

Process Description

Project Initiation

Version 1.0, Updated 12/15/03

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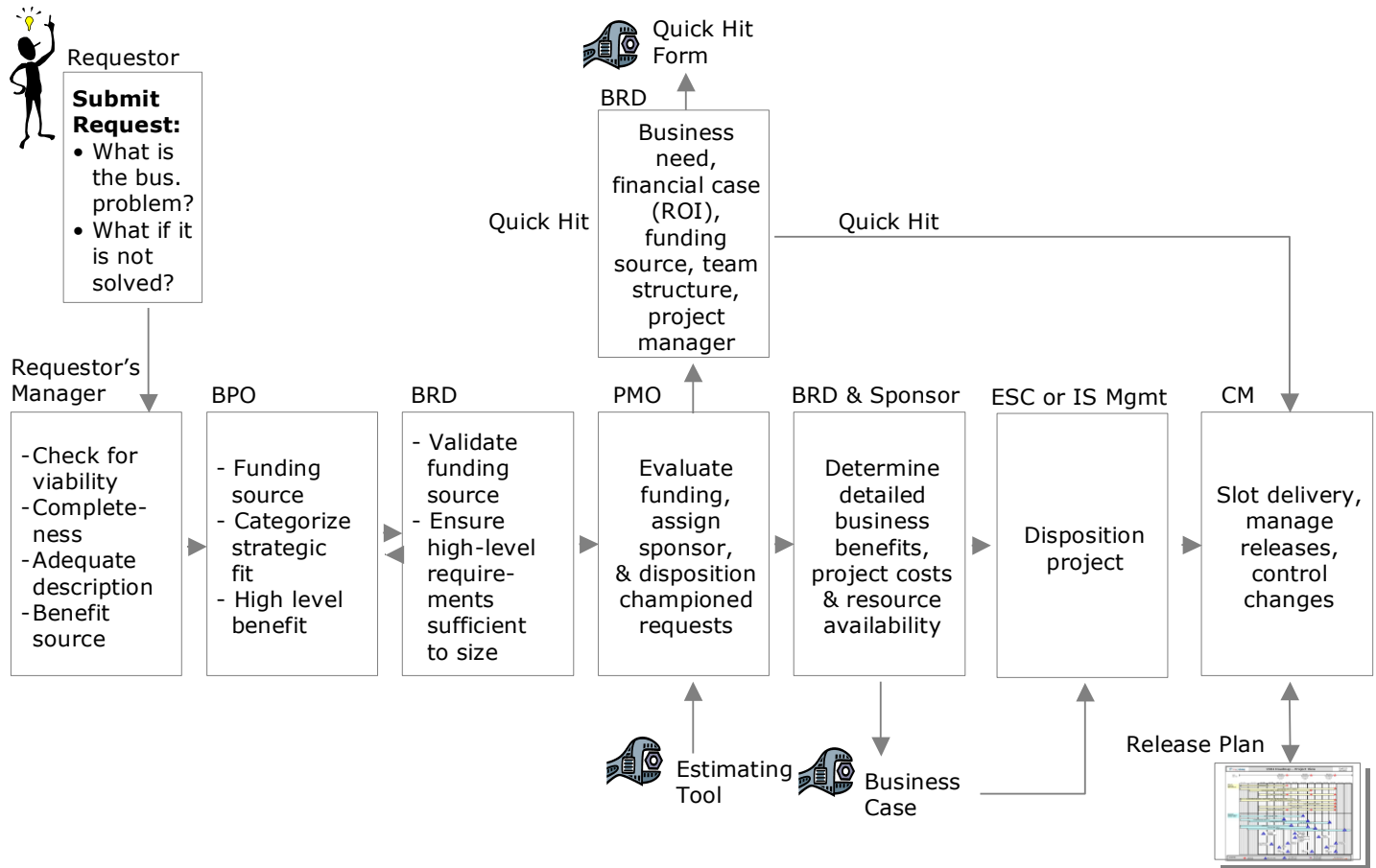
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Process Flow



Process Responsibilities Matrix

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	DISCOVER	CHAMPION	ENDORSE	INSIGHT	DEFINE (Bus. Case)	APPROVAL	PRIORITIZE
What	User submits request, Manager approves	BPO approves	- BRM works with BPO/requestor to define better requirements - Weekly review by BRMs to filter requests for Insight	- BRM works with Delivery Managers to define high level cost and effort - Weekly review with Delivery Managers to determine resource availability	- BRM works with business to support development of Benefits for Business Case - BRM works with delivery teams to get to Cost Estimate for Business Case	- N/A for quick hit - Appropriate management body approves	Change Management works with BRMs/PMO/ Delivery Teams to queue/prioritize
Who *							
Project Mgmt						D	A
BRD's/ BRM's			R	R	S	D	A
Change Mgmt				D	D	D	R
Service Delivery			D	D	D	D	A
Dev. Services			D	D	D	D	A
Other	R: User S: User's Manager	S: Business Process Owner (BPO)		D: SQAT	D: SQAT R: Business Process Owner (BPO)	R: IS Leadership Council (or ESC for cross-functional projects)	A: SQAT S: Business Process Owner (BPO)
Tools	Request Central (ISR form - interim solution)	Request Central (interim solution - ISR form managed by BRM)	- Endorsement Decision Tree - Quick Hit Evaluation Criteria - Informal Networking	Insight Assessment Form	- N/A for quick hit - Business Case (short and long form)	- N/A for quick hit - Business Case Assessment - Project Portfolio	- Project Roadmap - Resourcing Model - Release Plan
Output	New Request is in Request Central (interim solution - ISR form managed by BRM)	New request approved for "Endorse" step or Denied	New request endorsed for Insight or Returned to BPO for further review	- Quick Hit action plan - Continued Research - Project ROM - Business Case ROM	- N/A for quick hit - Completed Business Case containing Business Need, Financial Measures (ROI), Funding Source, Team Structure, Cost Estimates	- N/A for quick hit - Approved projects list (updated Project Portfolio)	- New request approved for Execute phase or Deferred - PM assignment - Scheduled in Release
Decision Point	Is this approved by Manager?	Is this championed by the BPO?	Is this endorsed by the BRM?	- Is this a quick hit? - Can a ROM be provided real-time? - More information required?	N/A	- N/A for quick hit - What are the relative priorities for approved projects?	Does BPO accept schedule?
Meetings			- Weekly BRM meeting (filter new requests) - Owned by BRDs collectively	- Weekly "Insight" meetings (gather ROM for Endorsed requests) - Owned by Project Office		- IS Leadership Counsel - Executive Steering Committee	- Regular "Prioritization" meetings to rank order new requests, break/fix, and routine requests - Owned by Change Mgmt

*** Responsibilities:** R: Primary Responsibility; S: Sign-off or Approve; D: Discuss, Consult or Provide input to; A: Agree to; C: Copy (keep informed)

Discover Process

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Process Trigger

Recognition of a business need or opportunity.

What

Business user submits a request, and the requestor's manager approves.

Goal/Purpose

To identify exactly what the business problem is that needs to be solved, or what business opportunity is available. To clarify what the impact is if the request is not fulfilled.

Scope

Addresses all business needs related to the area in question.

Who

Owner with Primary Responsibility

The business user: Submits the request.

Other Actors & Responsibilities

The requestor's manager: Approves the request.

Tools

IS Request Central (or ISR System for requests already in the pipeline).

Outputs

An ISRC ticket approved by the requestor's manager.

Decision Points

Is the request approved by the requester's manager?

Meetings

None.

Preconditions/Entry Criteria

Not applicable.

Steps/Scenario

1. Requestor identifies need, and submits request specifying all details.
2. Manager checks the request for viability, completeness, and adequateness of the description, and verifies that there would be a funding source available if the request is fulfilled.

Variations & Exceptions

Requests that are not viable, incomplete, inadequately defined, or for which there is no funding source are not approved by the manager. The ISRC system requires reasons to be documented when a request is denied.

Exit Criteria (Success)

An IS Request Central ticket is entered and approved.

Exit Criteria (Failure)

N/A.

Key Metrics/Quality Standards

The Service Level Agreements for the IS Request Central process have yet to be defined.

Champion Process

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Process Trigger

An ISRC ticket approved by the requestor's manager.

What

The appropriate business process owner (BPO) approves the request.

Goal/Purpose

To ensure that the request aligns with the business unit's goals and priorities, and to certify that the business unit is willing and able to support the implementation of the request with all necessary resources.

Scope

BPO approval authorizes IS to spend the resources necessary to carry this request through the project initiation process to step 6, Approval. The Business Case, including detailed project estimates, will be developed during this time, and the step 6 Approval must still occur before the project is started.

Who

Owner with Primary Responsibility

The business process owner (BPO): Approves the request.

Other Actors & Responsibilities

The requestor & the requestor's manager: Provides additional details as needed.

Tools

IS Request Central (or ISR System for requests already in the pipeline).

Outputs

An ISRC ticket approved by the BPO.

Decision Points

Is the request championed by the BPO?

Meetings

None.

Preconditions/Entry Criteria

Not applicable.

Steps/Scenario

1. BPO reviews request, soliciting any additional data from the requestor.
2. BPO ensures that the request aligns with business unit and organizational priorities, and is appropriate for pursuing at this time.
3. BPO assesses potential business benefit to ensure that the request justifies pursuing.
4. BPO approves the request.

Variations & Exceptions

Requests that are not likely to be acted upon in the upcoming 1–1.5 years are not approved. The ISRC system requires reasons to be documented when a request is denied.

Exit Criteria (Success)

An IS Request Central ticket approved.

Exit Criteria (Failure)

N/A.

Key Metrics/Quality Standards

The Service Level Agreements for the IS Request Central process have yet to be defined.

Process Trigger

An ISRC ticket approved by the BPO.

What

Business relationship managers (BRM's) or directors (BRD's) work with the BPO and requestors to better define the requirements. IS groups (BRM, EUS and EDS) review requests from a technical perspective and prepare them for the Insight step.

Goal/Purpose

To provide a gross thumb-nail estimate on IS resources needed for the request, and to determine which of the requests are appropriate for moving forward to the Insight process.

Scope

For each BPO-approved request, high-level areas are reviewed such as strategic alignment, overall risk, and potential payback.

Who

Owner with Primary Responsibility

BRM's and BRD's: Assess all requests.

Other Actors & Responsibilities

EUS and EDS: Provide input as requested.

Tools

Endorsement Decision Tree ([see](#)).

- Strategic Alignment, Payback Period, Risk

Driving Factors Checklist ([see](#)).

- Strategic Initiative, Legal or Mandatory, Revenue Generation
- Improves service to Stores, Customers
- Business Simplification, Process Improvement
- Competitive Advantage, Future Opportunities
- Align with COMPANY/IS Strengths

Informal networking.

Outputs

Highest-priority requests forwarded to the Insight process.

Decision Points

Are the requests championed by the BRD's?

Meetings

Weekly meeting to assess requests (meeting process owned by BRD's collectively).

Preconditions/Entry Criteria

Not applicable.

Steps/Scenario

1. BRD's complete the Driving Factors Checklist with the appropriate business personnel.
2. BRD's assess all requests against the Endorsement Decision Tree to categorize requests according to urgency.

Variations & Exceptions

Requests that appear to be low priority are returned to the BPO with appropriate discussion.

Exit Criteria (Success)

Assessed and categorized requests are forwarded to the Insight process.

Exit Criteria (Failure)

N/A.

Key Metrics/Quality Standards

None.



Process Trigger

Highest-priority requests forwarded from the Endorse process.

What

BRD's/BRM's work with Delivery Managers to define high-level costs, risks and complexity. Requests are reviewed weekly to identify Quick Hits, and to determine resource availability.

Goal/Purpose

From an IS-perspective, to provide insight into the request details, and the possible project solution.

Scope

Addresses questions such as project costs, risks, constraints, and resource availability.

Who

Owner with Primary Responsibility

BRM's/BRD's: Present the requests.

Other Actors & Responsibilities

Service Delivery Manager: Provide insight into the request solution.

Project Office: Coordinate weekly meetings.

Tools

Restraining Factors Checklist ([see](#)).

- Costs, Risks, Constraints

Quick Hit Evaluation Criteria ([see](#)).

- Project Size, Simplicity, Clarity

Outputs

Depending on the specific project, one of more of the following:

- Quick Hit Action Plan
- Continued research
- Project ROM
- ROM for Business Case Development

Decision Points

Is the request a Quick Hit?

Can the ROM be provided in real-time?

Is more information required?

Meetings

None.

Preconditions/Entry Criteria

Not applicable.

Steps/Scenario

1. BRD's/BRM's document and present requests.
2. Service Delivery Managers provide insight into on the Quick Hit Evaluation Criteria, and the Restraining Factors Checklist.
3. Next steps are assigned for each request.
4. Conclusions are documented on Project Initiation Planning tool ([screenshot](#), [Link to tool](#)).

Variations & Exceptions

Request that are determined to be Quick Hits take an expedited route to the Prioritization step. They will prepare a Quick Hit form as opposed to a Business Case.

Requests for some large projects, such as those requiring a proof-of-concept, may be implemented as 2 distinct phases. The first phase, for scoping or investigative work, may require a ROM to be completed just for the development of its Business Case. Later, if the 1st phase demonstrates that the 2nd phase is warranted, a project ROM will be developed for that phase of the project.

Exit Criteria (Success)

(See Outputs.)

Exit Criteria (Failure)

N/A.

Key Metrics/Quality Standards

The Service Level Agreements for the IS Request Central process have yet to be defined.

Define Process (Business Case)

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Process Trigger

Requests surviving the insight step that are not Quick Hits.

What

BRM's work with the business to determine business benefits, and with delivery teams to estimate costs. BPO prepares Business Case (BC) for project.

Goal/Purpose

To estimate project costs and benefits, and perform standard financial analyses for the project. To document on the standard Business Case, the detailed business need, funding, team structure and estimates.

Scope

Addresses all questions on the standard TDS Business Case.

Who

Owner with Primary Responsibility

The BPO. Prepares the Business Case.

Other Actors & Responsibilities

BRM's: Coordinates the process of Business Case development, and approves it after development.

Other IS Groups (Service Delivery, Change Management, EDS, SQA): Discuss, consult, or provide input, as requested.

Tools

Standard TDS Business Case ([see](#)).

Outputs

Completed Business Case.

Decision Points

None.

Meetings

None.

Preconditions/Entry Criteria

Not applicable.

Steps/Scenario

1. With BRM support, BPO completes the Business Case.

Variations & Exceptions

Depending on the size of the project, there is both a long and a short form of Business Case.

Exit Criteria (Success)

Completed Business Case.

Exit Criteria (Failure)

N/A.

Key Metrics/Quality Standards

TBD.

Approval Process

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Process Trigger

Completed Business Case for projects surviving the insight step and that are not Quick Hits.

What

The appropriate management body reviews and approves the Business Case, in light of the currently active and near-term projects.

Goal/Purpose

To gain management input and approvals for new projects, with appropriate guidance on how the new projects factor into the current project portfolio.

Scope

All new Business Cases are reviewed, and assessed relative to all projects in the portfolio.

Who

Owner with Primary Responsibility

IS Leadership Council, or Executive Steering Committee: Reviews the Business Cases, sets priorities.

Other Actors & Responsibilities

All IS Areas, as needed: Provides additional information as requested.

Tools

Business Case Assessment (TBD).

Project Portfolio (TBD).

Outputs

Updated Project Portfolio.

Decision Points

What are the relative priorities for approved projects?

Meetings

None.

Preconditions/Entry Criteria

Not applicable.

Steps/Scenario

1. Management reviews new Business Cases, approves them and assigns relative priority rankings.
2. Project Office updates the Project Portfolio.

Variations & Exceptions

Rationale for Business Cases that are denied will be documented for future reference.

Exit Criteria (Success)

N/A.

Exit Criteria (Failure)

N/A.

Key Metrics/Quality Standards

TBD.

Prioritize Process

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Process Trigger

Approved Business Cases or Quick Hit forms.

What

Change Management works with other IS groups to fit the approved project into the installation schedule at the most opportune point.

Goal/Purpose

To ensure that projects are delivered as soon as possible, with a minimum of disruption on other projects or installs.

Scope

Addresses all scheduled and upcoming installs.

Who

Owner with Primary Responsibility

Change Management: Coordinates the slotting of new installs into the production install calendar.

Other Actors & Responsibilities

BPO: Approves the planned schedule.

All Other Affected IS Groups: Agree to the planned schedule.

Tools

Project RoadMap.

Resourcing Models.

Release Plan.

Outputs

Updated install calendar accommodating new projects.

Decision Points

Does the BPO approve the new schedule?

Meetings

Regular Prioritization meetings to manage the calendar (owned by Change Management).

Preconditions/Entry Criteria

Not applicable.

Steps/Scenario

1. Project Manager submits request.
2. Change Management negotiates and balances all requests against the existing schedule. They communicate the plans and elicit the necessary agreements and approvals.

Variations & Exceptions

Projects that cannot be slotted into the calendar to everyone's satisfaction may be deferred or escalated to appropriate level management.

Exit Criteria (Success)

Updated installation calendar.

Exit Criteria (Failure)

N/A.

Key Metrics/Quality Standards

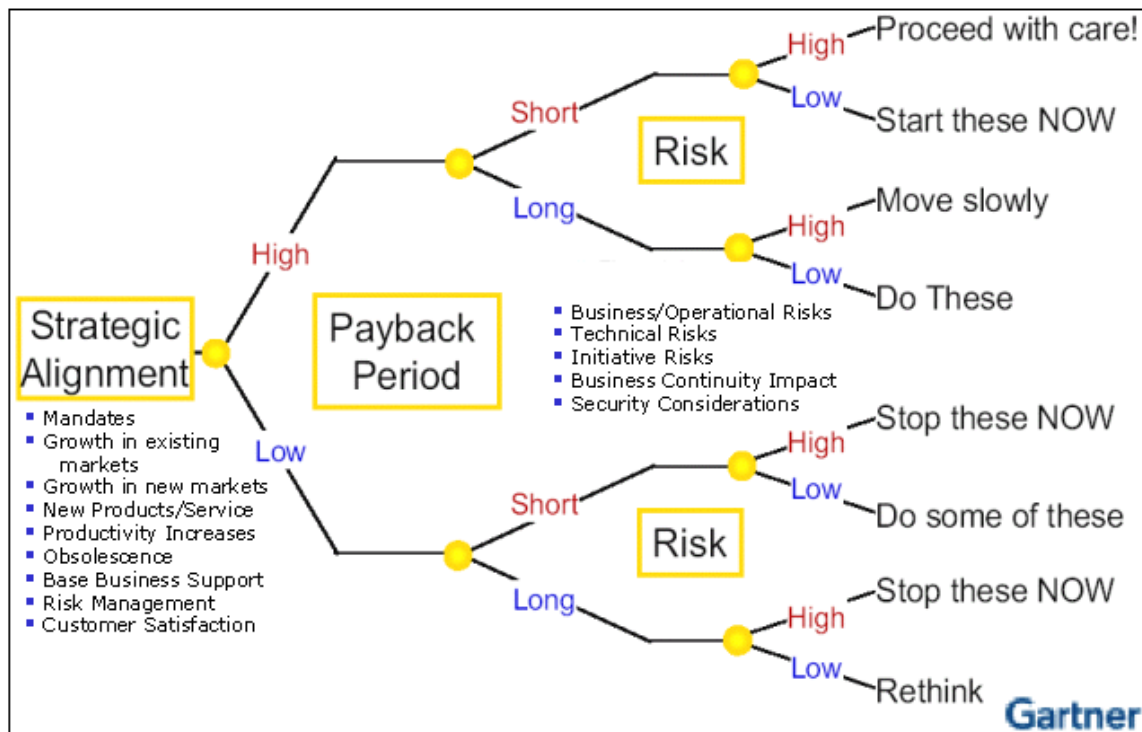
TBD.

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Tools

Endorsement Decision Tree

The following decision tree (from GartnerGroup) depicts the high-level decision process used early in the Endorse step. Note that the 3 decision points are binary (yes/no) to facilitate quick decision making.



Endorsement Driving Factors

The following table lays out the factors and assessment scale for the driving, business factors that make a given request valuable to COMPANY.

Driving Factors	Assessment Scale			
	0	1	2	3
Strategic Initiative	Not related	Some support for strategy	Strong support for strategy	Is a strategic project
Legal or Mandatory	No			Yes
Revenue Generation	No impact on revenue	Some impact on revenue	Moderate impact	Major impact on revenue
Improved Services to Stores	Negligible or no impact	Some improvement	Significant improvement	Unbelievable improvement
Improved Service to Customers	Negligible or no impact	Some improvement	Significant improvement	Unbelievable improvement
Business Simplification / Process Improvement	Negligible or no impact	Some improvement	Significant improvement	Unbelievable improvement
Competitive Advantage	Negligible or no impact	Some competitive advantage	Significant advantage	Great advantage
Positioning for Future Strategy & Opportunities	Not applicable	Provides minor positioning	Provides some positioning	Provides strong positioning
Align with COMPANY Business & Technical Strengths	Not COMPANY's expertise	A new but important area	Moderate experience	Right up our alley

Insight Restraining Factors Checklist

The following table lays out the factors and assessment scale for the restraining or costs factors that make a given request harder or more costly to implement.

Restraining Factors	Assessment Scale			
	0	1	2	3
Costs: Overall Project Costs	None or minimal	Low to moderate	Moderate to high	Very high or uncertain
Costs: Capital	None or minimal	Low to moderate	Moderate to high	Very high or uncertain
Costs: Demand on People Resources (Business & IS)	None or minimal	Low to moderate	Moderate to high	Very high or uncertain
Risks: Project & Technical Risks	None or minimal	Low to moderate	Moderate to high	Very high or uncertain
Risks: Business Risks	None or minimal	Low to moderate	Moderate to high	Very high or uncertain
Complexity: Project & Technical	None or minimal	Low to moderate	Moderate to high	Very high or uncertain
Constraints: Schedule/Timeline	None or minimal	Low to moderate	Moderate to high	Very high or uncertain

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Insight Quick Hit Checklist

The following table lays out the factors and rating scale for identifying Quick Hits. A single "no" rating is sufficient to veto the request from being a Quick Hit. The timing at which a request is assessed can affect its status a Quick Hit, since resource availability (criteria 2) can change from day to day.

Quick Hit Criteria	Yes	No
Development time (including testing, training, etc.) is minimal	4-6 weeks	> 6 weeks
All project resources are readily available	Yes	No
Project is deliverable in a short time frame	4-6 weeks	> 6 weeks
Sponsorship is clearly defined and a limited # of business units are involved	1 business unit	> 1 business unit
A limited # of delivery teams are involved	1 delivery team	> 1 delivery team
Implementation can occur independent of any release	Yes	No
Architecture impact is minimal	No change or simple hardware software only	Otherwise
Vendor and contractual implications are minimal	No new vendors / contracts (or minimal impact)	Otherwise
Project management, planning & control needs are minimal	Yes	No

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Project Initiation Process: Planning Tool

Following is a screenshot of the Planning Tool used to document all the decisions made on requests and projects during the Initiation process ([Link to tool](#)).

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IS Project Initiation Process

~ Links ~

Overview

Link to	Tab Name	Contents
Go	Overview	Overview of the Project Initiation & Prioritization Process

Endorse

Go	Endorse OV (Overview)	Overview of the Endorse Process
Go	Endorse Ratings	Details of Endorse Process

Insight

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Go	Quick Hit Ratings	Details of Quick Hit assessment
Go	Insight OV	Overview of the Insight Process (Stage 2: Insight Assessment)
Go	Insight Ratings	Details of Insight Process

Prioritize

Go	Prioritization OV	Overview of the Prioritization Process (Input to the Roadmap)
TBD	Prioritization Results	Details of Prioritization Process

↑
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↓

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Local intranet

Forms

Endorse/Insight New Request Documentation

(quick link to [form template](#))

The following form is used by the BRD's for incoming requests. They will work with the requestor to complete as much of the assessment as they can. The rest of the form will be completed at the Insight meeting, with input from the Service Delivery managers.



ENDORSE/INSIGHT – NEW REQUEST DOCUMENTATION

New Request Identification

Legend:	ISRC #: Title. Request description Date Submitted: Business Requestor/BRD (BPO)
ISR 030175: Customer Tax Exemption. Acquire and implement document imaging software system to maintain customer tax exemption certificates.	
8/6/03: John Reilly/Pam Cooper (John Reilly)	

Preliminary Assessment by BRD's

ENDORSE			
Decision Tree			
Criteria			Preliminary Assessment (Low or High; Short or Long)
Strategic Alignment	High: Highly related to the strategy	Low: Not related to the strategy	L/H:
Payback Period	Short: Less than 12 months	Long: Greater than 12 months	S/L:
Risk	Low: Little or no risk	High: Major risk	L/H:
Driving Factors			
Criteria	0	4	Preliminary Assessment (0-4)
Strategic Initiative	Is not related to the strategy	Is an identified strategic project	
Legal or Mandatory	No	Yes	
Revenue Generation	No impact on revenue	Major impact on revenue	
Improved Services to Stores	Negligible or no impact	Unbelievable improvement	
Improved Service to Customers	Negligible or no impact	Unbelievable improvement	
Business Simplification / Process Improvement	Negligible or no impact	Unbelievable improvement	
Competitive Advantage	Negligible or no impact	Great advantage	
Positioning for Future Strategy & Opportunities	Not applicable	Provides strong positioning	
Align with COMPANY Business & Technical Strengths	Not COMPANY's expertise	Right up our alley	

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Preliminary Assessment by Insight Team

INSIGHT			
Restraining Factors			
Criteria	0	4	Preliminary Assessment (0-4)
Costs: Overall Project Costs	None or minimal	Very high or uncertain	
Costs: Capital	None or minimal	Very high or uncertain	
Costs: Demand on People Resources (Business & IS)	None or minimal	Very high or uncertain	
Risks: Project & Technical Risks	None or minimal	Very high or uncertain	
Risks: Business Risks	None or minimal	Very high or uncertain	
Complexity: Project & Technical	None or minimal	Very high or uncertain	
Constraints: Schedule/Timeline	None or minimal	Very high or uncertain	
Quick Hit Assessment			
Criteria	Yes	No	Preliminary Assessment (Yes or No)
Development time (including testing, training, etc.) is minimal	4-6 weeks	> 6 weeks	
All project resources are readily available	Yes	No	
Project is deliverable in a short time frame	4-6 weeks	> 6 weeks	
Sponsorship is clearly defined and a limited # of business units are involved	1 business unit	> 1 business unit	
A limited # of delivery teams are involved	1 delivery team	> 1 delivery team	
Implementation can occur independent of any release	Yes	No	
Architecture impact is minimal	No change or simple hardware software only	Otherwise	
Vendor and contractual implications are minimal	No new vendors / contracts (or minimal impact)	Otherwise	
Project management, planning & control needs are minimal	Yes	No	

Detailed Information

- (Attach)

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Quick Hit Form

TBD

ROM (Rough Order of Magnitude)

TBD

Business Case

The TDS Standard Business Case Forms can be found on CellSite, using these links:

- [Long Form \(Blank\) - 8/21/03](#)
- [Long Form Guidelines - 8/21/03](#)
- [Short Form \(Blank\) - 8/21/03](#)
- [Short Form Guidelines - 8/21/03](#)

Which form should I use? [More...](#)

View Completed Sample Short Form? [More...](#)

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