

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:

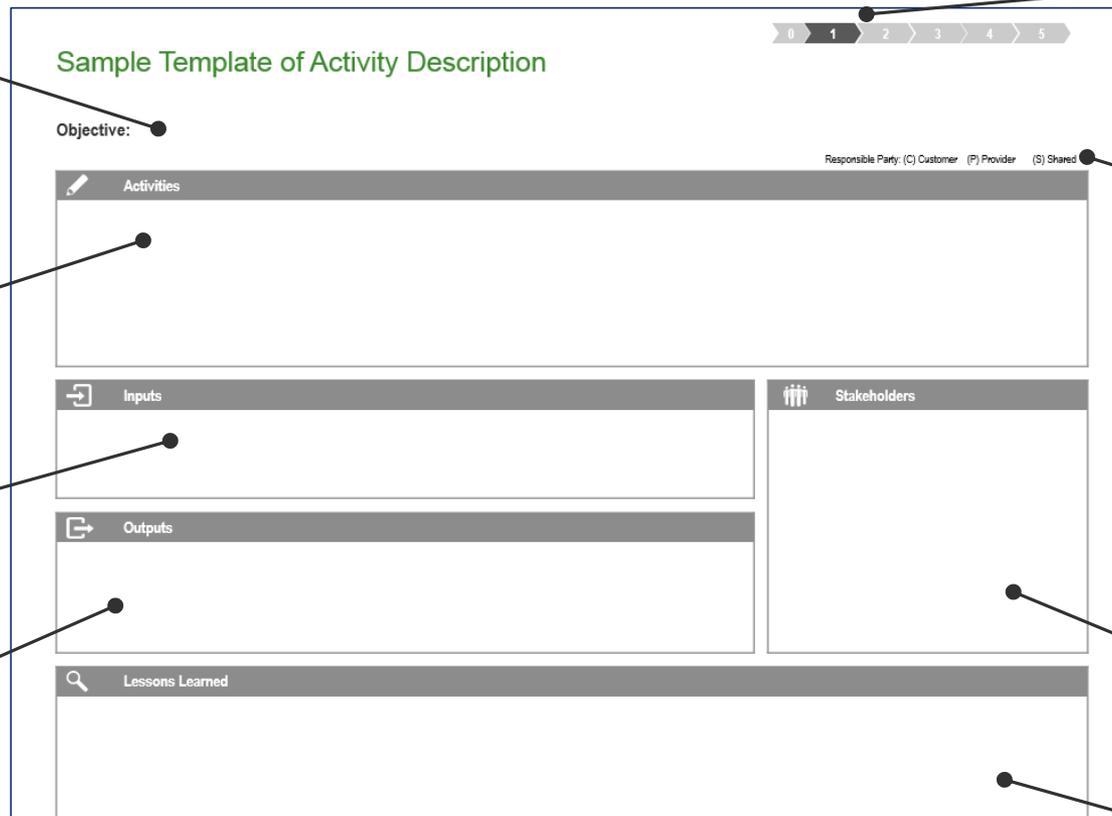
Describes the step-by-step activities that the program team should conduct in order to achieve the intended objective

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



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	<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

- ◆ Tollgate
- ◆ Program Health Assessment



Program Management



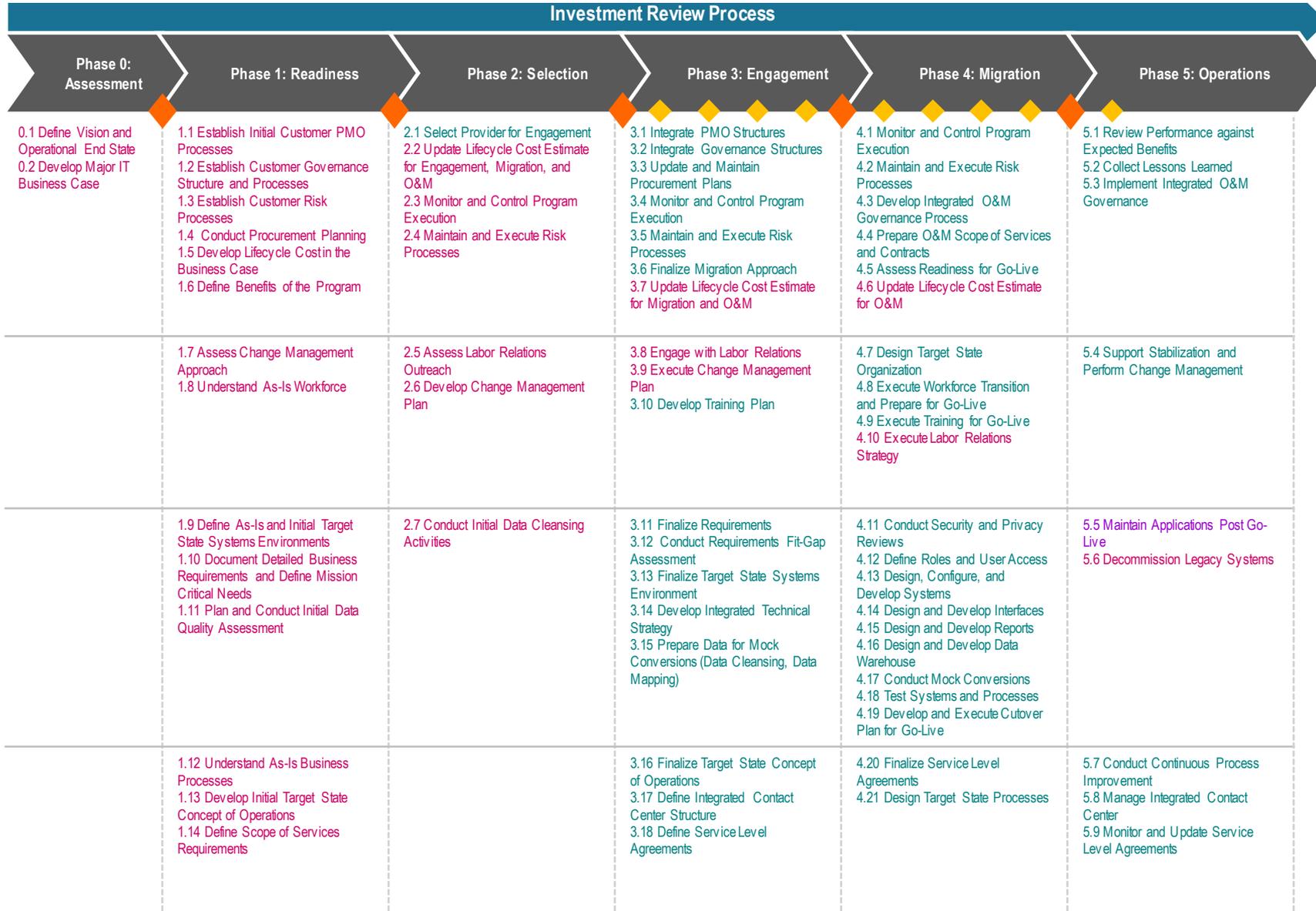
Workforce, Organization, & Stakeholders



Technology



Process & Service Delivery



Phase 5: Operations

Phase 5 Summary

Phase Objective: Deliver services and conduct continuous process improvement

Responsible Party: ■ Customer ■ Provider ■ Shared

Phase 5: Operations	 <p>Program Management</p>	 <p>Workforce, Organization, & Stakeholders</p>	 <p>Technology</p>	 <p>Process & Service Delivery</p>
	<p>5.1 Review Performance against Expected Benefits 5.2 Collect Lessons Learned 5.3 Implement Integrated O&M Governance</p>	<p>5.4 Support Stabilization and Perform Change Management</p>	<p>5.5 Maintain Applications Post Go-Live 5.6 Decommission Legacy Systems</p>	<p>5.7 Conduct Continuous Process Improvement 5.8 Manage Integrated Contact Center 5.9 Monitor and Update Service Level Agreements</p>

Program Management

5.1 Review Performance against Expected Benefits

Objective: Evaluate and measure the migration’s performance and success to determine if objectives were achieved

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

Activities

1. Receive all final deliverables/milestones to determine program completion (S)
2. Evaluate schedule, scope, and cost of the migration against baseline metrics (S)
3. Collect data and evaluate Success Metrics against baseline and targets (S)
4. Document the results of the program against Success Metrics and present results to USSM, provider and customer executives (S)
5. Collect and archive your cost actuals (S)

Inputs

- Updated Program Charter
- Program Management Plan
- Integrated Master Schedule (IMS)
- Success Metrics
- O&M Service Level Agreements (SLA)

Stakeholders

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

Outputs

- Final Report on Success Metrics

Lessons Learned

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

Program Management

5.2 Collect Lessons Learned

Objective: Identify the Program’s successes and areas for improvement, and report findings in a Lessons Learned Report

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

Activities

1. Develop a Lessons Learned Questionnaire and provide it to program stakeholders to gather feedback on the successes and areas for improvement, including feedback on the Communications Plan (S)
2. Distribute questionnaire and provide time for response (S)
3. Hold an optional meeting with program stakeholders to review lessons learned findings (S)
4. Identify major successes and areas for improvement based on stakeholder responses (S)
5. Document the major successes, areas for improvement and lessons learned of the program and present results to USSM, provider and customer executives (S)
6. Conduct knowledge transfer from migration team to O&M team and closeout program (S)

Inputs

- Program Charter
- Program Management Plan
- IMS
- Status Report/Dashboard

Outputs

- Lessons Learned Questionnaire
- Lessons Learned Report

Stakeholders

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

Lessons Learned

- Provide the Lessons Learned Report to both the customer and provider

Program Management

5.3 Implement Integrated O&M Governance

Objective: Implement O&M governance structures to manage and oversee performance after Go-Live

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

Activities

1. Finalize Integrated O&M Governance Charter to include integrated governance authority, roles, and responsibilities for decision-making on topics such as risk/issue escalation, SLA monitoring, contract negotiations, service requests/change requests management after system Go-Live (S)
2. Implement processes and integrated governance meeting cadence and reporting timelines for customer and provider (S)
3. Update charter and processes as changes are identified or conduct an annual review (at a minimum) to determine if changes are needed (S)
4. Review and report on SLAs after Go-Live on the timeline specified in the SLA (P)
5. Review IAAs/contracts and SLAs at least once annually and determine if updates need to be made (C)

Inputs

- O&M SLAs
- O&M Interagency Agreement (IAA)/Contracts

Stakeholders

- Business Owners (C, P)
- O&M Team (C, P)

Outputs

- Integrated O&M Governance Charter
- O&M SLA Performance Reports
- Change Request Log

Lessons Learned

- Encourage decisions to be made at the lowest possible level, while allowing elevation of important or contentious issues through the governance model
- Implement an integrated recurring meeting and status reporting cadence to help align customer and provider leadership on the status of ongoing activities and priorities

Workforce, Organization & Stakeholders

5.4 Support Stabilization and Perform Change Management

Objective: Maintain regular communication with stakeholders and assess the effectiveness of the training after the migration is complete to support stabilization and user adoption

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

 Activities	
<ol style="list-style-type: none"> 1. Develop and deliver messages based on the targeted cutover Communications Plan (S) 2. Assess the impact of the targeted cutover Communications Plan and provide stabilization support for transition (S) 3. Continue to conduct training for employees during the stabilization period (S) 4. Assess the impact of the training for employees through elevations and metrics (S) 5. Document lessons learned from Training Evaluations and stakeholder feedback on communications (S) 6. Develop a new Communications and Training Plan for O&M (S) 	<ol style="list-style-type: none"> 7. Conduct training on a regular basis and specifically as new employees are on boarded or as process improvements and/or system enhancements are made (S) 8. Develop and deliver ongoing methods and Communications Materials to message process improvements and/or system enhancements (S)

 Inputs
<ul style="list-style-type: none"> • Change Management Plan • Training Materials • Training Assessment and Metrics • Targeted Cutover Communications Plan

 Stakeholders
<ul style="list-style-type: none"> • O&M Team (C, P)

 Outputs
<ul style="list-style-type: none"> • Completed Training Evaluations • O&M Communications and Training Plan • Communications Materials • Training Materials

 Lessons Learned
<ul style="list-style-type: none"> • Develop and execute frequent and multi-directional communications to increase the likelihood that most stakeholders receive the messages • Maintain job-aids, Standard Operating Procedures (SOPs) and Frequently Asked Questions (FAQs) and other documentation readily available for employees to refresh after migration

Technology

5.5 Maintain Applications Post Go-Live

Objective: Support and maintain application post go-live to address system and user’s concerns for operational effectiveness

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

 Activities	
<ol style="list-style-type: none"> 1. Provide HyperCare (e.g., service desk, incident management, event management, access management) for 90 days after Go-Live (P) 2. Develop Post Implementation and Evaluation Report to capture lessons learned and next steps (S) 3. Maintain applications, update documentations, and adjust resource as required, through Information Technology Information Library (ITIL) management, to meet SLAs and sustain an agreed upon level of operation performance (P) 4. Plan and perform future modernization efforts to improve operational effectiveness (P) 	
 Inputs	 Stakeholders
<ul style="list-style-type: none"> • Requirements Traceability Matrix (RTM) • Target State Systems Environment • Integrated Technical Strategy • Cutover Plan 	<ul style="list-style-type: none"> • O&M Team (C, P)
 Outputs	
<ul style="list-style-type: none"> • Post Implementation and Evaluation Report 	
 Lessons Learned	
<ul style="list-style-type: none"> • Engage O&M team early and conduct multiple simulations and training to adequately prepare support team before cutover • Gain agreement on SLAs and SLA reporting and processes in advance of cutover • Determine system administration split of responsibilities between customer and provider early and develop documentation to support 	

Technology

5.6 Decommission Legacy Systems

Objective: Retire legacy systems including hardware, software, licenses, interface, and close out support contracts

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

Activities

1. Once the Cutover Plan is complete, execute the Decommissioning Plan (C)
2. Develop hardware disposition, software licensing, and contract end of life plan (C)
3. Archive software, data, and documentations (security and access) necessary to bring back the system if required (C)
4. Retire applications, databases, and hardware per requirements (C)
5. Provide Decommissioning Report (C)

Inputs

- Cutover Plan
- Decommissioning Plan

Stakeholders

- Program Manager (C)
- Business Owners (C)
- Functional Lead (C)
- Technical Lead/Solution Architect (C)
- Security SMEs (C)
- Network SMEs (C)
- O&M Team (C)
- PMO Lead (C)

Outputs

- Decommissioning Report

Lessons Learned

- Build decommissioning plan into the overall migration program to capitalize on cost reduction and operational improvements

Process and Service Delivery

5.7 Conduct Continuous Process Improvement

Objective: Monitor operational performance to identify and implement process improvement opportunities

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

Activities

1. Monitor performance of the new system and processes (S)
2. Identify areas for process improvement (S)
3. Validate As-Is and document Target State Process Flows and update SOPs (S)
4. Communicate changes to stakeholders and train end users as necessary (S)

Inputs

- Target State Process Flows
- SOPs
- O&M SLAs

Stakeholders

- O&M Team (C, P)

Outputs

- Updated Process Flows
- Updated SOPs
- Updated O&M SLAs

Lessons Learned

- Define key performance metrics to monitor operations and identify improvement opportunities
- Define meeting cadence and mechanism for performance reviews

Process and Service Delivery

5.8 Manage Integrated Contact Center

Objective: Provide service and assistance to customers in O&M

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

 Activities	
<ol style="list-style-type: none">1. Provide customer care for issue resolution and escalation according to service level agreement (SLA) metrics (P)2. Coordinate escalated requests between customer and provider (S)3. Document frequent issues and make appropriate requirement changes and training adjustments (S)	
 Inputs	 Stakeholders
<ul style="list-style-type: none">• O&M SLAs• Contact Center Strategy	<ul style="list-style-type: none">• Business Owners (C, P)• Program Manager (C, P)• PMO Lead (C, P)• PMO Team (C, P)• Functional Lead (C, P)• Functional SMEs (C, P)• Training Lead (C, P)• Change Management Lead (C, P)• Communications Lead (C, P)
 Outputs	
<ul style="list-style-type: none">• Updated O&M SLAs	
 Lessons Learned	
<ul style="list-style-type: none">• Define mandatory requirements clearly and align with SLAs	

Process and Service Delivery

5.9 Monitor and Update SLAs

Objective: Update the agreement on the level of service provided by the provider to the customer during operations and maintenance for a defined period of time

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

Activities

1. Create reports based on ongoing tracking/managing of performance against established SLAs (S)
2. Identify any gaps between customer service level requirements and provider capabilities (S)
3. Update SLAs according to the new operational and financial terms and conditions (i.e., timing of services, cost for services, payment terms) (S)

Inputs

- O&M 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

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
I&V	Independent Verification and Validation
LCCE	Lifecycle Cost Estimate
O&M	Operations and Maintenance
OMB	Office of Management and Budget
PV	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