

Phase 1 Playbook: Project Initiation & Governance

Stand-Up

Document ID: MPG-002-P1-INCEPTION · **Version:** 1.0 · **Effective Date:** 2025-11-07 **Owner:** Project Management Office (PMO) **Applies To:** All software, data, and systems engineering projects governed under MPG-002

Purpose & Scope

This playbook provides the exhaustive, step-by-step guidance required to successfully complete Phase 1 (Project Initiation & Governance Stand-Up) of the MPG-002 standard. It is intended for Project Managers, Executive Sponsors, Steering Committee members, Technical Leads, Business Analysts, and supporting teams who must establish a compliant governance foundation before project execution. The document expands into detailed procedures, deliverable specifications, templates, review cadences, and evidence requirements. It should be treated as the authoritative reference for Phase 1 activities, gate criteria, and documentation.

Phase 1 concludes only when:

- Governance hierarchy and decision rights are defined, documented, and approved.
- The project charter is baselined and endorsed by the Executive Sponsor.
- All mandatory Phase 1 deliverables are produced, reviewed, version-controlled, and stored in the designated knowledge repository (Git or approved document management system).
- Entry conditions for Phase 2 (Planning & Requirements Elaboration) are met and verified via the Phase 1 exit checklist included in this guide.

Outcome Summary

Dimension	Target Outcome
Strategic Alignment	The project's business case, strategic objectives, and success measures are formally approved and traceable.
Governance Structure	Executive Sponsor, Steering Committee, Project Manager, and key leads are appointed with documented roles, escalation paths, and decision-making authority.
Stakeholder Engagement	Stakeholders are identified, categorized, and assigned engagement tactics aligned to the communications plan.
Risk Visibility	Initial project risks, constraints, issues, and assumptions are captured with owners and mitigation strategies.
Baseline Documentation	Core artifacts (charter, governance plan, stakeholder register, risk register, communications plan) are version controlled and follow naming standards.

Phase 1 Timeline Overview

Phase 1 activities typically span **2–4 weeks** and may overlap if the governance body consents. The following timeline assumes a medium-complexity initiative:

1. **Week 1:** Launch discussions, stakeholder interviews, draft charter outline, draft governance hierarchy.
2. **Week 2:** Facilitate charter workshops, confirm governance roster, draft stakeholder register, draft communications strategy.
3. **Week 3:** Validate risk log, finalize deliverables, circulate for review, collect sign-offs.
4. **Week 4:** Perform Phase 1 exit review, file documentation, and seek approval to enter Phase 2.

Adjust the cadence based on project urgency, availability of executives, and organizational scheduling norms. However, **all deliverables and approvals remain mandatory** unless a formally approved waiver is granted by the PMO.

```

gantt
    title Phase 1 Timeline (Baseline)
    dateFormat YYYY-MM-DD
    section Week 1
        Intake & Launch Discussions      :a1, 2025-11-10, 5d
        Governance Hierarchy Draft     :a2, after a1, 2d
    section Week 2
        Charter Workshops             :a3, 2025-11-17, 3d
        Stakeholder Register Draft    :a4, after a3, 3d
    section Week 3
        Risk Log Validation          :a5, 2025-11-24, 3d
        Deliverable Finalization      :a6, after a5, 3d
    section Week 4
        Gate Review Preparation       :a7, 2025-12-01, 3d
        Phase 1 Exit Review          :milestone, a8, 2025-12-04, 1d

```

Figure 1. Baseline Gantt chart illustrating recommended sequencing of Phase 1 activities.

Detailed Workflow & Procedures

1. Initiation Trigger & Intake

Objective: Capture the project request, confirm sponsorship, and assign a provisional Project Manager.

Steps:

1. Intake the project request via the PMO intake form or portfolio management tool.
2. Verify funding source, strategic alignment documents, and executive sponsorship commitment.
3. Assign a provisional Project Manager (PM) and notify the Executive Sponsor.
4. Create the initial project space (Git repository, SharePoint site, or Confluence space) using approved naming conventions (e.g., `ProjectAlpha` → `repository project-alpha, docs directory ProjectAlpha_Docs`).
5. Log the project in the portfolio tracker with status "Initiation".

Evidence Requirements: Intake form, Sponsor confirmation email, PM assignment memo.

2. Governance Chartering Workshop

Objective: Align leadership on project intent, authority structure, and expected outcomes.

Steps:

1. Schedule a governance chartering workshop with the Sponsor, PM, PMO lead, and proposed Steering Committee members.
2. Prepare a briefing deck covering business case, strategic goals, initial scope boundaries, and success metrics (pull from intake documentation).
3. Facilitate the workshop, capturing decisions about:
 - Governance hierarchy (Sponsor, Steering Committee, PM, technical/functional leads).
 - Decision rights and escalation thresholds (e.g., budget variance >5% → Steering Committee).
 - Meeting cadence (monthly Steering Committee, weekly PM/Sponsor check-ins).
 - Required Phase 1 deliverables and review timeline.
4. Record action items (e.g., confirm budget envelope, identify legal advisor, nominate BA).
5. Distribute workshop summary within 24 hours and archive it under `/docs/meetings/2025/2025-11-07_governance-workshop-notes.md` (adjust for date and naming conventions).

Evidence Requirements: Workshop deck, attendance roster, decision log, action item tracker.

3. Project Charter Development

Objective: Produce a comprehensive charter that defines the project foundation.

Steps:

1. Follow the charter template provided in Appendix A.
2. Conduct stakeholder interviews (Sponsor, business owner, technical lead, operations, compliance, security).
3. Populate the charter sections:
 - Executive summary.
 - Strategic alignment and value statement.
 - Goals, objectives, success metrics (KPIs).
 - Scope definition (in scope / out of scope).
 - High-level timeline and major milestones.
 - Financial summary (budget, funding authorization).
 - Assumptions, constraints, dependencies.
 - Initial risk profile and mitigation approach.
 - Governance summary (who approves what).
4. Circulate draft charter to stakeholders for inline comments.
5. Incorporate feedback, version increment (e.g., `ProjectAlpha_Charter_v20251107.docx`), and store in the Git repository under `docs/phase-1/`.
6. Obtain formal approval:
 - Project Manager signs as preparer.
 - Executive Sponsor signs for authorization.
 - Optional: Steering Committee co-sign if required by governance policy.

Evidence Requirements: Approved charter (PDF and editable source), comment log, version history.

4. Governance Plan & Hierarchy Documentation

Objective: Define and document the governance model, decision thresholds, and escalation paths.

Steps:

1. Use the governance plan template (Appendix B) to capture hierarchy details.

- Draft the governance diagram highlighting levels (Sponsor → Steering Committee → PM → Technical/Functional Leads → Project Team).

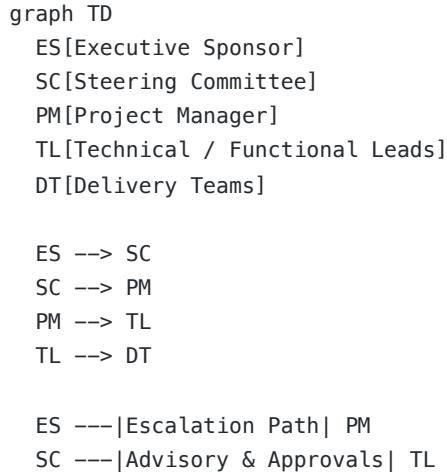


Figure 2. Governance hierarchy illustrating formal authority cascades and escalation paths.

- Document decision categories with accountable roles (e.g., "Budget increase >\$250k → Sponsor").
- Detail escalation protocol (timeframes, contact methods, documentation requirements).
- Define governance forums (meeting frequency, agenda, required reports, quorum rules).
- Review with the Sponsor and PMO for compliance against MPG-002.
- Store final plan as `ProjectAlpha_GovernancePlan_v20251107.md` in `docs/governance/`.

Evidence Requirements: Governance diagram (SVG/PDF), decision table, escalation matrix, approvals.

5. Stakeholder Identification & Analysis

Objective: Capture all stakeholders, their influence/interest, and engagement strategies.

Steps:

- Brainstorm stakeholders across business units, technology, operations, compliance, security, vendors, and customers.
- Populate the stakeholder register template (Appendix C) with:
 - Contact information.
 - Role/department.
 - Influence level (High/Medium/Low).
 - Interest level (High/Medium/Low).
 - Engagement strategy (Manage Closely, Keep Satisfied, Keep Informed, Monitor).
 - Preferred communication channels and cadence.
- Validate with Sponsor and BA/Product Owner.
- Map stakeholders to governance forums (e.g., Steering Committee, Working Groups).
- Version control the register (`ProjectAlpha_StakeholderRegister_v20251107.xlsx` or `.md`).

```

flowchart LR
    subgraph HI["High Interest (>0.5)"]
        HI_HI["High Influence (>0.5)\nManage Closely – Alex Kim"]
        HI_LI["Low Influence (≤0.5)\nKeep Informed – Finance Ops"]
    end
    subgraph LI["Low Interest (≤0.5)"]
        LI_HI["High Influence (>0.5)\nKeep Satisfied – Security"]
        LI_LI["Low Influence (≤0.5)\nMonitor – Customer Service"]
    end

    classDef manage fill:#ffe599,stroke:#bf9000,color:#000,font-weight:bold;
    classDef satisfy fill:#d9ead3,stroke:#6aa84f,color:#000;
    classDef inform fill:#cfe2f3,stroke:#3d85c6,color:#000;
    classDef monitor fill:#f3f3f3,stroke:#999999,color:#000;

    class HI_HI manage;
    class LI_HI satisfy;
    class HI_LI inform;
    class LI_LI monitor;

```

Figure 3. Influence/interest grid guiding stakeholder engagement strategies.

Evidence Requirements: Stakeholder register, validation notes, version history.

6. Communications Planning

Objective: Establish structured communication protocols aligning to stakeholder needs.

Steps:

1. Translate stakeholder engagement strategies into a communications matrix (Appendix D).
2. Define communication vehicles (status reports, dashboards, town halls, newsletters, standups).
3. Specify content owners, distribution lists, frequency, and delivery methods.
4. Include governance reporting requirements:
 - Monthly Steering Committee packets.
 - Quarterly Sponsor briefings.
 - Risk/issue escalations within 24 hours.
5. Align the plan with organizational communications policies (branding, confidentiality).
6. Secure PM and Sponsor approval.
7. Publish the plan as `ProjectAlpha_CommunicationsPlan_v20251107.md`.

Evidence Requirements: Communications plan, stakeholder communications map, approval record.

7. Initial Risk & Issue Management Setup

Objective: Seed the risk and issue management framework with Phase 1 findings.

Steps:

1. Create a risk register using the template (Appendix E) with the following mandatory fields:
 - Risk ID, description, category, probability, impact, exposure score.
 - Owner, mitigation strategy, contingency plan, trigger conditions.
 - Status (Open, Monitoring, Mitigated).

2. Capture initial risks identified during intake, charter workshops, and stakeholder conversations.
3. Establish issue log for known current problems requiring immediate action.
4. Define escalation thresholds (e.g., risks with exposure > 12 require Steering Committee visibility).
5. Store logs under `docs/risk-management/` and link from the governance plan.
6. Schedule recurring risk review meetings (biweekly minimum during initiation).

```

flowchart TD
    subgraph P5 ["Probability 5 (Very High)"]
        P5I5["Impact 5 (Very High)\nR-315"]
        P5I4["Impact 4 (High)\nR-233"]
    end
    subgraph P4 ["Probability 4 (High)"]
        P4I5["Impact 5 (Very High)\nR-299"]
        P4I4["Impact 4 (High)\nR-205"]
        P4I3["Impact 3 (Moderate)\nR-137"]
    end
    subgraph P3 ["Probability 3 (Moderate)"]
        P3I4["Impact 4 (High)\nR-214"]
        P3I3["Impact 3 (Moderate)\nR-201"]
        P3I2["Impact 2 (Low)\nR-118"]
    end
    subgraph P2 ["Probability 2 (Low)"]
        P2I3["Impact 3 (Moderate)\nR-121"]
        P2I2["Impact 2 (Low)\nR-102"]
    end

    classDef critical fill:#f8cecc,stroke:#b85450,color:#000,font-weight:bold;
    classDef high fill:#ffe599,stroke:#bf9000,color:#000;
    classDef moderate fill:#d9ead3,stroke:#6aa84f,color:#000;
    classDef low fill:#cfe2f3,stroke:#3d85c6,color:#000;

    class P5I5,P4I5 critical;
    class P5I4,P4I4,P3I4 high;
    class P4I3,P3I3,P3I2,P2I3 moderate;
    class P2I2 low;

```

Figure 4. Sample probability–impact visual showing which risks (IDs from the register draft) trigger Steering Committee escalation.

Evidence Requirements: Risk register, issue log, risk review meeting invite, action items.

8. Repository & Document Control Setup

Objective: Enforce configuration management standards from day one.

Steps:

1. Create a dedicated repository (if new) following naming conventions; apply branch protections.
2. Add baseline directories:
 - o `docs/phase-1/`
 - o `docs/governance/`
 - o `docs/risk-management/`

- o docs/communications/
 - o docs/meetings/YYYY/
3. Create a README.md summarizing Phase 1 documents and approval status.
 4. Configure access controls per stakeholder roles (read-only vs. maintainers).
 5. Implement document naming policy (see Appendix F) and ensure all files include version suffixes.
 6. Commit the initial documentation skeleton to Git with meaningful commit messages (e.g.,
feat(initiation): add governance documentation scaffolding).

Evidence Requirements: Git commit history, README, access control logs.

```

flowchart TD
    root["Project Repository"]
    docs["docs/"]
    phase["phase-1/"]
    govern["governance/"]
    risk["risk-management/"]
    comms["communications/"]
    meetings["meetings/YYYY/"]
    approvals["approvals/"]
    charter["Charter (signed PDF)"]
    readme["README (artifact index)"]
    gplan["Governance Plan"]
    rlogs["Risk & Issue Logs"]
    cplan["Communications Plan"]
    mnotes["Meeting Notes"]
    evidence["Sign-off Evidence"]

    root --> docs
    docs --> phase
    docs --> govern
    docs --> risk
    docs --> comms
    docs --> meetings
    docs --> approvals

    phase --> charter
    phase --> readme
    govern --> gplan
    risk --> rlogs
    comms --> cplan
    meetings --> mnotes
    approvals --> evidence

```

Figure 5. Recommended document control structure reinforcing consistent storage and access controls.

9. Phase 1 Gate Review

Objective: Verify readiness to transition to Phase 2.

Steps:

1. Complete the Phase 1 exit checklist (Section "Checklists & Gate Reviews").

2. Assemble gate review packet containing:
 - o Signed charter.
 - o Governance plan and hierarchy diagram.
 - o Stakeholder register.
 - o Communications plan.
 - o Risk and issue logs.
 - o Meeting cadence calendar.
 - o Evidence of repository setup.
3. Schedule gate review with Sponsor, PMO, and relevant leads.
4. Conduct review, capture decisions, and record conditional approvals (e.g., "Proceed to Phase 2 pending finalization of vendor contract").
5. Document the outcome in the decision log and update portfolio tracker status to "Planning".

Evidence Requirements: Completed checklist, gate review minutes, approval emails.

Deliverable Specifications

The table below provides detailed requirements for each mandatory Phase 1 artifact. All deliverables must be stored in the project repository, with metadata capturing author, version, approval date, and location.

Deliverable	Purpose	Required Contents	Format & Naming
Project Charter	Authorizes the project, defines scope, budget, objectives.	Executive summary, business case, scope in/out, KPIs, timeline, budget, risks, governance summary.	Primary format: .docx or .md; signed PDF copy Naming: ProjectName_Charter_vYYYYMMDD.ext.
Governance Plan	Documents hierarchy, decision rights, escalation protocol.	Governance diagram, decision matrices, meeting cadence, escalation process, RACI summary.	.md or .pptx + exported PDF. Naming: ProjectName_GovernancePlan_vYYYYMMDD.md.
Stakeholder Register	Identifies stakeholders and engagement strategies.	Name, role, influence, interest, engagement approach, contact details, communication cadence.	.xlsx or .csv; optional .md summary. Naming: ProjectName_StakeholderRegister_vYYYYMMDD.x

Communications Plan	Defines communication methods and schedule.	Communication objectives, audience segmentation, content owners, channels, frequency, artifacts, feedback loop.	.md or .pptx + PDF. Naming: ProjectName_CommunicationsPlan_vYYYYMMDD.md
Risk Register	Captures initial risks with mitigation strategies.	Risk ID, description, category, probability, impact, exposure, owner, mitigation, contingency, status.	.xlsx or .csv; optional .md export. Naming: ProjectName_RiskRegister_vYYYYMMDD.xlsx.
Issue Log	Tracks active issues requiring resolution.	Issue ID, description, impact, owner, due date, status, resolution.	.xlsx or .md. Naming: ProjectName_IssueLog_vYYYYMMDD.xlsx.
Meeting Cadence Calendar	Establishes governance forum schedule.	Calendar of recurring meetings (Steering Committee, Sponsor sync, PMO checkpoint), participants, agendas.	.ics export + .md summary. Naming: ProjectName_GovernanceCalendar_vYYYYMMDD.md
Decision Log	Records key decisions with context and approvals.	Decision ID, description, date, decision maker, rationale, follow-up actions.	.md or .xlsx. Naming: ProjectName_DecisionLog_vYYYYMMDD.md.
Repository README	Provides navigation to Phase 1	Summary, artifact list with links, approval	README.md located under docs/phase-1/.

	artifacts and status.	status, next steps.	
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Document Control Notes:

- All deliverables must include a document control table (version, author, reviewer, approval date, change summary).
- Maintain both editable source format and signed/locked format.
- Store approvals (e-signatures, email confirmations) in the /docs/approvals/ folder, linking to primary artifacts.

Artifact Completion Tracker

Artifact	Owner	Status (Draft / In Review / Approved)	Repository Path	Version	Approval Evidence Stored?	Next Action / Due Date
Charter						
Governance Plan						
Stakeholder Register						
Communications Plan						
Risk Register						
Issue Log						
Decision Log						
Repository README						
Meeting Cadence Calendar						
Approvals Evidence Packet						

Update this table at the close of each week and prior to the gate review. "Approval Evidence Stored?" should reference the exact file in /docs/approvals/ (e.g., ProjectAtlas_Charter_Approval_20251107.pdf).

Approval Evidence Requirements

- **E-signature Certificates:** Export completion receipts (DocuSign, Adobe Sign) as PDF and store in /docs/approvals/esign/ .
- **Email Approvals:** Save emails as PDF or .eml , append to /docs/approvals/email/ , and record the message ID in the decision log.
- **Meeting Minutes:** When approvals happen in meetings, ensure minutes capture decision details, attendees, and conditions; cross-reference decision log entries.

- **Portfolio Tool Screenshots:** Capture screenshots of portfolio approvals, tag with version numbers, and store them alongside the relevant artifacts.

Execution Checklist by Workstream

Workstream	Activity	Evidence Location	Responsible Role	Status
Governance	Sponsor confirmation memo logged.	/docs/approvals/	PM	
Governance	Steering Committee charter ratified.	docs/governance/...	Sponsor	
Documentation	Charter v1.0 published and signed.	docs/phase-1/...	PM	
Documentation	Governance plan diagram updated with final roster.	docs/governance/...	PM	
Stakeholder Management	Register validated with Sponsor & BA.	docs/phase-1/...	BA	
Communications	Communications plan tailored and approved.	docs/communications/...	PM	
Risk	Initial risk register seeded (≥ 10 items).	docs/risk-management/...	PM	
Tooling	Repository structure committed with CODEOWNERS.	Git commit hash	DevOps	
Access Control	Permissions reviewed (read/write).	Access report in /docs/approvals/	PMO	
Gate Preparation	Phase 1 exit deck & checklist compiled.	docs/phase-1/gate-review/	PM	

Flag any activity that remains "In Progress" for more than one week and escalate via the Sponsor sync per the communications plan.

Deliverable Deep-Dive Guides

Project Charter

- Use Appendix A structure; ensure success metrics are SMART and tied to organizational OKRs.
- Include baseline budget spreadsheet in appendix and reference funding authority.
- Track review comments using version history; respond to each before final approval.
- Capture cross-functional sign-offs (Security, Legal, Compliance) where mandated.

Governance Plan

- Customize the hierarchy diagram (Figure 2) with actual names and titles.

- Provide a decision matrix mapping categories (scope, budget, technology, vendor) to accountable roles with thresholds.
- Document escalation response times and communication channels; validate with Sponsor and PMO.
- Attach meeting charter for Steering Committee outlining quorum and voting rules.

Stakeholder Register

- Populate fields from Appendix C with real data; include stakeholder personas if needed.
- Link each stakeholder to communication tactics defined in the communications plan.
- Schedule and document stakeholder interviews; archive notes under `/docs/meetings/YYYY/`.
- Review and update at least monthly during initiation and prior to each gate review.

Communications Plan

- Attach sample artefacts (status report, newsletter, town hall deck). Use Appendix K for structure.
- Specify communication owners and backups; define escalation communications process.
- Align with corporate branding and confidentiality requirements; obtain PMO Communications sign-off.
- Include metrics for measuring communication effectiveness (survey cadence, open rates).

Risk & Issue Registers

- Use Appendix E columns; assign likelihood/impact scores using enterprise risk taxonomy.
- Capture mitigation and contingency tasks in the project schedule; link ticket IDs.
- Review registers during risk standups; update "Status" column after each meeting.
- Flag high exposure items for Steering Committee and document escalations in decision log.

Decision Log

- Follow Appendix I; ensure each entry references supporting evidence and resulting actions.
- Track conditions and due dates; create follow-up tasks in project management tool.
- At gate review, summarize key Phase 1 decisions in the deck (Appendix L).

Repository README & Structure

- Mirror Figure 5 structure in Git; include relative links to each artifact and approval evidence.
- Add a status table (Appendix H) and update after approvals.
- Configure CODEOWNERS and branch protection so PMO reviews documentation changes.

Meeting Cadence Calendar

- Create calendar invites for all governance meetings (Sponsor sync, PMO checkpoint, risk standup, gate review).
- Attach agendas (Appendix J) to invites, and archive meeting recordings/minutes in `/docs/meetings/YYYY/`.
- Verify acceptance from all required attendees; document declines and substitutes.

Team Management, Workflow & Naming Standards

- **Leadership Structure:** Apply the Phase 1 RACI matrix and governance hierarchy to assign decision rights and day-to-day task ownership. Document team roles (Sponsor, PM, BA, Technical Lead, QA, DevOps) in the charter and stakeholder register so onboarding stakeholders understand responsibilities.
- **Workflow Orchestration:** Establish sprint/iteration cadence or waterfall stage plan during planning; align with governance checkpoints (Steering Committee, Sponsor sync, PMO review). Use the communications plan to schedule touchpoints (standups, demos, retrospectives) backed by agendas and minutes stored in `/docs/meetings/YYYY/`.

- **Task Allocation:** Maintain a master activity tracker (e.g., story/task board or WBS assignments) mapping deliverables to responsible owners. Integrate with risk log and change log so owners are accountable for mitigation actions and approvals.
 - **Escalation Paths:** Record escalation thresholds (schedule variance, budget overrun, risk exposure) in the governance plan and reiterate during kickoff. Ensure runbooks include who to contact for urgent approvals.
 - **Naming Conventions:** In addition to `Standards.md`, publish a concise reference within Phase 1 deliverables (`README`, naming cheat sheet). Use `ProjectIdentifier_DocumentType_vYYYYMMDD.ext` for all artifacts, `snake_case` or `kebab-case` for directories, `PascalCase` for high-level folders, and `camelCase / UPPER_SNAKE_CASE` for code identifiers (as applicable). Embed a naming rubric in the configuration management plan and require compliance checks during PMO reviews.
 - **Knowledge Sharing:** Create a central collaboration space (e.g., `/docs/wiki`) that lists owners, working agreements, and quick links to artifacts, enabling team continuity when membership changes.
 - **Onboarding & Offboarding:** Define onboarding checklists covering access provisioning, walkthrough of governance artifacts, and naming standards. Establish offboarding steps (revoke access, transfer ownership) with maximum 24-hour SLA documented in the governance plan.
 - **Responsiveness SLAs:** Document response expectations for leadership roles (e.g., Sponsor escalations ≤48 hours, Steering Committee decisions within 5 business days). Track adherence during status meetings and escalate chronic delays via PMO.
 - **Collaboration Etiquette:** Mandate use of centralized tools (e.g., work management, document repository) rather than personal storage. Enforce comment resolution and version control practices before final approvals.
-

Roles, Responsibilities & RACI (Phase 1 Focus)

Activity	Executive Sponsor	Steering Committee	Project Manager	BA / Product Owner	Technical Lead	PMO Representative
Confirm project mandate & funding	A	C	R	I	I	C
Appoint governance body	A	R	C	I	I	C
Develop and approve charter	A	C	R	C	C	C
Draft governance plan	C	C	R	I	C	A
Validate stakeholder register	I	I	A	R	C	C
Approve communications	A	C	R	C	I	C

plan						
Seed risk & issue logs	I	C	R/A	C	C	C
Set meeting cadence	A	C	R	I	I	C
Conduct gate review	A	R	R	C	C	C

Key: R = Responsible; A = Accountable; C = Consulted; I = Informed. Accountable is uniquely assigned per activity to enforce clear ownership.

Meeting & Communication Cadence (Phase 1)

Meeting	Purpose	Participants	Frequency	Inputs	Outputs
Governance Chartering Workshop	Define governance structure and expectations.	Sponsor, PM, PMO, proposed Steering Committee, Technical Lead.	Once (early Phase 1).	Intake request, business case deck.	Decisions on hierarchy, action items, workshop notes.
Sponsor Sync	Confirm charter progress, remove blockers.	Sponsor, PM.	Weekly (30 min).	Charter draft, risk highlights.	Sponsor guidance, approvals, escalations.
PMO Checkpoint	Ensure compliance with MPG-002, review documentation.	PM, PMO representative.	Weekly (45 min).	Draft artifacts, risk log.	Feedback memo, compliance action list.
Stakeholder Interviews	Gather requirements context, risks, support needs.	PM or BA, individual stakeholders.	As scheduled (60 min).	Interview guide.	Interview notes, stakeholder register updates.
Risk Review Standup	Monitor early risks and issues.	PM, Technical Lead, BA, PMO.	Biweekly (30 min).	Risk/issue log.	Updated risk log, mitigation actions.
Phase Gate Review	Decide readiness for Phase 2.	Sponsor, Steering Committee, PM, PMO, Leads.	Once (end of Phase 1).	Gate packet, exit checklist.	Gate decision, conditions, approval minutes.

All meetings must have documented agendas sent at least 24 hours in advance and meeting minutes archived within 2 business days.

Risk & Control Considerations

Common Initiation Risks:

1. **Undefined Sponsor Authority:** Mitigate by documenting sponsor responsibilities and escalation paths in the governance plan and obtaining explicit acceptance.
2. **Scope Ambiguity:** Ensure charter includes clear in-scope/out-of-scope statements; flag unresolved areas as risks with owners.
3. **Stakeholder Gaps:** Conduct thorough cross-functional stakeholder mapping; validate with PMO to catch omissions.
4. **Delayed Approvals:** Establish approval timelines in communications plan; schedule review sessions before artifacts are finalized to accelerate feedback.
5. **Insufficient Documentation Controls:** Implement repository structure and naming standards before drafting deliverables; conduct PMO audit to spot noncompliance.

Control Activities:

- Weekly PMO compliance review to verify document presence, version control, and approvals.
 - Sponsor sign-off checklist requiring confirmation of strategic alignment and funding availability.
 - Risk log includes "Phase 1 risk coverage" metric to ensure minimum number of high-priority risks identified (e.g., ≥ 5 for enterprise initiatives).
 - Gate review uses scoring rubric (Appendix G) to objectively assess readiness.
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Tooling & Configuration Requirements

Tool / Platform	Configuration Action	Owner	Evidence
Git (Version Control)	Create repository, enable branch protection on main, add CODEOWNERS for PMO review.	DevOps / PM	Repository URL, screenshot of settings, initial commit hash.
Document Repository (SharePoint/Confluence)	Create Phase 1 space with permissions by role.	PMO	Access control report, folder structure screenshot.
Portfolio Tracker (e.g., Jira Align, Airtable)	Add project entry, set status to "Initiation", link charter.	PM	Tracker ID, link to charter.
Meeting Management (Outlook/Google Calendar)	Publish governance calendar (.ics) with invites.	PM	Calendar export, list of invites sent.
Risk Management Tool (if applicable)	Configure new project workspace, import risk template.	PM	Risk workspace link, export of initial risks.

Electronic Signature Platform (DocuSign)	Route charter and governance plan for signature.	PM	Audit trail log, completed envelope ID.
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Note: If corporate policy mandates a single source repository for documentation, store Git references in the secondary system via hyperlinks, ensuring both locations stay synchronized.

Checklists & Gate Reviews

A. Pre-Initiation Checklist (Before Phase 1 Kickoff)

- Project request logged and assigned portfolio ID.
- Executive Sponsor confirmed via written communication.
- Provisional PM assigned and notified.
- Initial funding authorization documented.
- Repository and document space created with baseline structure.

B. In-Phase Quality Checklist (Run Weekly)

- Charter draft updated with latest feedback.
- Governance plan reflects current decisions; version control maintained.
- Stakeholder register reviewed and expanded as new stakeholders emerge.
- Communications plan includes cadence for high-influence stakeholders.
- Risk register updated with probability/impact scores and owners.
- Meeting minutes captured for all governance forums convened.
- All files adhere to naming convention (`ProjectName_DocumentType_vYYYYMMDD.ext`).

C. Phase 1 Exit / Gate Checklist

- Project Charter approved and archived with signatures.
- Governance Plan approved; hierarchy diagram stored in repository.
- Stakeholder Register validated by Sponsor and PM.
- Communications Plan approved by Sponsor.
- Risk Register includes at least top 10 risks with mitigation plans.
- Issue Log established for known blockers (even if empty, document as `No open issues`).
- Decision Log captures all major initiation decisions.
- Governance calendar invites sent and accepted by participants.
- Repository README updated with artifact status table (see Appendix H).
- Phase 1 gate review conducted; decision recorded and archived.

Only when all checklist items are marked "Complete" can the PM request formal approval to proceed to Phase 2.

Templates & Samples

Appendix A: Project Charter Template (Excerpt)

Document Control

Field	Details
Version	v1.0 (<i>initial release</i>)
Date	YYYY-MM-DD
Author	<i>Project Manager</i>
Reviewer	<i>PMO Director</i>
Approver	<i>Executive Sponsor</i>
Change Summary	<i>Brief description of updates</i>

Charter Outline

1. **Executive Summary** – Provide a concise overview of the project impetus, problem statement, and desired outcomes.
2. **Strategic Alignment** – List strategic objectives supported; reference corporate OKRs.
3. **Business Case & Value Statement** – Quantify expected ROI, cost avoidance, regulatory compliance drivers.
4. **Objectives & Key Results (OKRs)**
 - Objective 1: ...
 - KR 1.1: ...
5. **Scope Definition**
 - In Scope: ...
 - Out of Scope: ...
6. **Milestone Timeline**
 - Milestone 1: Phase 1 Completion – Target Date: ...
 - Milestone 2: ...
7. **Budget Summary**
 - Estimated Capital Expenditure: ...
 - Operating Expenditure: ...
8. **Risks, Constraints, Dependencies** – Capture top initiation risks (e.g., Risk R1) with owners.
9. **Governance Summary**
 - Sponsor: Name, title, responsibilities.
 - Steering Committee: Members, meeting frequency.
10. **Approval Signatures**
 - Sponsor Name / Date
 - PM Name / Date

Appendix B: Governance Plan Template (Excerpt)

1. **Governance Overview** – Purpose of governance, guiding principles (accountability, transparency, agility).
2. **Governance Hierarchy Diagram** – Include visual linking Sponsor → Steering Committee → PM → Leads.
3. **Decision Matrix** – Table mapping decision categories to accountable roles.
4. **Escalation Process** – Step-by-step escalation tree with response SLA (e.g., Sponsor response within 48 hours).

5. **Governance Forums** – Detail forum name, purpose, chair, attendees, frequency, inputs, and outputs.
6. **Compliance Alignment** – Reference MPG-002 requirements and relevant regulatory obligations.
7. **Document Control** – Define versioning rules, storage locations, approval workflow.

Appendix C: Stakeholder Register Fields

Field	Description	Example
Stakeholder ID	Unique identifier (STK-###).	STK-001
Name	Full name.	Alex Kim
Role / Title	Organizational role.	VP, Product Strategy
Department	Business unit.	Product Management
Influence	High / Medium / Low.	High
Interest	High / Medium / Low.	High
Engagement Strategy	Manage Closely / Keep Satisfied / Keep Informed / Monitor.	Manage Closely
Preferred Channel	Email / Slack / Weekly sync.	Weekly 30-min sync
Cadence	Frequency of touchpoints.	Weekly
Notes	Key concerns, priorities, dependencies.	Requires regulatory compliance updates.

Appendix D: Communications Matrix Example

Audience	Information Need	Channel	Format	Frequency	Owner	Feedback Loop
Executive Sponsor	Overall status, risks, budget	Email + Sponsor Sync	PDF summary	Weekly	PM	Live discussion
Steering Committee	Milestone progress, decisions	Monthly Review Meeting	Slide deck	Monthly	PM	Meeting Q&A
Project Team	Task assignments, blockers	Daily Standup	Verbal / digital board	Daily	PM	Standup board
Extended Stakeholders	Key milestones, change impacts	Newsletter	HTML email	Monthly	PMO Comms	Survey

Appendix E: Risk Register Template (Excerpt)

ID	Description	Category	Probability (1–5)	Impact (1–5)	Exposure (PxI)	Owner	Mitigation	Comments
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Appendix F: Naming Convention Quick Reference

- Documents:** ProjectName_DocumentType_vYYYYMMDD.ext (e.g., ProjectAtlas_Charter_v20251107.docx).
- Spreadsheets:** same as documents; avoid spaces; use underscores or PascalCase.
- Diagrams:** ProjectName_DiagramType_vYYYYMMDD.drawio and export to PDF/PNG.
- Meeting Notes:** YYYY-MM-DD_meeting-name-notes.md under docs/meetings/YYYY/ .
- Risk IDs:** RISK-### ; Issue IDs: ISS-### .
- Decision IDs:** DEC-YYYY-### (year + sequential number).

Appendix G: Phase 1 Gate Scoring Rubric (Example)

Criterion	Weight	Score (1–5)	Weighted Score	Notes
Charter completeness & approvals	20%	5	1.0	Fully signed, baseline budget documented.
Governance documentation adequacy	20%	4	0.8	Escalation SLA pending Sponsor confirmation.
Stakeholder coverage	15%	4	0.6	Need to add compliance liaison.
Communications readiness	15%	5	0.75	Plan includes templates and schedule.
Risk & issue visibility	15%	3	0.45	Additional vendor risks expected.
Repository & document control	15%	5	0.75	Repo structure complete, naming standard adopted.
Total	100%		4.35 / 5	

Scoring ≥4.0 indicates readiness to proceed; <4.0 requires remediation actions before proceeding.

Appendix H: Phase 1 Artifact Status Table (Embed in README)

Artifact	Owner	Location	Version
Charter	PM	/docs/phase-1/ProjectAtlas_Charter_v20251107.pdf	v2
Governance Plan	PM	/docs/governance/ProjectAtlas_GovernancePlan_v20251107.md	v2
Stakeholder Register	BA	/docs/phase-1/ProjectAtlas_StakeholderRegister_v20251107.xlsx	v2

Communications Plan	PM	/docs/communications/ProjectAtlas_CommunicationsPlan_v20251107.md	v2
Risk Register	PM	/docs/risk-management/ProjectAtlas_RiskRegister_v20251107.xlsx	v2
Issue Log	PM	/docs/risk-management/ProjectAtlas_IssueLog_v20251107.xlsx	v2
Decision Log	PM	/docs/governance/ProjectAtlas_DecisionLog_v20251107.md	v2

Appendix I: Decision Log Template (Detailed)

Field	Description	Example
Decision ID	Sequential identifier using DEC-YYYY-###.	DEC-2025-003
Date	Decision date (YYYY-MM-DD).	2025-11-14
Topic	Brief summary of the decision subject.	Confirm governance meeting cadence
Description	Expanded detail capturing context and options.	Steering Committee to meet monthly; additional ad-hoc meetings for critical escalations.
Decision Maker	Name/title of the accountable approver.	Maria Lopez, Executive Sponsor
Consulted Parties	Stakeholders consulted prior to decision.	Steering Committee, PMO Director
Outcome	Approved / Rejected / Deferred plus conditions.	Approved with condition to revisit after Q1
Follow-up Actions	Tasks needed to operationalize the decision.	PM to publish updated governance calendar by 2025-11-18
Evidence Reference	Link to meeting minutes, email, or DocuSign ID.	/docs/approvals/DEC-2025-003_minutes.pdf

Appendix J: Meeting Agenda Template (Governance Chartering Workshop)

Meeting Header

Field	Details
Meeting Title	Project [Name] Governance Chartering Workshop
Date / Time	[YYYY-MM-DD] · [HH:MM] [Time Zone]
Location / Link	[Conference room or video link]

Facilitator	Project Manager
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Agenda

#	Topic	Duration
1	Welcome & Objectives	5 min
2	Project Overview & Strategic Alignment	10 min
3	Governance Hierarchy Proposal	15 min
4	Decision Rights & Escalation Paths	20 min
5	Phase 1 Deliverables & Timeline	15 min
6	Stakeholder Identification Brainstorm	20 min
7	Next Steps, Action Items, and Approvals	10 min

Required Pre-Reads

- Project intake request summary
- Draft charter outline
- Proposed governance diagram

Expected Outcomes

- Confirmed Sponsor and Steering Committee membership
- Agreement on decision thresholds and escalation SLAs
- Action item list with owners and due dates

Appendix K: Communications Plan Excerpt (Status Report Template)

Section	Content	Owner	Notes
Executive Summary	One-paragraph overview highlighting accomplishments, upcoming milestones, and alerts.	PM	Keep ≤150 words.
Schedule Status	RAG status with major milestone update table.	PMO Analyst	Provide baseline vs. actual/forecast.
Budget Status	Spend to date, forecast, variance, and commentary.	Finance Partner	Include variance drivers.
Risks & Issues	Top 5 risks/issues with owners and mitigation status.	PM	Reference risk/issue registers.
Decisions Needed	Approvals or guidance required from leadership.	PM	Include due date and impact of delay.
Upcoming Events	Governance meetings, workshops, deployments.	PMO Comms	Highlight next 2–3 weeks.

Include this table in weekly or biweekly Sponsor reports and archive each issued status report in `/docs/communications/status-reports/`.

Appendix L: Gate Review Deck Outline

1. **Title Slide:** Project name, date, attendees, phase gate being reviewed.
2. **Executive Summary:** Phase 1 objectives and readiness statement.
3. **Governance Overview:** Final hierarchy diagram, decision rights summary, escalation flow.
4. **Deliverable Status Snapshot:** Populate using the Artifact Completion Tracker (color-coded statuses).
5. **Risk & Issue Highlights:** Top risks/issues, mitigation status, heat map snippet.
6. **Stakeholder Engagement:** Influence/interest chart and engagement plan summary.
7. **Communications Readiness:** Channels, cadences, sample status report cadence.
8. **Tooling Compliance:** Repository setup evidence, CI/CD baseline status, access control verification.
9. **Approvals Summary:** Table of Phase 1 documents with approval dates and evidence links.
10. **Exit Criteria & Conditions:** Checklist results, outstanding actions, proposed Phase 2 start date.
11. **Decision Slide:** Go / Go with Conditions / Hold recommendation and signatures.

Store the final deck (PPTX and PDF) under `docs/phase-1/gate-review/` with versioning consistent with naming conventions.

Appendix M: Documentation Style Guide (Phase 1–6)

Element	Guideline
Document Structure	Use headings hierarchy (##, ###) with concise titles; include Purpose, Scope, Responsibilities, Procedures, Evidence Requirements.
Tables	Use tables for deliverable specs, RACI matrices, status trackers; avoid merged cells to keep diff-friendly.
Naming	Apply <code>ProjectIdentifier_Artifact_vYYYYMMDD.ext</code> ; reference naming cheat sheet in Phase 1 configuration plan.
Versioning	Increment version on substantive changes; update document history table with author, reviewer, approver, summary.
References	Include numbered list of policies/standards at end of each phase document.
Cross-Links	Link to related artifacts using relative paths (e.g., <code>/docs/phase-2/...</code>).
Accessibility	Provide meaningful link text, avoid images without alt text, ensure color contrast in diagrams.
Privacy & Security	Redact sensitive data, reference classification level, and place controlled artifacts inside secured directories.
Review Cadence	PMO to review artifacts quarterly (or per phase gate) for compliance; record review outcomes in documentation review log.

Glossary of Phase 1 Terms

- **Executive Sponsor:** Senior executive accountable for strategic alignment, funding, and ultimate project success.

- **Steering Committee:** Governance body providing oversight, resolving escalated issues, and endorsing major changes.
 - **Project Manager (PM):** Individual responsible for day-to-day leadership, documentation, and coordination of initiation activities.
 - **PMO (Project Management Office):** Organizational unit ensuring adherence to standards, providing templates, and auditing compliance.
 - **Phase Gate:** Formal review point validating readiness to move to the next SDLC phase.
 - **Risk Register:** Living document listing uncertainties that may impact objectives, with mitigation strategies.
 - **Issue Log:** Tracker for current problems requiring resolution during initiation.
 - **Decision Log:** Record of key decisions, rationale, and approvers to maintain institutional memory.
 - **RACI Matrix:** Tool assigning responsibility, accountability, consultation, and information roles to tasks.
 - **Version Control:** Systematic management of document revisions using naming conventions and repository tools.
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Acronyms and Abbreviations

- **ADR:** Architecture Decision Record - Document capturing design choices and rationale
- **ARB:** Architecture Review Board - Governance body approving architecture/design decisions
- **BA:** Business Analyst - Role responsible for requirements gathering and analysis
- **CAB:** Change Advisory Board - Governance body approving significant changes
- **CCB:** Change Control Board - Group responsible for approving/rejecting change requests
- **CI/CD:** Continuous Integration/Continuous Delivery - Automated pipeline for build, test, and deployment
- **DoD:** Definition of Done - Agreed criteria for work completion
- **DRY:** Don't Repeat Yourself - Software development principle emphasizing code reuse
- **GDPR:** General Data Protection Regulation - European Union data protection and privacy regulation
- **HIPAA:** Health Insurance Portability and Accountability Act - U.S. healthcare data protection regulation
- **INVEST:** Acronym for crafting good user stories (Independent, Negotiable, Valuable, Estimable, Small, Testable)
- **ISO 20000:** International standard for IT service management
- **ISO 27001:** International standard for information security management systems
- **ISO 31000:** International standard for risk management
- **ITIL:** Information Technology Infrastructure Library - Framework for IT service management
- **KPI:** Key Performance Indicator - Measurable value demonstrating effectiveness
- **MoSCoW:** Prioritization technique (Must, Should, Could, Won't)
- **MPG-002:** Master Project Governance standard document identifier
- **NIST CSF:** National Institute of Standards and Technology Cybersecurity Framework - U.S. cybersecurity framework
- **OKR:** Objectives and Key Results - Goal-setting framework
- **OWASP:** Open Web Application Security Project - Non-profit organization focused on web application security
- **PCI DSS:** Payment Card Industry Data Security Standard - Security standard for payment card data
- **PM:** Project Manager - Role responsible for project coordination and delivery
- **PMO:** Project Management Office - Organizational unit ensuring adherence to standards and methodologies
- **RACI:** Responsible, Accountable, Consulted, Informed - Matrix defining roles and responsibilities
- **RMF-01:** Risk Management Framework document identifier

- **RTM:** Requirements Traceability Matrix - Document linking requirements to design, tests, and deployment
 - **SAST/DAST:** Static Application Security Testing / Dynamic Application Security Testing - Security testing methodologies
 - **SDLC:** Software Development Life Cycle - Process for planning, creating, testing, and deploying software
 - **SLA:** Service Level Agreement - Contractual commitment to service performance levels
 - **SLO:** Service Level Objective - Target metric for service performance
 - **SME:** Subject Matter Expert - Individual with specialized knowledge in a particular domain
 - **SOC/SOC 2:** System and Organization Controls - Framework for security, availability, and confidentiality controls
 - **SOLID:** Software design principles (Single Responsibility, Open/Closed, Liskov Substitution, Interface Segregation, Dependency Inversion)
 - **SOX 404:** Sarbanes-Oxley Act Section 404 - U.S. financial reporting and internal controls regulation
 - **SRB:** Service Review Board - Quarterly governance meeting overseeing operations
 - **SRE:** Site Reliability Engineering - Discipline combining software engineering and operations
 - **TRR:** Test Readiness Review - Meeting confirming prerequisites for formal testing
 - **UAT:** User Acceptance Testing - Testing performed by end users to validate business requirements
 - **WBS:** Work Breakdown Structure - Hierarchical decomposition of project scope into manageable components
 - **WCAG 2.1:** Web Content Accessibility Guidelines 2.1 - International standard for web accessibility
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References

1. MPG-002 Standard ([Standards.md](#)) – Master Project Governance & SDLC.
 2. Organization-specific Portfolio Management Playbook (latest revision).
 3. Corporate Communications Policy Guide (2025 edition).
 4. Risk Management Framework (RMF-01) – Enterprise Risk Office.
 5. Data Handling & Compliance Checklist (if applicable to project domain).
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Document History

Version	Date	Author	Reviewer	Approver	Notes
1.0	2025-11-07	PMO Documentation Lead	PMO Director	Executive Sponsor	Initial release for Phase 1 guidance.