

Initiating Forms

1.0 INITIATING PROCESS GROUP

The purpose of the initiating process group is to authorize a project, provide a high-level definition of the project, and identify stakeholders. There are two processes in the initiating process group:

- Develop Project Charter
- Identify Stakeholders

The intent of the initiating process group is to at least:

- Authorize a project
- Identify project objectives
- Define the initial scope of the project
- Obtain organizational commitment
- Assign a project manager
- Identify project stakeholders

As the first processes in the project, the initiating processes are vital to starting a project effectively. These processes can be revisited throughout the project for validation and elaboration as needed.

The forms used to document initiating information include:

- Project Charter
- Stakeholder Register
- Stakeholder Analysis Matrix

These forms are consistent with the information in the *PMBOK® Guide*—Fifth Edition. Tailor them to meet the needs of your project by editing, combining, or revising them.

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1.1 PROJECT CHARTER

The project charter is a document that formally authorizes a project or phase. The project charter defines the reason for the project and assigns a project manager and his or her authority level for the project. The contents of the charter describe the project in high-level terms, such as:

- Project purpose or justification
- High-level project description
- High-level requirements
- Project objectives and related success criteria
- High-level risks
- Summary milestone schedule
- Summary budget
- Stakeholder list
- Project approval requirements
- Assigned project manager, responsibility, and authority level
- Name and authority of the sponsor or other person(s) authorizing the project charter

Use the information from your project to tailor the form to best meet your needs.
The project charter can receive information from:

- Agreements (contracts)
- Statements of work
- Business case

It provides information to:

- Stakeholder Register
- Project Management Plan
- Scope Management Plan
- Project Scope Statement
- Requirements Documentation
- Requirements Management Plan
- Requirements Traceability Matrix
- Schedule Management Plan
- Cost Management Plan
- Risk Management Plan

The project charter is an output from the process 4.1 Develop Project Charter in the *PMBOK® Guide*—Fifth Edition. You can use the element descriptions in Table 1.1 to assist you in developing a project charter.

TABLE 1.1 Elements of a Project Charter

Document Element	Description
Project purpose or justification	The reason the project is being undertaken. May refer to a business case, the organization's strategic plan, external factors, a contract agreement, or any other reason for performing the project.
High-level project description	A summary-level description of the project. May include information on high-level product and project deliverables as well as the approach to the project.

Document Element	Description
High-level requirements	The high-level conditions or capabilities that must be met to satisfy the purpose of the project. Describe the product features and functions that must be present to meet stakeholders' needs and expectations. This section does not describe the detailed requirements as those are covered in requirements documentation.
Project objectives and related success criteria	Project objectives are usually established for at least scope, schedule, and cost. Scope objectives describe the scope needed to achieve the planned benefits of the project. An example you could use for a fundraising 10K run is "The event will provide a 6.2 mile course, and raise \$1.2 million for the specified charity." Success criteria is the course that is certified as a 10K course and over \$1.2 million in collected pledges. Time objectives describe the goals for the timely completion of the project. For example, the run will take place in September of the current year. The success criteria is whether or not the run took place in September. Cost objectives describe the goals for project expenditures. An example is: "The cost for producing the run will not exceed \$100,000." Obviously the success criteria is determined by the total amount spent producing the event. There may be additional objectives as well. Some organizations include quality objectives, safety objectives, and stakeholder satisfaction objectives.
High-level risks	The initial risks at a project level, such as funding availability, new technology, or lack of resources.
Summary milestone schedule	Significant events in the project. Examples include the completion of key deliverables, the beginning or completion of a project phase, or product acceptance.
Summary budget	The estimated range of expenditures for the project.
Stakeholder list	A list of people who have an interest and an influence on the project success.
Project approval requirements	The criteria that must be met for the project to be accepted by the customer or sponsor.
Assigned project manager, responsibility, and authority level	The authority of the project manager with regard to staffing, budget management and variance, technical decisions, and conflict resolution. Examples of staffing authority include the power to hire, fire, discipline, and accept or not accept project staff. Budget management refers to the ability of the project manager to commit, manage, and control project funds. Variance refers to the variance levels that require escalation for approval or re-baselining. Technical decisions define or limit the authority of the project manager to make technical decisions about deliverables or the project approach. Conflict resolution defines the degree to which the project manager can resolve conflict within the team, within the organization, and with external stakeholders.
Name and authority of the sponsor or other person(s) authorizing the project charter	The name, position, and authority of the person who oversees the project manager for the purposes of the project. Common types of authority include the ability to approve changes, determine acceptable variance limits, impact inter-project conflicts, and champion the project at a senior management level.

PROJECT CHARTER

Project Title: _____

Project Sponsor: _____ Date Prepared: _____

Project Manager: _____ Project Customer: _____

Project Purpose or Justification:

Project Description:

High-Level Requirements:

High-Level Risks:

PROJECT CHARTER

Project Objectives	Success Criteria	Person Approving
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Scope:

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Time:

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Cost:

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Other:

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Summary Milestones	Due Date

PROJECT CHARTER

Estimated Budget:

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Stakeholder(s)	Role

Project Manager Authority Level

Staffing Decisions:

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Budget Management and Variance:

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PROJECT CHARTER

Technical Decisions:

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Conflict Resolution:

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Approvals:

Project Manager Signature

Sponsor or Originator Signature

Project Manager Name

Sponsor or Originator Name

Date

Date

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1.2 STAKEHOLDER REGISTER

The Stakeholder Register is used to identify those people and organizations impacted by the project and document relevant information about each stakeholder. Relevant information can include:

- Name
- Position in the organization
- Role in the project
- Contact information
- List of stakeholder's major requirements
- List of stakeholder's expectations
- Potential influence on the project
- A classification or categorization of each stakeholder

The Stakeholder Register is a dynamic project document. The stakeholders, their level of influence, requirements, and classification are likely to change throughout the project. Initially you will not have enough information to complete the register. As the project gets underway you will gain additional information and understanding about each stakeholder's requirements, expectations, and influence and the Stakeholder Register will become more robust.

Information in the Stakeholder Register should be tailored to meet the needs of the project. For example, some projects may have internal and external stakeholders while others may only have internal stakeholders. The following sample is just one approach to identifying and documenting stakeholder information.

The Stakeholder Register receives information from:

- Project charter
- Procurement documents

It is related to:

- Stakeholder Analysis Matrix

It provides information to:

- Requirements Documentation
- Quality Management Plan
- Communications Management Plan
- Risk Management Plan
- Risk Register
- Stakeholder Management Plan

The Stakeholder Register is an output from the process 13.1 Identify Stakeholders in the *PMBOK® Guide—Fifth Edition*

You can use the element descriptions in Table 1.2 to assist you in developing a Stakeholder Register.

TABLE 1.2 Elements of a Stakeholder Register

Document Element	Description
Name	Stakeholder's name. If you don't have a name you can substitute a position or organization until you have more information.
Position	The position the stakeholder holds in the organization or enterprise, for example, programmer, human resources analyst, or quality assurance specialist.
Role	The function the stakeholder performs on the project team, such as testing lead, scrum master, or scheduler.
Contact information	How to communicate with the stakeholder, such as their phone number, email address, or physical address.
Requirements	High-level needs for the project and/or product.
Expectations	Main expectations of the project and/or product.
Influence	The degree of influence the stakeholder has on the project. This can be a narrative description or high, medium, or low influence.
Classification	Some projects may categorize stakeholders as friend, foe, or neutral; others may classify them as high, medium, or low impact.

STAKEHOLDER REGISTER

Project Title: _____ Date Prepared: _____

Name	Position	Role	Contact Information	Requirements	Expectations	Influence	Classification

1.3 STAKEHOLDER ANALYSIS MATRIX

The Stakeholder Analysis Matrix is used to classify stakeholders. It can be used to help fill in the Stakeholder Register. The classifications of stakeholders can also be used to plan stakeholder engagement for groups of stakeholders.

The following example is used to assess the relative power (high or low) on one axis and the relative interest (high or low) on the other axis. There are many other ways to categorize stakeholders using a grid. Some examples include:

- Influence/impact
- Friend/foe

The needs of the project will determine if a Stakeholder Analysis Matrix will be helpful and, if so, what stakeholder aspects should be assessed. Use the information from your project to tailor the form to best meet your needs.

The Stakeholder Analysis Matrix receives information from:

- Project charter
- Procurement documents

It is related to:

- Stakeholder Register

The Stakeholder Analysis Matrix is a tool used in 13.1 Identify Stakeholders in the *PMBOK® Guide*—Fifth Edition.

STAKEHOLDER ANALYSIS MATRIX

Project Title: _____ Date Prepared: _____

Power		

Interest