuration for user roles and user access as documented in ICAM (P)
4. Assign user access rights to employees (S)
5. Load production user accounts (P)
6. Test production user accounts (P)
7. Provide credentials to end users for testing, training, and production (S)

Inputs

- RTM
- Gap Analysis Report
- Target State Process Flows
- Target State Organization Structure
- Integrated Technical Strategy

Outputs

- Baselined List of ID Credentials

Stakeholders

- Program Manager (C, P)
- Functional Lead (C, P)
- Technical Lead/Solution Architect (C, P)
- Security Lead (C, P)
- ISSO (C, P)
- Network SME (C, P)
- PMO Lead
- Change Management Lead (C,P)
- Training Lead (C, P)
- (C, P)

Lessons Learned

- Have an ID management tool, ID request process, and contact center procedures to resolve access related issues in place before cutover
- Provide sufficient security access to the deployment team to perform their tasks effectively in advance of deployment
- Establish security roles and responsibilities well in advance of deployment to resolve issues while time allows

Technology
4.13 Design, Configure, and Develop Systems

Objective: Design, configure, and develop changes and enhancement of system software, hardware, and documentation throughout the lifecycle

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

Activities

1. Document Configuration Workbooks to understand data and system layouts (P)
2. Create baseline system configuration and execute unit test to validate configuration changes (P)
3. Assess and define batch jobs (P)
4. Define and verify business process controls framework (P)
5. Baseline and sign-off on functional and technical requirements (S)
6. Develop functional and technical specifications for enhancement based on requirements (P)
7. Code and unit test enhancements (P)
8. Validate the configuration and controls with customer Functional SMEs (and Technical SMEs) to validate enhancements have met requirements (S)

Inputs

- RTM
- Target State Architecture Solution
- Integrated Technical Strategy
- Gap Analysis Report
- Configuration Management Plan

Outputs

- Updated RTM
- Configuration Workbooks

Stakeholders

- Program Manager (P)
- Technical Lead/Solution Architect (P)
- Configuration Lead (P)
- Development Team (P)
- Functional Lead (C, P)
- Functional SMEs (C, P)
- Managing Partner/Line of Business Sponsor (Line of Business)

Lessons Learned

- Leverage functional specifications to support contact center team, test case, script development, training development, and user guide development
- Conduct Configuration Workbook validation after Conference Room Pilots (CRPs) to help the customer better understand the configuration options
- Consider hiring or staffing independent Enterprise Resource Planning (ERP) experts to provide unbiased configuration alternatives for the customer

Technology
4.14 Design and Develop Interfaces

Objective: Design and develop interfaces between applications

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

Activities

1. Create or update Interface Control Documents to describe the functionality including data flow, security and controls, and transfer methods between various legacy systems (P)
2. Coordinate with the interface partner to collaborate and agree on data exchanges, integration methods and unit testing timeframes (S)
3. Code and unit test Interfaces (P)
4. Establish batch jobs to execute interfaces and conduct integration testing (S)

Inputs

- RTM
- Target State Architecture Solution
- Integrated Technical Strategy
- Gap Analysis Report
- Target State Concept of Operations

Outputs

- Interface Control Document

Stakeholders

- Program Manager (C, P)
- Technical Lead/Solution Architect (C, P)
- Development Team (C, P)
- Functional Lead (C, P)
- Network SME (C, P)

Lessons Learned

- Maintain a detailed network architecture to help troubleshoot interface design and development issues
- Conduct frequent checkpoints with interfacing application developers between customer and provider
- Coordinate early with external interface providers to properly plan testing windows

Technology
4.15 Design and Develop Reports

Objective: Design and develop operational reports

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

Activities

1. Based on reporting requirements within RTM, design reports (P)
2. Validate report designs with customer (S)
3. Build and unit test reports (P)
4. Provide sample reports and prepare for user testing (P)

Inputs

- RTM
- Target State Concept of Operations
- Integrated Technical Strategy
- Gap Analysis Report
- Data Warehouse, Data Model Design
- ERP application data models

Stakeholders

- Program Manager (P)
- Technical Lead/Solution Architect (P)
- Development Team (P)
- Functional Lead (P)
- Functional SMEs (C, P)
- Network SME (P)

Outputs

- Reports Design Document
- Updated Data Warehouse Design Document

Lessons Learned

- Conduct a thorough analysis of current reports to determine which are still needed or used before developing reports in the new system
- Prioritize reporting requirements and develop reports in phases
- Include sufficient time to develop and test reports

Technology
4.16 Design and Develop Data Warehouse

Objective: Design and develop data warehouses to meet the needs of the customer

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

Activities

1. Design target state master and transactional data and data marts, considering existing Data Warehouse structure and historical reporting needs (P)
2. Design Master Data Management Approach (P)
3. Document Warehouse design and obtain approval of the customer (P)
4. Develop and test Extract, Transform and Load programs with source systems (S)
5. Build and test data marts (P)
6. Build and develop Business Intelligence reports (P)
7. Obtain approval of the customer (S)

Inputs

- RTM
- Target State Concept of Operations
- Integrated Technical Strategy
- Gap Analysis Report
- Existing Data Warehouse Documentation

Outputs

- Data Warehouse and BI Reports

Stakeholders

- Program Manager (C, P)
- Technical Lead/Solution Architect (C, P)
- Development Team (C, P)
- Functional Lead (C, P)
- Network SME (C, P)
- Functional SMEs (C, P)

Lessons Learned

- Consider system scalability for future reporting needs

Technology
4.17 Conduct Mock Conversions

Objective: Conduct mock data conversions to test transfer of data

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

Activities

1. Define and test conversion scenarios (S)
2. Design build and unit test data conversion including extracting, transforming, and loading procedures (S)
3. Design, build, and unit test validation/reconciliation reports (S)
4. Test manual conversion and document results (P)
5. Run mock conversion and document results (P)
6. Clean up data issues uncovered during mock (S)
7. Repeat subsequent mock conversions and update scripts as necessary, cleansing more data each time until program team is satisfied with data accuracy (S)

Inputs

- RTM
- Integrated Technical Strategy
- Data Conversion Strategy
- Data Cleansing Plan Updated
- Data Quality Results

Outputs

- Updated Data Conversion Plan
- Mock Conversion Report
- Conversion Defect Log

Stakeholders

- Program Manager (C, P)
- Functional Lead (C, P)
- Functional SMEs (C)
- Technical Lead/Solution Architect (C, P)
- Development Team (C, P)
- Network SME (C, P)
- Data Conversion Lead (C, P)
- Data SMEs (C, P)

Lessons Learned

- Conduct multiple mock conversions to mitigate complex conversion risks and include enough time in the IMS to correct anomalies and updated conversion programs

Technology
4.18 Test Systems and Processes

Objective: Test systems and processes and trace test cases and results in RTM

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

Activities

1. Develop Test Plans and Scripts (Integration, System, Regression, Performance/Stress, User Acceptance, 508, Smoke) (S)
2. Plan and develop test data (S)
3. Execute tests for each test cycle (S)
4. Record, correct, and report defects (S)
5. Perform regression test (S)
6. Develop Test Results Report for each test cycle and confirm exit criteria have been met (S)

Inputs

- RTM
- Target State Concept of Operations
- Integrated Technical Strategy

Outputs

- Test Plan
- Test Scripts
- Test Results Report
- Test Defect Log
- Updated RTM

Stakeholders

- Program Manager (C, P)
- Technical Lead/Solution Architect (C, P)
- Development Team (C, P)
- Functional Lead (C, P)
- Test Lead (C, P)
- Test Team (C, P)

Lessons Learned

- Sequence SIT and UAT testing with mock conversions to be able to test with quality data to validate both system functionality and reports/data
- Implement a consolidated defect tracking tool for use by both provider and customer during test planning; agree upon implementation tools (like requirements management and defect tracking tools) in the Migration IAA
- Leverage the RTM to map and trace requirement, test cases, and test scripts
- Involve testing team members in requirements sessions to understand requirements better

Technology

4.19 Develop and Execute Cutover Plan for Go-Live

Objective: Create and execute Cutover Plan to deploy the solution into production

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

Activities

1. Develop Cutover Plan to include pre cutover, cutover, and post cutover steps (S)
2. Integrate the Cutover Plan with the overall communication and program go live schedule
3. Communicate the cutover activities to stakeholders (S)
4. Execute pre cutover tasks (S)
5. Schedule all necessary checkpoints to monitor go live progress (S)
6. Execute cutover tasks to include deployment of code to production, activation of system components, and securing or shutting down legacy systems (P)
7. Initiate post cutover activities to include warranty period support (P)
8. Update decommissioning plan for legacy systems (C)

Inputs

- RTM
- Integrated Technical Strategy
- IMS

Outputs

- Cutover Plan

Stakeholders

- Program Manager (C, P)
- Functional Lead (C, P)
- Technical Lead/Solution Architect (C, P)
- Security Lead (ISSO) (C, P)
- Network SME (C, P)
- PMO Lead (C, P)
- PMO Team (C, P)
- Change Management Lead (C, P)
- Communications Lead (C, P)
- Data Conversion Lead (C, P)
- Interface Lead (C, P)

Lessons Learned

- Establish an ongoing and committed contact center support at each organization to help facilitate Go-Live transition
- Have all key SMEs available onsite during final pilot trial and actual deployment
- Conduct daily meetings to monitor progress and issues for timely resolution

Process and Service Delivery
4.20 Finalize Service Level Agreements

Objective: Finalize the agreement on the level of service from the provider during O&M

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

Activities

1. Finalize O&M roles and responsibilities between the customer and provider (S)
2. Validate and agree upon SLAs as an input to O&M IAA/Contract (S)
3. Update/validate SLAs (as applicable) to ensure process steps are met that allow customers to meet agreed upon SLAs with provider (S)

Inputs

- SLAs

Outputs

- Updated O&M SLAs

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)

Lessons Learned

- Establish SLAs with proper monitoring where both customer and provider responsibilities are clearly defined

Process and Service Delivery
4.21 Design Target State Processes

Objective: Design the Target State Process Flows, activities, decision points, interrelationships, and systems interactions

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

Activities

1. Finalize list of in-scope processes for migration and identify which processes will undergo reengineering (S)
2. Validate and update the Business Process Reengineering Strategy (S)
3. Validate and update process decomposition for in-scope processes based on Line of Business service catalogs (S)
4. Develop Target State Process Flows for in-scope processes, considering internal control, segregation of duties, technology, handoffs, workloads, and manual workarounds (S)
5. Review, validate, and update processes with stakeholders (S)
6. Update and develop Standard Operating Procedures (SOPs) and develop Desk Guides/User Guide for customer and provider processes (S)

Inputs

- Target State Concept of Operations
- Target State Systems Environment

Outputs

- Target State Process Flows
- Standard Operating Procedures
- Updated Business Process Reengineering Strategy

Stakeholders

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

Lessons Learned

- Establish a standardized and common process decomposition to have consistency in terminology using guidance from the applicable Line of Business
- Perform business process alignment activities rather than traditional business process reengineering to avoid bad practices continuing in the new system
- Identify key functional process lead and SMEs to drive process ownership and decision making

Documentation Required for Phase 4 Tollgate Review

The following documentation is required in guiding a discussion to demonstrate readiness and gain approval for Phase 4

Documentation for USSM

- **Updated Go/No-Go Readiness Criteria**
- **Go/No-Go Assessment Report**
- Change Request Log
- Change Request Form
- Updated IMS
- Updated Integrated Program Management Plan
- Updated IV&V Plan
- Status Reports/Dashboards
- Updated Integrated Risk Management Plan
- Updated Integrated RAID Log
- Integrated O&M Governance Charter
- O&M Contract or IAA
- Contingency Plan
- Updated LCCE for O&M
- Target State Organization Design
- Updated Workforce Assessment
- Workforce Transition Strategy
- Updated Communications Plan
- Targeted Cutover Communications Plan
- Updated Readiness Assessment
- Updated Change Management Plan
- Updated Training Plan
- Training Materials
- Training Evaluations
- Updated Labor Relations Strategy
- Security Documentation
- Privacy Documentation
- Baselined List of ID Credentials
- Updated RTM
- Configuration Workbooks
- Interface Control Document
- Reports Design Document
- Updated Data Warehouse Design Document
- Data Warehouse and BI Reports
- Updated Data Conversion Plan
- Mock Conversion Report
- Conversion Defect Log
- Test Plan
- Test Scripts
- Test Results Report
- Test Defect Log
- Cutover Plan
- Updated O&M SLAs
- Target State Process Flows
- Standard Operating Procedures
- Updated Business Process Reengineering Strategy

Information Contained in Tollgate Review Discussion

1. Program Management Readiness Criteria Tasks and Status
2. Organizational Readiness Criteria Tasks and Status
3. Technology Readiness Criteria Tasks and Status
4. Business Operations Readiness Criteria Tasks and Status

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

Exit Criteria

✓ Go/No-Go Criteria Met

List of Guidance Items and Templates Available

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
• Status Reports/Dashboards • Updated IMS • Updated Integrated Risk Management Plan • Updated Integrated RAID Log • Integrated O&M Governance Charter • O&M Contract or IAA • Contingency Plan • Updated LCCE for O&M • Updated Training Plan • Updated Data Conversion Plan • Mock Conversion Report • Test Plan • Test Defect Log • Test Results Report • Cutover Plan • Updated O&M SLAs	• Status Reports/Dashboards • Governance Charter • Schedule • Change Request Form • Risk Management Plan • RAID Log • RTM • Training Plan • Test Plan • Test Report • Data Conversion Plan • Tollgate 4 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