STATE OF ALABAMA
OFFICE OF INFORMATION TECHNOLOGY

Procedure 410P1:IT Project Initiation Phase

VERSION NUMBER	Procedure 410P1-02
VERSION DATE	October 1, 2017
PROCEDURE TITLE	IT Project Initiation Phase
GOVERNING POLICY	This procedure is governed by the current Policy 410 – IT Project Initiation, regardless of revision.
TERMS AND DEFINITIONS	Office of Information Technology (OIT) - formed through the passage of Senate Bill 117, to focus on the three statutory mandates: IT Strategic Planning, IT Governance, and IT Resource Utilization.
	Threshold – the minimum requirements for establishing OIT governance.
	Governance – the processes that ensure the effective and efficient use of IT in enabling an organization to achieve its goals
	Automated Project Portfolio Management Solution – the centralized management of the processes, methods, and technologies used to analyze and collectively manage current or proposed projects.
OBJECTIVE	The objective of this procedure is to help the agency provide OIT with enough knowledge about the requested project to determine if it aligns with OIT's strategic plan and standards.
PURPOSE	The purpose of this procedure is to provide detailed guidance for submitting a Project Initiation Packet to OIT for approval and governance.
SUPPORTING DOCUMENTS	The following documents support this Procedure:
	• Standard 400S1: IT Project Governance Threshold

- Procedure 410P2: Completing a Project Request Form
- Procedure 410P3: Completing a Business Case
- Procedure 410P4: IT Project Sizing
- Procedure 410P5: Waiver Process
- Procedure 410P6: Completing a Project Charter

EFFECTIVE DATE   This Procedure 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 Procedure supersedes version 410P1-01.

PROCEDURE   IT Project Initiation Phase

1.1   Inputs

The following inputs are necessary to successfully complete this procedure:

Template 410T1: Project Initiation Packet

1.2   Entry Criteria

The threshold as described in Standard 400S1: IT Project Governance Threshold must be met or exceeded.

1.3   Procedural Steps for Moderate and Major Project Size

1. If the project meets or exceeds the IT Project Governance Threshold as described in Standard 400S1, complete the appropriate Initiation Phase document(s).
2. Complete the Project Initiation Tool using Template 410T1.
3. The Project Initiation Tool will determine the size of the project.
4. Get Agency/Commissioner approval on Project Initiation Packet, including the Project Request Form, Business Case, and Project Charter.
5. Produce the EPMS Info Sheet from the Project Initiation Tool using Template 410T1 and enter the data into OIT's automated project portfolio management solution.
6. Submit Project Initiation Packet to OIT.
7. OIT reviews Project Initiation Packet.
8. OIT determines if more information is needed. If so, OIT responds to submitting agency requesting additional information.
9. If project is approved, OIT determines if it will be governed.
10. OIT notifies agency of project approval through the automated project portfolio management solution.
11. Agency proceeds to the Project Planning Phase.

1.4 Procedural Steps for Minor Project Size

1. If the project meets or exceeds the IT Project Visibility Threshold as described in Standard 400S1, complete the appropriate Initiation Phase document(s).
2. Enter the project information into OIT's automated project portfolio management solution.
3. Optional steps to assist in entering the correct information into OIT's automated project portfolio management solution:
   a. Complete the Project Information page of the Project Initiation Tool using Template 410T1.
   b. Produce the EPMS Info Sheeting using Template 410T1 to map the information entered into the Project Initiation Tool to OIT's automated project portfolio management solution.
4. Follow your agency's processes and procedures for the remainder of the project and ensure the information entered into OIT's automated project portfolio management solution is current and accurate.

2 Verification/Supporting Data

2.1 Output

For Moderate or Major projects, the following work products are a result of completing this procedure:

- Project Approval or possible notification that more information about the project is needed
- Possible notification to manage Project internally

For Minor, the following work products are a result of completing this procedure:

Confirmation from OIT indicating the project information was successfully entered into the automated project portfolio management solution.

2.2 Exit Criteria

At the conclusion of the procedure, the agency will have provided sufficient information to OIT for the IT Project to move on to the appropriate phase.

2.3 Responsibility/Authority

OIT has reviewed and approved this procedure and has the authority to ensure compliance with this procedure.

2.4 Deviation/Tailoring

No deviations or tailoring are permitted to this procedure. If deviations or tailoring are required, a request must be submitted to OIT.
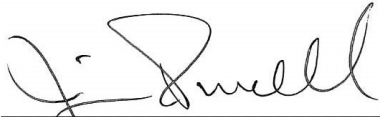
2.5 Related Procedures

The following procedures directly relate to this procedure:

- Procedure 410P2: Completing a Project Request Form

- Procedure 410P3: Completing a Business Case
- Procedure 410P4: IT Project Sizing
- Procedure 410P5: Waiver Process
- Procedure 410P6: Completing a Project Charter

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 Procedure to be available for adoption as of the___1st__day of _____October_____, 20_17__.

Jim Purcell
Acting Secretary of Information Technology

DOCUMENT CHANGE HISTORY

Version	Release Date	Comments
410P1-01	April 12, 2017	Initial version
410P1-02	October 1, 2017	Updated version to incorporate changes to project sizing, the Project Charter, and use of an automated project portfolio management solution.