

IT Strategic Project Portfolio - Process Sheets

This document describes in detail the processes that make up the framework of the IT Strategic Project Portfolio (ITSPP). It has been developed within the GrupoM: Redes y Middleware research group at the University of Alicante.

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Table 1. Process P0. Implementation of the IT Strategic Project Portfolio (ITSPP).

Id	P0
Name	Implementation of the ITSPP call
Applicant	President
Input	Request of the CIO to the President to launch the ITSPP call
Output	ITSPP current call status report. Letter from the President. Budget allocated. Call schedule. Evaluation criteria. Associated documents (policies, rules, procedures, etc.) These documents will be controlling in P1-P5)
Authority	President
Accountable	CIO
Responsible	Project Portfolio Office (PPO)
Phase	F1
Initial - Final State	-
Controls	ITSPP operating document (SPOD)
Recourses	Templates of the documents to be generated (standard calendar, form rector's letter, criteria table, model of the call ...)
Mission / objective	Implementation of the next call of the IT Strategic Project Portfolio
Description	<p>The CIO, in a governing board meeting, proposes the opening of the ITSPP call, presents a proposed calendar and evaluation criteria, as well as an estimated budget to carry out the ITSPP.</p> <p>The following documentation should be prepared:</p> <p>Establish criteria to IT Projects evaluation. The Government Team will prepare a set of criteria to be considered in IT project proposals evaluation process. These criteria must reflect the main strategic lines that the Government Team wants to reinforce through the implementation of IT projects. These criteria can be consulted in Fernández-Martínez, A.; Llorens-Largo, F.; Juiz-García, C.; Maciá-Pérez, F. & Aparicio-García, J.M. (2019). <i>Cómo priorizar los proyectos TI estratégicos para tu Universidad</i>. Publicacions Institucionals de la Universitat d'Alacant).</p> <p>Opening of the proposals presentation period. The President will send a letter to main university managers announcing the beginning of the period of IT Project proposals presentation. The letter will also inform about the established criteria to evaluate the submitted proposals.</p> <p>Formal presentation of the call. The CIO calls the different unit managers who can request a project to explain the call.</p>

Table 2. Process P1. Project basic report presentation

Id	P1
Name	Project basic report presentation
Applicant	Requester
Input	Project report
Output	Registered project report
Authority	Promoter
Accountable	Requester
Responsible	Computer application
Phase	F2
Initial - Final State	EI - E01
Controls	SPOD (The report must fit to the form that collect all necessary data to evaluate and prioritize the project)
Recourses	Projects presentation software
Mission / objective	Identification and basic formalization of strategic IT projects
Description	<p>The applicant will fill out the project application using a template and a software application. Applicant should describe the project, the strategic objectives, the justification, the associated costs and benefits, the process; establish risks and identify milestones and indicators to assess the benefits of the project.</p> <p>It is recommended that the applicant inform his promoter of the intention to submit a project.</p> <p>The applicant may request advice from the PPO not only about how to fill out the project application but also about how to elaborate the project report.</p>

Table 3. Process P2. Preliminary Assessment of the Project.

Id	P2
Name	Preliminary Assessment of the Project
Applicant	PPO
Input	Registered project report
Output	Project report valued by the PPO. Rejection of the project. Estimated IT hours to accomplish the project. Assignment of the project to the corresponding IT area.
Authority	PPO
Accountable	PPO
Responsible	Computer application
Phase	F2
Initial - Final State	E01 - E02, EFB
Controls	Strategic plan, internal and external regulations involved, evaluation criteria
Recourses	Structure by areas of the IT Service (ITS). Pre-analysis of the IT Project (by PPO + ITS)
Mission / objective	Viability assessment / clarity / information provided / justification / minimum strategic level /... of the project and of the report
Description	The PPO according to the call and criteria and after analysing the submitted report, will carry out a first evaluation of the project. The PPO may request the advice of the IT Service technicians. In the event of the report does not contain the information necessary to project evaluation, the PPO may request to applicant these deficiencies remedy. In case of this correction does not occur, the PPO may reject the project (EFB) due to lack of information.

Table 4. Process P3. Allocation of Basic Project Resources

Id	P3
Name	Allocation of Basic Project Resources
Applicant	PPO
Input	Project report valued
Output	Project Report Valued + Management + Financing + Promoter's approval
Authority	Promoter
Accountable	PPO
Responsible	ITS
Phase	F2
Initial - Final State	E02 - E03, EFB
Controls	PPO assessment, document with the evaluation criteria
Recourses	Project report, budget allocated, list of submitted projects (those that mainly affect that promoter)
Mission / objective	Assignment of the Project Manager, Financing to the IT project (amount and origin) and the promoter strategic assessment
Description	<p>The CIO and PPO meet with each promoter to review each of their projects.</p> <p>In this phase, the promoter advised by CIO and PPO, reviews the projects to be sponsored by him, gives them the approval, assigns the project manager of each of them if necessary and the amount and financing source. The promoter can reject it (EFB) in the event of the project is not strategic enough or does not have funding to accomplish the project.</p> <p>The promoter's approval includes his strategic and differentiated assessment of his projects.</p>

Table 5. Process P4. Initial Proposal of Project Portfolio Prioritization

Id	P4
Name	Initial Proposal of Project Portfolio Prioritization
Applicant	CIO
Input	All Project reports valued + Management + Financing + Promoter's approval along with the list of rejected projects.
Output	Prioritized projects list and permanently rejected projects list
Authority	CIO
Accountable	PPO
Responsible	PPO + CIO
Phase	F2
Initial - Final State	E03 - E04
Controls	Availability of IT areas hours to deal with new projects
Recourses	-
Mission / objective	Preliminary proposal to the organization of the submitted projects
Description	<p>The PPO will prepare an ordered list of submitted projects according to their strategic value, opportunity, financing, the interests of each promoter and their viability based on IT Service hours availability or the possibility of outsourcing.</p> <p>This list will include the prioritization or planning of the projects to be developed during the next year, as well as a global summary of costs and an executive summary since it should support Management Team for decision-making. Applications submitted by promoters will also be attached.</p> <p>The IT Manager send this proposal to the Government Team and a meeting will be convened whose only point is to discuss this proposal.</p>

Table 6. Process P5. Strategic Project Portfolio Prioritization

Id	P5
Name	Strategic Project Portfolio Prioritization
Applicant	CIO
Input	Prioritized projects list (initial proposal)
Output	Prioritized projects list (final proposal)
Authority	President
Accountable	GB
Responsible	GB
Phase	F3
Initial - Final State	E04 - E05, E06, E07 y EFB
Controls	Document with the project evaluation criteria, budget allocated
Recourses	Executive Summary of Project Portfolio (P4)
Mission / objective	Publish the result of Projects Portfolio Call, which triggers the start of its execution (Phase 4)
Description	<p>IT Project Portfolio Prioritization. Once the proposal has been presented by the IT Manager, the Governing Board (GB), in a face-to-face session, will analyse the proposal in detail, determining if the established order is satisfactory. After the analysis, they may modify the proposed order generating the definitive prioritization proposal which will include the accepted projects (E05), the projects pending of availability (E06), the unplanned projects (E07) and the definitively rejected ones (EFB).</p> <p>IT Project Portfolio Approval. Once the priorities have been established, the Governing Board will approve, preferably by consensus, the IT Project Portfolio formed by projects that will be executed during the next call (generally the following year).</p> <p>IT Project Portfolio Publication. Once the IT Project Portfolio has been approved, a letter will be sent to each applicant announcing the approval of their project and indicating the amount allocated and the planning established to carry it out. The Project Portfolio will also be published on the website of the university for the knowledge of the whole university community.</p> <p>NOTE: Since the project promoters must be present during the meeting of the Government Team where the portfolio is approved, the possibility to file a claim once the IT project portfolio is published is not contemplated.</p>

Table 7. Process P6. Dynamic management of strategic changes in IT projects prioritization

Id	P6
Name	Dynamic management of strategic changes in IT projects prioritization
Applicant	CIO
Input	Prioritized projects list (final proposal)
Output	Prioritized projects list (final updated proposal)
Authority	President
Accountable	GB
Responsible	PPO
Phase	F4
Initial - Final State	E05, E06, E07 – E05, E06, E07
Controls	Regulation or documentation that includes the changes that cause the prioritization review.
Recourses	All resources and controls of the previous processes
Mission / objective	Keep the ITSPP prioritization dynamically updated according to changes
Description	<p>Despite of the fact that this process should be executed exceptionally, it is important to contemplate it due to the inevitable changes of a varied nature taking place during the project execution.</p> <ul style="list-style-type: none">- Changes in that condition or even force the university- Changes in internal regulations that affect not only execution projects but also the pending ones- Changes in university strategy (changes of Management Team, changes in Strategic Plan, etc.)- Changes in resources availability (economic, human, technical, etc.)

Table 8. Process P7. Project Development Governance

Id	P7
Name	Project Development Governance
Applicant	CIO (Automatically according to the F4 phase execution start date proposed in the Call calendar)
Input	Prioritized projects list
Output	The execution reports of each project that has been included in execution process
Authority	GB
Accountable	CIO
Responsible	PPO
Phase	F4
Initial - Final State	E05 – E08 (E09-E10-E11)
Controls	Software Development Process, SPOD
Recourses	Updated execution reports
Mission / objective	Monitoring of the governance of project development.
Description	<p>Management process that models the interaction between management team and software development service. The process also establishes the intervention and follow-up of the project development by the Government Team.</p> <ul style="list-style-type: none">• P7.1. Monitoring execution• P7.2. Strategic suspension• P7.3. Tactical suspension• P7.4. Synchronization with technical resources• P7.5. Strategic reactivation• P7.6. Tactic Reactivation

Table 9. Process P8. End of the Current Projects Portfolio Call

Id	P8
Name	End of the Current Projects Portfolio Call
Applicant	PPO
Input	Current status of the ITSPP
Output	Final executive report of the closing call
Authority	GB
Accountable	CIO
Responsible	PPO
Phase	F5
Initial - Final State	E08 , E05, E06, E07, E09, E10, E11 – EFC o EFA
Controls	SPOD
Recourses	Project execution reports
Mission / objective	Finalize the development activity of the TISPP projects and prepare a set of final reports with the achievements, incidents, proposals, etc. addressed to: <ul style="list-style-type: none">- The GB to making strategic decision- The University Community for accountability
Description	Finally, the P8 process, in phase 5 (conclusion), will oversee two important tasks: closing the projects and reporting about the result of the call to both GB and University Community. It is precisely this last activity which promotes that the solution contribute to another of the main principles of Good Governance, specifically to accountability. The P8 process is the natural process of completion of the processes that have been fully developed.

Table 10. Process P9. Extension of a project execution to the next call

Id	P9
Name	Extension of a project execution to the next call
Applicant	PPO
Input	Ongoing Project on the current call
Output	Ongoing Project on the next call
Authority	CIO
Accountable	PPO
Responsible	ITS
Phase	F5
Initial - Final State	E08 – E08 (next call)
Controls	SPOD
Recourses	Execution report of the projects to be extended.
Mission / objective	Ensure the continuity of an ongoing project that requires a relatively short period of time for its completion
Description	<p>Although P8 process is the natural process of completion of the processes that have been fully developed, the P9 process allows projects that are currently running (status E08), and fulfil some conditions, to be automatically extended in the next call of the portfolio, passing to execution status (E08) of the new call. The considered conditions are:</p> <ul style="list-style-type: none">• Projects without any type of incident that prevents them to advance• Projects with an end date sufficiently delimited in time

Table 11. Sub-process P7.1. Monitoring execution

Id	P7.1
Name	Monitoring execution
Applicant	Automatic
Input	Project execution report
Output	Updated project execution report
Authority	GB
Accountable	PPO
Responsible	ITS
Phase	F4
Initial - Final State	E08 – E09, E10, E11
Controls	Software Development Process, SPOD
Recourses	Updated information about the execution of the process
Mission / objective	Monitor the normal execution of each project, coordinating all the actions and involved agents.
Description	<p>This sub-process is responsible of monitorization of the normal state of execution of each project (E08). The sub-process is in charge of verify that reports are up-to-date, that there are enough resources, that norms or strategic objectives have not changed, that all the actors involved are suitably informed, that there are no notable incidents that can stop or delay the execution of the project.</p> <p>In the event of an incident, and depending on the nature thereof, subprocesses P7.2, P7.3 or P7.4 will be launched, using the states E10, E11 or E09 respectively to the aim of returning the projects to the normal execution (E08 state) as soon as possible .</p> <p>If the project ends properly, the necessary information will be prepared to carry out the P8 process, responsible of closing the current call.</p>

Table 12. Sub-process P7.2. Strategic suspension

Id	P7.2
Name	Strategic suspension
Applicant	Promoter
Input	Project execution report
Output	Updated project execution report
Authority	CIO
Accountable	PPO
Responsible	ITS
Phase	F4
Initial - Final State	E08 – E10
Controls	Software Development Process, SPOD
Recourses	Related strategic information
Mission / objective	Strategic suspension of an ongoing project due to university strategy changes.
Description	This sub-process is invoked when any change or incident is detected in the university strategy that affects a certain ongoing project. The CIO, in agreement with the Project Promoter, will request the suspension of the project, passing from state E08 to state E10 and invoking process P7.5 to try to return the project to its execution state as soon as possible.

Table 13. Sub-process P7.3. Tactical suspension

Id	P7.3
Name	Tactical suspension
Applicant	Project manager
Input	Project execution report
Output	Updated project execution report
Authority	CIO
Accountable	PPO
Responsible	ITS
Phase	F4
Initial - Final State	E08 – E11
Controls	Software Development Process, SPOD
Recourses	Related technical information
Mission / objective	Tactical suspension of an ongoing project due to organic or functional incidents.
Description	<p>This sub-process is invoked when detecting any change or incident of an operational nature (for example, when there are changes in the availability of the groups, units, offices, etc. that are involved in a project). Its mission is to stop the execution of an ongoing project that has been affected by some of the previously mentioned changes or incidents. The project manager, in agreement to the promoter, will request PPO the temporary suspension of the project (E11).</p> <p>Once suspended, the P7.6 sub-process will be invoked immediately to bring back the project to the desirable execution state (E08) when the appropriate conditions will be met again.</p>

Table 14. Sub-process P7.4. Synchronization with technical resources

Id	P7.4
Name	Synchronization with technical resources
Applicant	ITS
Input	Project execution report
Output	Updated project execution report
Authority	ITS
Accountable	ITS
Responsible	ITS
Phase	F4
Initial - Final State	E09 – E08
Controls	Software Development Process, SPOD
Recourses	Related technical information
Mission / objective	Synchronize the execution of a project (meaning stop or reactivate) with the existing technical resources
Description	<p>This process will be activated by ITS when it is detected an incident of a technical nature (for example, a loss of personnel without the possibility of replacement, a delay in the delivery of equipment or software) that affects certain project execution. The project will be temporarily stopping (E09) and the PPO will be informed.</p> <p>Likewise, the sub-process will be remained active whenever there is a project suspended for technical reasons (E09). This subprocess oversee the monitorization of the technical conditions that keep the projects suspended until the appropriate conditions are found to return them to their normal execution state (E08).</p> <p>Projects in technical suspension state (E09) can come from sub-process P7.2, P7.3 or from P7.4 itself.</p> <p>This subprocess provides the necessary autonomy to ITS, so that it can carry out the project technical management (desirably based on the methodologies provided by Software Engineering and international standards). This management should be compatible, synchronized and dependent (thanks to subprocess P7 .1) on the project governance carry out by Governing board.</p>

Table 15. Sub-process P7.5. Strategic reactivation

Id	P7.5
Name	Strategic reactivation
Applicant	Promoter
Input	Project execution report
Output	Updated project execution report
Authority	CIO
Accountable	PPO
Responsible	ITS
Phase	F4
Initial - Final State	E10 – E09
Controls	Software Development Process, SPOD
Recourses	Related technical information
Mission / objective	Propose the execution restart of a suspended project because of strategic reasons.
Description	This sub-process is responsible of monitoring all those projects suspended in E11 state, so that, if the incidents that caused its suspension are resolved, the CIO would request the projects reactivation. The project will be in state E09 awaiting ((sub-process P7.4) to obtain the necessary technical resources to be able to return to the execution state E08.

Table 16. Sub-process P7.6. Tactic Reactivation

Id	P7.6
Name	Tactic Reactivation
Applicant	Project manager
Input	Project execution report
Output	Updated project execution report
Authority	CIO
Accountable	PPO
Responsible	ITS
Phase	F4
Initial - Final State	E11 – E09
Controls	Software Development Process, SPOD
Recourses	Related technical information
Mission / objective	Propose the execution restart of a suspended project because of tactical reasons
Description	This sub-process is responsible of monitoring all those projects suspended in E11 state, so that, if the incidents that caused its suspension are resolved, the Project Manager would request the projects reactivation. The project will be in state E09 awaiting ((sub-process P7.4) to obtain the necessary technical resources to be able to return to the execution state E08.

ACRONYMS

ITSP: IT Strategic Project Portfolio

SPOD: ITSP operating document

PPO: Project Portfolio Office

CIO: Chief Information Officer

ITS: IT Service

GB: Governing board