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Survey methodology

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Annotation

This document contains a description of the order of work execution on the survey stage and its stages, as well as a description of documentation of the results of the completed work.

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# General provisions

## Purpose of the document

This survey methodology (hereinafter referred to as the Methodology) describes the procedure for conducting the survey and the procedure and rules for documenting the results of the survey, adopted in the JSC "ХХХХХХННН".

The present Methodology, contains::

* description of works performed during the survey;
* description of survey methods;
* forms of document templates to be developed in the course of the survey.

## Scope of the document

The scope of the document applies to::

* participants of the project team of JSC "ХХХХХХХНННН", involved in the fulfillment of project works for the Customer, which include the performance of works on the stage "Survey".
* participants of the project team on the part of the Customer of the project works performed by the JSC "ХХХХХХХНННН" involved in the execution of the project works for the Customer, involved in the organization of the survey works, provision of necessary information, materials, organization of interviews, etc.
* employees of the Customer of project works engaged for conducting interviews, demonstration of functioning of the studied systems and infrastructure, documentation and processes of activity.

The document applies to the boundaries of the project works defined in the title project documentation between the Customer of the project works and JSC "ХХХХХХНННН", such as (for example):

* work contract
* terms of reference
* work order
* technical requirements for works, etc.

# Terms and definitions

Automated system - a system consisting of personnel and a set of means of automation of its activity, realizing the information technology of performance of the established functions

Information - information (messages, data) irrespective of the form of its presentation

Information system - a set of information contained in databases and information technologies and technical means ensuring its processing.

Information technologies - processes, methods of searching, collecting, storing, processing, providing, distributing information and ways of realization of such processes and methods.

Project - a set of interrelated activities aimed at creating a unique product or service under time and resource constraints.

Project team - a set of individuals, groups and organizations united in a temporary organizational structure to carry out project activities.

# Composition of works and methods of survey

Surveying is one of the most important stages of project works realization. Completeness of development of design documents depends on the success of this stage.

## Composition of works of the stage "Survey"

When performing the survey, the following works are distinguished::

1. formation of the plan-program of the survey;
2. formation of questionnaires / questionnaires for the survey;
3. formation of templates for documenting intermediate results;
4. conducting the survey and documenting intermediate results;
5. generation of a summary report on the survey.

A detailed description of the implementation of each of the above activities is given in Section 4 of this Methodology.

## Survey methods

The survey is conducted using the following methods:

1. interviewing (communication with the Customer's employees responsible for the performance of work in the surveyed area). Interviewing is conducted to collect detailed information on the surveyed area, to form a request to obtain for study the records and regulatory documents of the Customer;
2. study and analysis of the contractual base in terms of the subject area of the survey;
3. in terms of equipment survey / inventory - questionnaire survey (distribution of prepared questionnaire forms with subsequent analysis of the results of their completion). The survey is conducted to collect inventory information regarding the equipment used in the customer's subdivisions (servers, active network equipment, PCs / laptops);
4. in terms of software survey - use of toolkits (utilities, scripts). This toolkit is installed on the workstation allocated for the survey in the branch and by means of it the information necessary for the survey is collected on the software installed on PCs and servers subject to licensing;
5. in terms of IS issues survey - activity observation (observation of the performance of functions by employees of the surveyed units, for example, employees of business units when performing work functions). Observation is carried out in order to find out the compliance of the processes performed with those stated in the regulatory documentation and interviews with employees.
6. in terms of IS issues survey - examination of regulatory documents and records. The purpose of the survey is to determine the procedures and rules for execution of the processes approved by the Customer, established and adopted technical solutions, identification of records confirming the execution of procedures, processes and technical solutions in accordance with the established rules and procedures.

Studying the contractual framework is accomplished in two ways:

* by studying paper versions of contracts;
* by analyzing the electronic archive of contracts in the Customer's electronic document management system - \_\_\_\_\_\_\_\_.

The survey is conducted by means of directive mailing to the responsible participants of the project from the Customer's side, physically located in the subdivisions within the project boundaries, collection of information and its structuring in the format of the survey report.

The use of tools implies installation of utilities to conduct a face-to-face inventory of equipment and software used in the Customer's subdivisions, as well as running scripts (queries) in order to structure the collected information in the format of the survey report.

Interviewing is conducted in two ways::

* by means of communication with the Customer's employees: direct communication or negotiations (telephone, internet conferences, video conferences, etc.);
* by means of filling in detailed questionnaires by the Customer's employees.

Activity observation is an auxiliary survey method that complements the main types: interviewing and examination of documentation and records.

When conducting a survey, it is possible to combine several survey methods for one or more surveyed processes and/or areas.

It is not permissible to draw conclusions about the status of activity processes and/or systems functioning only if there are discrepancies identified by observation and not confirmed by interviews and/or documents and/or records obtained during the survey.

The specific survey method(s) shall be selected based on the specifics of the survey object and agreed with the Customer.

# Description of the procedure for conducting the survey

## Formation of the survey plan-program

The plan-program of the survey shall be developed by the participants of the project team of JSC "ХХХХХХХННН" and agreed with the representatives of the Customer's project office before the beginning of the survey.

The survey plan-program shall include:

1. Name of the task - the key works of the survey are highlighted. They are defined on the basis of the main objectives of the project works. The number of survey tasks may vary depending on the specifics of processes and organization of the Customer's business, the number and territorial distribution of surveyed offices and processes. It is recommended to group the tasks based on the specialists and employees of the Customer involved in the survey in order to minimize their disconnection from production;
2. Surveyed elements - a group of topics and directions for the survey shall be selected based on the key tasks of the survey. The selected topics are the basis for preparation of interview questionnaires or detailed questionnaires;
3. Names of requested documents and records - it is recommended to prescribe in the survey plan-program typical names of normative documents, during the survey to find out what exactly is the name of the document regulating the performance of necessary processes, and to request these documents for detailed study;
4. Names of surveyed units - it is recommended to specify the most common names of units, or describe the function for which the unit is responsible and which the unit is responsible for.
5. Timing of the survey - it is recommended to indicate the number of interviews and the estimated number of hours planned for the interviews, if different interviewing methods are used, it is recommended to indicate the expected method as well;
6. Name of the members of the project team of JSC "ХХХХХХХННН" participating in the survey of each task - it is recommended to distribute the duties of the project team members from the side of JSC "ХХХХХХННН" by stages of the survey depending on the area of knowledge, experience and qualification of each member of the project team.

An example of the Survey Plan-Program is given in Appendix A.

The number and duration of meetings specified in the Plan-program of the survey are indicative and should vary depending on the specifics of the object and processes of the Customer.

The survey plan-program is agreed with the management of the Customer's units involved in the survey, the Customer's employees and specialists involved in the interviews and the dates of the interviews are determined.

Coordination of the survey plan-program with the involved subdivisions, determination of the employees involved in the interview, organization of the interview is the responsibility of the Customer's project office.

## Formation of questionnaires/questionnaires for conducting the survey

Before starting the survey, after agreeing on the survey plan-program, the project office should prepare questionnaires to facilitate the interviews.

In case of organizing the interviewing with the help of questionnaires, it is recommended to use detailed questionnaires with introductory data for identification of the interviewee and details of the interview.

The use of detailed questionnaires is recommended only if there are remote offices and sites at the Customer's facilities and it is impossible to organize personal meetings.

Questionnaires / questionnaires should be prepared for each meeting, depending on its specifics (specified in the survey objects). Questions should be clearly formulated and should contain a minimum of closed answers (yes/no). The questions are grouped depending on the survey task and should cover the requirements of the project documentation.

## Conducting the survey and documenting intermediate results

Based on the survey plan and program agreed upon in the previous stages, the questionnaires should be prepared and adjusted.

If necessary, the number and duration of planned interviews, the composition of requested documents, the number of units to be surveyed and the composition of questions may be modified.

If appropriate, it is better to send the questionnaires to the surveyed units in advance for more thorough preparation.

At each stage of the survey, it is necessary to document the results immediately after the interviews in a certain section of the survey report, analyze the identified discrepancies, and form lists for requesting the necessary documents and supporting records. For more details on the design of the survey report, see Section 4.3.2.

### Interviewing

When conducting face-to-face interviews, project team members are encouraged to use:

* 1. Open-ended questions: What, Who, Why, When, How. Avoid questions with yes/no answers;
	2. "Expanding" questions: Develop the original topic;
	3. Opinion questions: Opinion about the topic under discussion;
	4. Non-verbal techniques: Gestures, facial expressions, etc...;
	5. Summarizing.

The results of the interview are recorded in the interview protocols (as agreed with the Customer) and sent to the interviewee for approval and confirmation of the reliability of this information. The agreed protocols are signed. The form of the interview protocol in which it is recommended to formalize the results of the interview is given in the appendix.

In order to increase the efficiency of the face-to-face survey and completeness of the collected information in the subdivision, it is recommended to involve representatives of the Customer's subdivision performing the following roles:

1. Head of IT/IS of the unit / branch;
2. Responsible for licensing and operation of paid software. 3;
3. Responsible for the operation of server equipment;
4. Responsible for the operation of the local network and communication channels;
5. Responsible for operation and maintenance of users' PCs;

### Analysis of contractual base

To implement the requirement of the ToR in terms of optimization of the company's license policy and minimization of risks associated with the Customer's license purity, the analysis of existing contracts for the purchase and renewal of licenses and software (licensed software and software copies), including technical support of licenses, for the needs of the company's production departments, IT department and IS service is carried out. Contracts can be submitted electronically through the electronic document management system or in paper form. The collected information is structured and consolidated to be added to the survey report.

### Questionnaire survey

For a part of the customer's facilities it is not foreseen to carry out a face-to-face survey. For such facilities it is supposed to carry out the survey by questionnaire. Questionnaires / questionnaires are sent to the responsible (according to the internal company order) representatives of the subdivisions in order for them to fill in these questionnaire forms. In some cases, scripts/requests for automated collection of information necessary for preparation of the survey report may be sent. Based on the results of the survey, the information is structured and consolidated into a survey report.

### Use of tools

To automate the process of collecting information about the software in use in the Customer's departments, it is intended to use automation tools. Such as:

1. Microsoft Software Inventory Analyzer. This is a free software from Microsoft company which is supposed to be installed for the needs of collecting information about the installed software.
2. Microsoft Assessment and Planning Toolkit. This software is used for agentless survey of an organization's IT infrastructure. For this application to work it is necessary to provide the ability to remotely run WMI queries.
3. FlexNet Licensing. This software is used to collect information about software licensing on the surveyed PCs and servers.
4. Powershell scripts, cmdlets and WMI queries.

To support the operation of the proposed toolkit, units should have a dedicated workstation with the features:

1. CPU of at least 1.5Hz and at least 2 cores
2. At least 4GB RAM
3. At least 1GB of free hard disk space
4. Network adapter with a connection to the internal network of the Customer's unit
5. Possibility to connect a USB-drive
6. OS not lower than Windows 7 SP1 x64
7. MS Office 2010 and higher,

Also, to carry out the work the Contractor must be allocated an account with local administrator rights on this workstation and domain user rights (in case of using the directory service). An account with user rights is required for the survey of Linux systems.

If necessary, additional authorizations are requested separately as a matter of routine.

## Formation of the survey report

The survey report is generated and completed as interviews are conducted and the Survey Plan is implemented.

Responsibility for the generation of the survey report is assigned to the technical manager or lead analyst on the project. The technical manager assigns responsibility for developing sections of the Survey Report depending on the workload and allocation recorded in the Survey Plan. Each member of the project team fills in the section assigned to him/her, the lead analyst/architect/technical project manager checks the compliance of the recorded information and conclusions made.

The descriptive part and conclusions of the Survey Report are necessarily based on confirmed interview protocols, analysis of regulatory documents, technical documentation and supporting records. All recorded data must be reproducible, verifiable and objective.

The survey report is the basic document for starting work on the development of basic design documents and solutions.

The fully assembled and proofread version of the Survey Report by the technical writer is agreed with the representatives of the Customer's organization involved in the survey and approved by the authorized representatives of the parties.

# List of recommended normative and technical documents

1. GOST 34.201-89 Information technology. Complex of standards for automated systems. Types, completeness and designation of documents when creating automated systems;
2. GOST 34.601-90 Information technology. Complex of standards for automated systems. Stages of creation.
3. GOST 7.32-2001 System of standards for information, librarianship and publishing. Report on research work. Structure and rules of execution
4. GOST R 54869-2011 Project Management. Requirements for project management.

List of symbols and abbreviations

|  |  |  |
| --- | --- | --- |
| Customer | – | ХХХХХХ LLC |
| IS | – | information system |
| IT | – | information technologies |
| Full name | – | Surname, first name, patronymic |
|  |  |  |
|  |  |  |

1. Survey Program Plan Form

**Survey design program**

**Survey design program**

**Purpose of the survey:**

**Survey Scope:**

1. ….
2. ….
3. ……

**Survey period:** <\_\_\_> calendar days

**Survey Location:**

The survey is conducted by a survey team consisting of:

| **Name of role in the project team** |
| --- |
| <Full name> <Role in the project team> |
| <Full name> <Role in the project team> |
| <Full name> <Role in the project team> |
| <Full name> <Role in the project team> |
| <Full name> <Role in the project team> |

The plan-program of the survey is presented in Table 1.

Table 1 - Plan-program of the survey

| **No. of task** | **Task** | **Survey elements/survey stages[[1]](#footnote-1)** | **Survey team representatives** | **Customer representatives[[2]](#footnote-2)** | **Requested and reviewed documents[[3]](#footnote-3)** | **Planned duration and number of interviews**  | **Date** |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | Interviews with representatives of <.....> | 1. …
2. …
3. ….
 | * <role>
 | * <function>
 | * <document>
 | <\_\_> interviews, duration of each interview - <\_\_> minutes | <date> |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
| n |  |  |  |  |  |  |  |
| **Survey Team Leader:** | **\_\_\_\_\_\_\_\_\_\_\_\_** | **<Full name>**  | **«\_\_\_»\_\_\_\_\_\_\_\_\_\_2016** |

1. Interview transcript form

|

| **Meeting Minutes №\_\_\_\_****<Name of Customer's organization>****<** **Project Name>** | **Page № of N pg.** |
| --- | --- |

**MEETING MINUTES №\_\_**

|  |  |
| --- | --- |
| **Project:** | **< Project Name>** |
| **Дата:** | **«\_\_».«\_\_».20\_\_** |

|  |  |
| --- | --- |
| **Participants XXXXXXNNNNN JSC****(Contractors)** | **Participants <Name of Client's organization >** **(Customer)** |
| 1. <Full name>
2. <Full name>
3. <Full name>
 | 1. <Full name>
2. <Full name>
3. <Full name>
 |

**MEETING RESULTS****<Recorded results of the interview, where appropriate, using: diagrams, charts, drawings. With obligatory indication of requested documents and records.>****As a result of the meeting, agreements were reached:****<Fill in and include in the minutes if agreements were reached as a result of the meeting, the fulfillment of which is necessary for the further successful implementation of the project. In the case of a normal interview, the section is not included in the minutes>****Contractor:****Client:****Data recorded correctly:****<position> \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ /** **Full name /****<position> \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ /** **Full name /** |

1. The sequence of survey steps given is indicative, discussed at the introductory meeting and may be modified during the survey process. [↑](#footnote-ref-1)
2. The names of units are tentative, necessary to reflect the nature of the functions performed. Correct names of units will be clarified during the survey. [↑](#footnote-ref-2)
3. The names of documents described are indicative and reflect the nature of the document requested. The correct name of documents will be clarified during the survey. The list of requested documents is indicative and may be adjusted and expanded during the survey. [↑](#footnote-ref-3)