

## GSA SmartPay® 3 Post-Award Transition Checklist

### Purpose

This post-award transition checklist, provided by the Center for Charge Card Management (CCCM), is a resource for agencies/organizations to utilize as they transition to GSA SmartPay® 3 (SP3). This checklist covers transition tasks that should be performed after an agency/organization has awarded its task order.

### How to Use this Checklist

- The checklist should be used as a guide to help agencies/organizations plan their post-award transition key tasks. It should not be considered an exhaustive list of all tasks that need to be completed for the transition to GSA SmartPay 3.
- Agencies/organizations should review this checklist and customize it to include all the tasks they need to undertake as part of the transition to GSA SmartPay 3.
- This checklist should be used to help agencies/organizations schedule and track the major tasks that should be completed once a task order has been awarded to a GSA SmartPay 3 contractor.
- Agencies/organizations should complete the checklist table with additional tasks, duration estimates, target milestone dates, as well as assigned resources.
- A description of each checklist column is provided below:
  - o **Key Tasks:** The first column outlines major tasks and sub-tasks for this period of the transition process. Rows may be added by the agency/organization in order to document and incorporate additional tasks.
  - o **Duration:** The second column should be completed with estimated durations (timeframes) for each task, which, along with predecessor information, will help the agency/organization to estimate the overall time needed to complete post-award tasks. In general, it is estimated that six to twelve months will be required for the post-award transition period; however, this could vary greatly depending on agency/organization size, specialized needs, and degree of prior preparation.
  - o **Milestone Dates:** Agencies/organizations should work with internal stakeholders, as well as their SP3 contractors and other relevant groups to estimate target completion dates for each task and sub-task.
  - o **Predecessors:** Predecessors denote other tasks that must be completed before the start of the transition task. Agencies/organizations should review tasks with their SP3 contractor and other groups to determine dependencies. Note: The order in which tasks are presented in the checklist does not necessarily denote a defined sequence. Some tasks may be conducted in conjunction with or prior to activities outlined in other sections of the checklist.

- o **Primary Entity Responsible:** In sections I and II of the checklist, this column has been pre-populated to indicate the primary entity involved in performing the task.

**A** Agency/Organization

**B2** GSA SmartPay3 Contractor

However, even when agencies/organizations are not the primary entity responsible, they should still coordinate to ensure that the task is completed. In section III, this column has been left blank. Agencies/organizations should fill in this section to indicate who within the agency/organization is primarily responsible for performing the task.

- At a high level, the checklist has been divided into three sections and an Appendix:

Tasks to coordinate with your current GSA SmartPay 2 contractor	Tasks to coordinate with your GSA SmartPay 3 contractor	Tasks to coordinate and communicate within your agency	Appendix
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- o Section I describes key tasks that agencies/organizations will likely have to coordinate and complete with their current GSA SmartPay 2 contractor. These tasks include:
  - Identification of essential data needed for the transition to GSA SmartPay 3
  - Establishment of card closeout procedures
- o Section II describes key tasks that agencies/organizations will likely have to coordinate and complete with their GSA SmartPay 3 contractor. These tasks include:
  - Communication and coordination
  - Confirmation of task order variances and deliverables
  - Operational logistics for cutover
  - IT-related tasks
  - Training (related to new IT systems offered by the GSA SmartPay3 contractor)
- o Section III lists key tasks that agencies/organizations should work internally to coordinate and complete. These tasks include:
  - Communications
  - Training (related to new agency/organization policies and procedures for their charge card programs)
  - Development of contingency plans
- In addition to the list of key tasks, this checklist also includes an Appendix which provides more detailed explanations and additional guidance for the more complex IT-related tasks.
- Use of this checklist is optional. This document is meant to be a resource to support your efforts.
- For additional questions related to your agency/organization transition efforts, please contact CCCM

Key Tasks	Duration	Milestone Date	Predecessors	Primary Entity Responsible
<b>Section I: Tasks to coordinate with your current GSA SmartPay 2 Contractor</b>				
<b>1. Identify information that your agency/organization will need from your current GSA SmartPay 2 Contractor</b>				<b>A</b>
1.1 Master file				<b>A</b>
1.2 Historical data				<b>A</b>
1.3 Existing hierarchy data				<b>A</b>
<b>2. Establish card closeout procedures</b>				<b>A</b>
2.1 Card and convenience check destruction				<b>A</b>
2.1.1 Process and timing for card and check destruction				<b>A</b>
2.1.2 Procedures for verifying card and check destruction				<b>A</b>
2.2 Reconciliation of current GSA SmartPay 2 accounts				<b>A</b>
2.2.1 Process for handling trailing transactions billed after 11/29/18				<b>A</b>
2.2.2 Procedures for canceling automatically recurring charges				<b>A</b>
2.3 Closure of accounts				<b>A</b>
2.3.1 Reconcile centrally-billed accounts				<b>A</b>

2.3.2	Resolve outstanding disputes				<b>A</b>
2.3.3	Download and save key Electronic Access System (EAS) reports and historical information				<b>A</b>
<b>Section II: Tasks to coordinate with your GSA SmartPay 3 Contractor</b>					
<b>3.</b>	<b>Establish procedures for coordination and communication of key tasks</b>				<b>A</b>
3.1	Schedule kick-off meeting to establish methods for regular communication, e.g., status meetings, conference calls, emails				<b>A</b>
3.2	Review GSA SmartPay 3 contractor's transition project plan and monitor project milestones (ongoing)				<b>A</b>
<b>4.</b>	<b>Confirm task order variances and deliverables</b>				<b>A</b>
4.1	General card/product service options				<b>A</b>
4.1.1	Types of card products/services				<b>A</b>
4.1.2	Number of cards to be issued				<b>A</b>
4.1.3	Card design options <sup>1</sup>				<b>A</b>
4.1.4	Bank Identification Numbers (BIN)				<b>A</b>
4.1.5	Card expiration options				<b>A</b>
4.2	Billing options				<b>A</b>
4.2.1	Billing frequency				<b>A</b>

<sup>1</sup> See GSA SmartPay Master Contract, Section C.2.8 Card Design, C.6.1.1.4 Purchase Card Design, C.6.2.1.3 Travel Card Design, C.6.3.1.4 Integrated Card Design, C.6.4.1.3 Fleet Card Design.

4.2.2	Cycle date				<b>A</b>
4.2.3	Payment methods				<b>A</b>
4.2.4	Refunds and pricing				<b>A</b>
4.2.5	Accounting allocation				<b>A</b>
4.3	Statement options				<b>A</b>
4.4	User authorizations				<b>A</b>
4.5	Contents of card inserts, e.g., card stickers/letters stating activation instructions				<b>A</b>
4.6	Authorization controls				<b>A</b>
4.7	Hierarchy requirements				<b>A</b>
<b>5.</b>	<b>Develop operational logistics for cutover</b>				<b>A</b>
5.1	Finalize cardholder data, e.g., names, corrected addresses, transaction limits				<b>A</b>
5.1.1	Identify information required by your GSA SmartPay 3 contractor				<b>B2</b>
5.1.1.1	Master file				<b>A</b>
5.1.1.2	Historical data				<b>A</b>
5.1.1.3	Hierarchy data				<b>A</b>
5.2	Determine method of creating GSA SmartPay 3 accounts, e.g., use of master file or new applications				<b>A</b>
5.2.1	If using master file from the current GSA SmartPay2 contractor:				<b>A</b>

5.2.1.1	Verify master file's format, layout, and specifications				<b>A</b>
5.2.1.2	Cleanse and verify all cardholder data				<b>A</b>
5.2.1.3	Deliver clean and accurate data to GSA SmartPay 3 contractor in specified format				<b>A</b>
5.2.2	If creating new cardholder data <sup>2</sup> :				<b>A</b>
5.2.2.1	Determine plan to complete new applications or obtain clean data to submit to GSA SmartPay 3 contractor (communicate to cardholders as necessary)				<b>A</b>
5.3	Develop card distribution plan (e.g., prevention of irradiation of cards/mail) and card activation plan and processes				<b>B2</b>
5.3.1	Establish timeline/milestone dates for distribution of cards				<b>A</b>
5.3.2	Establish process for distribution and activation of cards, e.g., distribute cards to essential employees first				<b>B2</b>
6.	<b>Complete IT-related tasks</b> <b>Note:</b> This section of the checklist should be reviewed with a person from your IT office. Additionally, there is an Appendix that provides a more detailed explanation for these tasks and sub-tasks.				<b>A</b>
6.1	Finalize data conversion functional and technical requirements				<b>A</b>
6.1.1	Finalize data fields for conversion				<b>A</b>
6.1.2	Finalize format, layout, and content of data conversion control reports				<b>B2</b>

<sup>2</sup> New individually-billed account (IBA) travel cardholders will be required to undergo creditworthiness checks. Creditworthiness checks may or may not be done for existing IBA cardholders.

6.2	Finalize functional and technical requirements for system interfaces				<b>B2</b>
6.2.1	Finalize file exchange formats/layout and frequency of cardholder (master) transaction data, and payment files				<b>A</b>
6.2.2	Finalize connectivity transmission				<b>B2</b>
6.3	Finalize functional requirements for Electronic Access Systems (EAS)				<b>B2</b>
6.3.1	Finalize types of reports that will be generated				<b>B2</b>
6.3.2	Finalize user access lists				<b>A</b>
6.4	Finalize testing approach				<b>B2</b>
6.4.1	Develop test plan(s)				<b>B2</b>
6.4.2	Create test scripts				<b>B2</b>
6.4.3	Finalize test environment and data				<b>B2</b>
6.5	Design, configure, and test systems				<b>B2</b>
6.5.1	Set-up system interfaces				<b>B2</b>
6.5.1.1	Design and document interface logical and physical layouts				<b>B2</b>
6.5.1.2	Design interface Extract, Transform, and Load (ETL) architecture and/or software <sup>3</sup>				<b>B2</b>

<sup>3</sup> Some agencies/organizations may not use ETL architecture and/or software for system interfaces set-up. A/OPCs should consult with a member of their IT office and their GSA SmartPay 3 contractor before completing this task.

6.5.1.3	Develop ETL/build interfaces				<b>B2</b>
6.5.2	Test interfaces				<b>B2</b>
6.5.2.1	Conduct unit test and document results				<b>B2</b>
6.5.2.2	Conduct system test and document results				<b>B2</b>
6.5.2.3	Conduct integration and performance test and document results				<b>B2</b>
6.5.2.4	Conduct user acceptance test and document results				<b>B2</b>
6.5.2.5	Sign-off on test results				<b>B2</b>
6.5.3	Set-up EAS				<b>B2</b>
6.5.3.1	Configure EAS set-up for agency, e.g., create IDs, set roles, etc.				<b>B2</b>
6.5.4	Test EAS functionality, including a demonstration if requested by agency/organization				<b>B2</b>
6.5.4.1	Create test scripts				<b>B2</b>
6.5.4.2	Finalize test environment and data				<b>B2</b>
6.5.4.3	Conduct User Acceptance Test (UAT) and document results				<b>B2</b>
6.5.5	Set-up security controls				<b>B2</b>
6.5.5.1	Design and document security controls				<b>B2</b>

6.5.5.2	Configure security controls				<b>B2</b>
6.5.5.3	Test security controls				<b>B2</b>
6.6	Convert data				<b>B2</b>
6.6.1	Execute ETL/software to load historical data				<b>B2</b>
6.6.2	Review data conversion control reports				<b>B2</b>
6.6.3	Conduct detail sampling				<b>B2</b>
6.6.4	Sign-off on data conversion				<b>B2</b>
6.7	Conduct C&A and verify Section 508 compliance for agency-unique IT systems and tools furnished by contractors/associations that provide services beyond the EAS (as applicable) <sup>4</sup>				<b>A</b>
6.7.1	Create C&A documentation				<b>A</b>
6.7.2	Conduct C&A tests				<b>A</b>
6.7.3	Conduct Section 508 tests				<b>A</b>
6.7.4	Receive Authority to Operate (ATO) to deploy into production				<b>A</b>
6.8	Deploy systems				<b>B2</b>
6.8.1	Communicate to users/stakeholders				<b>A</b>

<sup>4</sup> CCCM will complete the certification and accreditation (C&A) of GSA SmartPay 3 contractor's Electronic Access Systems (EAS).

6.8.2	Initiate change control process				<b>B2</b>
<b>7.</b>	<b>Plan and coordinate training</b>				<b>A</b>
7.1	Establish timeline for training on new EAS systems and other agency, contractor, or association tools to be deployed to users				<b>B2</b>
7.2	Confirm process for training delivery				<b>A</b>
7.2.1	Identify key stakeholders that need to be trained				<b>A</b>
7.2.2	Finalize types of training that will be delivered				<b>B2</b>
7.2.3	Develop plan for evaluating training				<b>B2</b>
7.3	Deliver training				<b>B2</b>
7.4	Review training evaluations; revise/adjust training as needed				<b>B2</b>
<b>Section III: Tasks to coordinate and communicate with your intra-agency entities</b>					
<b>8.</b>	<b>Review and update communications plan</b>				
8.1	Review and update internal communications				
8.1.1	Identify key stakeholders, e.g., senior leadership, IT, Finance, cardholders, approving officials				
8.1.2	Identify key message topics				
8.1.2.1	New services/policies				
8.1.2.2	Card distribution				

8.1.2.3	New card activation and old card destruction procedures				
8.1.2.4	Closeout of card accounts				
8.1.2.5	IT changes/updates				
8.1.2.6	Training				
8.1.2.7	Contingency plans				
8.1.3	Identify best channels for communications				
8.1.3.1	Email				
8.1.3.2	Newsletters				
8.1.3.3	Staff meetings				
8.1.3.4	Training				
8.1.3.5	Website postings				
8.2	Review and update external communications				
8.2.1	Identify key external stakeholders, in addition to GSA SmartPay contractors, e.g., frequently-used vendors				
8.2.2	Identify critical message topics, i.e., information regarding the use of old cards and alerting merchants to not accept them				
8.2.2.1	Define schedule for stopping recurring charges under existing program				
8.2.2.2	Define schedule for stopping replenishment of convenience checks under existing program				

8.2.3	Identify best channels for communications				
<b>9.</b>	<b>Coordinate with agency/organization level business line programs</b>				
9.1	Purchase, e.g., agency/organization procurement systems and programs				
9.2	Travel, e.g., eTravel/DTS				
9.3	Fleet management programs				
<b>10.</b>	<b>Update new cardholder policies and internal training on new policies</b>				
10.1	Identify additional training with regard to any new agency/organization policies and procedures that will need to be communicated internally				
10.2	Develop timeline for delivery of training				
10.2.1	Develop training materials				
10.2.2	Provide training and monitor completion				
10.2.3	Evaluate training				
10.2.4	Review training evaluations; revise/adjust as needed				
<b>11.</b>	<b>Develop contingency plans for cutover</b>				
11.1	Identify cardholder issues that may arise during cutover period, e.g., stranded travel cardholders on official business travel during the cutover period, cardholders using wrong card, etc.				

11.2 Develop processes and procedures to address these issues, e.g., card receipt verification for new cards				
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## Appendix

This appendix provides a more detailed explanation of the IT-related tasks that agencies/organizations should perform in coordination with their GSA SmartPay 3 contractor. Please note that A/OPCs should still review this section with IT personnel from their agency/organization.

<b>Finalize Data Conversion Functional and Technical Requirements</b>	
<b>A</b>	<b>Finalize Data Fields</b> – The data elements, e.g., names, addresses, etc., that need to be converted to new IT systems (agency/organization and/or GSA SmartPay 3 contractor).
<b>B2</b>	<b>Finalize Requirements for Data Conversion Control Reports</b> – Reports to assist agencies/organizations in monitoring the accuracy of data conversion. Data conversion control reports can be generated by the agency/organization and/or the GSA SmartPay 3 contractor.
<b>Finalize Interface Functional and Technical Requirements</b>	
<b>A</b>	<b>Finalize File Exchange Formats/Layout</b> – The formats and layout of the file that is exchanged between agency/organization and GSA SmartPay 3 contractor IT systems.
<b>B2</b>	<b>Finalize Connectivity Transmission</b> – The process of connecting and transmitting data via the systems interfaces between the agency/organization and the GSA SmartPay 3 contractor.
<b>Finalize Electronic Access System (EAS) Functional Requirements</b>	
<b>B2</b>	<b>Finalize Requirement for EAS Reports</b> – Types of reports and report layouts that will be generated by the GSA SmartPay 3 contractor’s Electronic Access System (EAS).
<b>A</b>	<b>Finalize User Access Lists</b> – A listing of users who will be granted access (and the level of access) to the GSA SmartPay 3 contractor’s Electronic Access System (EAS).
<b>Finalize Testing Approach</b>	
<b>B2</b>	<b>Develop Test Plans</b> – The development and coordination of test plans to check the functionality of the Electronic Access System’s (EAS) interfaces between the agency/organization and the GSA SmartPay 3 contractor.
<b>B2</b>	<b>Create Test Scripts</b> – A set of instructions created to provide guidance on performing IT system tests to ensure tests are run effectively. These instructions should be developed by the party performing the test, e.g., the agency/organization or the GSA SmartPay 3 contractor.

**B2**

**Finalize Test Environment and Data** – Before conducting tests on IT systems, the set-up for testing new systems, changes to a system, and data conversion should be completed. The testing environment and the test data should mirror the planned production environment and data.

Design, Configure, and Test Systems	
<b>B2</b>	<p><b>Design and Document Interface Layouts</b> (Logical and Physical) – The design and documentation of interface layouts based on the requirements specified by the agency/organization. The design should factor in specifications such as the interface name, description, type, frequency, format, source system, target system, service-level agreements, security, and triggers.</p>
<b>B2</b>	<p><b>Design Extract, Transform, and Load (ETL) Architecture and/or Software</b> – A method used to move data from one system to another. ETL can also be used as a method of data verification and cleansing.</p>
<b>B2</b>	<p><b>Test Interfaces:</b></p> <ul style="list-style-type: none"> <li>● <b>Conduct Unit Test and Document Results</b> – The first phase of testing during which the system developer conducts an initial test of the system and documents the results.</li> <li>● <b>Conduct System Test and Document Results</b> – The second phase of testing during which a team that does not include the developer(s) conducts a test of the system and documents the results based on the expected inputs and outputs.</li> <li>● <b>Conduct Integration and Performance Test and Document Results</b> – The third phase of testing during which all system components are tested to ensure the components perform correctly when integrated. The results are documented.</li> <li>● <b>Conduct User Acceptance Test and Document Results</b> – The final phase of testing during which the system is assessed from the perspective of the end-user, to verify that the functionality is performing acceptably.</li> <li>● <b>Sign-off on Test Results</b> – The verification that testing has been completed and that the results have been documented.</li> </ul>
<b>B2</b>	<p><b>Configure Electronic Access System (EAS) for Agency</b> – The configuration of the EAS based on the requirements specified by the agency/organization, including the creation of IDs, set roles, reports, etc. The configuration of the EAS should factor in the system functionality, e.g., the availability and accessibility of the EAS, the desired reports, etc.</p>
<b>B2</b>	<p><b>Test Electronic Access System (EAS) Functionality:</b></p> <ul style="list-style-type: none"> <li>● <b>Create Test Scripts</b> – Step-by-step instructions on how to test EAS(s). Testing should be conducted to ensure the EAS(s) and interfaces are functioning as expected.</li> <li>● <b>Conduct User Acceptance Test and Document Results</b> – Test performance to validate the system functionality for end-users. Once the tests are completed, the results should be documented.</li> </ul>
<b>B2</b>	<p><b>Set-up Security Controls:</b></p> <ul style="list-style-type: none"> <li>● <b>Design and Document Security Controls</b> – Design and document security controls to control access for the appropriate users and non-users.</li> <li>● <b>Configure Security Controls</b> – Define and establish security controls based on the user access lists.</li> <li>● <b>Test Security Controls</b> – Assess security controls to prevent security breaches.</li> </ul>

<b>Convert Data</b>	
<b>B2</b>	<b>Execute Extract, Transform, and Load (ETL)/Software to Load Historical Data</b> – Transmit historical data (previous years' charge card program data) from available data source into the EAS. Not all agencies/organizations will use an ETL process. Please consult with your IT organization.
<b>B2</b>	<b>Review Data Conversion Control Reports</b> – If data conversion is being performed, confirm completeness and accuracy. Check data conversion reports (if available).
<b>B2</b>	<b>Conduct Detail Sampling</b> – Perform additional data sampling to further examine potential errors that were initially identified in the data conversion control reports.
<b>B2</b>	<b>Sign-off on Data Conversion</b> – Agencies/organizations and their GSA SmartPay® 3 bank should both sign-off on the data conversion to confirm that it was successful.
<b>Conduct Certification and Accreditation (C&amp;A) and Verify Section 508 Compliance For New/Updated Electronic Access System (EAS) and Systems Interfaces</b>	
<b>A</b>	<b>Create C&amp;A Documentation</b> – Prepare documentation as confirmation that agency/organization systems have been certified and accredited according to the relevant IT standards. <i>Note:</i> The Center for Charge Card Management has verified and accepted the 508 compliance certification of the Electronic Access Systems (EASs) developed by the GSA SmartPay 3 contractors.
<b>A</b>	<b>Conduct C&amp;A Tests</b> – Agencies/organizations should consult with their Information Systems Security Offices (ISSO) to determine the need for conducting tests on internal IT and any other bank or association systems to confirm that the systems are properly certified and accredited. <i>Note:</i> The GSA SmartPay® Program Office has conducted certification and accreditation tests on the Electronic Access Systems (EASs) developed by the GSA SmartPay 3 contractors.
<b>A</b>	<b>Conduct 508 Compliance Tests</b> – Agencies/organizations should conduct testing on their IT systems to ensure 508 compliance. <i>Note:</i> The Center for Charge Card Management has verified and accepted the 508 compliance certification of the Electronic Access Systems (EASs) developed by the GSA SmartPay 3 contractors.
<b>A</b>	<b>Receive Authority to Operate (ATO) to Deploy into Production</b> – Prior to deploying new IT systems, agencies/organizations must receive an “Authority to Operate” (ATO) from their Information Systems Security Offices (ISSO) confirming that the IT systems are properly certified and accredited.
<b>Deploy Systems</b>	
<b>A</b>	<b>Communicate to Users/Stakeholders</b> – Agencies/organizations should follow their transition communications plans to help ensure that key users/stakeholders are aware of the changes to their IT systems.
<b>B2</b>	<b>Initiate Change Control Process</b> – A defined process for managing the IT systems once they have been deployed.

