# M3 Playbook Guidance

## Phase 3: Engagement

In conjunction with the M3 Playbook, this guidance is intended for use by organizations to confirm and validate that their plans are comprehensive and have adequate level of detail for proper migration planning. The guidance highlights key considerations for organizations in their planning process for activities that are critical to the migration and where typical risks occur during the migration process. Agencies have the discretion to develop these outputs using agency-specific guidelines as long as the overall objective of each M3 activity is fulfilled. Where specific guidance is not provided for an activity below, agencies should refer to the M3 Playbook activities for instructions. For sample documentation from previous modernizations and migrations, please go to the M3 Artifact Samples MAX Page.  If you need access to the M3 Artifacts Samples page, please email your request to ussm.m3@gsa.gov.

### 3.1  Integrate PMO Structures

#### Human Resources (HR)/Staffing Plan

**Overview:**
The Integrated HR/Staffing Plan details the program structure, required resources and associated skillsets, resource gaps, and mitigation plans for filling resource gaps.

**Guidance:**
- Identify customer and provider Executive Sponsors
- Define program management structures for both customer and provider
    - Identify program management roles and responsibilities
    - Develop program management reporting structure
- Define program/Program  Management Office (PMO) organization  chart including both customer and provider leadership, program management,  functional, technical, and change management workstreams (leads and support staff or contractors)
- The HR/Staffing Plan corresponds to the customer  and provider program/PMO organization charts, including at a minimum:
    - Role and whether role requires Federal resource or can be Federal or contractor resource
    - Responsibilities associated with each role
    - Skills required for each role
    - Number of required resources/full time employees (FTEs) for each role including percent commitment  required
    - Number of resources/FTEs filled to date for each role including percent commitment and resource name
    - Resource or skills gaps and mitigation plan for each resource gap including date to fill resource gap or detail to acquire necessary skills (i.e., training date)
- Identify customer and provider Subject Matter Experts (SMEs)
    - Identify SME roles along with number of SMEs, required skills, responsibilities, and time commitment  for each role
    - Identify SME roles with resource name and percent commitment  to the program
    - Align SMEs to specific workstreams and roles within the PMO structure
- Complete breakdown of full time Federal versus contractor personnel for both customer and provider
- Break down personnel counts by workstream and role
    - Identify Federal leads for each contractor workstream and role

## 3.2 Integrate Governance Structures

*Governance Charter*

**Overview:**

The Integrated Governance Charter details the roles, responsibilities, stakeholders, and procedures required for oversight and decision making throughout the migration across both the customer and provider organizations.

**Guidance:**

- Identify customer and provider governance body (or bodies) with defined membership and Chair
    - Define reporting structure relative to program team
    - Identify Chair, membership, and non-member advisors
- Establish decisions rights and escalation criteria across both customer and provider organizations
    - Define breakdown of decision rights
    - Put criteria for escalating decisions in place
- Define and document roles and responsibilities for customers and providers for each governance body
- Establish customer and provider voting procedures, which include:
    - Identified voting membership
    - Established quorum requirements
    - Majority voting thresholds
- Define customer and provider governance meeting cadence and communications, including:
    - Meeting frequency and location
    - Meeting format and participants
    - Pre- and post- meeting communications

## 3.3 Update and Maintain Procurement Plans

*Procurement Plan*

**Overview:**

The Procurement Plan details the strategy and approach to acquire and manage resources needed to complete the program.

**Guidance:**

- Define procurement needs for both the customer and provider for the Migration Phase (Federal only)
- Define procurement needs for professional services and infrastructure, hardware, and software
- Align all program acquisitions with HR/Staffing Plan
- Define scope and period of performance for each contract
- Identify timing and required budget resources for each planned acquisition
- Identify, on board, and integrate Contracting Officer/Contracting Officer's Representative (CO/COR) resources into customer and provider PMO
- Define types of contracts and procurement methods (e.g., contract vehicle) for all planned program acquisitions
- Establish procurement metrics for each planned acquisition to evaluate performance of contractors
- Align the Procurement Plan to the category management plan

## 3.4  Monitor and Control Program Execution

*Status Reports/Dashboards*

**Overview:**

Status Reports/Dashboards provide program leadership and governance with updates on program progress, and strategic program risks/issues.

**Guidance:**
- Define accomplishments and upcoming activities based on the Master Schedule with dates
- Report high impact risks with mitigation strategies
- Include Gantt chart of program schedule and progress

*Lessons Learned Report*

**Overview:**

The Lessons Learned Report provides information for future iterations of this program (and others) based on activities completed to date, and reflects lessons learned by both the customer and provider.

**Guidance:**
- Identify key phase successes, including the factors that supported those successes
- Identify main challenges to the phase, including:
  - Shortcomings or unforeseen circumstances
  - How unforeseen challenges were overcome (if they were)
  - An assessment as to whether the challenge ultimately impacted phase/program success, and what must be changed in the future in order to achieve success
- Develop recommendations  to improve future programs and identify items to continue performing
- Define plan to implement  recommendations  into migration processes
- Record follow-up actions (as necessary) based on the tollgate review

## 3.5  Maintain and Execute Risk Processes

*Risk Management Plan*

**Overview:**

The Integrated Risk Management Plan details the approach to risk management, and identifies the procedures required to identify, manage, and close risks throughout the migration.

**Guidance:**
- Establish risk management roles and responsibilities for both the customer and provider
- Integrate risk management responsibilities across the customer and provider program teams
- Establish and follow escalation criteria and processes for risks/issues
  - Define processes for risk identification, assessment,  mitigation, and closeout
  - Define method and cadence for risk/issue escalation
  - Establish authority for risk/issue escalation and risk/issue review
  - Response strategies for risks reflect feedback received from risk escalation procedures

*Risks, Issues, Actions, and Decisions (RAID) Log*

**Overview:**

The Integrated RAID Log is the mechanism to capture and track information on risks and issues from both the customer and provider.

**Guidance:**
- Write all risks as "IF, THEN" statements

- Assign all risks/issues to a risk owner
- Establish an approved response strategy (i.e., accept, mitigate) for all risks/issues
- Establish an approved mitigation strategy and contingency approach for risks/issues when appropriate
- Establish a probability and impact assessment for all risks/issues
- Establish risk closure criteria for all risks/issues
- Identify expected dates of risk/issue closure and/or update
- Identify top risks/issues (by probability and impact)
- Monitor risks on a weekly basis
- Identify trigger dates for when risks become issues

## 3.6  Finalize Migration Approach

*Migration Phase Interagency Agreement (IAA) Terms and Conditions (Federal Only)*

**Overview:**

The Migration Phase IAA Terms and Conditions are the contract between the customer and provider that will drive customer and provider interaction and the associated migration activities.

**Guidance:**
- Clearly define the scope of the migration, including services requested, key activities that will be completed by the customer and provider, and all deliverables
- Define reporting procedures between the customer and provider
- Define roles of governance bodies, including decision rights
- Clearly define customer and provider roles and responsibilities during migration
- Complete Quality Assurance Surveillance Plan (QASP), with associated performance targets
- Identify and define deliverables to be completed during the Migration Phase
- Define period of performance for the Migration Phase
- Develop cost estimates for Migration Phase activities
- Program leadership and governance approve of the IAA

*Go/No-Go Criteria for Go-Live Assessment*

**Overview:**

The Go/No-Go Criteria for Go-Live Assessment will be used by program leadership and governance to evaluate the readiness for service deployment.

**Guidance:**
- Assessment  criteria account for all activities/artifacts required for successful system/service functionality
- Prioritize criteria based on criticality to migration success
- Program leadership, and customer and provider governance bodies, approve of all evaluation criteria

*Integrated Master Schedule (IMS)*

**Overview:**

The IMS is used to define the program schedule, critical path, key milestones, resources aligned to activities, and dependencies between tasks across both the customer and provider.

**Guidance:**
- Re-baseline the program schedule
- Develop the work breakdown structure (WBS)
  - The WBS includes full scope of work for the program through the migration for both the customer and provider

- o   Link activities within the WBS based on defined logical dependencies
- o   The WBS enables summary and detail-level reports of program schedule
- Develop the critical path
  - o   Identify and logically sequence critical path milestones
- Develop the schedule management  process
  - o   Define processes to update and maintain the IMS weekly
  - o   Define change control procedures with decision rights
- Assign resources within the schedule
  - o   Align program resources to the HR/Staffing Plan and Procurement Plan
  - o   Identify program resources in the IMS
- Identify dependencies in the IMS
- Make schedule feasibility apparent with accompanying basis of schedule estimates

Agencies purchasing transaction processing services only should use the M3 Services Tailoring Guide to identify M3 activities and outputs relevant to their project.

## 3.7   Update LCCE for Migration and O&M

*Life Cycle Cost Estimate (LCCE) for Migration and Operations and Maintenance (O&M)*

**Overview:**
The updated LCCE for Migration and O&M details the total cost of ownership and cost estimate calculation assumptions for the migration and O&M.

**Guidance:**
- Provide cost estimate detail at the WBS product or activity level
- The LCCE accounts for cost risk and/or cost sensitivities such as schedule overruns, service volume uncertainties, and other known unknowns
- Update the LCCE based on due diligence of the selected provider, and have it account for cost estimates provided by the provider for engagement, migration, and O&M costs
- Document  cost assumptions with cost estimate assumptions
- Break out costs as recurring/non-recurring (e.g., migration and O&M costs)
- Align budget estimates and other required investment documentation (e.g., E300) to the LCCE
- The Executive Sponsor approves the LCCE

## 3.8   Engage with Labor Relations

*Labor Relations Strategy*

**Overview:**
The Labor Relations Strategy defines the best approach to engage with the union(s) as an organization migrates to a provider.

**Guidance:**
- Develop list of labor relations stakeholders
- Understand impacts to Collective Bargaining Agreements (CBAs), including the migration activities that are impacted by CBAs and the potential for bargaining impact of implementation
- Define approach to engaging labor relations
- Develop plans and schedules for engaging labor relations and union stakeholders
- Notify and negotiate with unions in accordance with the CBAs

## 3.9  Execute Change Management Plan

### Communications Plan

**Overview:**

The Communications Plan outlines the strategy to communicate with stakeholders throughout the migration. Communications should support the change management strategy to increase stakeholder awareness and adoption of the future solution.

**Guidance:**
- Identify communication channels
- Establish frequency of communication
- Define key messages
- Develop procedures for communication  and review
- Identify and categorize impacted stakeholder groups, and establish approach to engage groups
- Contact impacted stakeholder groups, as necessary

## 3.10  Develop Training Plan

### Training Plan

**Overview:**

The Training Plan establishes all the components necessary to institute training for the customer organization migrating to a provider. The plan provides time boundaries, training objectives stakeholders sought, and roles and responsibilities to those involved.

**Guidance:**
- Define roles and responsibilities of training planning, material development, delivery, and evaluation
- Define scope of training, considering both system and process training, for all necessary courses
- Define both migration and O&M training services
- Identify training audiences, stakeholder groups, and number of expected end users who require training
- Establish approach to training (e.g., in-person, train the trainer)
- Develop training schedule
- Define process to collect feedback on training delivery from participants

## 3.11  Finalize Requirements

### Requirements Management Plan

**Overview:**

The Requirements Management Plan outlines the approach used to identify, gather, and manage requirements throughout the migration.

**Guidance:**
- Define the requirements  documentation  process
- Leverage existing business capabilities defined through the FIBF for the respective service area. Add only mission specific, truly unique, or regulatory requirements
- Identify the stakeholders that will be engaged in the requirements documentation process
- Explain how stakeholders will be trained on the right way to document requirements (e.g., outcome based, focused on "what" and not "how")
- Establish requirements  change control procedures
- Establish requirements documentation schedule (by major process area or function)

**Overview:**

The RTM is used to document, store, and trace requirements throughout the migration lifecycle. Business requirements are developed and documented in Phase 1. In Phase 3, customers and providers jointly discuss detailed technical and functional requirements and document them in the RTM.

Requirements are defined by the Project Management Institute (PMI) as follows:

**Business Requirements** describe the high-level needs of the overall organization to address a problem or opportunity. These requirements provide the rationale for why a project or program is launched.

**Functional Requirements** denote particular behaviors and operations that the solution will perform. These focus on the required functionality to enable stakeholders to accomplish their objectives, which in turn fulfills the business need.

**Technical Requirements** include interface, quality, security, workflow and other issues that affect the system and other relevant external factors. These requirements may include but are not limited to:
- Interface: The up and downstream integration with other systems and applications
- Quality: The usability, performance, or scalability standards associated with the expected functionality
- Security: The requirements related to security and user administration
- Migration: The workflow, migration and other automation requirements

Technical requirements should not detail how the solution should be designed as the solution already exists. These requirements should detail "what" (not "how") the acquired service must perform to meet mission, regulatory, or other policy objectives.

**Guidance:**
- Align requirements with applicable Service Area standard requirements and trace them to processes and sub-processes as defined in the applicable Service Area and process decomposition
- Make requirements inclusive of: functional, technical, interface, security, cybersecurity, reporting, help desk, controls, business intelligence (BI)/reporting as applicable to the service layer selected
- Make requirements that are outcome based and focused on "what" capability is needed to successfully execute the business process and not "how" the system should operate or how the process should be performed
- Categorize and prioritize requirements based on mission need and legislation/policy
- Define the source for each requirement including reference to the specific legislation and/or policy source document(s)
- Provide the status of each requirement including whether it is awaiting approval, approved, rejected, or deferred

## 3.12  Conduct Requirements Fit-Gap Analysis

*Gap Analysis Report*

**Overview:**

The Gap Analysis Report identifies where requirements can be met by the provider's standard solution and where gaps may exist. Where there are gaps, the Gap Analysis Report outlines proposed solution options, documents the desired gap resolution options with defined cost, scheduling, and resource implications to the program.

**Guidance:**

- Develop a detailed approach for the fit-gap with a Business Process Reengineering (BPR) Statement document that includes an Overview, BPR Vision, fit-gap Purpose and Objectives, and defines exit/success criteria for the process. A sample fit-gap process kick-off guide is available here
- Use live demonstrations for fit-gap review sessions
- Identify fit or gap for each requirement in the RTM and document gaps using formal gap ID forms and assess consensus with feedback surveys. A sample gap ID form is available here
- For each gap identified:
    - Identify proposed solutions
    - Define resolution type (Report, Interface, Conversion, Enhancement, Form, Workflow, or BI)
    - Select gap solution with cost, schedule, and resource implications defined

## 3.13  Finalize Target State Systems Environment

*Target State Systems Environment*

**Overview:**

The Initial Target State Systems Environment validates the As-Is Concept of Operations of the As-Is Systems Environment and documents the Target State Concept of Operations that capture all required interfaces, applications, and data layers. This document provides the overall Systems Architecture for the target state.

**Guidance:**

- Define changes required to legacy systems
- Identify systems to be migrated
- Identify required interfaces, including new interfaces that must be developed
- Establish network requirements, including connectivity between the customer and provider
- Select applications included within target state environment
- Define Business Intelligence (BI) and reporting solution
- Define system capacity and performance (e.g., availability, reliability)
- Define backup and disaster recovery solution

## 3.14  Develop Technical Strategy

*Test Plan*

**Overview:**

The Test Plan identifies the strategies, objectives, and approach of testing to be performed, test data requirements, resources needed, and scope and schedule of planned test activities. It identifies test items, the features to be tested, testing roles and responsibilities, and any risks requiring contingency planning.

**Guidance:**

- Define scope and approach of testing cycles, including:
    - Unit testing
    - Integration testing
    - Security testing
    - User acceptance testing
    - Performance testing
    - Section 508 Compliance testing
    - Data conversion testing
    - Regression testing
- Identify stakeholders involved in each testing cycle

- Track requirements to test cases, defects, and resolution
- Define test data sets
- Define defect tracking and resolution processes
- Develop approach to train testers
- Define instance management  procedures
- Define success criteria for each testing cycle
- Define testing schedule

## 3.15  Prepare Data for Mock Conversions (Data Cleansing, Data Mapping)
### *Data Cleansing Plan*

**Overview:**

The Data Cleansing Plan outlines the course of actions to cleanse data in legacy systems or staging area and prepare it for migration to the provider system.

**Guidance:**
- Define data cleansing approach based on results of data quality assessment
- Identify stakeholders involved in data cleansing
- Define key milestone dates to accomplish success criteria
- Establish criteria for clean data
- Develop approach to categorizing data for cleansing and reporting

### *Data Conversion Plan*

**Overview:**

The Data Conversion Plan identifies the strategies for converting data from an existing system to a new system environment.

**Guidance:**
- Develop procedures to extract data
- Create and define extract transform load tools and protocols
- Define system structure, major components, and type of conversion effort
- Define system hardware and software conversion steps
- Identify data that must be available for conversion and the requirements for preparing the data for conversion
- Identify affected interfaces and necessary updates to the interfaces
- Establish data quality assurance controls for before and after the data conversion
- Define tasks, procedures, and necessary support for carrying out the conversion effort
- Define and address security issues related to conversion effort
- Develop conversion schedule

## 3.17 Define Contact Center Structure
### *Contact Center Strategy*

**Overview:**

The Integrated Contact Center Strategy details the help desk capabilities from the provider and provides methodology to integrate customer care procedures between the customer and provider for issue resolution

**Guidance:**
- Define tier structure for how inquiries are escalated
- Establish integration points and handoffs between customer, provider, and vendor including inquiry and issue routing
- Establish ownership and responsibilities (i.e., ticket owner, help desk personnel, SMEs)

- Identify technology to be used to track and record inquiries
- Define performance metrics to track calls (e.g., wait times, average call time, call volume)
- Define plans to train help desk support
- Identify knowledge required for the contact center

## 3.18 Define Service Level Agreements

### O&M Service Level Agreements (SLAs)

**Overview:**

SLAs are established to design metrics to measure performance (overall program and individual processes) during the migration and define the desired SLA metrics for the O&M phase.

**Guidance:**
- Establish period of performance for O&M phase
- Establish security requirements and agreements related to SLAs
- Define standards for the manner in which disputes will be identified and resolved between provider and customer
- Establish migration terms necessary to convert the customer organization to the provider
- Clearly define services provided along with the funding and cost of services
- Establish roles and responsibilities
- Establish performance metrics for the services provided around clearly defined in-scope services
- Establish termination details of the service level requirement agreements

## Tollgate Preparation

### M3 Risk Assessment Tool

**Overview:**

The M3 Risk Assessment Tool provides a comprehensive, independent, objective review of project risk in preparation for tollgate reviews. Its standardized risk assessment framework presents key risk criteria to help CFO Act agencies better assess and identify risk areas in Common Solutions modernization and migrations efforts.

**Guidance:**
- The M3 Risk Assessment Tool lists the 12 key risks the project will be evaluated against along with their descriptions, the related artifacts and metrics, and pre-defined criteria to complete the assessment. Based on the CFO Act agency's self-assessment and the USSM independent assessment:
  - A numeric value is attributed to each risk;
  - The cumulative risk rating is determined for each phase;
  - The agency risk profile is determined;
  - Mitigation strategies are documented for medium and high risk areas to help applicable agencies attain the lowest score possible and lower their risk profile.