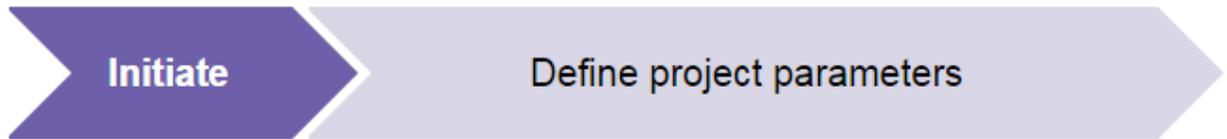




## Phase 1: INITIATE



INITIATE helps you start your project the right way. It's the first formal project phase.

This phase:

- Identifies and establishes project objectives, roles and outcomes.
- Creates a good foundation leads to project success.
- Generates agreement upon a vision of what is being undertaken.
- Ensures clarity on each group's roles and responsibilities.
- Establishes project and change management.
- Creates a quality environment for a successful outcome.

This phase formally defines foundational project deliverables. You can perform this work within the management structure of the sponsoring organization.

If your project continues to appear viable and likely to achieve the desired results once passes through the INITIATE Phase and moves to PLAN.

**Key Participants:** Sponsor, Project Manager, Organizational Change Manager, Steering Team. Stakeholder(s), Technical Unit, Business Unit, Procurement (as needed)

### Initiate Resources

- [1 Sponsor Checklist INITIATE](#) 
- [2 Phase 1 INITIATE General Guidance](#) 
- [3 Steering Committee Agenda Toolkit](#) 
- [4 Steering Committee Reference Template](#) 
- [5 Project Charter Template](#) 
- [6 Risk Issue Action Decision Tracker Toolkit](#) 
- [7 Project Plan Template](#) 
- [Impact Gathering Tool \(AEC\)](#) 
- [OCM ARCI Matrix \(AEC\)](#) 
- [OCM Metrics \(AEC\)](#) 
- [OCM Strategy outline \(AEC\)](#) 
- [OCM Workplan \(AEC\)](#) 



[RACI Tool](#)

[Resistance Management Worksheet \(AEC\)](#)

[Resource Estimation Toolkit](#)

[Sponsor Action Plan \(AEC\)](#)

[Sponsor Agreement \(AEC\)](#)

[Stakeholder Analysis Tool \(AEC\)](#)

[Stakeholder Register Toolkit](#)

[Steering Committee Basics, Composition and Management - Guidance for Sponsors and PMs](#)

[Steering Committee Purpose and Role - Guidance for Sponsors, PMs and Committee Members](#)

[Tracking Decision Latency Guidance](#)

## INITIATE Steps:

1. Review the [Sponsor Checklist INITIATE](#).
2. Review the [Phase 1 INITIATE General Guidance](#) to ensure familiarity with the process.
3. Develop the [Sponsor Roadmap \(Sponsor Action Plan\)](#). Also complete the [Sponsor Agreement](#) and the [Sponsor Action Plan](#).

The sponsor and change manager develop the roadmap to guide and plan sponsor actions over the life of the project.

4. Form a steering committee. Review the [Steering Committee Purpose and Role](#) and [Steering Committee Basics](#), and complete the [Steering Committee Reference](#) template.

Steering committees serve as an advisor to the sponsor or as the final authority for significant project decisions. The committee is selected by the sponsor and formed by the project manager.

Factors to be considered in forming the steering committee include the number of separate business entities or stakeholder groups, how the needs of the separate entities or groups are to be represented in the overall project approach, and the general size and complexity of the project.

The steering committee operating principles, along with meeting agendas and minutes, should be maintained as part of the project documentation.

The [Steering Committee Agenda](#) toolkit may be useful in developing agendas.

5. Discuss the vision statement with the steering committee to ensure broad acceptance of the project vision. Also discuss the [Business Case](#).



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This discussion, any amendments, and final acceptance should be documented and retained in the project repository.

Based on the discussion, update the [Business Case](#).

### 6. Complete the [Project Charter](#) template.

A charter is a formal document providing authority to the project manager to conduct a project within scope, quality, time, cost, and resource constraints as described in the document. The project manager, with the assistance of the sponsor, completes the charter, which is then approved by the steering committee.

### 7. Create the [RACI](#) matrix and the OCM RACI (called the [ARCI](#)).

The RACI matrix identifies the phases, lists the deliverables for each phase, and responsibilities (such as approver, signatory, responsible, or informed) of various stakeholders with respect to those deliverables. RACI is an acronym based on four key types of responsibilities that are described in the matrix: responsible, accountable, consulted, and informed.

The project manager, with the assistance of the sponsor, completes the RACI, which is then reviewed with the steering committee.

The [ARCI](#) is completed in parallel with the RACI by the organizational change manager. It focuses on the roles and responsibilities of the change management resources.

### 8. Complete the risk analysis in the [Risk Issue Action Decision Tracker](#) toolkit and the OCM [Impact Gathering](#) tool.

The risk tracker and associated analysis helps identify risks that are likely to affect the project and documents the characteristics of each risk. Risk analysis addresses both internal and external risks. It also documents the potential impact or consequences (tangible or intangible), either positive or negative, should the risk occur. Risks are usually categorized as high, medium, or low likelihood and impact.

The project manager and sponsor complete the first pass of the analysis and prepare the risk management plan and mitigation responses, while the organizational change manager prepares the impact analysis. The impact analysis influences the risk assessment and serves as the basis for developing components of the OCM strategy.

As risks materialize, they may be classified as issues and worked as part of the project plan. Good risk identification and management helps projects be more successful in completing on time, on budget and with the desired outcomes.



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### 9. Document known dependencies, constraints and assumptions.

Dependencies, constraints, and assumptions should be discussed with the project team. If material, they should also be discussed with the steering committee addressed in the project plan.

The project manager and sponsor document dependencies in the corresponding task in the project management software while constraints and assumptions may be included as added tabs or separate spreadsheets in a format like the risk register.

### 10. Discuss and review Tracking Decision Latency guidance.

Decision latency can have significant effect on project timelines. The sponsor, project manager and organizational change manager should review and discuss the guidance and the project manager should ensure that decision latency is tracked in the risk register.

### 11. Conduct a Stakeholder Analysis and document stakeholders in the Stakeholder Register.

The sponsor and organizational change manager conduct the stakeholder analysis. This analysis is used to help identify and ensure the inclusion of key stakeholder groups.

### 12. Complete the OCM Strategy outline and formalize the OCM Work Plan.

Using the risk and stakeholder information, as well as other project related documents, the organizational change manager completes the OCM strategy and Work Plan. These documents are reviewed with the sponsor and shared with the project manager.

Milestones from the OCM work plan are integrated into the overall project plan to ensure the project manager is aware of the major OCM deliverables and where they fall on the critical path.

### 13. Draft the initial Project Plan, starting with creating (or updating) a work breakdown structure (WBS).

Using known factors about the project and the standard project plan template, the project manager drafts the initial project plan, creating a work breakdown structure (WBS) and critical path.

1. The WBS is a depiction of the logical relationship between and among tasks in a project.
2. The critical path sequences activities that have the least amount of schedule flexibility (showing the shortest time to completion).



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The project manager and sponsor confer on the WBS and critical path and discuss it with the steering committee.

If the project team has been using Workfront, the Value Management Framework Project Plan may have been the template you used to create the project. If the team is using a different project management software, the project manager should import the steps in the template in to the project management tool so that key steps are not omitted.

### **14. Complete resource estimates using the [Resource Estimating](#) toolkit.**

Resource estimating is performed by the project manager. The Resource Estimating toolkit includes estimated costs for everything necessary to complete a project: hardware, software, personnel, consultants, facilities, etc. The projection is performed early in the project to provide a reference point but is refined (and discussed with the sponsor and steering committee) throughout the project.

The initial projections should be a rough order of magnitude with an expected deviation of +/-50%. At the conclusion of PLAN, this deviation should drop to around +/-20% and, after sourcing, should be within +/-10% of final costs. At the conclusion of PLAN, change orders are used to manage changes to cost, scope, and/or schedule.

### **15. Calculate the critical path in the project plan and begin to exercise project change control using the [change control management plan](#), [change request form](#), and [change request log template](#). Refer to [Managing Change Request Tips](#) for additional guidance.**

Generate and understand the critical path and include a pdf of the plan and critical path in the phase review information.

### **16. Complete the INITIATE phase review.**

The Initiate phase review is a formal examination of the INITIATE deliverables to ensure the foundation of the project has been established and the supporting information to promote advancement to the next phase is completed. The sponsor approves the required deliverables and the project manager submits the deliverables to agency governance for review.

At the completion of the INITIATE phase, approval to proceed by agency governance releases funding for the PLAN phase.