Guidance Note

SDP Overview

Purpose:

The purpose of this document is to provide an overview the Solution Delivery Process, and the key interactions with other areas of Information Services and National Grid as a whole.

Contents:

1   Introduction

1.1 Background

The role of Information Services (IS) is to support the National Grid businesses by helping them deliver value to shareholders and provide quality services to both its internal and external customers.

This involves not only the provision of IS services but also the development and implementation of these services, as efficiently and in the most cost effective manner as possible.

Further, as IS becomes ever more critical to the health and success of the organisation, the pressure to 'get it right' first time constantly increases.

With the merging of the IS organisations, the various project delivery management methodologies in use have been reviewed, and the resulting process reflects not only the needs of the organisation but also the best practice approaches from the industry as a whole.

This document provides an overview to the new standard process, the **Solution Delivery Process (or SDP)** that has been introduced to develop and deliver technical and business IS services to National Grid.

The key factors driving the development of this process were that it must be:
- repeatable and consistent
- usable throughout the National Grid IS organisation.
- measurable
- provide a benchmark against which progress can be tested across IS and other industries.
  (Without such a process, it is difficult for IS to demonstrate efficiencies of scale and performance due to the differing terminologies and working practices in use.)

Conforming to these requirements has made the process easier to adopt and use.

Going forward, it will make it easier to manage the business expectations as they will have a clear understanding of what is being delivered and when.

The organisation will also benefit from a smoother, more cost effective delivery channel for IS projects, contributing to a stronger relationship with the business, and promoting IS as a strong team based culture.

1.2 Objectives of the SDP

The objectives of are to:
- Enhance the IS projects delivery process
- Provide more accurate costs for Development, Implementation and 'Run the Business'
- Reflect best practice, processes, templates & deliverables
- An enhanced, measurable but simplified process

It has the following advantages over the existing processes:
- Provides **One Way** of working across IS
- Closer Service Delivery integration
- Rationalised project stages
- Clear link to new governance arrangements
- Standard project reporting – global measurements, KPI's
- Better forecasting and more accurate costs

2 Business Context

The SDP is one of a set of processes that need to be followed during the lifecycle of an IS project.

These include (but are not limited to):

- Investment Planning
- IS Technical Governance (AGB)
- IS Financial Governance
- Project Governance
- Business Governance

Figure 1--Context Chart below summarises the touch points in the process.

Figure 1--Context Chart
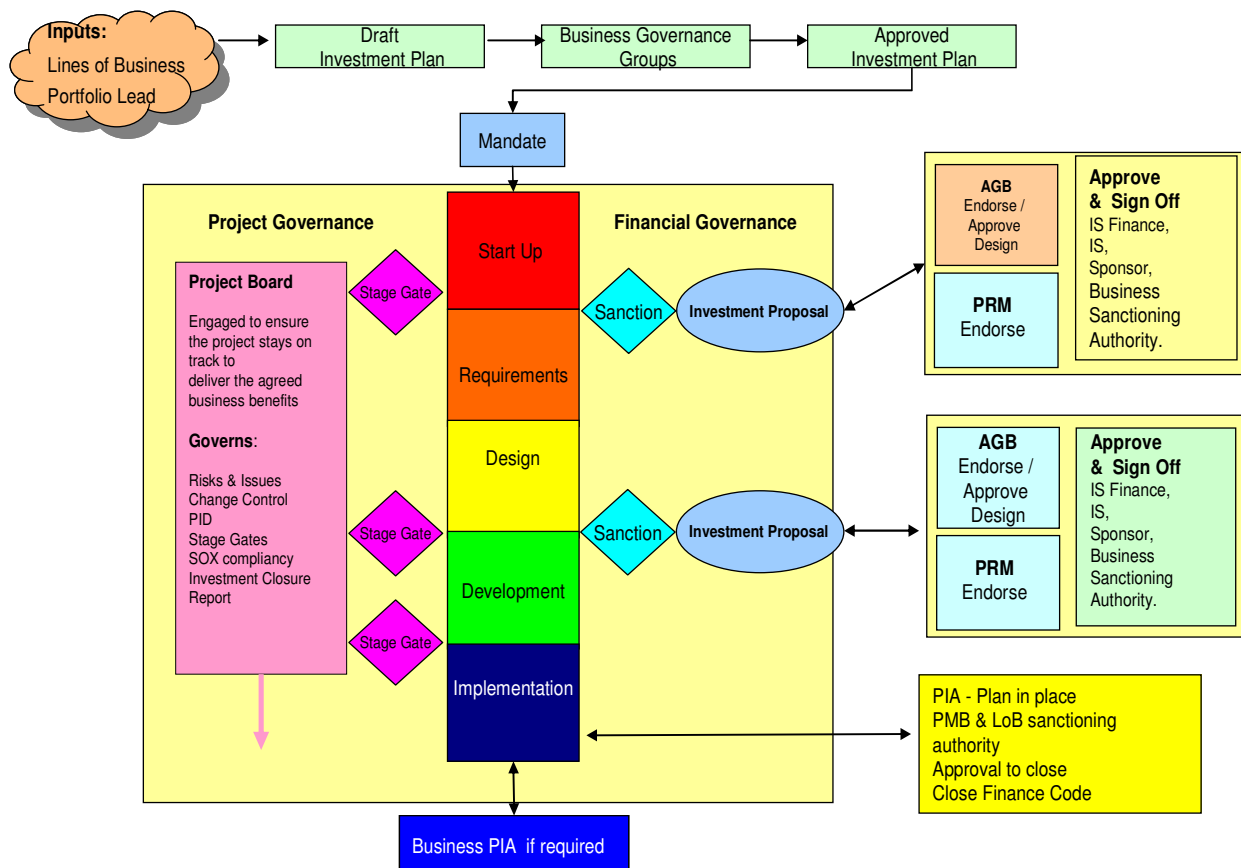
3 Getting Started

3.1 SDP- High Level Structure

The Solution Delivery Process is split into **Stages** (see table 1 above), and has a predefined set of **deliverables** to be produced for each of these stages.

Passage from stage to stage is managed by the use of **Stage Gate Assessments**.

The set of deliverables for each Stage when taken a as whole, ensures that the objectives of the stage can be met.

To help to ensure that there is common terminology across projects, a set of standard **Project Role Definitions** are used throughout the SDP. These are generic roles for the project rather than the substantive positions that individuals hold.

A key element of the SDP is the classification of projects to determine the level of governance required. The **Project Classifications** are Low, Medium or High Impact.

**All** SDP documentation has been written for Medium Impact projects, with the differences for Low Impact and High Impact projects documented in the colours shown here.
This convention also applies to the website.

3.2 Project Governance

Figure 2--Governance Levels below shows the minimum levels of Governance required for the different project Classifications:

Figure 2--Governance Levels
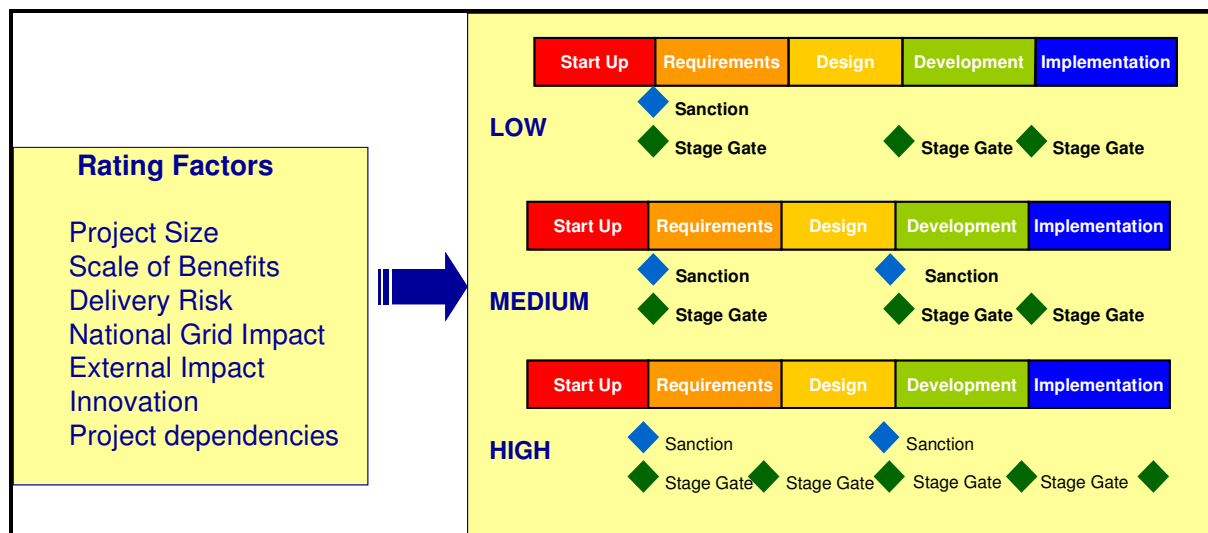
Project Governance is provided by the Project Board.

Project Board is engaged to ensure that the project stays on track to deliver the agreed business benefits. Its membership typically comprises:

- Project Sponsor
- Client Lead
- Senior Supplier
- Plus other Board members as appropriate.

The project manager reports to the Project Board, whose governance covers the following:

- Investment proposals
- Project Initiation Document
- Stage Gates
- Deliverable Approvals
- Risks & Issues
- Change Control
- SOX compliancy
- Investment Closure Report

Stage Gates form a key element of project governance. Where a Stage Gate Assessment is required for the project, it cannot progress to the next stage without it being approved by the Project Board.

3.3 Process and Guidance Documents

When taken together, these documents define the way in which the SDP works.

The documents below are available form the "Process Descriptions and Guidance Notes" page of the website:

Stage Objectives	Provides statements that define the required outcomes from each stage. When taken as a whole they define the project lifecycle.
Deliverable Purposes	This document takes the purpose statement from every deliverable and puts them into a single document. Each deliverable purpose supports one or more objectives of the Stage. When the purposes of all deliverables for each Stage are taken together, they support all of the Stage Objectives.
Project Role Definitions	Provides a standard set of project role descriptions that will be used throughout the SDP. These are NOT job titles/descriptions, but Project Roles that need to be undertaken during the lifecycle of the project.
Project Classification	This worksheet is used to determine the class of the project, and hence which governance level is most appropriate to the project. A project may be classed as LOW, MEDIUM or HIGH Impact.
Deliverables by Project Class	Provides an "at a glance" view of which deliverables are produced in which Stage for a MEDIUM Impact project. Replicated in the *Lifecycle Deliverables Overview* page of the Website.
HIGH IMPACT PROJECTS	Summarises the variances to the process that must be applied for this class of projects
LOW IMPACT PROJECTS	Summarises the variances to the process that must be applied for this class of projects

Major Information Flows	Provides a view of how the information gathered and produced during the project lifecycle flows from deliverable to deliverable. **Note that** this diagram only shows the **major** flows.
Stakeholder Guidance Note	Summarises the involvement and interaction of the various business stakeholders of the project with the IS Project Team. It is a guideline for stakeholder involvement, but there are many project factors and circumstances which can influence the actual level and detail of their participation.
Business Overview	A set of slides that provide a summary of the Stakeholder Guidance Note
Quick Start Guide	Provides an overview of the website, and how to use it.
Glossary	Provides a summary of the more common terms that will be found when using the SDP, their acronyms and a brief description
FAQs	Questions (and their answers) raised during the introduction of the SDP.

In addition, the following document is available from the Management Processes page of the website:

Stage Gates Guidance Note	Explains the purpose of Stage Gates and how and when to undertake Stage Gate Assessments (SGAs), providing guidance to the IS Project Manager in planning assessment activities, ensuring that sufficient resources and time are available to get the optimum benefit from the assessment.

3.4 Management Deliverables

The SDP provides a set of management deliverables to support the delivery of projects:

Project Status Report	Provides consistency of reporting across all IS Projects. Produced **for all projects** at Month End. See section 5 for more details
Project Classification Worksheet	Produced early in Start-Up, this worksheet is used to determine the class of the project, and hence which governance level is most appropriate to the project.
Stage Gates	Provides an assessment of the current project status, to ensure that the project is under control, is ready to proceed to the next stage and is in a position to deliver a successful outcome, allowing the Project Sponsor/ Executive/Board to authorise the project to proceed to the next stage. A decision is made to proceed, proceed at risk or stop the project.
Risk/Issues Log	Provides a single Log to manage of the impacts from all sources of risks and issues, providing a consistent means of managing uncertainties. It allows the management of Risks, Issues, Assumptions, Dependencies, and Constraints. Please note that Change Requests are managed as a type of Issue using this Log (although many projects will use a package solution for this.)
Project Health Assessment	Provides a detailed questionnaire re the project health. The questions are a more detailed breakdown of those on the front sheet of the Stage Gate Assessments. Its use is optional.
Change Request Form	Provides a means of defining and approving Change Requests for the project. (Some projects will use a package solution for this.)
Approvals Email	A standard email with voting buttons that helps to ensure that approvals etc are SOX compliant and easily managed. It only works for MS Outlook users. Its use is optional.
Document Review Comments Form	Provides a standard template for the capture of review comments. When correctly completed, it is relatively simple to merge and sort comments from several reviewers. Its use is optional.

3.5 Approval of Deliverables

A consistent approach ensures that the correct team members have had the correct level of input into the deliverables.

The process is agreed in the PID, but can be varied during the project by agreement with the Project Board.

Approvals can be:
- Physical: Signature on the document
- Email: With wording such as -
  "I confirm approval of <<document name & version>>"
  - *"I agree sign off of <<document name & version>>"* - or attach the document
  Or: a response to an email requesting sign off, that includes the document itself
         or document details, with wording such as *"Yes"* or *"I confirm that"* etc..
- Minutes:
  - From the appropriate forum (e.g. TISSG, PMB).
  - Example *"it was agreed to approve …….."*
    …again the document name and version needs to mentioned
  - *Attendees must be appropriate to the product*.

Please note that for minor changes to deliverables (including the PID), it is not necessary to re-issue the document – as long as the change and its approval are tracked and recorded within the project documentation.

Keep all approvals together

It is recommended that all approval records are kept with the document in an easy to access folder structure. This should be in the Project's central filing system.

Paper copies are not essential, as long as electronic copies are readily accessible.

4 Project Engagement with IS

This section describes the KEY touch points of Projects with other areas of IS.
IS Finance assign a unique project reference number prior to the start of the project, and hold monthly clinics with the project managers.
Please Note that items in **grey** are produced during the project lifecycle, but are NOT part of the Solution Delivery Process
Items shown like this are SOX controls – please see Section 6 for more details.

4.1 Start-Up

Deliverable	EPO PMO	IS Governance	Architecture Governance Board (AGB)	Service Delivery
			Contact Enterprise Architecture manager. The Enterprise Architect uses an Engagement Checklist.	
Project Status Report	Complete for **EVERY** month from the beginning of Start-Up			
Project Classification			Complete/Review/Agree with Project Sponsor and AGB	
	Upload to Project Status Reporting Site			
Service Definition Part "A"			Complete with Project Sponsor and AGB , and review with Service Delivery teams. AGB provide an Infrastructure Review and gathers estimate of effort through design phase (medium class)	Provides Early Visibility to: Enterprise Operations, Production Support, IS Vendor Asset Management, EBMS (UK), Service Management
Stage Gate Assessment	Complete prior to PRM. Upload to Project Status Reporting Site		Review	Review
Lessons learnt Log	As Required on an item by item basis			
Risk/Issues Log	As Required on an item by item basis			
Total Cost of Ownership model		Submit to PRM with Investment Proposal		
Investment Proposal			Review following the Architecture Governance Board Process.>	
		Submit to PRM		

4.2 Requirements

Deliverable	EPO PMO	IS Governance	Architecture Governance Board (AGB)	Service Delivery
Business Requirements			Review technical aspects. Provide input to Non Functional Requirements	All areas provide input to the Non Functional Requirements
Technical Requirements			**Section "B" -** Working with all necessary groups, capture the application support, technical considerations, and support environment needed to support the business requirements **Section "C" -** for Info	**Section "B":** Enterprise Operations, Production Support - Provide Full Support Costs IS Vendor Asset Management - Provide h/w costs and update the environment plan. Enterprise Operations, Provide environments and the associated costs **Section "C":** For review Service Planning Service Management Production Support **Security Risk Assessment:** If the indicative Risk Assessment = HIGH – complete the checklist and contact IS Security
Lessons learnt Log	**As Required on an item by item basis**			
Risk/Issues Log	**As Required on an item by item basis**			
Project Initiation Document			Review and comments.	
Conceptual Technical Model			Produce and review to assist with determining project approach.	
Stage Gate Assessment - Requirements	HIGH Impact projects ONLY - Complete prior to progressing to DESIGN. Upload to Project Status Reporting Site		Review	Review

Deliverable	EPO PMO	IS Governance	Architecture Governance Board (AGB)	Service Delivery
Project Stakeholder Communications Brief Sheet				

4.3 Design

Deliverable	EPO PMO	IS Governance	Architecture Governance Board (AGB)	Service Delivery
Functional Design Document			Provide input to the non functional elements. Review and Comments	Approval: Enterprise Operations, Lead Enterprise Technical Services Review and Comments: Application Support
Logical Technical Model			Review of this deliverable. Review for conformance & impact	
Physical Technical Model			Review this deliverable.	Produce, review and comment: - Enterprise Operations/ Production Support.
Detailed Application Design Document			Conformance	Approval: - Enterprise Operations Review and Comments: - Production Support
Testing Plan				Provide High Level OAT plans. Review and Comments
Lessons learnt Log	**As Required on an item by item basis**			
Risk/Issues Log	**As Required on an item by item basis**			
Total Cost of Ownership model		Submit with Investment Proposal	Validate/capture RTB costs.	
Enterprise Architecture Compliance			Gain AGB approval	
Investment Proposal		Validate that all AGB concerns/ coverage areas are represented		
		Submit to PRM Not Required for LOW impact projects		

| Deliverable	EPO PMO	IS Governance	Architecture Governance Board (AGB)	Service Delivery
Stage Gate Assessment - Design	HIGH Impact Projects ONLY - Complete prior to progressing to DEVELOPMENT. Upload to Project Status Reporting Site		Review	Review
Stage Gate Assessment – Reqts & Design	Complete prior to progressing to DEVELOPMENT. Upload to Project Status Reporting Site		Review	Review
Training Plan				

4.4 Development

Deliverable	EPO PMO	IS Governance	Architecture Governance Board (AGB)	Service Delivery
Build Specification			Review and Comments	Approval : Enterprise Operations, Production Support
DR Plan (Including the IS and Business validation procedures)				Produce and approve. (Applications Support & Service Continuity Team)
Deployment plan				Approval: Enterprise Operations, Production Support
System Test Document			Review Results	Approval of Results: Enterprise Operations/ Production Support
User Acceptance Test Document			Review Results & problem log	Scripts & Results Review and Comments: Enterprise Operations, Production Support Approval of Results - Production Support
Operations Acceptance Test Document			Scripts Review and Comments of Results	Produce/support the production of scripts. Execute/support the execution of tests. Approval of Results: Enterprise Operations, Production Support
Problem Log				
Lessons learnt Log	**As Required on an item by item basis**			
Risk/Issues Log	**As Required on an item by item basis**			

Deliverable	EPO PMO	IS Governance	Architecture Governance Board (AGB)	Service Delivery
Stage Gate Assessment	Complete prior to progressing to Implementation		Review	Review
Training Materials				
Disaster Recovery Plan				
Service Level Agreement				
Operational Level Agreement				

4.5 Implementation

Deliverable	EPO PMO	IS Governance	Architecture Governance Board (AGB)	Service Delivery
Authorisation to move solution into production			Approved authorization to move to production	Approval: Enterprise Operations, Production Support
Service Transition Handover Document			Review and comment as needed	Approval: Enterprise Operations, Production Support
Stage Gate Assessment - Implementation	Complete prior to commencing deployment of the system.		Review	Review
Lessons Learnt	**AGREE actions with owners on an item by item basis**			
Risk/Issues Log	**AGREE owners for outstanding items on an item by item basis**			
Confirmation that **Post Investment Appraisal Plan** is in place.				
Client Survey				
Investment Closure Report		Copy to PRM prior to Business Sanctioning Committee meeting.		

Figure 3--Enterprise Architect Engagement Checklist - Context Chart
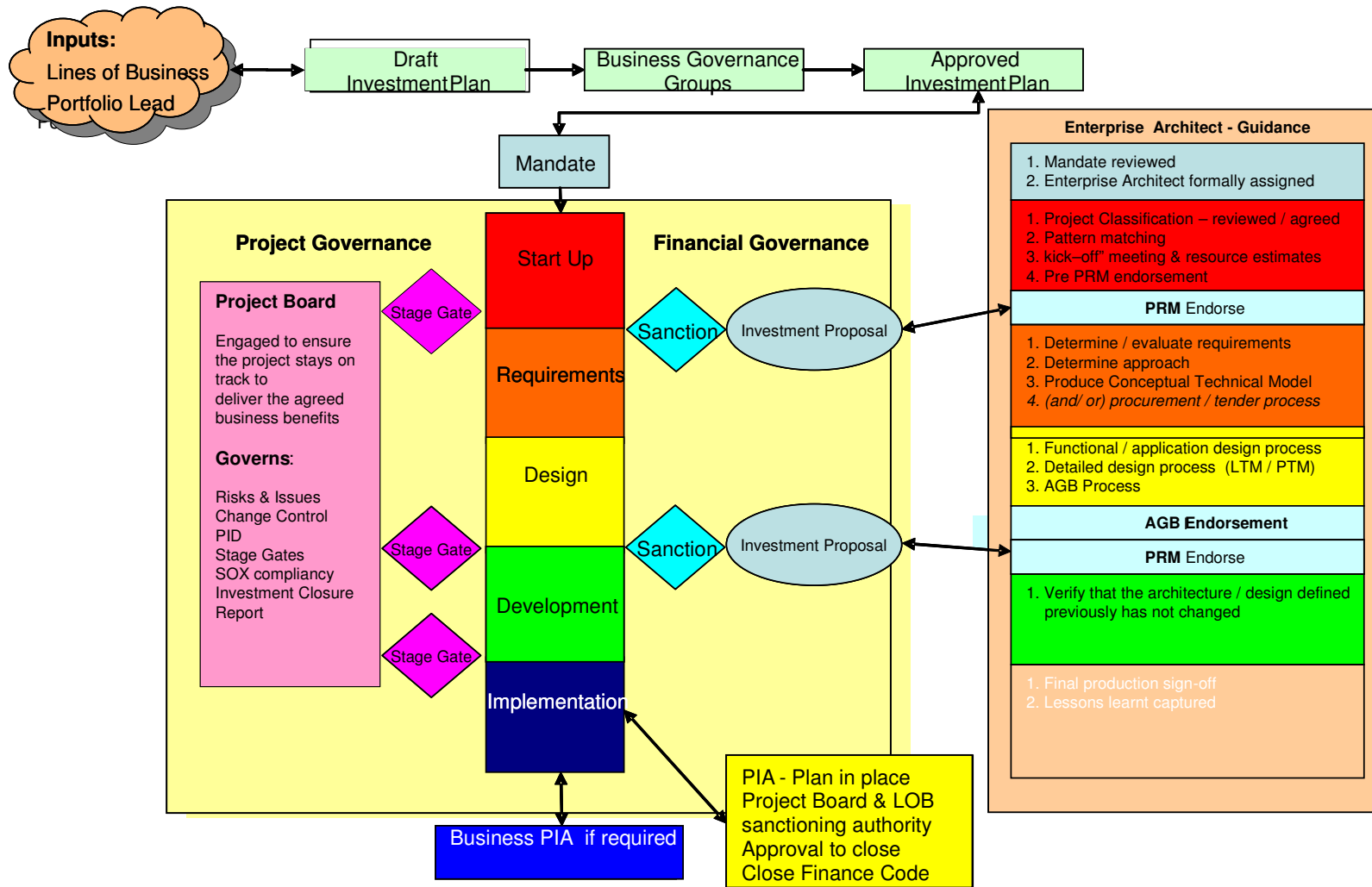
5 Project Status Report

Project Status Reports must be produced for **all projects,** commencing at the beginning of Start-Up.
It is produced at Month End following the release of Month End Financial reports, and provides consistency & standardisation across all IS projects.
It comprises four pages:
Page 1:
    - Highlights and Progress
    - Risks, Issues and Dependencies
    - RAG status of key indicators
Page 2
    - Key Deliverables and Milestones
Page 3
    - Project Finances
    - Change History
    - Project Closure Report
Page 4
    - For completion by Integration projects only

The report content is supported by comments that have been added to all relevant cells, along with drop down menus to make the completion of the report as simple as possible.

Validation errors are reported near the top of Page 1.

Once the Project Status Reports have been completed they are consolidated and uploaded to the IS Dashboard to provide the IS Leadership Team with an "at a glance" view of Project performance.

6 Post-Investment Appraisal Plan

This deliverable is a schedule of activities required to confirm that the benefits outlined in the Investment Proposal are being monitored and realised following solution delivery.

The Project Sponsor is responsible for producing this plan in the format required by the sanctioning authority and for the completion of activities described within. They are also responsible for reporting the results back to the sanctioning authority.

The IS Project Manager supports this process by confirming with the Project Sponsor that a PIA Plan is in place. Note: The PIA will only be carried out in those areas of National Grid where a PIA process is in place.

7 SDP and SOX

This topic is covered in more detail in the Stakeholder Guidance Notes.
National Grid is subject to the US Sarbanes-Oxley Act (SOX).

ALL projects must be SOX Compliant.

Risk assessments were undertaken to determine the Risks and associated controls required to achieve SOX compliance – Six were identified for IS projects. Certain deliverable within the SDP (see section 4) are noted as "SOX controls" – i.e. their production mitigates the Risks that must be addresses for SOX Compliance.
The risks and the Solution Delivery Process deliverables that control them are:

Risk:		Control:
1.	Unauthorised Acquisition/Development of new systems/programs are being made	Investment Proposal
2.	Segregation of duties / other application control considerations are not appropriately built into the requirements prior to development.	Security Checklist (found within the Service Definition Template)
3.	Requirements are not signed off by appropriate stakeholders / proposed users prior to development	Business and Technical Requirements Documents
4.	The solution being developed is not robust enough to meet business needs or is inconsistent with the National Grid Technology Strategy.	Functional Design Document; Detailed Application Design Document
5.	New or changed information technology systems have not been adequately tested before migration to the production environment.	System Test Report User Acceptance Test Report Operations Acceptance Test Report
6.	New or changed information technology systems are migrated to production environment without appropriate management authorisation.	Authorisation to move to production

In addition there are secondary controls that are used to manage the delivery of the controls above:
Management Controls:
  • Project Initiation Document(PID)
  • Stage Gate Assessments

It is worth noting that the PID is often the starting point for the auditors' activities.
The Stage Gate Assessments track the delivery and approval of these deliverables during the project.

To achieve compliance, IS Project Managers must ensure that the Controls are being effectively enforced on their projects by **USING** the approved process and **PROVING** it.
This is done via a Standard Test Script in a "Show me the evidence" audit.
This requires that the project keeps evidence of ALL approvals.
The requirements for approvals are given in section 3 above, please note that they must be specific to meet the SOX compliance requirements.

Key Messages

  • The use of the IS key Controls is **NOT** optional for the IS project manager

  • The controls MUST mitigate the 6 Risks, and MUST be Compliant

  • The IS Project Manager is responsible for the controls for the IS Project

  • SOX audits are SHOW me,   not TELL me

  • This is Business as Usual, audits are undertaken on an annual basis

  • Lack of formal approval of an IS key control may mean that the entire BUSINESS project is non compliant

  • Written notification of role changes and delegations is required

  • **Full corporate compliance for SOX will only be achieved if systems development projects are compliant**.

Appendix A: Document Information

Author: **Keith Hands**

Guidance Note Amendment History:
Owner/Author: IS EPO PMO

AMENDMENTS

Issue	Date	Changed By	Change Details
1.0	Apr 2008	Keith Hands	Initial Release
1.1	Jun 2008	Alan Watson	EA Engagement Checklist + DR Plan
1.2	Oct 2008	Alan Watson	Service Transition Handover Document
1.3	20 Jan 2010	Martin Mynott	CR287 Hyperlink now points to new (SharePoint 2007) SDP Website
1.4	27 Jan 2010	Alan Watson	CR290 GTG changed to Architecture Governance Board (AGB)
1.5	24 Sep 2010	Terry Russo	Removed reference to PRM Presentation

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