Directive on Programme Management

Approval Authority:	Director General
	Investment, Procurement and Project Management (IPPM)
Business Owner:	Senior Director, Investment and Performance Management (IPM)
Version:	1.0
Version Date:	October 2, 2019

1 Table of Contents

1 Title

Employment and Social Development Canada (ESDC) – Directive on Programme Management.

2 Effective Date

This directive takes effect on October 11, 2019.

3 Authorities

The authorities described in section 9, Oversight and Compliance of the *ESDC Policy on Project and Programme Management* apply to this directive.

The Senior Designated Official (SDO) is responsible for establishing, documenting, and maintaining a department-wide project and programme management framework consisting of processes, systems, and controls anchored in professional best practices.

The Director General, Investment Procurement and Project Management (IPPM) has the delegated authority to amend and / or rescind the mandatory procedures related to this directive.

4 Application and Exception

4.1 Application

This directive applies to all personnel accountable or responsible for operating in an ESDC programme environment as specified in Section 5 of the *ESDC Policy on Project and Programme Management*.

Assistant Deputy Ministers are responsible for ensuring that the performance agreements of all branch executives have specific, measurable objectives including alignment to this directive, as follows:

- Anyone managing a programme, or a project(s) within a programme, must follow the processes and standards for programme management as defined in this directive; and

- Appropriate approvals are sought and received for all programmes and their respective projects at the specified phases and gates or important milestones in accordance with the programme governance structure defined herein.

The information contained herein is consistent with, and serves to support compliance to, the Treasury Board (TB) *Policy on the Planning and Management of Investments* in force as of April 11, 2019 as well as other related TB directives. In the event of a conflict, TB policy or directives will take precedence.

4.2 Exception

This directive does not apply to stand-alone projects. The ESDC *Directive on Project Management* set the requirements for managing a single project. Projects within a programme require a different approach and supporting artefacts, details of which have been provided in Appendix C: Programme Management Process.

5 Introduction

5.1 Background

Programme management is recognized as a key tool to enable organizations to deliver their strategies and manage complex transformational change. It provides the means of managing and coordinating a combination of outputs from a number of linked projects and business change activities in order to deliver outcomes leading to business Benefits related to the organization's strategic objectives.

This directive builds on the foundational approach for ESDC to effectively direct and manage programmes, and supports ESDC's *Policy on Project and Programme Management*. It applies to all programmes and their constituent projects managed by ESDC unless otherwise specified.

In January 2017, ESDC released its first programme management approach as part of the Project and Program Management Framework and Foundation.

Programme management continues to evolve within the Canadian Federal Government and, as such, TB has issued two new policy instruments:

- *Policy on the Planning and Management of Investments*; and
- *Directive on the Management of Projects and Programmes*.

5.2 Purpose

This directive supports the ESDC's *Policy on Project and Programme Management* and provides direction on decision-making and governing activities within the programme management environment. As such, it will:

- Promote a positive programme management culture by defining common processes based on industry standards;
- Ensure programme governance and controls are applied and effective;
- Define key programme roles and responsibilities;
- Establish key decision points and assurance functions throughout the life of the programme; and
- Support accountability and transparency for programmes.

6 Requirements

6.1 Treasury Board Requirements

Programmes may be required to submit their information to TB for both programme approval and expenditure authority, where applicable, as per the TB *Directive on the Management of Projects and Programmes.*

Table 1: Programme Approval Limits

Approval Limits
ESDC may consult with Treasury Board of Canada Secretariat (TBS) early in the programme life cycle to confirm the requirements and processes to support a request for programme approval.

6.1.1   Programme TB Submissions

TB submissions for programme approval and expenditure authority are coordinated through ESDC's Chief Financial Officer Branch's (CFOB) Submission Control Unit (SCU).

6.2   Programme Governance and Authority Levels

6.2.1   Programme Authority Levels

Programmes within ESDC must follow the gating authorities as defined in Table 2: Programme Governance Authorities and Table 3: Programme Project Governance Authorities.

Table 2: Programme Governance Authorities

Governing Bodies	Gate 0	Phase-Gate 1	Phase-Gate 2	Phase-Gate 3	Phase-Gate 4
		Identifying a Programme	Defining a Programme	Managing the Tranches[1]	Closing a Programme
MPIB	A	E	E	E	E
Sponsoring Group	-	A	A	A	A
Programme Sponsor (ADM)	E	C	C	C	C
Treasury Board	-	PgA, EA*	PgA, EA*	PgA, EA*	A*
TBS OCIO	-	E*	-	-	-

if applicable

Table 3: Programme Project Governance Authorities

Phase-Gate 3 Managing the Tranches	For every tranche in a programme		
	Stage A	Stage B	Stage C
Programme Sponsor	A	A	A
Programme Manager	E	E	E
Project Sponsor(s)	C	C	C

Once the Tranche Plan is approved, the Programme Sponsor has the authority to approve project stage A, B and C within the agreed tranche tolerances.

Legend for Tables 2 & 3	
A	Approves – Approval to proceed
E	Endorses – Confirm commitment to support the programme or project
C	Confirms readiness
PgA	Ongoing programme approval
EA	Expenditure authority for the next phase / tranche
Project Stages within a tranche	Stage A – Planning
	Stage B – Delivery
	Stage C – Project handover and closure

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[1]A tranche is made up of one or more projects and activities, which delivers a step change in capability for the organization. Programmes will have one or more tranches.

6.2.2 Programme Governance

Programme governance is a combination of executive and management roles, boards, committees, and programme oversight functions organized into an effective programme management structure. This combination is comprised of authorizing, directing and overseeing management, which guides the achievement of the business outcomes and measures the ongoing contribution of the programme to achieve its Benefits.

Programme governance has multiple dimensions. This section describes the roles and responsibilities and reporting structures involved in programme governance.

6.2.2.1 ESDC Governance Boards and Committees

ESDC's governance structure includes several oversight functions with defined roles and responsibilities. These functions have been identified as playing a key role in the effective delivery of an ESDC programme. Governance boards and committees' responsibilities include:

- providing strategic direction and guidance for programmes;
- reviewing and monitoring progress;
- providing recommendations on programme approaches; and
- contributing to programme strategies and opportunities for planning and implementation.

It should be noted that the roles and responsibilities of the following governing bodies are respective of the programme environment only and do not include other responsibilities that they may carry out for the department.

6.2.2.2 Sponsoring Group

The programme Sponsoring Group within ESDC is typically one of the existing Tier 2 governing bodies.

The Sponsoring Group provides a programme with strategic direction and alignment throughout the programme life cycle, and approves the investment decision to proceed from one phase / tranche to another prior to submission to TB, if applicable.

The Sponsoring Group is accountable to the Portfolio Management Board (PMB) and briefs on the programme's progress as required, including through regular meetings of the Executive Committee (ExCom) and sharing of the Sponsoring Group Records of Decision.

6.2.2.3 Major Projects and Investments Board

The Major Projects and Investments Board (MPIB) provides oversight for all programmes and their projects. All programmes must be brought to MPIB for review and endorsement prior to TB submission for programme approval and expenditure authorization.

MPIB endorses progress in relation to the available capacity and capability within the context of the overall portfolio of programmes and projects.

6.3 Reporting and Escalation

Reporting and escalation for ESDC programmes is illustrated in Diagram 1: ESDC Programme Framework.

Diagram 1: ESDC Programme Framework

ESDC Programme Framework

Legend:
- REPORTING
- ESCALATION
- COMPLIANCE
- ACCOUNTABILITY

- While the Sponsoring Group should typically be one of the existing Tier 2 Committees e.g. SMC/CMC, there are occasions when an alternative Sponsoring Group may be created to facilitate a programme of significant size or complexity.
- The Programme Sponsor is also referred to as the Senior Responsible Owner (SRO) within Programmes in ESDC

6.4 Programme Identification

Programme management is acknowledged as being an effective way in which organizations deliver large-scale transformational change in the most beneficial way. The programme environment is designed to handle a level of uncertainty, which comes from the delivery of large-scale complex change. Some of the characteristics associated with programmes include being:

- Cross-cutting;
- Multi-disciplinary;
- Risky;
- Ambiguous around the overall implication of the changes;
- Longer in duration (spanning years rather than months);
- Influenced by a wide range of interested parties with differing degrees of commitment;
- Having an impact on a wide range of stakeholders, some of whom may be disadvantaged by the change; and
- Liable to change direction based on experience, changing strategic priorities and / or external events.
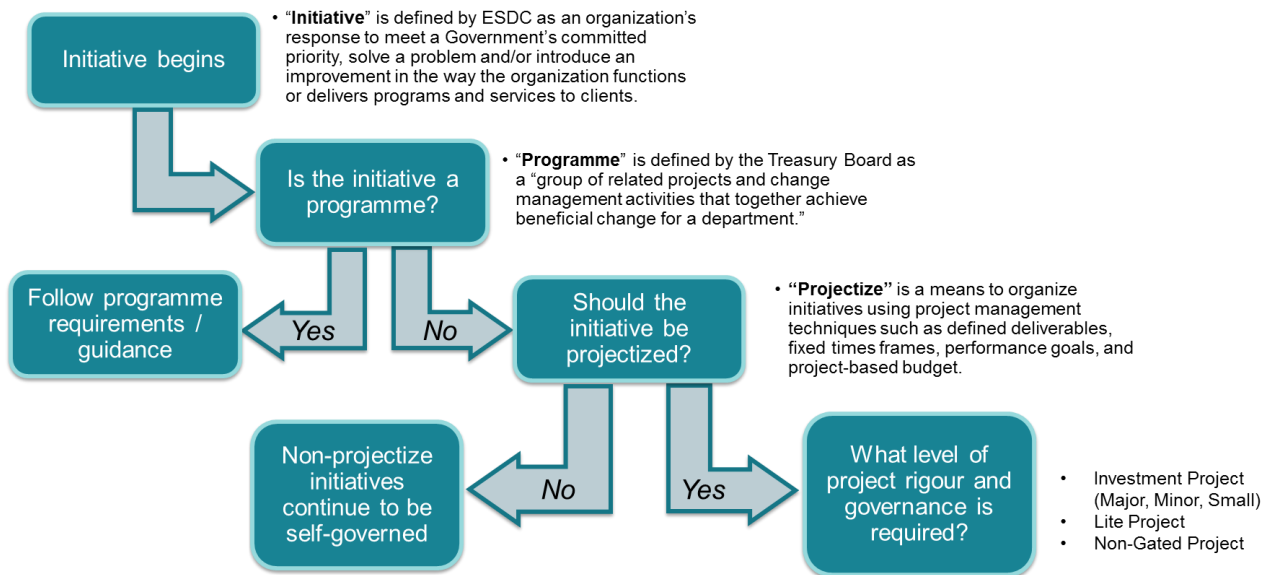
Diagram 2: Initiative Decision Tree illustrates where an initiative is typically identified as a programme.

Diagram 2: Initiative Decision Tree

- "**Initiative**" is defined by ESDC as an organization's response to meet a Government's committed priority, solve a problem and/or introduce an improvement in the way the organization functions or delivers programs and services to clients.

- "**Programme**" is defined by the Treasury Board as a "group of related projects and change management activities that together achieve beneficial change for a department."

- **"Projectize"** is a means to organize initiatives using project management techniques such as defined deliverables, fixed times frames, performance goals, and project-based budget.

- Investment Project (Major, Minor, Small)
- Lite Project
- Non-Gated Project

6.5   Programme Management Life Cycle

The programme management life cycle is comprised of four phases, which is designed to govern work and underpin delivery of the programme from start to finish. It includes key activities, supporting artefacts, approval gates / decision points, and assurance reviews.

The programme phases are:

- Identifying a Programme;
- Defining a Programme;
- Managing the Tranches; and
- Closing a Programme.

Each phase is described in detail in sections 6.5.1 to 6.5.4 below. Projects within a programme are covered within this directive and a programme management process model can be found in Appendix C: Programme Management Process. The roles and responsibilities involved in the programme management process are more fully described in Section 6.6: Programme Roles and Responsibilities.

To move from one phase to another, approval to proceed must be sought from and granted by the Sponsoring Group at each phase-gate. If applicable, programme approval and expenditure authority to proceed must be granted by TB.

One of the principles of programme management best practices is learning from experience. As such, lessons will be captured throughout the programme life cycle at every phase and consolidated at the end of the programme.

Prior to approval to proceed being sought, the Programme Sponsor must initiate an assurance review and should ensure that an independent review is completed at the end of Defining a Programme, at the end of each tranche within Managing the Tranches excluding the final one, and at the end of Closing a Programme.

For Treasury Board submissions, programmes will follow ESDC's current submission process. It is recognized that programmes with a total value exceeding its expenditure authority must prepare a submission for every phase after the first phase - Identifying a Programme.

All projects within a programme are required to complete a PCRA in Managing the Tranches, Stage A (Planning). The project gates and stages within a programme are addressed in the programme management life cycle found in Appendix B: Programme Management Life Cycle.

6.5.1   Phase 1 – Identifying a Programme

Identifying a Programme is the first phase in which a high-level strategic idea is converted into a tangible business concept. Before an initiative can proceed to the Identifying a Programme phase, a Programme Proposal must be prepared, and approved by MPIB.

Key programme activities include:

- Confirming the programme's Sponsoring Group on the advice of the SDO, and appointing the Programme Sponsor;
- The Programme Sponsor establishing the Programme Board; and

- The Programme Sponsor approving and submitting a Concept Case[2] to TBS Office of the Chief Information Officer (OCIO) if the programme includes a digital element. The content of the Concept Case has been incorporated into the Programme Brief and, as such, will act as the Concept Case for submission to OCIO. This is based on the assumption that all programmes with a digital component will have a value of over 5 million dollars.

The following artefacts support this process:

- Programme Brief;
- Programme Preparation Plan; and
- Costing Tool.

These artefacts help the Sponsoring Group decide if there is sufficient Benefit in the programme to proceed to the Defining a Programme phase prior to committing effort and additional funds.

6.5.2   Phase 2 – Defining a Programme

Defining a Programme outlines the activities, processes, structures, and mechanisms for managing and delivering the programme.

Key programme activities include:

- Identifying, mapping and profiling Benefits;
- Designing the Blueprint;
- Planning the programme;
- Conducting a Privacy Checklist for the programme;
- Defining the programme organization structure and governance arrangements for the remainder of the programme;
- Defining the programme management activities;
- Developing stakeholder engagement and communication approaches; and
- Preparing the plan for the next phase.

The following artefacts support this process:

- Blueprint;
- Projects Dossier;
- Programme Plan;
- Programme Business Case;
- Programme Definition Document;
- Programme Governance Strategies;[3]
- Updated Costing Tool;
- Tranche 1 Plan; and
- Draft Programme Project Charters for the projects in Tranche 1.

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[2] It has been agreed with OCIO that, as the Programme Brief contains similar content to the Concept Case, it can be submitted in lieu of the Concept Case.

[3] Key elements of the Procurement Plan are addressed in the Resource Management Strategy, one of the seven Governance Strategies and the Resource Management Plan which forms part of the Programme Plan. This includes the procurement approach and reference to current contract frameworks or arrangements that will be used.

A number of these artefacts are developed concurrently and assure the Sponsoring Group that the programme is sufficiently well defined and has the necessary structure in place before delivery of the programme can begin.

At the end of Defining a Programme, much of the information relating to project justification and initiation is captured within the programme documentation.

6.5.3 Phase 3 – Managing the Tranches

Managing the Tranches sets out the core activities for ensuring progress and control of programme delivery. The project outputs create new and changed business capabilities that result in the achievement of Benefits. Programmes are likely to deliver new capabilities through multiple tranches.

Key programme activities include:

- Management activities:
    o Monitoring and control of projects and transition activities;
    o Resource management;
    o Financial management;
    o Change control;
    o Information management;
    o Quality management;
    o Risks and issues management; and
    o Progress reporting.

- Programme delivery activities:
    o Blueprint management;
    o Benefits management;
    o Stakeholder engagement and communication;
    o Business case management;
    o Transition management;
    o Third-party review; and
    o Project delivery activities (including PCRAs and Privacy Impact Assessments).

This process will be supported by the following artefacts:

- Tranche Plan (for the next phase);
- End of Tranche Review Report;
- Updated Costing Tool;
- Draft Programme Project Charters for the next tranche; and
- Independent third-party review.

These programme artefacts are produced at the end of each tranche to demonstrate to the Sponsoring Group and TB that the programme has effectively managed the delivery of the capability and its transition into operational use. In addition, they provide a plan for the next tranche of work.

A full review of the programme must be carried out by assurance at the end of each tranche to assess its ongoing viability and ensure that the delivery options and alignment with strategy remain optimal.

In Managing the Tranches, each project is required to do more detailed planning before executing the delivery, transitioning to operations, and closing out.

Additional detail on the required project artefacts within Managing the Tranches is provided in Appendix C: Programme Management Process.

6.5.4 Closing a Programme

The Closing a Programme phase confirms the formal completion of the programme. The programme is considered completed when the required new capabilities described in the Blueprint have been delivered and the outcomes have been assessed using Benefit measures.

Key programme activities include:

- Confirming arrangements for Benefits realization beyond programme closure is in place;
- Consolidating and sharing lessons learned;
- Completing a third-party final review;
- Endorsing the recommendations to confirm programme closure;
- Authorizing and sign-off of programme closure; and
- Disbanding the programme organization and supporting functions.

This process will be supported by the End Programme Report.

For programmes closing prematurely, along with the programme activities listed above, any remaining projects that are still required by the organization need to be re-assigned to the business.

6.6 Programmes Roles and Responsibilities

The roles required in a programme organization must include (but are not limited to):

- Programme Sponsor[4];
- Programme Manager; and
- Business Change Manager (BCM).

Table 4: Programme Roles and Responsibilities provides a high level description of the key roles within a programme organization.

Table 4: Programme Roles and Responsibilities

Role	Description
Deputy Minister	The Deputy Minister is responsible for appointing the Programme Sponsor via the Statement of Accountabilities and Responsibilities (SAR) letter [5] (Appendix A: Statement of Accountabilities and Responsibilities Letter). The Deputy Minister and Programme Sponsor will sign the SAR letter following the advice from the Senior Designed Official.

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[4] The Programme Sponsor may also be referred to as the Senior Responsible Owner (SRO) within ESDC.

[5] ESDC SAR letter is the equivalent of the Appointment Letter referred to in the TB Policy on the Planning and Management of Investments, section 4.1.14

Role	Description
Programme Sponsor	A Programme Sponsor is an ADM-level role appointed to a programme within ESDC at the outset of the Identifying a Programme phase. They are accountable for the success of the programme and responsible for providing leadership and direction throughout the programme. The Programme Sponsor is directly accountable to the Deputy Minister for the effective design, implementation, and delivery of all programmes and projects under his or her direction. All appointed Programme Sponsors are required to sign the SAR letter that documents their accountabilities and authorities for their respective programme.
Programme Manager	The Programme Manager is a single role responsible for setting up and managing the programme through to closure. The role provides the day-to-day management of the programme, including: • setting up the governance strategies for the programme; • managing the programme budget; and • ensuring delivery of organizational capabilities from project deliverables that meet business requirements.
Business Change Manager (BCM)[6]	The BCM is responsible for realizing the Benefits of the programme by embedding the capability into business as usual. The BCM must be "from the business" in order to provide a bridge between the programme and the business operations. Depending on the scope of the programme there may be more than one BCM. Specifically, the BCM is responsible for: • accepting the outputs of projects as fit for purpose; • implementing the changes necessary for the realization of the Benefits; and • monitoring and reporting on Benefits measures. The BCM must be engaged in: • defining the Benefits the programme will achieve; • defining the future operating state; and • assessing progress towards Benefits realization.

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[6] The BCM is the business owner or a representative of the business owner who bridges the gap between the programme and the business operations.

Role	Description
Programme Board	The Programme Board provides the guidance required to drive the programme forward and ensures that planned outcomes and Benefits are delivered within the agreed boundaries. The Programme Board is chaired by the Programme Sponsor having been delegated the accountability by the Deputy Minister to deliver the programme. Each member of the Programme Board is answerable to the Programme Sponsor for his or her area of responsibility and delivery.
	The Programme Board must consist of the Programme Sponsor, the Programme Manager, and the Business Change Manager(s). Additional resources may be invited to join the Programme Board meetings as required, to provide advice and expertise throughout the programme life cycle. However, they do not necessarily remain members of the Programme Board through to Closing a Programme.
Programme Management Office (PgMO)	The Programme Management Office is created within the programme to support the Programme Sponsor and Programme Manager. It is the information hub responsible for coordinating communication and monitoring and control activities for the programme.
Project Sponsor(s)[7]	The Project Sponsor role is accountable for the project's objectives and delivering the outputs to achieve the forecasted Benefits. The Programme Sponsor is responsible for appointing the Project Sponsor for each project during Defining a Programme or at the beginning of a new tranche.
Programme Assurance	Assurance is an independent systematic set of actions necessary to provide confidence to the Programme Sponsor and stakeholders that the programme, or any one of its projects and activities, is on track. It also confirms that the programme is applying best practice and that the business rationale for the programme remains aligned with the organizational strategy. Additional information on this will be available in the *Directive on Assurance*.

[7] The Project Sponsor can also be referred to as the Executive Project Sponsor in ESDC.

Role	Description
Programme Management Advisor (PgMA)	The Programme Management Advisor is responsible for providing guidance, answering questions about departmental standards and processes, and ensuring effective best practices in programme management are being applied.
Financial Management Advisor (FMA)	The Financial Management Advisor is responsible for: • Establishing appropriate costing throughout the programme lifecycle, ensuring proper alignment to departmental standards and providing a challenge function; • Supporting the Programme Sponsor on identifying a funding strategy; and • Supporting the programme by ensuring proper financial information is available and accurate for required reports.

7 Consequences of Non-Compliance

Based on the *ESDC Policy on Project and Programme Management*, non-compliance with this directive will give rise to a denial in advancing through the programme life cycle and rejection of further investment expenditure on the proposed programme. This is subject to review by the SDO for the management of projects and programmes, holding delegated authority from the Deputy Minister for the management of projects and programmes within ESDC.

8 References

8.1 Related Directives

- *Treasury Board Directive on the Management of Projects and Programmes*
- *ESDC Directive on Benefits Management*
- *ESDC Directive on Assurance (in development)*
- *ESDC Directive on Project Management (In development)*
- *ESDC Directive on Risk Management (In development)*

8.2 Other Related References

- *Treasury Board Policy on the Planning and Management of Investments*
- *ESDC Policy on Project and Programme Management*
- *Managing Successful Programmes (MSP)®[8]*

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[8] MSP® is a registered trademark of AXELOS Limited. All rights reserved.

9 Enquiries

Direct all enquiries about this directive to the Enterprise Project Management Office:

NC-BGPE-EPMO-GD@hrsdc-rhdcc.gc.ca

Appendix A: Statement of Accountabilities and Responsibilities Letter–Example

Accountability and Responsibility as Programme Sponsor

I am writing to set out your responsibilities as Programme Sponsor for the …………………………… Programme with effect from ……………………. You will undertake this role alongside your other accountabilities. I want to thank you for agreeing to take on responsibility for the delivery of this programme and the realization of the expected Benefits. This is a significant undertaking and I want to assure you of my support for you in this role.

You will be directly accountable to me as Deputy Minister XX for ensuring the delivery of the programme, and the realization of agreed Benefits, for securing and protecting its vision, for ensuring that it is governed responsibly, reported accurately, escalated appropriately and for constructively influencing the context, culture and operating environment of the programme. A more detailed description of your accountabilities as Programme Sponsor is set out in *Annex 1* (Insert Programme Sponsor Accountabilities as Annex 1).

You are expected to ensure effective reporting of programme progress to the appropriate governance bodies so that the delivery of the programme is open, transparent, and visible to relevant senior management roles within ESDC and Treasury Board.

Objectives of the Programme

This should contain a high-level description of the programme together with key objectives, as well as outcomes and Benefits to be achieved e.g.

Description of the Programme

(Insert brief description of the Programme)

Objectives for the programme

The key objectives are to ensure: Those following are provided for guidance

- Legal compliance – Specify this
- Programme is adequately resourced with the right skills and capabilities to deliver the requirements together with smooth transition into business as usual
- Evidence that relevant, auditable documentation exists in line with departmental expectations for programmes and that there are milestones for delivery
- Suppliers and partners are effectively managed throughout the delivery life cycle
- Ensure key stakeholders are updated with, and have the opportunity to, input into delivery progress and the management of key risks and issues.

Extent and Limit of Accountability and Authority

The Programme will work with and be subject to the ESDC Corporate Governance structure. The Programme Sponsor's extent of accountability is subject to departmental approvals and investment rules and to CFO overall responsibility for ESDC funding and budgeting.

The Deputy Minister and Programme Sponsor will agree in this section on depth / level of decision making authority the Sponsor has for the Programme (e.g., financial, Benefits, scope, etc.). Note: This is likely to be different for each programme.

Tenure of Programme Sponsor Role

You will be required to undertake the role until managed closure of the programme is achieved or, by agreement, until delivery of a specific milestone, end of tranche or gate is achieved. There

may be occasions where this cannot be achieved and therefore your tenure as Programme Sponsor may come to an end by mutual agreement. Where the role of Programme Sponsor is being passed on to another individual, you will ensure that a comprehensive hand over to the new Programme Sponsor has been carried out.

If at any point during your tenure as Programme Sponsor, you feel you cannot appropriately discharge your duties because of conflicting work commitments or other reasons (e.g. major issues arise) you should raise these directly with me immediately.

Powers of Intervention

In the event that the programme is failing to achieve its objectives or to achieve this in a manner inconsistent with the interests of the department, I reserve the right to intervene to enable me to provide additional support or guidance to the Programme Sponsor.

Development

It is your responsibility as Programme Sponsor to ensure that you and your programme team under take appropriate training and continuous professional development as may be required to achieve the objectives of the programme. You must ensure that those who work on the programme in support of you (and specifically the Programme Manager and Business Change Manager(s)) have the necessary skills and / or provide the necessary training to support them in the delivery of their duties. This requirement for key programme roles being trained can be incorporated into their roles and responsibilities.

Key elements of the Programme Sponsor role

I would like to highlight some key elements of the Programme Sponsor role on which your success will be measured. These include:

- All necessary approvals obtained for the programme's business case.
- Expected Benefits realized.
- Approved budgets and resources managed effectively ensuring value for money.
- Plans and subsequent execution meet the agreed timelines.
- Programme risks effectively managed.
- Effective engagement with the programme's key stakeholders.

I would like to take this opportunity to wish you every success in your role as Programme Sponsor.

Signature of the Deputy Minister

………………………………………

I confirm that I accept my responsibility as Programme Sponsor including my personal accountability for implementation of the ………………. Programme as detailed in the letter above.

Name of Programme Sponsor:

Signature of Programme Sponsor

Date:

Appendix B: Programme Management Life Cycle

Programme Approval

Expenditure Authority   Expenditure Authority   Expenditure Authority   Expenditure Authority

Approval   Blueprint   Approval   End of Tranche Review   End of Tranche Review   End of Programme Review

Identifying a Programme	Defining a Programme	Managing the Tranches: Delivering Capabilities and Realizing Benefits	Closing a Programme
Converts a high-level strategic priority into a tangible business concept	Fully defines the programme and delivers the detailed business case	Harnesses project outputs to create new and changed business capabilities (outcomes) and realize Benefits	Confirms that transition to operations for benefits realization is stabilized
• Programme Brief • Programme Preparation Plan • Costing Tool	• Blueprint • Programme Plan • Business Case • Governance strategies • Programme Definition Document • Projects Dossier • Programme Project Charters • (First) Tranche Plan • Benefits Profile	• Tranche Plans • Programme Status Reports • Updated Risks and Issues Registers • Capability Transition Plan • End of Tranche Review Report	• End of Programme Report • Lessons Learned Report

Tranche 1   Tranche 2   Tranche 3

Gate 0, 1 and 2 equivalent at Tranche start

A   B   C   Realizing the Benefits

A   B   C   Realizing the Benefits

A   B   C   Realizing the Benefits

A   B   C   Realizing the Benefits

A   B   C

Gate 3 = A
Gate 4 = B
Gate 5 = C

Appendix C: Programme Management Process

ESDC Programme Management Process

	Strategic Need	Tangible Business Concept	Blueprint and Governance	Stepped Change in Capability	Stepped Change in Capability	Blueprint Delivered
	Phase 0	Phase 1	Phase 2	Phase 3		Phase 4
	Pre-Identifying (0)	Identifying a Programme (1)	Defining a Programme (2)	Managing the Tranches (1st Tranche) (3i)	Managing the Tranches (subsequent tranches) (3ii)	Closing a Programme (4)
GOVERNANCE ▶	MPIB	Sponsoring Group & MPIB*	Sponsoring Group & MPIB*	Sponsoring Group & MPIB*	Sponsoring Group & MPIB*	Sponsoring Group & MPIB*
RESPONSIBLE ▼ — PROGRAMME GATING ARTEFACTS ▼						
Programme Sponsor (ADM)	Programme Proposal Deck	Programme Brief TB Submission**	Programme Business Case TB Submission*	Programme Business Case (updated) TB Submission*	Programme Business Case (updated) TB Submission*	End of Programme Report Programme Lessons Learned Report
Programme Assurance		Phase-Gate Review Independent Third-Party Review**	Phase-Gate Review Independent Third-Party Review	Phase-Gate Review Independent Third-Party Review	Phase-Gate Review Independent Third-Party Review	Phase-Gate Review Independent Third-Party Review
Programme Manager		Programme Preparation Plan Programme Costing Tool	Blueprint Programme Definition Document Programme Strategies Projects Dossier Programme Plan Draft Programme Project Charters for Tranche 1 Programme Costing Tool (updated) Tranche Plan for tranche 1	Updated Programme documentation (Inc. Programme Plan) End of Tranche Review Report Tranche Plan (for the next tranche) Draft Programme Project Charters (for projects in next tranche) Programme Costing Tool (updated) Capability Transition Plan (with BCM(s))	Updated Programme Documentation (Inc. Programme Plan) End of Tranche Review Report Tranche Plan (for next tranche) Draft Programme Project Charters (for projects in next tranche) Programme Costing Tool (updated) Capability Transition Plan (with BCM(s))	Update and closeout Programme Documentation (Inc. Programme Plan actuals and Benefits Realization) Programme Costing Tool (final)
Business Change Managers			Benefit Profiles	Benefit Profiles - Updated	Benefit Profiles - Updated	Benefit Profiles - Updated
RESPONSIBLE ▼ — PROGRAMME PROJECT GATING ARTEFACTS ▼						
Project Sponsors				Programme Project Charters Programme Project Business Case(s)	Programme Project Charters Programme Project Business Case(s)	
Project Managers				Project Management Plan(s) PCRA(s) Project Costing Tool(s) (updated) Project Closure Report(s)	Project Management Plan PCRA(s) Project Costing Tool(s) (updated) Project Closure Report(s)	
RESPONSIBLE ▼ — PROGRAMME SUPPORTING ARTEFACTS ▼						
Programme Manager			Programme Risk Register Programme Issue Register Lessons Learned Log Privacy Checklist Asset Under Construction Request (C) Request for Information (C) Project Costing Tool(s)	Request for Proposal(s) (C)	Request for Proposal(s) (C)	
Project Managers				Stages A-B-C Schedule(s) Privacy Impact Assessment (C) Acceptance Report(s) Lessons Learned	Stages A-B-C Schedule(s) Privacy Impact Assessment (C) Acceptance Report(s) Lessons Learned	
Business Analysts				Detailed Requirements Doc(s) (C)	Detailed Requirements Doc(s) (C)	
Project Assurance				Project Gate reviews for stages A, B & C for each project within the tranche	Project Gate reviews for stages A, B & C for each project within the tranche	

*Submission to Treasury Board as required for ongoing Programme Approval and Expenditure Authority
**An TB Submission and Independent Third Party Review will be conducted if Treasury Board funding is required for Phase 2: Defining a Programme
[v0.7]

C = Conditional if required

Tranches in Phase 3 will be numbered as follows:
- Tranche 1 – 3i
- Tranche 2 – 3ii
- etc.

Appendix D: Definitions

Benefit – The measureable improvement resulting from an outcome perceived as an advantage by one or more stakeholders, and which contributes towards one or more organizational objectives.

Capability – The completed set of project outputs required to deliver an outcome. It is a service, function, or operation enabling the organization to meet the business need.

Concept Case – A Concept Case is an examination of a business problem or opportunity for which a digital project may be established and includes a description of the conceptual future state and intended outcome(s) that are expected to result from the investment.

Governance Strategies – To enable a programme to manage its activities effectively a set of governance's strategies are created by the programme. These include:

- Risk and Issue Management;
- Monitoring and Control;
- Information Management;
- Quality and Assurance Management;
- Stakeholder Engagement;
- Resource Management; and
- Benefits Management.

Initiative – An organization's response to meet a Government's committed priority, solve a problem, and/or introduce an improvement in the way the organization functions or delivers programs and services to clients.

Outcome – A new operational state achieved after transition of the capability into live operations.

Output – A deliverable of the investment, such as a product, service, or other solution to the problem.

Phase(s) – Activities which are carried out during the life cycle of a programme are broken down into phases which are designed to govern work and underpin delivery of the programme from start to finish. Each phase will include key activities, supporting artefacts, assurance reviews, and approval gates / decision points.

Programme – A group of related projects and change management activities that together achieve beneficial change for a department.

Programme Assurance – An independent systematic set of actions necessary to provide confidence to the Programme Sponsor and stakeholders that the programme, or any one of its projects and activities, is on track. It also confirms that the programme is applying best practice and that the business rationale for the programme remains aligned with the organizational strategy.

Programme Governance – The way in which a programme organizes itself to collaboratively conduct and implement a policy, project, programme, framework or horizontal initiative, including the development and implementation of process and control structures for decision-making, reporting and evaluation.

Programme Management – The coordinated management of projects and change management activities to achieve beneficial change.

Project – An activity or series of activities that has a beginning and an end. A project is required to produce defined outputs and realize specific outcomes in support of a public policy objective, within a clear schedule and resource plan. A project is undertaken within specific time, cost and performance parameters.

Tolerances – Tolerances are the boundaries permitted (approved) deviation from planned parameters. Usually these will be increase or decrease from planned cost / risk / time / quality.

Tranche – A tranche is made up of one or more projects or activities, which delivers a step change in capability for the organization. It includes transition activities to achieve the outcomes defined for the tranche, and provides a control point at which the programme can be redirected or stopped.

Transition Management – During the delivery of the programme, the outputs of the projects are implemented into the operational environment. The management of the transition activities requires the pre-transition activity (preparation), the transition activity itself, and post-transition activity (stability of the new operation resulting in achievement of outcomes and Benefits).

Appendix E: Programme Artefacts Definitions

Identifying a Programme

Programme Brief

The Programme Brief documents the programme concept and provides the basis for an initial assessment of the viability and achievability of the programme. It presents the high-level business case for the programme.

Note: This document also supports the submission of the TBS Concept Case for programmes proposing a digital solution.

Programme Preparation Plan

The Programme Preparation Plan documents how the Defining a Programme phase will be undertaken, including what will be delivered and how activities will be managed.

Defining a Programme

Blueprint

The Blueprint contains a more detailed description of the future state based on the vision, planned outcomes and desired Benefits described in the Programme Brief and the analysis from the detailed Benefits mapping exercise.

The Blueprint is a model of the future organization in terms of processes, organizational capability, technology (which includes infrastructure), and information. This model may be represented in a number of business operation transitional states before achieving the desired end state (future state) to depict the step changes toward the end state.

Programme Plan

The Programme Plan is used to control and track the progress and delivery of the programme and resulting outcomes. It includes the; Benefits Realization Plan; Information Management Plan; Quality and Assurance Plan; Resource Management Plan and Programme Communication Plan. Constituent project plans will be aligned with, but will not be embedded in the Programme Plan in all their detail.

Programme Business Case

The Programme Business Case validates the initiation of the programme. As the programme moves through its life cycle, the Programme Business Case is used to assess the ongoing viability of the programme. It is actively maintained throughout the life of the programme and will be continually updated with new information on Benefits, costs, and risks. The Programme Business Case incorporates elements of individual Business Cases for every project in the Programme's Projects Dossier.

Programme Definition Document

The Programme Definition Document is used to consolidate or summarize the information that has been used to define the programme.

Programme Governance Strategies

Programme Governance Strategies provide a vehicle for ensuring the integration of governance approach. They set out the "why" and "how" the programme will take to achieve its outcomes and Benefits. The seven (7) programme strategies used at ESDC are Resource Management, Monitoring and Control, Information Management, Quality and Assurance Management, Risk and Issue Management, Stakeholder Engagement, and Benefits Management.

Projects Dossier

The Projects Dossier provides a list of the programme's projects, together with high-level information of projects required to deliver the Blueprint. This document will need to be updated during the programme life cycle to reflect any changes.

Tranche Plan

The Programme Tranche Plan is a plan that describes how the next tranche capabilities will be delivered, transitioned, and stabilized into the business, to achieve the next stepped change in capability as per the design of the programme's Blueprint. The programme tranches and the projects contained within the tranches are defined in the Programme Plan and Projects Dossier.

Programme Project Charter

A programme should have good understanding about the high level requirements for each project, even before the project has started. As such, a Programme Project Charter will provide the necessary information to a project team to give them a running start and steer them in the right direction. Each project within the programme requires its own Programme Project Charter.

Managing the Tranches

End of Tranche Review

The End-of-Tranche Review ensures that the programme's project outputs expected at the end of the current tranche have been met, approved, and accepted and have been successfully transitioned into operations. Together with the next Tranche Plan, this document supports the approval to proceed governance decision-point to sign off on the completion of the current tranche and to approve proceeding to the next tranche.

Closing a Programme

End Programme Report

The End Programme Report records the programme's achievements. It will report on achievement of the vision of the programme and its Blueprint, the Programme Business Case and achievement of Benefits (to date) and lessons learned throughout the life of the programme.