SGMM Navigation Process

*A framework for smart grid transformation*

Version 1.2

The SGMM Team

September 2018

CERT® Division
Research, Technology, and System Solutions Program
Software Engineering Process Management Program

[Distribution Statement A] This material has been approved for public release and unlimited distribution. The United States Government has Unlimited Rights in this material as defined by DFARS 252.227-7013.

http://www.sei.cmu.edu

Copyright 2018 Carnegie Mellon University. All rights reserved.

This material is based upon work funded and supported by the Department of Defense under Contract No. FA8721-05-C-0003 with Carnegie Mellon University for the operation of the Software Engineering Institute, a federally funded research and development center.

Any opinions, findings and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the United States Department of Defense.

NO WARRANTY. THIS MATERIAL IS FURNISHED ON AN “AS-IS” BASIS WITH NO WARRANTIES OF ANY KIND, EITHER EXPRESSED OR IMPLIED, INCLUDING, BUT NOT LIMITED TO, WARRANTY OF FITNESS FOR PURPOSE OR MERCHANTABILITY, ANY WARRANTY WITH RESPECT TO FREEDOM FROM PATENT, TRADEMARK, OR COPYRIGHT INFRINGEMENT, OR THIRD PARTY INTELLECTUAL PROPERTY RIGHTS.

[Distribution Statement A] This material has been approved for public release and unlimited distribution. The United States Government has Unlimited Rights in this material as defined by DFARS 252.227-7013.

The text and illustrations in this material are licensed by Carnegie Mellon University under a [Creative Commons Attribution 4.0 International License](https://creativecommons.org/licenses/by/4.0/).

The Creative Commons license does not extend to logos, trade marks, or service marks of Carnegie Mellon University.



|  |  |
| --- | --- |
| ®  | Capability Maturity Model and CMMI are registered in the U.S. Patent and Trademark Office by Carnegie Mellon University. |
| ® | CERT is a registered mark owned by Carnegie Mellon University. |
| TM | Carnegie Mellon Software Engineering Institute (stylized), Carnegie Mellon Software Engineering Institute (and design), and the stylized hexagon are trademarks of Carnegie Mellon University. |

Table of Contents

[SGMM Navigation Process – Overall Process 1](#_Toc524081919)

[SGMM Navigation Process (script NAV) 1](#_Toc524081920)

[SGMM Navigation Process – Preparation Phase 2](#_Toc524081921)

[Phase 1: Preparation (Script PREP) 2](#_Toc524081922)

[SGMM Navigation Process – Preparation Meeting Agenda (agenda PREP) 3](#_Toc524081923)

[Sponsor Roles and Responsibilities (role spec SPONSOR) 6](#_Toc524081924)

[Champion Roles and Responsibilities (role spec CHAMPION) 7](#_Toc524081925)

[Subject Matter Expert (SME) Roles and Responsibilities (role spec SME) 8](#_Toc524081926)

[Survey Workshop Preparation Checklist (Checklist PREP1) 11](#_Toc524081927)

[Meeting Report – <Meeting Name> 13](#_Toc524081928)

[SGMM Navigation Process – Survey Workshop Phase 14](#_Toc524081929)

[Phase 2: Survey Workshop (Script SURVEY WS) 14](#_Toc524081930)

[Meeting Report – <Meeting Name> 15](#_Toc524081931)

[SGMM Navigation Process – Analysis Phase 16](#_Toc524081932)

[Phase 3: Analysis (Script ANA) 16](#_Toc524081933)

[Aspiration Workshop Preparation Checklist (Checklist PREP2) 18](#_Toc524081934)

[SGMM Navigation Process – Aspirations Workshop Phase 19](#_Toc524081935)

[Phase 4: Aspirations Workshop (script ASPIRATIONS WS) 19](#_Toc524081936)

[Form Eval 20](#_Toc524081937)

[Meeting Report – <Meeting Name> 23](#_Toc524081938)

[SGMM Navigation Process – Wrap-Up Phase 24](#_Toc524081939)

[Phase 5: Wrap Up (Script WRAP UP) 24](#_Toc524081940)

[SGMM Change Request Form (form CR) 25](#_Toc524081941)

[SGMM Navigation Process – Cross Reference 26](#_Toc524081942)

# SGMM Navigation Process – Overall Process

|  |
| --- |
| SGMM Navigation Process (script NAV) |
| Purpose | To assist an organization with planning and monitoring its grid modernization effort using the SGMM. |
| Entry Criteria | * The organization has committed the necessary resources, information, and personnel to support the SGMM Navigation process.
* A Navigator is available to facilitate the process.
 |
| PHASE | DESCRIPTION |
| 4 weeks | The Navigator works with the organization to prepare for the Navigation process. (**script PREP**)* The Navigator understands the organization’s context.
* The organization has appropriate expectations for the Navigation process.
* The process participants are selected and prepared.
* The Survey workshop is scheduled.
 |
| 6 hours | The organization completes the Compass survey. (**script SURVEY**)* The Sponsor describes the business drivers and project expectations to motivate the participants on the importance of this effort.
* The Navigator presents the SGMM overview and reviews the guidelines for completing the Compass survey
* The Navigator leads the participants in completing the Compass survey.
* The Navigator discusses next steps.
 |
| 3 weeks | The data is analyzed to produce the findings and prepare for the Aspirations workshop. (**script ANA**)* The Navigator generates the Scoring Report.
* The Navigator analyzes the data to develop the Aspirations workshop presentation
* The Navigator works with the Champion to review the presentation and to prepare for the Aspirations workshop.
 |
| 6 hours | The organization sets its aspirations for its grid modernization effort. (**script ASPIRATIONS**)* The Sponsor reiterates the business drivers for the smart grid effort.
* The Navigator presents the findings.
* The Navigator facilitates a discussion about the organizational aspirations relative to each of the eight SGMM domains.
* The Navigator discusses the next steps.
 |
| 1 week | All details and miscellaneous actions from the navigation process are addressed. (**script WRAPUP**)* The Navigator reviews the process and documents any change requests.
 |

|  |  |
| --- | --- |
| Exit Criteria | * The organization has a better understanding of the status of its smart grid journey and has indicators of its strengths and weaknesses.
* The organization has a more cohesive and cross-organizational picture of its expected future efforts around grid modernization.
* All process information is documented and distributed. (**form MTG, form CR, form COMPASS form EVAL, and presentation ASPIRATIONS WS**)
 |

# SGMM Navigation Process – Preparation Phase

|  |
| --- |
| Phase 1: Preparation (Script PREP)  |
| Purpose | * To prepare for the SGMM Navigation.
 |
| Entry Criteria | * The organization has committed the necessary resources, information, and personnel to support the SGMM Navigation process.
* A Navigator is available to facilitate the process.
 |
| General Considerations | * The Survey workshop usually involves 8-12 participants; however a range of 4-20 can work.
* It can take several weeks to schedule the Survey workshop depending on schedule availability.
* If observers will participate, carefully consider their role.
* There does not need to be a one-to-one mapping from SGMM domains to participants.
 |
| STEP | ACTIVITY | DESCRIPTION |
| **1.1** | **Preparation Meeting** | The Navigator meets with the organization to prepare for the process. (**agenda PREP**) |
| **1.1.1**  | **Context** | The Navigator gains an understanding of the organization’s operating environment* ensures the SGMM is appropriate for the organization
* understands the organization, the scope of the Navigation and the business drivers for its smart grid effort
 |
| **1.1.2** | **Expectations** | The Navigator ensures that the organization’s expectations for the Navigation process are appropriate. |
| **1.1.3** | **Logistics** | The Navigator ensures that* the Navigation process participants have been identified
	+ Sponsor - the person who can make strategic decisions and authorize resource allocations (**role spec SPONSOR**)
	+ Champion - the person who has been tasked by the Sponsor to lead the SGMM Navigation process effort (**role spec CHAMPION**)
	+ Subject Matter Experts (SMEs) - individuals familiar with the organization’s smart grid activities who can answer the Compass survey questions (**role spec SME**)
	+ site coordinator - someone who can finalize logistics and other issues related to the on-site workshops (The Champion or his/her designee.)
	+ recorder - someone to enter data and take notes during the workshop
	+ observers - if applicable
	+ Aspiration workshop attendees - key stakeholders who discuss and agree to aspirations for each SGMM domain
* all logistics for the Survey workshop are handled (**checklist PREP1**)
* the meeting minutes are documented and distributed (**form MTG**)
 |
| **1.2** | **Preparation** | * The Navigator ensures that the Sponsor is prepared to make opening remarks at the Survey workshop.
* The Navigator tailors and prepares to deliver the Survey workshop presentation. (**presentation SURVEY WS**)
 |
| **1.3** | **Org. Attributes Questions** | The Navigator ensures that the organizational attributes questions in the Compass survey (section 1-4) are completed prior to the Survey workshop. (**form COMPASS**)  |

|  |  |
| --- | --- |
| Exit Criteria | * All Survey workshop participants understand their roles and are prepared.
* Organizational attributes questions in the Compass survey are answered. (**form COMPASS**)
* The Survey workshop presentation is tailored and the Navigator is prepared to deliver the presentation. (**presentation SURVEY WS**)
* The Survey workshop is scheduled. (**checklist PREP1**)
* The preparation meeting minutes are documented and distributed. (**form MTG**)
 |

# SGMM Navigation Process – Preparation Meeting Agenda (agenda PREP)

**<CUSTOMER NAME >**

<MEETING DATE>, <MEETING TIME>, <TIME ZONE>

<MEETING LOCATION>, <MEETING DIAL-IN>

**Attendees**

* <ATTENDEE 1 - ORGANIZATION>
* <ATTENDEE 1 - ORGANIZATION>
* <ATTENDEE 1 - ORGANIZATION>

**Agenda Schedule**

|  |  |  |
| --- | --- | --- |
| **Item** | **Topic** | **Suggested Timing** |
| 1 | Introductions and agenda review | 5 min. |
| 2 | <CUSTOMER NAME> discussion | 30 min. |
| 3 | SGMM Navigation process overview | 10 min. |
| 4 | Logistics | 30 min. |
| 5 | Preparation for Survey workshop | 10 min |
| 6 | Meeting summary and action item review | 5 min. |

**Agenda Items**

### Introductions and agenda review (~5 minutes)

### <CUSTOMER NAME> discussion (~30 minutes)

* 1. What was <CUSTOMER NAME>’s previous experience with the SGMM, if applicable?
	2. <CUSTOMER NAME>’s smart grid activities:
		+ Business drivers for smart grid effort; organizational commitment?
		+ Progress and current status:
			- Smart meter efforts underway? Progress?
			- Demand response efforts planned or underway?
			- Other initiatives?
		+ Smart grid leadership and structure?
	3. Scope of the SGMM Navigation: Will the Compass survey be completed for all of <CUSTOMER NAME> or for some defined sub-unit?
	4. Organization scale and structure (correlated to the scope for the SGMM Compass survey):
		+ Customers?
		+ Meters?
		+ Geography?
	5. Describe regulatory environment (e.g. conservative versus progressive; motivated toward environmental concerns or cost savings).
	6. Anything else we should know about <CUSTOMER NAME> or its smart grid activities?

### SGMM Navigation process overview (~10 minutes)



 4 weeks 6 hours 3 weeks 6 hours 1 week

***SGMM Navigation Process Phases***

1. **Preparation:** *(today’s meeting and follow-up actions)*
Establish context and organizational scope for SGMM Navigation, identify key participants, establish schedule and logistics for workshops, and complete sections 1-4 of the Compass survey.
2. **Survey Workshop:**
Assemble key stakeholders from <CUSTOMER NAME>, review context and scope for the SGMM Navigation, review SGMM and Navigation process, complete the Compass survey sections 5 – 12 with consensus responses from the group, and set expectations for the Aspirations workshop.
3. **Analysis:**
Answer any outstanding Compass survey questions, generate the scoring report, prepare for Aspirations workshop, and review Aspirations workshop presentations with <CUSTOMER NAME> Champion and/or Sponsor.
4. **Aspirations Workshop:**
Assemble key stakeholders from <CUSTOMER NAME>, review SGMM scores and detailed findings, agree to planning horizon (typically 2 to 5 years), and discuss and agree to aspirations for each domain in the SGMM for planning horizon.
5. **Wrap-up:**
Complete any outstanding action items, document Aspirations workshop results, evaluate the Navigation process, and capture any improvement suggestions and change requests.

### Logistics (~30 minutes)

* 1. Identify key people:
		+ **Sponsor**: the person who can make strategic decisions and authorize resource allocations
		+ **Champion**: the person who has been tasked by the Sponsor to lead the SGMM Navigation process effort
		+ **Site Coordinator**: someone from <CUSTOMER NAME> to interface with the Navigator to finalize logistics and other issues related to the Navigation process
		+ **Recorder**: someone to enter data and take notes during the workshops
		+ **Survey Workshop Participants**: people from <CUSTOMER NAME> who are familiar with <CUSTOMER NAME>’s smart grid activities associated with each of the following areas:
			- Strategy, Management, and Regulatory (SMR): vision, planning, governance, stakeholder collaboration
			- Organization and Structure (OS): culture, structure, training, communications, knowledge management
			- Grid Operations (GO): reliability, efficiency, security, safety, observability, control of the grid
			- Work and Asset Management (WAM): asset monitoring, tracking and maintenance, mobile workforce
			- Technology (TECH): IT architecture, standards, infrastructure, integration, tools
			- Customer (CUST): pricing, customer participation and experience, advanced services
			- Value Chain Integration (VCI): demand and supply management, leveraging market opportunities
			- Society and Environmental (SE): responsibility, sustainability, critical infrastructure, efficiency
			- Security issues: cyber and physical security
		+ **Aspirations workshop participants**: Key stakeholders from <CUSTOMER NAME> who review SGMM scores and detailed findings, agree to planning horizon (typically 2 to 5 years), and discuss and agree to aspiration for each domain in the SGMM. Participants should include Survey workshop attendees and other key smart grid stakeholders from the management team.
	2. Set dates, times, and locations for workshops
		+ **Survey Workshop:
		Planned date: <SURVEY WS DATE>
		Duration: ~6 hours
		Start time:
		Location:**
		+ **Aspirations Workshop:
		Planned date: <ASPIRATIONS WS DATE>
		Duration: ~6 hours
		Start time:
		Location:**

Note: workshop rooms should be large enough for all participants to be comfortable and should be equipped with a projector and screen with good visibility.

* 1. Other items:
		+ Catering for workshops

### Preparation for Survey Workshop (~10 minutes)

In preparation for the Survey Workshop:

* 1. Open logistics issues should be addressed
	2. Attendance by key people should be confirmed
	3. Dates, times, and locations should be confirmed
	4. Sponsor should prepare opening remarks for workshop (approximately 5 minutes in duration, describing the importance of smart grid to <CUSTOMER NAME>, the motivation for participating in the workshop, and the business goals for the navigation process)
	5. <CUSTOMER NAME> should complete the Compass survey sections 1 – 4

### Meeting summary and action item review (~5 minutes)

|  |
| --- |
| Sponsor Roles and Responsibilities (role spec SPONSOR) |
| Goals | The Sponsor’s goal is to do what is necessary to ensure that the organization gets the desired results from the SGMM Navigation process. |
| Role Characteristics | The most helpful characteristics for a Sponsor to have are* part of the senior management team
* an executive respected across the organization
* to be acknowledged by the members of the smart grid team as being in charge of their efforts and responsible for results
* able to have sufficient time to give this role thoughtful attention

Typical job titles include* President, Regulated Operations
* VP, Business Transformation
* CIO
* VP, Power Distribution

The Sponsor should have a broad understanding of the status and components of the smart grid effort in the organization, and the functions involved.  |
| General Responsibilities | * ensures that the necessary resources for the organization’s involvement in the Navigation process are available
* ensures the output from the project will receive the attention it deserves across the organization
* participates in resolving issues and problems
 |
| Principal Sponsor Activities | * represent the organization in making the decision for the participation of the organization in the SGMM navigation process
* commit the resources and access to those resources
* assign the Champion
* communicate the organization’s support for the SGMM effort, asking the team members to provide the necessary support
* kick off the Survey workshop session
* review the findings prior to the Aspirations workshop to ensure there will be no unexpected surprises that could be problematic (this can be delegated to the champion)
* host the Aspirations workshop and invite the management team to attend
 |

|  |
| --- |
| Champion Roles and Responsibilities (role spec CHAMPION) |
| Goals | The Champion’s goals are to* ensure that the Navigation process is accepted throughout the organization
* build a motivated and effective team
* fully utilize the talents and abilities of all participants
* keep management informed
 |
| Role Characteristics | The most helpful characteristics for a Champion to have are to * enjoy being a leader and naturally assume a leadership role
* be able to identify the key issues and objectively make decisions
* occasionally take unpopular actions and be willing to press people to accomplish difficult tasks
* respect co-workers, willing to listen to their views, help them perform to the best of their abilities, and support them to higher management

Typical job titles include: * Sr. Project Analyst
* Smart Grid Project Manager
* Project Executive, Transmission and Distribution Planning
* Director, Distribution Services
* AMI Project Manager

The Champion should have a broad understanding of the status and components of the smart grid effort in the organization, and the functions involved.  |
| General Responsibilities | * focus on maintaining an effective and productive environment
* participate in resolving issues and problems
* support other participants when they need help
* actively participate in process activities and make sure that his or her views and ideas are known and understood
* listen to other participants and understand their views and ideas
 |
| Leadership | * lead the organization’s side of the Navigation process
* maintain a clear and continuous focus on the Navigation process goals
* ensure that all participants are working productively and effectively
* maintain a sense of urgency and push to accelerate tasks where practical
* motivate and support participants
 |
| Principal Champion Activities | Organize the Survey workshop and Aspirations workshop session* work with the Navigator to ensure that all activities in the Navigation process run efficiently and effectively
* assist the Navigator in understanding the organization and the high level status of the organization’s smart grid intentions and status, in preparation for the workshops
* work with the Navigator to ensure proper participation for the Survey and Aspirations workshops
* ensure that proper facilities and catering are available for the workshops
* ensure that participants are available to attend the workshops
* act as liaison between the Navigator and the organization
* may delegate logistics support to a site coordinator
 |

|  |
| --- |
| Subject Matter Expert (SME) Roles and Responsibilities (role spec SME) |
| Goals | The SME’s goal is to work together to arrive at consensus answers to the Compass survey questions that best represent the organization’s current smart grid implementation status. |
| Role Characteristics | The most helpful characteristics for an SME to have are* to be closely involved in the planning, deployment or management of the area represented
* a first or second level manager overseeing a department doing the actual work for the area represented.
* to have interest in the success of the organization’s smart grid initiative
 |
| General Responsibilities | * focus on maintaining an effective and productive environment
* participate in resolving issues and problems
* support other participants when they need help
* actively participate in process activities and make sure that his or her views and ideas are known and understood
* listen to other participants and understand their views and ideas
 |
| Specific area of subject matter expertise needed, listed by domain  |
| Strategy, Management, and Regulatory (SMR) | Understands or can speak to the organization’s* vision
* planning
* decision making
* strategy execution
* discipline, regulatory, and investment process
* regulatory bodies and other outside groups that oversee or influence the organization, and the relationship with those bodies
* management and management style

Typical job titles include* Director, Enterprise Strategic Planning
* Manager, Government Relations
 |
| Organization and Structure (OS) | Understands or can speak to the organization’s* culture and structure
* training and education
* communications (e.g. internal and external communications such as public relations)
* knowledge management

Typical job titles include* Process Manager, Business Transformation
 |

*(continued on next page)*

|  |
| --- |
| **SME Roles and Responsibilities (role spec SME), cont.** |
| Grid Operations (GO) | Understands or can speak to* the grid itself
* grid management, reliability
* security
* safety
* efficient operations
* observability
* control

Typical job titles include* System Operations
* Supervising Engineer, Systems Operations
* Electric Distribution Engineering Director
 |
| Work and Asset Management (WAM) | Understands or can speak to* optimizing management of assets and workforce resources
* maintenance and mobile workforce

Typical job titles include* Director Distribution Asset Management
* Process Manager, Work Management
 |
| Technology (TECH) | Understands or can speak to* Information Technology
* IT standards used
* communications network systems and protocols
* cyber security
* analytics and decision support systems
* initiatives to integrate IT into the organizations business processes

Typical job titles include* CIO
* General Manager, Information Services
* Supervising Engineer, System Protection &Telecom Engineering
* Process Manager; AMI, MDM, CIS
 |
| Customer (CUST) | Understands or can speak to* active or passive customer participation in the use, source, and cost of energy
* customer care
* pricing options
* advanced services

Typical job titles include* VP, Customer Service and Pricing
 |

*(continued on next page)*

|  |
| --- |
| **SME Roles and Responsibilities (role spec SME), cont.** |
| Value Chain Integration (VCI) | Understands or can speak to* demand and supply management
* distributed generation and load management
* leveraging market opportunities

Typical job titles include* Sr. Mgr., Resource Mgmt.
* Director, Supply-Side Planning
 |
| Societal and Environmental (SE) | Understands or can speak to* conservation
* sustainability
* economical supply and impact of energy use on the environment and quality of life
* environmental reporting

Typical job titles include* Director, Demand Response and Renewables
 |
| Security | Understands or can speak to* cyber and physical security
* business continuity and disaster recovery
* security architectures
* critical infrastructure protection

Typical job titles include* CISO, CSO
* Director, Information Security
* Manager, Information Security
 |

|  |
| --- |
| Survey Workshop Preparation Checklist (Checklist PREP1) |
| Purpose | To guide Survey workshop preparation activities |
|  | Item | Description | Completed |
| Four Weeks Prior to Survey Workshop  | Preparation meeting | Hold a preparation meeting with the organization (**agenda PREP**)* answer organizational attributes questions
* identify participants
* schedule the Survey workshop
 |  |
| Observers | * Ensure that any observers to the process have been identified and are approved by both the Navigator and the organization.
* Consider any risks and consider any mitigations to ensure that participation by observers will be productive and will not disrupt the process.
 |  |
| Travel  | Make travel arrangements |  |
| Two Weeks Prior to Survey Workshop  | Materials | Send send one copy of the SGMM Model Definition TR (<https://resources.sei.cmu.edu/library/asset-view.cfm?assetID=10035>) for each Survey workshop participant to the site coordinator. |  |
| Supplies | Ensure that the following are available or ship these to the site coordinator* Masking tape 1 roll
* Pens or pencils 1 box
* Name tents 1 per participant
* Return shipping box
 |  |
| One Week Prior to Survey Workshop | Survey workshop presentation materials | Ensure that the presentation (**presentation SURVEY WS**) and Compass survey with completed organizational attributes questions (**form COMPASS**) are on a computer for use during the workshop* load the tailored presentation and the Compass survey with completed organizational attributes questions, onto a computer or memory stick or
* send the presentation and Compass survey to the Champion or site coordinator.
 |  |
| Facilities | Ensure that facilities have been set up correctly.* The room for the Survey workshop is large enough to hold all participants and any observers.
* The room is set up to facilitate dialog among participants.
* A projector and screen are available.
* The lights in the room can be dimmed to ensure that projected information is readable.
* One or more personal computers with Adobe Reader and Microsoft Office are available.
 |  |
| Catering | Confirm catering, as applicable* Morning and mid-morning break
* Working lunch may be necessary
 |  |

*(continued on next page)*

|  |
| --- |
| **Survey Workshop Preparation Checklist (Checklist PREP1), cont.** |
| One Week Prior to Survey Workshop, cont. | Availability | Confirm that all participants are available and committed to attend the workshop.

|  |  |  |
| --- | --- | --- |
| **Name** | **Title** | **Role (SGMM Domain)** |
|  |  | SMR |
|  |  | OS |
|  |  | GO |
|  |  | WAM |
|  |  | TECH |
|  |  | CUST |
|  |  | VCI |
|  |  | SE |
|  |  | Security |

 |  |
| Sponsor | Confirm that the Sponsor is prepared to deliver opening remarks, or has delegated this responsibility to another executive. |  |
| After the Survey Workshop | Returns | Send back any unused supplies using the return shipping box. |  |

|  |
| --- |
| Meeting Report – <Meeting Name>  |

|  |  |  |  |
| --- | --- | --- | --- |
| Name |  | Date |  |
| Chairperson |  | Location |  |
| Meeting Date |  | Time From |  | To |  |
|  |  |
| **Subject/Purpose** |  |
|  |
|  |
| **Attendees** |  |
| **Name** | **Role** |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
| **Agenda** |  |
| **Times (min.)** | **Topics** | **Discussion Leader** |
| **Plan** | **Start** | **Stop** |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| **Decisions, Actions, and Key Information** |
| **What** | **Who** | **When** |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

# SGMM Navigation Process – Survey Workshop Phase

|  |
| --- |
| Phase 2: Survey Workshop (Script SURVEY WS)  |
| Purpose | * To complete the Compass survey with high integrity and consensus answers
* To promote an open dialog among the various participants regarding the wide-ranging issues and components of a smart grid implementation
 |
| Entry Criteria | * All Survey workshop participants understand their roles and are prepared.
* Organizational attributes questions in the Compass survey are answered . (**form COMPASS**)
* The Survey workshop presentation is tailored and the Navigator is prepared to deliver the presentation. (**presentation SURVEY WS**)
* The Survey workshop is scheduled. (**checklist PREP1**)
 |
| GeneralConsiderations | * The meeting is guided by the Survey workshop presentation. (**presentation SURVEY WS**)
* The Survey workshop typically takes six hours to complete.
 |
| STEP | ACTIVITY | DESCRIPTION |
| **2.1** | **Opening Remarks(~10 minutes)** | The Sponsor describes* why smart grid is important to the organization
* the business goals for the smart grid effort to motivate energetic participation in the workshop
 |
| **2.2** | **SGMM Overview(~30-45 minutes)** | * The Navigator reviews the agenda and workshop objectives and ensures that a Recorder has been assigned.
* The Navigator has each participant introduce themselves including name, title, and SGMM domain represented or role.
* The Navigator presents the SGMM overview , which includes a high-level description of the SGMM and the Navigation process.
 |
| **2.3** | **Guidelines(~10 minutes)** | * The Navigator reviews guidelines and tips for completing the Compass survey.
* For each SGMM domain, one person is selected to be the “tie-breaker.”
 |
| **2.4** | **Compass Survey Completion(~20-30 minutes per domain)** | The Navigator facilitates the completion of the Compass survey. (**form COMPASS**)* The Compass survey is projected so that it is visible and prominently displayed to the entire group.
* The Navigator ensures that the context and meaning of each Compass survey question is understood.
* The Navigator facilitates a group discussion on each question trying to arrive at a consensus answer. If a consensus answer cannot be reached, the SME tie-breaker is asked to choose the most appropriate answer.
* The Recorder marks the selected answers and documents any comments.
* The Navigator ensures that all questions are answered, scheduling additional time if necessary.

*Note:* The Navigator may voice an opinion about an answer, but the organization has the ultimate decision on how to answer each question. |
| **2.5** | **Closing(~15 minutes)** | The Navigator * discusses the next steps and thanks everyone for their time and participation
* collects the outputs from the Survey workshop (**forms COMPASS** and **MTG**)
 |
| **2.6** | **Wrap Up** | The Navigator* debriefs the workshop with the Sponsor and/or Champion, discusses next steps, and inquires about satisfaction with the results (exit interview)
* documents the workshop in a trip report
 |

|  |  |
| --- | --- |
| Exit Criteria | * All Compass survey questions are answered. (**form COMPASS)**
* The workshop minutes are documented and distributed. (**form MTG**)
 |

|  |
| --- |
| Meeting Report – <Meeting Name>  |

|  |  |  |  |
| --- | --- | --- | --- |
| Name |  | Date |  |
| Chairperson |  | Location |  |
| Meeting Date |  | Time From |  | To |  |
|  |  |
| **Subject/Purpose** |  |
|  |
|  |
| **Attendees** |  |
| **Name** | **Role** |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
| **Agenda** |  |
| **Times (min.)** | **Topics** | **Discussion Leader** |
| **Plan** | **Start** | **Stop** |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| **Decisions, Actions, and Key Information** |
| **What** | **Who** | **When** |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

# SGMM Navigation Process – Analysis Phase

|  |
| --- |
| Phase 3: Analysis (Script ANA)  |
| Purpose | * To transform raw Compass survey data into understandable and actionable information for the organization’s use.
 |
| Entry Criteria | All Compass survey questions are answered. (**form COMPASS**). |
| GeneralConsiderations | * In this step, the Navigator adds value through his or her expertise and understanding of the data, model, industry, and organization.
* The duration of this step is typically three weeks, depending on the amount of data that need to be validated and response time.
* An experienced Navigator can complete the analysis in 6-8 hours, but novice Navigators should allow for more time.
* All raw data is contained in the scoring report.
* All analyses are documented in the Aspirations workshop presentation template. (**presentation ASPIRATIONS WS**)
 |
| STEP | ACTIVITY | DESCRIPTION |
| **3.1** | **Analysis** | The Navigator analyzes the data in the Scoring report and documents the findings in the Aspirations workshop template. (**presentation ASPIRATIONS**) |
| **3.2.1** | **Overall Maturity Scores** | The Navigator updates the overall maturity slides (maturity profile, dashboard, and average/range charts) in the presentation. If the organization has previously completed the Compass survey, the Navigator compares its current and previous results and documents this analysis in the presentation. (**presentation ASPIRATIONS WS**) |
| **3.2.2** | **Community Data** | The Navigator updates the presentation to include the peer community characteristics. (**presentation ASPIRATIONS WS**) |
| **3.2.3** | **Peer Community Comparison** | The Navigator reviews the specfic survey responses to identify organizational strengths and weaknesses compared with the peer community data and documents this analysis in the presentation. (**presentation ASPIRATIONS WS**)* questions with a response in the top 33% are marked with a blue plus sign.
* questions with a response in the top 10% are with a yellow star.
* questions with a response in the bottom 33% are marked with a gray down arrow.
* The Navigator strives for balance between positives and negatives. If there is not balance between positive and negative, the Navigator looks for instance where balance can be created by using more relaxed criteria. For example using top 40% instead of 33% to find a positive instance.
 |
| **3.2.4** | **Model Comparison** | The Navigator reviews the specific survey responses to identify weaknesses against the model and highlights those questions in red italics. (**presentation ASPIRATIONS WS**)* questions that have prevented the organization from achieving the next level
* questions that indicate a weakness in an achieved level
* questions that have cross-domain impact
 |
| **3.2.5** | **Detailed Findings** | Based on the analysis in steps 3.2.3 and 3.2.4, the Navigator creates detailed findings slides for each domain. For each finding, the Navigator should describe the finding and include any questions needed to illustrate and support that finding. (**presentation ASPIRATIONS WS**) |

*(continued on next page)*

|  |  |  |
| --- | --- | --- |
| STEP | ACTIVITY | DESCRIPTION |
| **3.2.6** | **Overall Observations** | The Navigator documents overall observations in the presentation. (**presentation ASPIRATIONS WS**) Broad observation may include:* a summary of how the organization compares to the peer community data
* the number of domains where the organization is better or work than their peers
* domains where the organization has the most “best practices”
* overall strengths and weaknesses
* contradictory answers or themes
* observations that are counter to the organization’s stated or implied objectives
* spikes between or within SGMM domains
* other trends or groupings
* if the organization has previous SGMM scores, summarize the changes here
 |
| **3.2.7** | **Back Up Materials** | The Navigator brainstorms any questions likely to be asked by the Aspirations workshop participants and includes back up slides to addresses those questions. (**presentation ASPIRATIONS WS**)  |
| **3.2.8** | **Aspiration Slides** | **The Navigator updates the aspiration slides in the presentation to prepare for aspirations setting (presentation ASPIRATIONS WS). The Navigator*** ensures all color coding and bolding is correct.
* updates the maturity profile slide in the aspirations section of the presentation.
* documents the planning horizon if it has been set
* updates the next step slides with the anticipated next steps.
 |
| **3.3** | **Customer Review** | * The Navigator sends the presentation (**presentation ASPIRATIONS WS**) and Scoring report (to the Sponsor and/or Champion for review.
* The Navigator updates the presentation with any recommended changes.
 |
| **3.4** | **Logistics** | The Navigator ensures that all logistical details for the Aspirations workshop are addressed. (**checklist PREP2**) |

|  |  |
| --- | --- |
| Exit Criteria | * Completed Compass survey data has been validated and report generated. (**form COMPASS,**)
* The Navigator has analyzed and understands the organization’s data.
* All findings are documented in the presentation and the presentation is ready for aspirations setting. (**presentation ASPIRATIONS WS**)
* The Aspirations work shop presentation is reviewed with the Champion and/or Sponsor.
* The Aspirations workshop has been scheduled. (**checklist PREP2**)
 |

|  |
| --- |
| Aspiration Workshop Preparation Checklist (Checklist PREP2) |
| Purpose | To guide Aspiration workshop preparation activities |
|  | Item | Description | Completed |
| **Four Weeks Prior to Workshop** | Observers | * Ensure that any observers to the process have been identified and are approved by both the Navigator and organization.
* Consider any risks and consider any mitigations to ensure that participation by observers will be productive and will not disrupt the process.
 |  |
| Travel | Make travel arrangements |  |
| **Two Weeks Prior to Workshop** | Supplies | Ensure that the following are available or ship these to the site coordinator* Flip chart markers 2 boxes of 4
* Masking tape 1 roll
* Pens or pencils 1 box
* Name Tents 1 per participant
* Return shipping box
 |  |
| **One Week Prior to Workshop** | Aspiratons workshop presentation | Ensure that the presentation (**presentation ASPIRATIONS WS**) is on a computer for use during the workshop* load the tailored presentation onto a computer or memory stick or
* send the presentation to the Champion or site coordinator
 |  |
| Send materials | Send SGMM materials to the site coordinator. For each Aspiration workshop participant, send (or bring) one copy of* Aspirations workshop presentation (**presentations ASPIRATIONS WS**)
* Scoring report
* Evaluation form (**form EVAL**)
 |  |
| Facilities | Ensure that facilities have been set up correctly.* The room for the workshop is large enough to hold all participants and any observers.
* The room is set up to facilitate dialog among participants.
* A projector and screen are available.
* The lights in the room can be dimmed to ensure that projected information is readable.
* One or more personal computers with Microsoft Office are available.
 |  |
| Catering | Confirm catering, as applicable* morning and mid morning break
* working lunch may be necessary
 |  |
| **After the Workshop** | Returns | Send back any unused supplies using the return shipping box. |  |

# SGMM Navigation Process – Aspirations Workshop Phase

|  |
| --- |
| Phase 4: Aspirations Workshop (script ASPIRATIONS WS)  |
| Purpose | * To describe the organization’s current status of smart grid implementation relative to the SGMM.
* To establish a cohesive and cross-organizational picture of expected future efforts around grid modernization.
 |
| Entry Criteria | * The Navigator has analyzed and understands the organization’s data.
* The Aspirations workshop presentation is complete and has been reviewed by the Champion and/or Sponsor. (**presentation ASPIRATIONS WS**)
* The Aspirations workshop has been scheduled. (**checklist PREP2**)
 |
| GeneralConsiderations | * The Aspirations workshop usually involves 10-20 participants however a range of 8-35 can work.
* The meeting is guided by the Aspirations workshop presentation. (**presentation ASPIRATIONS WS**)
* The Aspirations workshop typically takes six hours to complete
 |
| STEP | ACTIVITY | DESCRIPTION |
| **4.1** | **Opening Remarks(~20 min)** | The Sponsor reiterates* why smart grid is important to the organization
* the business goals for the smart grid effort
 |
| **4.2** | **Review SGMM Overview(~20 min)** | * The Navigator reviews the agenda and objectives and ensures that a Recorder has been assigned.
* The Navigator has each attendee introduce themselves including name, title, and role.
* The Navigator provides a brief review of the SGMM overview for new people in the room.
 |
| **4.3** | **Present Findings(~1.5 h)** | The Navigator walks through the findings* presents a summary of the bottom line
* points out how the organization compares to the peer community data and model and compares current results to previous, if applicable
* highlights best practices and opportunities for improvement
* provides detailed findings for each domain
* highlights any other significant findings
 |
| **4.4** | **Develop Aspirations(~3.5 h)** | * The Navigator leads the group to establish the planning horizon for the aspirations. A planning horizon between one to five years is appropriate.
* For each domain, the Navigator facilitates a group discussion to arrive at a consensus decision on the aspirations for that domain.
* The Navigator reviews the characteristics in that domain including weaknesses in achieved levels and characteristics needed to achieve higher maturity levels.
* The organization sets their aspiration and identifies the motivations, actions, and obstacles associated with attaining the aspiration.
* The Recorder updates the presentation with the results of the discussion. (**presentation ASPIRATIONS WS**)
 |
| **4.5** | **Closing****(~20 min)** | The Navigator * discusses the next steps and thanks everyone for their time and participation
* distributes the Evaluation form (**form EVAL**)
* collects the outputs from the workshop (**form MTG** and **presentation ASPIRATIONS WS**)
 |
| **4.6** | **Wrap Up** | The Navigator* debriefs the workshop with the Sponsor and/or Champion, discusses next steps, and inquires about satisfaction with the results (exit interview)
* documents the workshop in a trip report
 |

|  |  |
| --- | --- |
| Exit Criteria | * The organization has a better understanding of the status of its smart grid journey; it knows where it stands and has indicators of its strengths and weaknesses.
* The organization has a cohesive and cross-organizational picture of its expected future efforts around grid modernization.
* The Evaluation forms are completed
 |

## Form Eval

|  |  |  |  |
| --- | --- | --- | --- |
| Name |  |  | **Date of Workshop**    /    /          |
| Organization |  |  | Navigator: |  |
| Email Address |  |  |  |  |

**I. Preparation**

The Navigator was properly prepared throughout the workshop.

 Strongly Agree Agree Neuteral Disagree Strongly Disagree

 [ ]  [ ]  [ ]  [ ]  [ ]

Comments:

The planning for the Navigation process was adequate (e.g., facilities, schedule, preparation time)

 Strongly Agree Agree Neuteral Disagree Strongly Disagree

 [ ]  [ ]  [ ]  [ ]  [ ]

Comments:

**II. SEI SGMM Navigation Process**

I felt that I was given the opportunity to make my opinions heard.

 Strongly Agree Agree Neuteral Disagree Strongly Disagree

 [ ]  [ ]  [ ]  [ ]  [ ]

Comments:

The right people from my organization were involved in the process.

 Strongly Agree Agree Neuteral Disagree Strongly Disagree

 [ ]  [ ]  [ ]  [ ]  [ ]

Comments:

I am confident that my organization will follow through on its defined SGMM aspirations.

 Strongly Agree Agree Neuteral Disagree Strongly Disagree

 [ ]  [ ]  [ ]  [ ]  [ ]

Comments:

**III. SGMM Navigator**

Please rate the Navigator in the following areas

Facilitation skills

 Excellent Good Adequate Fair Poor

 [ ]  [ ]  [ ]  [ ]  [ ]

Comments:

Knowledge of the SGMM

 Excellent Good Adequate Fair Poor

 [ ]  [ ]  [ ]  [ ]  [ ]

Comments:

Knowledge of the electric power industry

 Excellent Good Adequate Fair Poor

 [ ]  [ ]  [ ]  [ ]  [ ]

Comments:

**IV. SGMM Navigation Process Materials**

The materials were easy to understand.

 Strongly Agree Agree Neuteral Disagree Strongly Disagree

 [ ]  [ ]  [ ]  [ ]  [ ]

Comments:

The materials were easy to use.

 Strongly Agree Agree Neuteral Disagree Strongly Disagree

 [ ]  [ ]  [ ]  [ ]  [ ]

Comments:

**V. General**

In general, the Navigation process worked well for our organization.

 Strongly Agree Agree Neuteral Disagree Strongly Disagree

 [ ]  [ ]  [ ]  [ ]  [ ]

Comments:

I would recommend this process.

 Strongly Agree Agree Neuteral Disagree Strongly Disagree

 [ ]  [ ]  [ ]  [ ]  [ ]

Comments:

How many SGMM Navigation processes have you participated in (in any capacity) prior to this one?

What presented the greatest challenge during this process? (*Please Describe Briefly*)

If you could improve one thing about the process, what would it be? (*Please Describe Briefly*)

What do you feel provided the most value? (*Please Describe Briefly*)

What aspects of this process would you definitely not change? (*Please Describe Briefly*)

Other comments:

|  |
| --- |
| Meeting Report – <Meeting Name>  |

|  |  |  |  |
| --- | --- | --- | --- |
| Name |  | Date |  |
| Chairperson |  | Location |  |
| Meeting Date |  | Time From |  | To |  |
|  |  |
| **Subject/Purpose** |  |
|  |
|  |
| **Attendees** |  |
| **Name** | **Role** |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
|  |  |
| **Agenda** |  |
| **Times (min.)** | **Topics** | **Discussion Leader** |
| **Plan** | **Start** | **Stop** |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| **Decisions, Actions, and Key Information** |
| **What** | **Who** | **When** |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

# SGMM Navigation Process – Wrap-Up Phase

|  |
| --- |
| Phase 5: Wrap Up (Script WRAP UP)  |
| Purpose | * Ensure that all action items, decisions, and agreements are documented and delivered.
* Tie up all loose ends.
 |
| Entry Criteria | * The Aspirations workshop is complete.
* The Evaluation forms are completed and returned. (**form EVAL**)
 |
| STEP | ACTIVITY | DESCRIPTION |
| **5.1** | **Document Aspirations Workshop Results** | The Navigator documents the results of the Aspirations workshop (**presentation ASPIRATIONS WS, form MTG**)* cleans up the updates to the slides that were made during the Aspiration workshop
* add a legend to the aspirations settings slides as needed
* creates summary slide(s) of the motivations, actions, and obstacles
* summarizes the agreed upon next steps

The Navigator sends the final presentation and meeting report (**presentation ASPIRATIONS WS, form MTG**) to the Sponsor and/or Champion. |
| **5.2** | **Process Evaluation** | The Navigator * reviews the process to identify process problems or inconveniences
* reviews the meeting results and reports
 |

|  |  |
| --- | --- |
| Exit Criteria | All process information is documented and distributed. (**form MTG, presentation ASPIRATIONS WS, form CR, form COMPASS**) |

## SGMM Change Request Form (form CR)

|  |  |  |  |
| --- | --- | --- | --- |
| Name |  |  | **Date of Workshop**    /    /          |
| Organization |  |  |  |  |
| Email Address |  |  |  |  |

SGMM product (include section and page number when available)

Requested change

Rationale for change request

Comments

# SGMM Navigation Process – Cross Reference

|  |  |  |
| --- | --- | --- |
|  |  | **SCRIPTS** |
|  |  | NAV | PREP | SURVEY WS | ANA | FINDINGS WS | WRAPUP |
| **ELEMENTS** | script PREP |  |  |  |  |  |  |
| agenda PREP |  |  |  |  |  |  |
| checklist PREP1 |  |  |  |  |  |  |
| *role spec SPONSOR* |  |  |  |  |  |  |
| role spec CHAMPION |  |  |  |  |  |  |
| role spec SME |  |  |  |  |  |  |
| form MTG |  |  |  |  |  |  |
| form SURVEY |  |  |  |  |  |  |
| form PERMISSION |  |  |  |  |  |  |
| presentation SURVEY WS |  |  |  |  |  |  |
| script SURVEY WS |  |  |  |  |  |  |
| script ANA |  |  |  |  |  |  |
| report NAV RPT |  |  |  |  |  |  |
| presentation FINDINGS |  |  |  |  |  |  |
| checklist PREP2 |  |  |  |  |  |  |
| script FINDINGS |  |  |  |  |  |  |
| form EVAL |  |  |  |  |  |  |
| script WRAP UP |  |  |  |  |  |  |
| form CR |  |  |  |  |  |  |