STATE OF ALABAMA
OFFICE OF INFORMATION TECHNOLOGY

Policy 410: IT Project Initiation

VERSION NUMBER	Policy 410-02
VERSION DATE	October 1, 2017
POLICY TITLE	IT Project Initiation
OBJECTIVE	The objective of the IT Project Governance Policy is to maximize the return on IT investments by monitoring and minimizing risks, facilitating interagency goals, and ensuring interoperability and strategic alignment.
	The objective of this policy is to define the responsibilities of the Project Initiation Phase of an IT project and to give direction on how to fulfill those responsibilities.
AUTHORITY	The authority of the Secretary of Information Technology to create and enforce policies relating to Information Technology is derived from the following legislation:
	The Code of Alabama, Sections 41-28-1 through 41-28-8, (Acts 2013-68 and 2017-282)
APPLICABILITY AND SCOPE	The requirements and responsibilities defined in this policy apply to all departments, agencies, offices, boards, commissions, bureaus, and authorities, thereafter named "agency" and authorized individuals in the employment of the state responsible for the management, operation, or use of State IT resources.
	This policy shall not apply to counties, municipalities, the Alabama State Port Authority, or institutions of higher education governed by a separate board of trustees, unless these entities or institutions enter into cooperative agreements and/or contracts related to Information Technology efforts with the State, in which case they will be bound

by this policy and the standards implementing its application and enforcement.

This Policy applies to new and existing IT projects that meet the threshold as stated in the Threshold Standard documented in Standard 400S1.

STATEMENT
OF POLICY

This policy is designed to ensure that the appropriate processes are followed for the Project Initiation Phase of an IT project and the appropriate documents are presented to OIT for review, guidance and compliance.

OIT will determine whether information technology initiatives are compliant with the State's IT policies, standards and Strategic Plan during governance.

OIT will communicate compliance concerns or unresolved exceptions to the project sponsors and will work with agency leadership to develop solutions or corrective action plans.

AGENCY
RESPONSIBLITIES

Agencies are responsible for following the IT Governance process when engaging in the Project Initiation Phase of an IT Project.

Agencies must determine if a project meets the IT Project Governance Threshold as stated in Standard 400S1 – IT Project Governance Threshold. For projects that meet or exceed the threshold, agencies must complete Template 410T1 – Project Initiation Tool to determine the size of the project, whether Minor, Moderate, or Major.

During the Project Initiation Phase, agencies must submit the required documents, known as the Project Initiation Packet, consisting of a Project Request Form, a Business Case, and a Project Charter to OIT for review.

Agencies must apply to Secretary of Information Technology for a Waiver when an exception to the ITG process is requested.

OIT
RESPONSIBILITIES   The Office of Information Technology, under the authority of the Secretary of Information Technology, will disseminate IT Initiation Project standards, procedures, and guidelines.

OIT responsibilities during the Project Initiation Phase are, but not limited to, the list below:

- Ensure the Project Initiation Packet is reviewed for completeness and compliance.

- Ensure there is appropriate balance between costs, risks, long-term and short-term benefits.

- Respond to the agency if more information is needed.

- Determine if the size, scope, and complexity of the project necessitates OIT governance. If it does, then the agency will proceed to the OIT Planning Phase. If OIT governance is not needed, the IT project will be managed internally.

- If it is determined that the requested IT project does not meet the criteria for approval, contact the agency to develop potential solutions and corrective action plans.
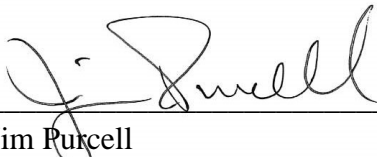
EFFECTIVE DATE   This Policy shall be effective upon its approval by the Secretary of Information Technology, as evidenced by the signature of the Secretary being affixed hereto.

SUPERSEDES   This Policy supersedes version, 410-01.

The undersigned, as Acting Secretary of Information Technology of the State of Alabama, exercising the power vested in that Office by the laws of this State, declares this Policy to be adopted as of the __1st_ day of _____October_____, 20_17__.

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Jim Purcell
Acting Secretary of Information Technology

DOCUMENT CHANGE HISTORY

Version	Release Date	Comments
410-01	April 12, 2016	Initial version
410-02	October 1, 2017	Updated version to incorporate changes to project sizing and new outputs of the Project Initiation Packet.