

Integrated Marketplace Program Organization and Governance

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Marketplace Program Governance

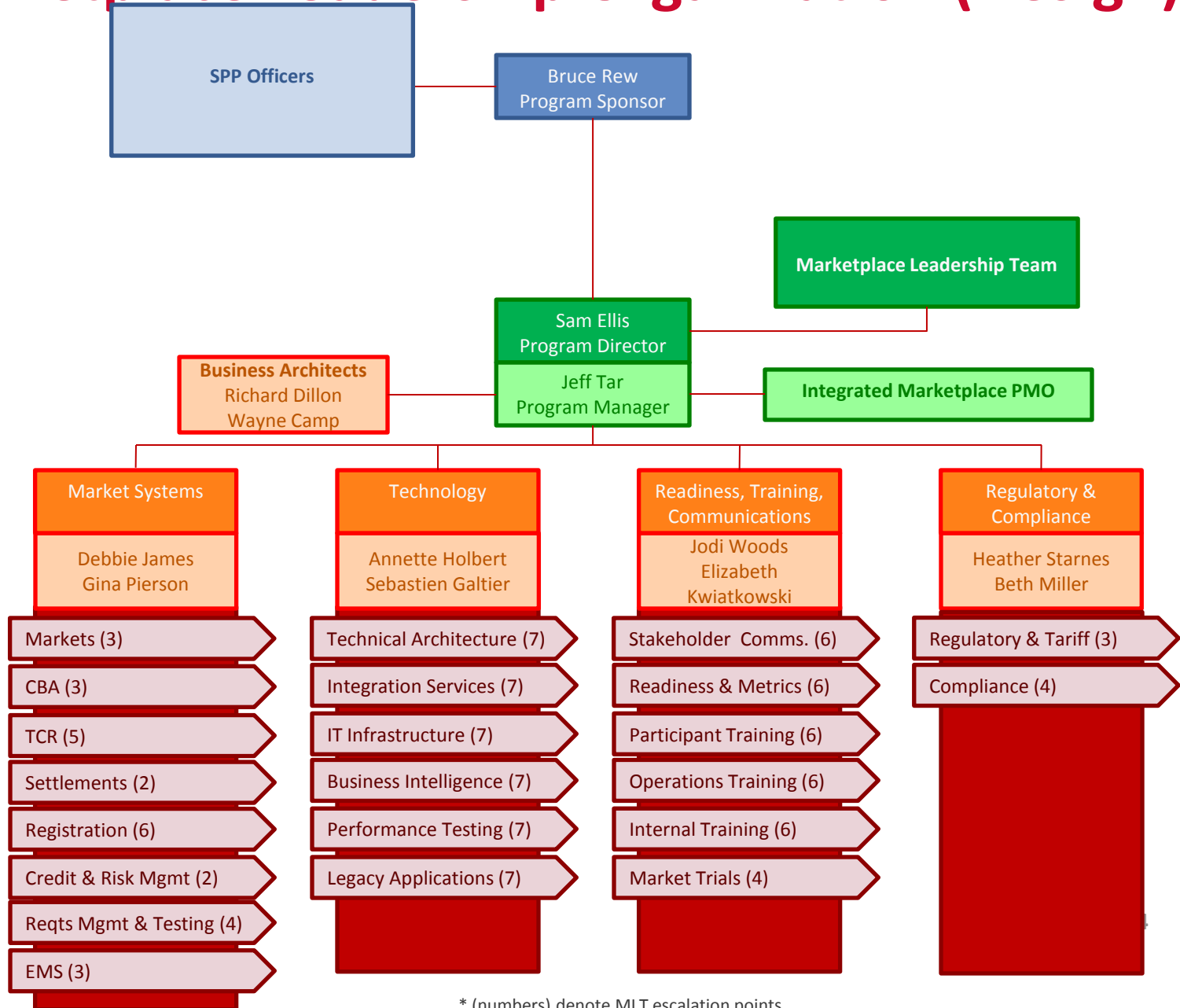
This document's purpose is to define the governance structure of the Integrated Marketplace (Marketplace) Program.

Governance is NOT just for management-level roles. It is critical at all of a program's levels and is required to ensure ownership and responsibility is correctly assigned.

A properly defined governance structure will provide the following benefits:

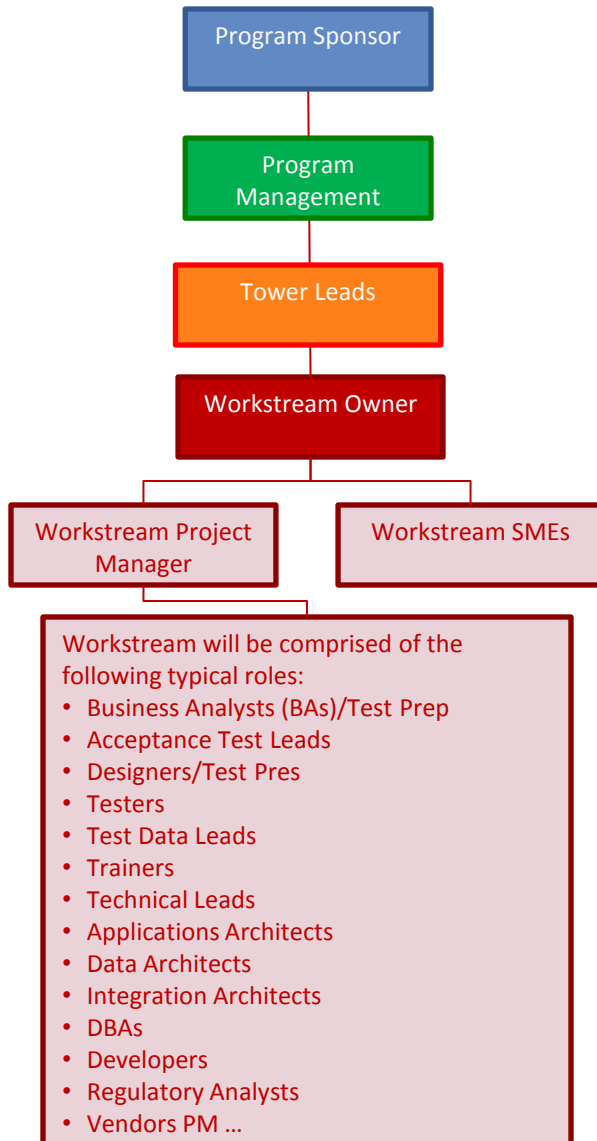
- Reduced ambiguity in roles and responsibilities.
- More timely and balanced decision making.
- Naturally balanced business outcomes with program budget and schedule targets.
- Facilitated knowledge transition.
- Increased ownership and acceptance of program/project outcomes.

Marketplace Leadership Organization (Design)



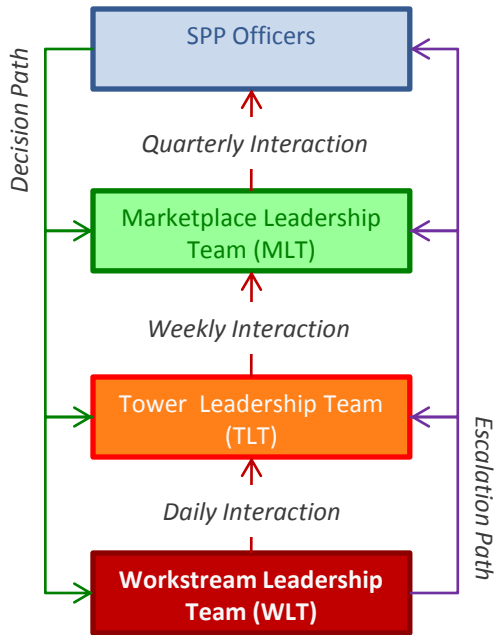
* (numbers) denote MLT escalation points

Marketplace Workstream Organization Model

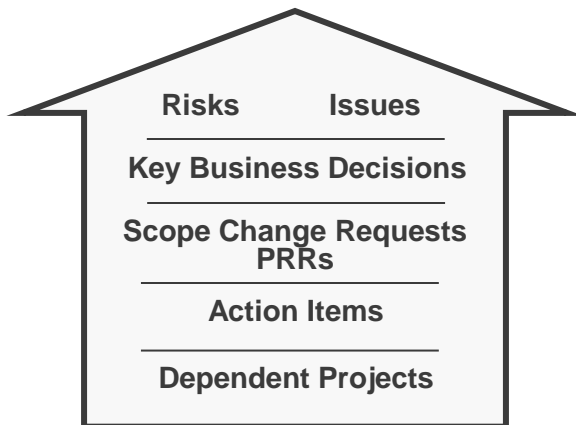


- ✓ **Program Management** is responsible for the program's overall delivery, based on the specified scope, schedule, and budget.
- ✓ **Tower Leads** serve as an escalation point for the workstreams and facilitate cross-workstream coordination and communications.
- ✓ **Workstream Owner** is responsible for delivering the workstream's capabilities on time, within budget, and to the defined scope.
- ✓ **Workstream Functional Leads/PM** is responsible for workstream execution and delivery of outcomes.
- ✓ **Workstream SMEs** work with Functional Leads to provide deep industry, system, and vendor expertise; assist with cross-tower and cross-workstream issues; and participate in scope-change analysis.
- ✓ **Workstream Roles** See Slides 18-21 for a complete list of roles and responsibilities.

Marketplace Program Escalation Routes



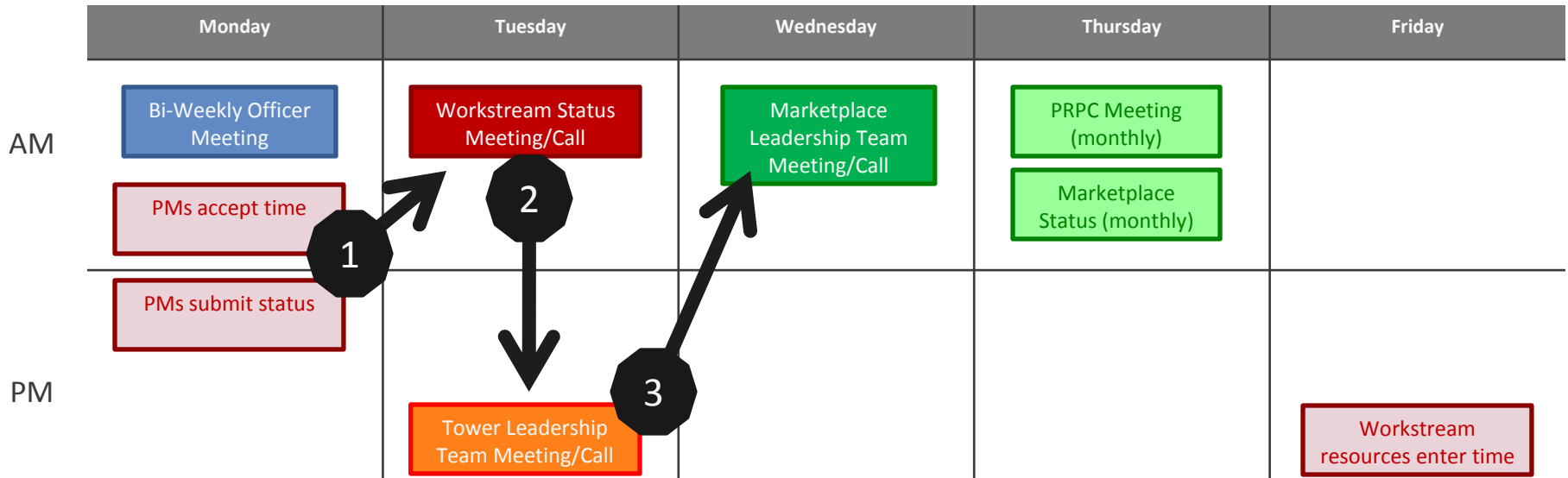
Moderated By	Purpose	Meeting Schedule
Bruce Rew, Program Sponsor	Communicate Marketplace Program status (schedule, budget), escalate issues requiring ESC action, and receive directional feedback from SPP Officers.	Quarterly, Monday (am)
Sam Ellis, Program Director	Address escalated actions items, key program decisions, risks, and issues	Wednesdays, 9a
Jeff Tar, Program Manager	Address action items, key program decisions, milestones, dependencies, risks, and issues	Tuesdays 3p
Tower Leads	Communicate deliverable status, identify issues affecting workstream progress and risks that could impact progress; identify escalation items	Tuesday morning



Marketplace Weekly Meeting Cadence

The Program follows the “Two-Meeting Rule” such that leads should only have to attend two status meetings:

- One where they *hear* status.
- One where they *escalate* issues, risks, actions items, etc.
- The following status meetings (Workstream Status, Tower Leadership Status, Marketplace Status) will alternate between face-to-face and conference call.



Marketplace Program Meetings (1 of 2)

Meeting	Host	Attendees	Purpose	Frequency	Inputs
Marketplace Leadership Team (MLT) Meeting	Sam Ellis, Program Director	<ul style="list-style-type: none"> Marketplace Leadership Team Bruce Rew (optional) 	Address escalated actions items, key program decisions, risks, and issues	Wednesdays, 9a	<ul style="list-style-type: none"> Key Decision Log Action Item Log Risk Log Issue Log Program Workplan
Tower Leadership Team (TLT) Meeting	Jeff Tar, Program Manager	<ul style="list-style-type: none"> Tower Leadership Team Sam Ellis (Optional) 	Address action items, key program decisions, milestones, dependencies, risks, and issues	Tuesdays, 3p	<ul style="list-style-type: none"> Key Decision Log Action Item Log Risk Log Issue Log Program Workplan
Workstream Leadership Team (TLT) Meeting	Tower Leads	<ul style="list-style-type: none"> Workstream Functional Leads/PMs Workstream Owners (optional) 	Address key program decisions, milestones, dependencies, risks, issues	Tuesday mornings	<ul style="list-style-type: none"> Key Decision Log Action Item Log Risk Log Issue Log Program Workplan
Workstream Status	Workstream Functional Leads	<ul style="list-style-type: none"> Workstream Functional Leads Vendor PMs Team members Workstream Owner (optional) 	<ul style="list-style-type: none"> Communicate progress & deliverable status Identify issues affecting workstream progress Raise risks that could impact progress Identify escalation items 	Daily Stand-ups with Status Report complete EOD Fridays	<ul style="list-style-type: none"> Workstream Scorecard Workstream Issue Log Workstream Risk Log Workstream Milestones & Dependencies Workstream Workplan
Marketplace Program Status	Jeff Tar, Program Manger	<ul style="list-style-type: none"> Workstream Functional Leads Workstream Owners SPP Organization Reps Vendor PMs 	Communicate Marketplace Program status	Monthly (week 1); Thursdays 1030a	<ul style="list-style-type: none"> Program Scorecard w/Program Status Package
Marketplace Change Control Board (CCB)	Marketplace PMO Lead	<ul style="list-style-type: none"> CCB Members SCR Owner 	Review new and existing Scope Change Requests (SCRs)	Varies by Phase	SCR Log

Marketplace Program Meetings (2 of 2)

Meeting	Host	Attendees	Purpose	Frequency	Inputs
SPP PRPC Meeting	Tom Carnes, SPP PMO Lead	<ul style="list-style-type: none"> • Directors • Functional Leads • Project Managers 	<ul style="list-style-type: none"> • Review status of existing programs and projects • Rank prospective programs and projects 	Mont (week 1) Thursdays, 815a	PRPC Project (Workstream) Status Reports
SPP Officers Meeting	Bruce Rew, Program Sponsor	<ul style="list-style-type: none"> • SPP Officers • Program Director • Program Manager (optional) 	<ul style="list-style-type: none"> • Communicate Marketplace Program status (schedule, budget) • Escalate items requiring ESC action • Officers to provide executive advise and direction to the Program Sponsor and Program Director 	Quarterly	<ul style="list-style-type: none"> • Program Scorecard w/Financials

Appendix A: Program Roles

The Marketplace Program organization includes the following governance roles necessary to deliver a set of business capabilities with considerations for process, technology, and people:

- Program Director
- Program Manager
- Marketplace Leadership Team (MLT)
- Tower Leadership Team (TLT)
 - Market System Tower Leads
 - Technology Tower Leads
 - Readiness, Training and Communications Tower Leads
 - Regulatory & Compliance Tower Leads
- Workstream Owner
- Workstream Project Manager
- Marketplace SMEs
- Marketplace Business Architect
- Marketplace Change Control Board (CCB)

Program Director & Program Manager

The Program Director and Program Manager are jointly responsible for:

- ✓ The program's overall delivery based on the specified scope, schedule, and budget.
- ✓ The program's functions and processes.

The Program Director (Sam Ellis) manages and communicates upward – to the Program Sponsor, SPP Officers, Board of Directors, and external stakeholders – to ensure that they have the necessary information to execute their roles.

The Program Manager (Jeff Tar) manages and communicates upward (as-needed) and downward to the Towers and Workstreams to ensure optimal execution of the overall program.

Marketplace Leadership Team

The Marketplace Leadership Team (MLT) is responsible for:

- ✓ Both a steering committee and a “driving” committee.
- ✓ Accountable for aspects of the program.
- ✓ Provide feedback and recommendation.
- ✓ Addressing escalated actions items, key program decisions, risks, and issues.
- ✓ The MLT is comprised of:
 - Sam Ellis (Chair)
 - Dianne Branch
 - Philip Bruich
 - Michael Desselle
 - Richard Dillon
 - Jim Gunnell
 - Jeff Tar
 - Reed Thornton

Tower Leadership Team

The Tower Leadership Team (TLT) serves as an escalation point for the Workstreams and facilitate cross-workstream coordination and communications.

- ✓ Market Systems:
 - Debbie James
 - Gina Pierson
- ✓ Technology:
 - Annette Holbert
 - Sebastien Galtier
- ✓ Readiness, Training and Communications:
 - Jodi Woods
 - Elizabeth Kwiatkowski
- Regulatory & Compliance:
 - Heather Starnes
 - Beth Miller
- Business Architects:
 - Richard Dillon
 - Wayne Camp

Market Systems Tower Leads

The Market Systems Tower Leads (Debbie James, Gina Pierson) are responsible for:

- ✓ Working with Functional Leads and vendors to design and test software configurations and customizations.
- ✓ Analyzing business process designs to identify integration requirements
- ✓ Facilitating design sessions with vendors and SPP IT.
- ✓ Collaborating with interfacing workstreams to ensure cross-workstream communication.
- ✓ Identifying and communicate any cross-workstream issues that affect other program areas.
- ✓ Validating requirements meet overall business process needs, are within the project scope, and are internally consistent.
- ✓ Participating in and executing quality management reviews.
- ✓ Provides status to the Program Manager.
- ✓ Reports to the Program Director.

Technology Tower Leads

The Technology Tower Leads (Annette Holbert, Sebastien Galtier) are responsible for:

- ✓ Leading and managing the Technology team members.
- ✓ Leading the application and technical architecture analysis, design, and implementation, and ensuring the product fulfills the requirements.
- ✓ Working with the Markets Systems tower to define technical requirements.
- ✓ Understanding the capabilities and limitations of the vendors' products.
- ✓ Leading the Technical Architecture analysis and ensuring the product(s) fulfills the requirements. When applicable, working with the solution architect.
- ✓ Creating an inventory of services and “black boxes” related to the Marketplace.
- ✓ Define the interaction and interfaces between services and “black boxes”.
- ✓ Reviewing application and technical architecture deliverables to ensure quality and requirement traceability.
- ✓ Identifying and communicating any cross-workstream issues that affect other program areas.
- ✓ Leading and directing the development of Technology Blueprint.
- ✓ Owning the design, build, and test of all technical architecture components/solutions (e.g., execution architecture solution, operations architecture solutions, and development architecture solutions).
- ✓ Validating design with the stakeholders to ensure the design satisfies the requirements.
- ✓ Provides status to the Program Manager.
- ✓ Reports to the Program Director.

Readiness, Training & Comms Tower Leads

The Readiness, Training, and Communications Leads (Jodi Woods, Elizabeth Kwiatkowski) are responsible for:

- ✓ Leading and managing the Readiness, Training, and Communications resources.
- ✓ Owning the readiness of “People, Processes, and Technology” for SPP and its members.
- ✓ Identifying and communicating any cross-workstream issues that affect other program areas.
- ✓ Validating requirements meet overall business process needs, are within the project scope, and are internally consistent.
- ✓ Participating in and executing quality management reviews.
- ✓ Provides status to the Program Manager.
- ✓ Reports to the Program Director.

Regulatory & Compliance Tower Leads

The Regulatory & Compliance Leads (Heather Starnes, Beth Miller) are responsible for:

- ✓ Leading and managing the regulatory, tariff, and compliance resources.
- ✓ Creating and managing filing of the Integrated Marketplace regulatory items, including updates to SPP Tariff based on markets protocols.
- ✓ Coordinating and analyzing the impact of future regulatory changes with the market design and any appropriate workstreams.
- ✓ Providing Integrated Marketplace training for regulatory employees.
- ✓ Communicating with federal and state regulatory entities and supporting the “Markets Readiness” workstream for regulatory matters.
- ✓ Identifying and communicating any cross-workstream issues that affect other program areas.
- ✓ Provides status to the Program Manager.
- ✓ Reports to the Program Director.

Workstream Owner

The Workstream Owners is responsible for:

- ✓ Delivering the Workstream's capabilities on time, within budget, and to the defined scope.
- ✓ Communicating the Workstream's objectives, scope, schedule, policies, and procedures to their workstream.
- ✓ Resolving Workstream Issues—escalating to the Program as needed.
- ✓ Mitigating Workstream Risks—escalating to the Program as needed.
- ✓ Identifying, with the Workstream Functional Leads, the Workstream's milestones and dependencies.
- ✓ Participating in regular Workstream Owner meetings to resolve and mitigate Program issues and risks.
- ✓ Reports to Tower Lead.

Workstream Project Manager

The Workstream Project Manager is responsible for:

- ✓ Ensuring deliverables created by the workstream are of high quality, add value, and contribute to the program's success.
- ✓ Using acceptable project-management practices and adhering to the processes instituted by the PMO to effectively plan and accomplish the work.
- ✓ Workstream execution and delivery of outcomes.
- ✓ Managing workstream scope and work plan.
- ✓ Facilitating communications, activities, and dependencies across enabling projects and dependent workstreams.
- ✓ Managing workstream Issues—escalating to the PMO as required.
- ✓ Managing workstream Risks and develops mitigation strategies—escalating to PMO as needed.
- ✓ Obtaining appropriate sign-off for deliverables.
- ✓ Managing workstream resources.
- ✓ Providing the actual and projected metrics through workstream-level reports.

Workstream SMEs

The Workstream SMEs are responsible for:

- ✓ Acting as an application architect, with responsibilities across all functional, business, and technical workstreams.
- ✓ Working with Functional Leads and vendors to design software configurations and customizations.
- ✓ Analyzing business process designs to identify integration requirements.
- ✓ Validating scope-change requests meet overall business process needs.
- ✓ Participating in and executing quality management reviews.
- ✓ Reports to the Program Director.

Marketplace Business Architect

The Marketplace Business Architect is responsible for:

- ✓ Acting as a marketplace solution architect with responsibilities across all towers (breadth) and workstreams (depth).
- ✓ Working with Workstream Functional Leads, Workstream SMEs, and vendors to design software configurations and customizations.
- ✓ Analyzing business process designs to identify integration requirements.
- ✓ Participating in and executing quality management reviews.
- ✓ Validating scope-change requests meet overall marketplace solution.
- ✓ Validating key business and program decisions align to Marketplace Design (protocols).
- ✓ Vetting key program and business decisions against industry best practices.
- ✓ Participating in Tower Leadership Meetings.
- ✓ Reports to the Program Director and Program Manager.

Marketplace Change Control Board (CCB)

The Marketplace CCB is responsible for:

- ✓ Ensure the impact of SCRs has been fully vetted.
- ✓ Approving SCRs that fit within the Integrated Marketplace budget and schedule.
- ✓ Recommending SCRs that require additional budget or impact schedules for approval to Program Director.
- ✓ Deferring SCRs to be included in future Integrated Marketplace releases.
- ✓ Rejecting SCRs that do not fit within the Integrated Marketplace scope and solution.
- ✓ Communicating SCR decisions to their organization.
- ✓ The CCB will be comprised of the following members, with additional members to be invited as needed:
 - ✓ Program Director
 - ✓ Program Manager
 - ✓ Tower Leadership Team
 - ✓ Marketplace Leadership Team
 - ✓ Project Managers and SMEs as needed