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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
- Assumption log
- Stakeholder register
- Stakeholder analysis

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

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
- High-level project description
- Project boundaries
- Key deliverables
- High-level requirements
- Overall project risk
- Project objectives and related success criteria
- Summary milestone schedule
- Preapproved financial resources
- Key stakeholder list
- Project approval requirements
- Project exit criteria
- Assigned project manager, responsibility, and authority level
- Name and authority of the sponsor or other person(s) authorizing the project charter

The project charter can receive information from:

- Agreements (contracts)
- Statements of work
- Business case
- Benefits management plan

It provides information to:

- Stakeholder register
- Project management plan
- Scope management plan
- Requirements management plan
- Requirements documentation
- Requirements traceability matrix
- Project scope statement
- Schedule management plan
- Cost management plan
- Quality management plan
- Resource management plan
- Communications management plan
- Risk management plan
- Procurement management plan
- Stakeholder engagement plan

The project charter is an output from process 4.1 Develop Project Charter in the *PMBOK® Guide* – Sixth Edition. This document is developed once and is not usually changed unless there is a significant change in the environment, scope, schedule, resources, budget, or stakeholders.

Tailoring Tips

Consider the following tips to help you tailor the project charter to meet your needs:

- Combine the project charter with the project scope statement, especially if your project is small
- If you are doing the project under contract you can use the statement of work as the project charter in some cases

Alignment

The project charter should be aligned and consistent with the following documents:

- Business case
- Project scope statement
- Milestone schedule
- Budget
- Stakeholder register
- Risk register

Description

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	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.
Project boundaries	Limits to the project scope. May include scope exclusions, or other limitations.
Key deliverables	The high-level project and product deliverables. These will be further elaborated in the project scope statement.
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. These will be further elaborated in the requirements documentation.
Overall project risk	An assessment of the overall riskiness of the project. Overall risk can include the underlying political, social, economic, and technological volatility, uncertainty, complexity, and ambiguity. It pertains to the stakeholder exposure to variations in the project outcome.
Project objectives and related success criteria	Project objectives are usually established for at least scope, schedule, and cost. The success criteria identify the metrics or measurements that will be used to measure success. There may be additional objectives as well. Some organizations include quality, safety, and stakeholder satisfaction objectives.

(*continued*)

Table 1.1 Elements of a Project Charter (*continued*)

Document Element	Description
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.
Preapproved financial resources	The amount of funding available for the project. May include sources of funding and annual funding limits.
Key stakeholder list	An initial, high-level list of people or groups that have influenced or can influence project success, as well as those who are influenced by its success. This can be further elaborated in the stakeholder register.
Project exit criteria	The performance, metrics, conditions, or other measurements that must be met to conclude the project.
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, accept, or not accept project staff. Budget management refers to the authority of the project manager to commit, manage, and control project funds. Variance refers to the variance level that requires escalation. Technical decisions describe 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, resolve 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:

Project Boundaries:

Key Deliverables:

High-Level Requirements:

Overall Project Risk

PROJECT CHARTER

Project Objectives	Success Criteria

Scope:

Time:

Cost:

Other:

Summary Milestones	Due Date

PROJECT CHARTER

Preapproved Financial Resources:

Stakeholder(s)	Role

Project Exit Criteria:

Project Manager Authority Level:

Staffing Decisions:

Budget Management and Variance:

PROJECT CHARTER

Technical Decisions:

Conflict Resolution:

Sponsor Authority:

Approvals:

Project Manager Signature	Sponsor or Originator Signature
Project Manager Name	Sponsor or Originator Name
Date	Date

1.2 ASSUMPTION LOG

Assumptions are factors in the planning process that are considered to be true, real, or certain, without proof or demonstration. Constraints are also documented in this log. Constraints are limiting factors that affect the execution of the project. Typical constraints include a predetermined budget or fixed milestones for deliverables. Information in the assumption log includes:

- Identifier
- Category
- Assumption or constraint
- Responsible party
- Due date
- Actions
- Status
- Comments

Assumptions can come from any document in the project. They can also be determined by the project team. Constraints may be documented in the project charter and are determined by the customer, sponsor, or regulatory agencies.

The assumption log provides information to:

- Requirements documentation
- Project scope statement
- Network diagram
- Duration estimates
- Project schedule
- Quality management plan
- Resource estimates
- Risk register
- Stakeholder engagement plan

The assumption log is an output from the process 4.1 Develop Project Charter in the *PMBOK® Guide* – Sixth Edition. This log is a dynamic document that is updated throughout the project. Assumptions are progressively elaborated throughout the project and are eventually validated and no longer assumptions.

Tailoring Tips

Consider the following tips to help you tailor the assumption log to meet your needs:

- Combine the assumption log with the issue register and the decision log, to create an AID Log (A = assumption, I = issue, D = decision). You can create them in a spreadsheet with each sheet dedicated to either assumptions, issues, or decisions.
- If you have a very large project you may want to keep the constraints in a separate log from the assumptions.

Alignment

The assumption log should be aligned and consistent with the following documents:

- Project charter
- Issue log
- Risk register

Description

You can use the element descriptions in Table 1.2 to assist you in developing the assumption log.

TABLE 1.2 Elements of an Assumption Log

Document Element	Description
ID	Identifier
Category	The category of the assumption or constraint
Assumption/constraint	A description of the assumption or constraint
Responsible party	The person who is tasked with following up on the assumption to validate if it is true or not
Due date	The date by which the assumption needs to be validated
Actions	Actions that need to be taken to validate assumptions
Status	The status of the assumptions, such as active, transferred, or closed
Comments	Any additional information regarding the assumption or constraint

ASSUMPTION LOG

Project Title: _____ Date Prepared: _____

ID	Category	Assumption/Constraint	Responsible Party	Due Date	Actions	Status	Comments

1.3 STAKEHOLDER REGISTER

The stakeholder register is used to identify those people and organizations impacted by the project and to 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
- Classification of each stakeholder

Initially you will not have enough information to complete the stakeholder register. As the project gets underway you will gain additional information and understanding about each stakeholder's requirements, expectations, and classification and the stakeholder register will become more robust.

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 engagement plan

The stakeholder register is an output from the process 13.1 Identify Stakeholders in the *PMBOK® Guide* – Sixth Edition. The stakeholder register is a dynamic project document. The stakeholders, their level of influence, requirements, and classification are likely to change throughout the project.

Tailoring Tips

Consider the following tips to help you tailor the stakeholder register to meet your needs:

- Combine the position in the organization with the role on the project, especially if it is a smaller project and everyone knows everyone else's position.
- Combine the stakeholder analysis matrix information with the stakeholder register.
- Eliminate position, role, and contact information for small internal projects.

Alignment

The stakeholder register should be aligned and consistent with the following documents:

- Project charter
- Stakeholder analysis matrix
- Stakeholder engagement plan

Description

You can use the element descriptions in Table 1.3 to assist you in developing the stakeholder register.

TABLE 1.3 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/Role	The position and/or role the stakeholder holds in the organization. Examples of positions include programmer, human resources analyst, or quality assurance specialist. Roles indicate 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
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	Classification

1.4 STAKEHOLDER ANALYSIS

Stakeholder analysis is used to classify stakeholders. It can be used to help fill in the stakeholder register. Analyzing stakeholders can also help in planning stakeholder engagement for groups of stakeholders.

The following example is used to assess the relative power (high or low), the relative interest (high or low), and the attitude (friend or foe). There are many other ways to categorize stakeholders. Some examples include:

- Influence/impact
- Power/urgency/legitimacy

Stakeholder analysis receives information from:

- Project charter
- Procurement documents

Stakeholder analysis is a tool used in 13.1 Identify Stakeholders in the *PMBOK® Guide* – Sixth Edition.

Tailoring Tips

Consider the following tips to help you tailor the stakeholder analysis to meet your needs:

- For projects with relatively homogenous stakeholders you can use a 2 × 2 grid that only considers two variables, such as interest and influence.
- For larger projects consider using a 3 × 3 stakeholder cube. Tailor the categories to reflect the importance of various stakeholder variables.

Alignment

The stakeholder analysis should be aligned and consistent with the following documents:

- Stakeholder register
- Stakeholder engagement plan

Description

You can use the element descriptions in Table 1.4 to assist you in developing a stakeholder analysis.

TABLE 1.4 Stakeholder Analysis

Document Element	Description
Name or role	The stakeholder name, organization, or group
Interest	The level of concern the stakeholder has for the project
Influence	The degree to which the stakeholder can drive or influence outcomes for the project
Attitude	The degree to which the stakeholder supports the project

STAKEHOLDER ANALYSIS

Project Title: _____ Date Prepared: _____

Name or Role	Interest	Influence	Attitude