Employment and
Social Development Canada

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> **Note to reader**
>
> As of **April 11, 2019,** Treasury Board Secretariat (TBS) has reset a number of policy instruments including the Policy on the Planning and Management of Investments.
>
> To align with TBS, the current Project Management Foundation and Project Management Framework will be rescinded and replaced by the ESDC Policy on Project and Programme Management (PPPM). Additional policy instruments including Directives and Standards will be introduced to provide directional guidance on Project and Programme Management at ESDC.
>
> The Foundation and Framework remain in effect until the new ESDC Policy on Project and Programme Management (PPPM) is implemented on **October 11, 2019**.

Employment and Social Development Canada
Project Program Management Framework

Business Owner: Hélène Paquette

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Canada

Foreword

This Framework acts as the authoritative means under which projects and investment programs within Employment and Social Development Canada (ESDC) are governed and managed. It applies to all projects and programs managed by ESDC unless otherwise specified, and reinforces the Project Program Management Foundation.

The Framework specifies the overall governance, roles and responsibilities of committees and individuals involved in the management of projects and programs, and describes the processes to be referenced and used to deliver these initiatives.

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

- Anyone managing a project or a program must follow the processes and standards for project and investment program management as defined in this Framework and in the Foundation.

- Projects are appropriately defined, and are managed in accordance with their assessed level of complexity and risk. Complexity and risk are assessed by using the approved TBS Project Complexity and Risk Assessment (PCRA) tool.

- Accountability for project and program outcomes is clear and is documented.

- Appropriate approvals are sought and received for all projects at the specified gate in accordance with the project governance structure defined in ESDC's Investment Plan.

- Timely and accurate reporting on project and program status is regularly and consistently performed, and is used as the basis for proactive management decision-making and action.

This Framework took effect on April 10, 2014, was updated in September 2016, and will be updated regularly, as part of continuous improvement, to ensure that it continuously reflects the latest project management policies and practices as they related to ESDC. The Framework is approved by:

Mark Perlman
Chief Financial Officer

Contents

1 Introduction

1.1 Background

Employment and Social Development Canada (ESDC) uses projects and programs to introduce new capabilities, transform existing capabilities and improve service delivery to Canadians. As projects and programs continue to increase in both size and complexity, the level of project and program management maturity must also grow, to enable a culture that embraces the best practices of project and program management. To help ensure successful initiatives, it is critical for the department to have a consistent and achievable approach to project and program delivery.

1.2 Purpose

Treasury Board established several government-wide policies related to project management which impact the way departments deliver projects and, accordingly, programs. These policies are outlined in Section 2 of the Project Program Management Foundation. This Project Program Management Framework outlines how EDSC will ensure compliance to these TB policy obligations.

This Framework also links with the Foundation and provides a consistent approach to delivering projects and programs across the department, by supplying an important reference for project and program team members throughout the project and program lifecycle. The objectives of the Framework are to:

- Promote a strong Project and Program Management (PM and PgM) culture by defining common processes based on industry standards;
- Provide the frameworks to be referenced and used to deliver projects and investment programs;
- Define standard project and program roles and responsibilities;
- Define "what" activities are consistently required for the successful delivery of a project and a program;
- Specify tools to support project and program delivery; and
- Support an increase in the level of PM/PgM maturity and capability.

Using the Framework, including the supporting guides and templates referenced herein, will help all project and program team members do the "right" things at the "right" time, increasing the repeatability of project and program success.

1.3 Document Scope

The elements that define the scope of the Project Program Management Framework are listed in Table 1: Framework Elements.

Table 1: Framework Elements

Element	Description	Intended Audience	Application
The Investment Project Management Framework (IPMF)	Formal structure within which projects are approved to proceed.	ADMs, DGs, Program and Project Teams, Project Management Offices	Architecture
The Investment Program Management Framework (IPgMF)	Formal structure within which investment programs are approved to proceed.	Sponsoring Group, Program Boards, Program Teams, Program Offices	Architecture

2 Governance

Project and program governance is the management framework within which project/program decisions are made, and also within which project/program oversight is performed. This section describes the major activities and bodies involved in project/program governance.

2.1 Treasury Board (TB)

Treasury Board (TB) approves all projects with a PCRA rating higher than ESDC's Organizational Project Management Capacity Assessment (OPMCA) rating, and authorizes the expenditure of funds for the delivery of those projects. ESDC programs are generally considered PCRA 3 or 4 (Evolutionary or Transformational Projects) from TB's perspective, and therefore require project approval and expenditure authority from TB. TB also reviews and acknowledges the PCRA for every project with a total value of over $1M (Major Projects). The TB oversight function is administered through the Treasury Board Secretariat (TBS).

The governance responsibilities for TBS are described next.

2.1.1 Treasury Board Secretariat

TBS responsibilities include:

- Monitoring departmental implementation of the Policy on the Management of Projects, the Policy on Investment Planning - Assets and Acquired Services, and its related instruments. Using various sources of information, TBS will verify that departments have implemented the policies in order to advise ministers on departmental investment plans and project submissions;

- Making available the policy, directives, standards, tools and guidance necessary to support these policies, which is consistent with best practices in the public and private sector;

- Reviewing departmental project management performance, the capacity to manage projects, and assessments of project risk and complexity. They will be reviewed through regular dialogue and work on committees and by examining departmental investment plans, project management capacity assessments, project risk and complexity assessments and relevant submissions. Reviews and external and internal audits will also be noted. TBS will continue to conduct formal assessments through appropriate management accountability mechanisms;

- Advising Treasury Board Ministers on departmental management capacity, the conditions of project approvals and the project approval authorities sought by sponsoring ministers;

- Supporting the development of communities of interest and governance for specialized program or business streams, complexity and risk;

- Reviewing the effectiveness of the policies and the related instruments at the five-year mark of the implementation date. TB will be apprised of the results of this assessment and, if warranted, recommendations for corrective action will be provided;

- Granting project authority and expenditures for the definition and delivery of projects over ESDC's project authority;
- Reviewing and acknowledging a major project's PCRA.

2.2 ESDC Governance Committees

In addition to TBS oversight where appropriate, ESDC's governance structure also includes several oversight committees with defined roles and responsibilities. These committees form a group of decision makers who direct the program/project manager and other program/project stakeholders. They also:

- Provide strategic direction and guidance for both projects and programs within their respective frameworks, namely:
  - o **for projects:** the Investment Project Management Framework (IPMF)
  - o **for programs:** the Investment Program Management Framework (IPgMF)
- Review and monitor progress
- Provide recommendations on program/project approaches
- Participate in discussing strategies and opportunities for program/project planning and implementation.

Project governance at ESDC consists primarily of the following committees:

- Portfolio Management Board (PMB)
- Major Projects Investment Board (MPIB)
- Director General Minor Projects Oversight Committee (DG-MPOC)
- Project Steering Committee (PSC)

Transformational projects and more complex programs require additional levels of governance, consisting primarily of the following committees:

- Service Management Committee (SMC)
- Service Transformation Committee (STC)
- Service Delivery Committee (SDC)
- Sponsoring Group[1]
- Program Board / ADM Program Steering Committee

The size, complexity, risk, and nature of the project/program may require additional oversight or governance, and projects/programs are encouraged to define additional governance where required.

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[1] Refer to Table 2 for a list of the committees that compose the Sponsoring Group

2.2.1 Project Governance

2.2.1.1 Portfolio Management Board (PMB)

PMB is the main decision-making body of the Portfolio. The PMB performs this role by:

- Determining strategic directions and priorities;
- Approving portfolio-wide plans and strategies; and
- Making decisions on strategic issues that affect the Portfolio as a whole.

PMB also shares information, consults, and collaborates with the Deputy Minister and others at the ADM level.

PMB's Terms of Reference can be found on the ESDC IntraWeb under *Our Department > Corporate Committees*.

2.2.1.2 Major Projects Investment Board (MPIB)

MPIB reports to PMB and has a mandate to support rigorous and transparent project planning, project management, and investment decisions by:

- Providing timely, objective oversight of all programs being conducted across the portfolio as they pass through the four process flows of the Investment Program Management process;
- Providing timely, objective oversight of all major projects being conducted across the portfolio as they pass through the five gates of the PPMP process;
- Playing a key role in the context of the annual Departmental priority and business planning process, in the development of a multi-year portfolio Investment Plan and the establishment of annual investment priorities;
- Approving departmental procurement plan and asset plans; and
- Supporting capacity-building across the portfolio with respect to project planning and management.

All major projects and programs (over $1 million) must be brought before MPIB and the Sponsor ADM (supported by the Project Steering Committee) for review. Failure to respect this principle may lead to suspension of a project or program and reallocation of Information Technology (IT) capacity. MPIB provides project leadership with feedback and recommendations at gates reviews. MPIB also makes decisions on Change Requests that have a significant impact on the project / program portfolio as per the departmental established Change Request Process. At the discretion of the committee, any matter may be brought before PMB for resolution (e.g. if the Change Request threshold exceeds MPIB's authority).

At any time, MPIB may decide to delegate oversight of major projects with low risks and complexity (i.e. Project Complexity and Risks Assessment at Level 1) to the DG-MPOC. MPIB may also decide to provide oversight on any minor (less than $1 million) projects that have a higher level of risk and complexity.

The multi-year Investment Plan and annual investment priorities go to PMB for approval, and provide a framework with which individual project and program proposals should be consistent.

Major procurements can only proceed if they are consistent with MPIB-approved procurement plan or asset plans, unless a special exception is made by PMB.

MPIB's Terms of Reference can be found on the ESDC IntraWeb under *Our Department > Corporate Committees*.

2.2.1.3 Director General Minor Projects Oversight Committee (DG-MPOC)

The DG-MPOC supports MPIB by providing oversight of projects approved on ESDC's Investment Plan that are less than $1M[2] (including Employee Benefit Plans [EBP] and taxes) and small "IT enhancements" projects. The committee provides quarterly reports to MPIB on the status of the portfolio. It has a mandate to support rigorous and transparent project planning, project management, and investment decisions by:

- Providing timely, objective oversight of all minor and small "IT enhancements" projects being conducted across the portfolio and gate approval as projects pass through the ESDC Project Program Management Practice;

- Playing a key role in the context of the annual Departmental priority and business planning process by supporting MPIB in the development of a multi-year portfolio Investment Plan and the establishment of annual investment priorities; and

- Supporting capacity-building across the portfolio with respect to the planning and management of minor and small "IT enhancements" projects.

The DG-MPOC is responsible for approving investment proposals that meet the small "IT enhancements" criteria. The DG-MPOC is also responsible, with support from the Sponsor ADM, to review and approve Minor Projects on the Investment Plan at key decision points (i.e. Minor Project Gate reviews, Change Requests, etc.). DG-MPOC provides project leadership with feedback and recommendations. In special circumstances and upon approval of the governance committee, process exceptions may be granted (i.e. legislative projects with time constraints). At the discretion of the committee, any matter may be brought before MPIB for resolution.

At any time, MPIB may decide to delegate oversight of major projects with low risks and complexity (i.e. Project Complexity and Risks Assessment at Level 1) to the DG-MPOC. MPIB may also decide to provide oversight on any minor (less than $1 million) projects that have a higher level of risk and complexity.

2.2.1.4 Project Steering Committee (PSC)

Within the Sponsoring Branches, project governance structures shall exist at the project level, internally or externally, or bi-laterally to provide oversight to the project. These governance bodies are referred to as Project Steering Committees (PSC).

The PSC will guide the project team by reviewing project status, and providing the first line of governance for direction, progress, risk/issue management and change management. The PSC will ensure the project(s) are progressing as planned.

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[2] Note that stage 1 costs are excluded from the total project costs. These costs are incurred before a project is formally approved in the gated process (Gate 1).

The PSC will be comprised of key stakeholders from functional areas such as HR, Finance, Delivery and Operations or their external equivalent, and subject matter experts from appropriate technical and business area(s).

The PSC is responsible for:

- Providing ongoing project oversight as the project moves through the project lifecyle gates;

- Reviewing schedule and completion status of key deliverables submitted by the Project Manager;

- Providing advice and support throughout the project life cycle with respect to: project design, project planning, business requirements definition, development and implementation; and internal/external consultation;

- Escalating project issues, risks or Change Requests that are outside of its authority or which should be visible at the corporate level and to review and endorse them to be brought to the attention of the appropriate governance committee or board (i.e. DG MPOC, MPIB or other) by the Project Manager; and

- Reviewing all dashboards and reports prior to submitting reports in accordance with established departmental or TBS requirements.

2.2.2 Transformational and Program Governance

2.2.2.1 Sponsoring Group

The Sponsoring Group provides a Program with strategic direction and alignment throughout the program lifecycle, and approves the investment decision to proceed from one investment program process to another.

At ESDC, the Sponsoring Group is comprised of two committees, outlined in Table 2: Sponsoring Group Committees: one for investment decisions and one for strategic alignment.

Table 2: Sponsoring Group Committees

Function	Sponsoring Group Committee
Investment Decision	PMB (approves) MPIB (recommends)
Strategic Transformation Decision	PMB (approves) SMC (recommends)
Direction to service transformation projects Service Transformation Committee (STC)	Service Transformation Committee (STC)
Direction to continuous improvement projects related to service	Service Delivery Committee (SDC)

2.2.2.2 Service Management Committee (SMC)

The STC is a standing committee of the Service Management Committee (SMC) and has a mandate to:

- Provides enterprise-wide leadership in determining department-wide service strategy and priorities, including the transformation agenda, ensuring alignment with the department's policy agenda and objectives related to service excellence; and

- Acts as the main body for decision-making related to the service delivery mandate of the department, including enterprise-wide service integration.

SMC is responsible for:

- Setting the vision, direction and guiding principles of the department's service strategy, business model, and service transformation approach, while ensuring greater alignment of strategic, program, and operational policy;

- Overseeing business planning and execution for the service transformation agenda - i.e. main projects and initiatives – including the effective alignment of resources (e.g. investments budgeting, strategic human resource planning and decision-making) and the engagement of departmental enabling service partners;

- Monitoring the performance of the department's service delivery transformation agenda to ensure that it is aligned with the vision, goals and portfolio-wide service outcomes;

- Leveraging strategic policy, business intelligence, analytics and innovation towards continuous service delivery improvements;

- Supporting PMB and PMBSC by providing leadership in the department's management of key service delivery risks, including those that are strategic, operational, and cross-cutting in nature, as well as the ongoing process to monitor and mitigate such risks on a continual basis; and

- Conducting regular reviews of performance results and providing direction for any required action or course correction.

2.2.2.3 Service Transformation Committee (STC)

 The STC is a standing committee of the Service Management Committee (SMC) and has a mandate to:

- Provides enterprise-wide leadership for the ESDC Service Strategy and the departmental transformation vision and objectives;

- Oversees the development of the target operating model and enterprise architecture, including the development and oversight of multi-year transformational plans; and

- Provides a forum for discussion on any issues referred to it by the SMC.

STC is responsible for:

- Ensuring that a portfolio-wide, integrated, multi-year transformation plan is developed and implemented;

- Overseeing the development and management of horizontal integrated plans and reporting focused on business transformations, in consultation with key enabling functions (e.g. HR change management, accommodations), and benefit realization;

- Providing guidance and direction to service transformation initiatives, ensuring their alignment to the service strategy and the enterprise architecture of the Department, including approval to proceed to MPIB for project management and investment oversight;

- Approving transformation methodologies, frameworks and standards; and

- Providing a discussion forum for identification and mitigation of risks and escalation of emerging issues as required.

2.2.2.4 Service Delivery Committee (SDC)

The SDC is a standing committee of the Service Management Committee (SMC)and has a mandate to:

- Provides enterprise-wide leadership on departmental service operations and on the ongoing delivery of high quality services and programs to clients;

- Oversees and monitors the management of ESDC service delivery, including national standards, performance management, and multi-year integrated operational planning.

- Provides a forum for discussion on any issues referred to it by the SMC.

SDC is responsible for:

- Ensuring that portfolio-wide service delivery operations are being addressed in an integrated and coordinated fashion, across business lines at the national and regional levels;

- Overseeing the development and implementation of department-wide operational policies, strategies and plans;

- Providing timely and objective oversight of the department's operational performance, key performance indicators and risks;

- Providing guidance and direction on continuous improvement or non-transformational projects, as key deliverables of the ESDC Service Strategy, including approval to proceed to MPIB for project management and investment management oversight;

- Playing a key role in the efficient and effective deployment of the department's resources including financial, human and information technology resources;

- Providing guidance and direction on integrated service management that relates to regular service operations; and

- Providing a discussion forum for identification and mitigation of risks and escalation of emerging issues as necessary.

2.2.2.5 Program Board

The Program Board consists of the Senior Responsible Owner (SRO), the Program Manager, the Business Change Manager(s), and the Technical Authority. The ADM Project Steering Committee, as it exists today, fulfills the role of the Program Board.

2.3 Other Supporting Governance Committees

2.3.1 Portfolio Management Board Steering Committee (PMBSC)

PMBSC oversees ESDC's key transformation initiatives that are deemed high risk and have broad and material consequences for the Portfolio (ESD, Labour Program, Service Canada). The PMBSC is responsible for:

- Ensuring that the management agenda is being addressed in an integrated and coordinated fashion, and that oversight and reporting burden are optimized;

- Overseeing departmental planning, communications and risk management activities, specifically: financial; workforce planning; IT support; legal and regulatory priorities; communications; and national footprint;

- Monitoring emerging risks and issues;

- Approving any material changes to approved major project scope, timing and cost;

- Referring matters requiring broader consultations to the appropriate existing governance bodies, as needed; and

- Reporting to PMB as required.

PMBSC's Terms of Reference can be found on the ESDC IntraWeb under *Our Department > Corporate Committees*.

2.3.2 Service Management Committee (SMC)

As a standing committee of the PMB, the SMC sets ESDC's service strategy and priorities, ensuring alignment with the department's policy agenda and objectives related to service

excellence and acts as the main body for decision-making related to ESDC's service delivery mandate.

SMC is responsible for:

- Setting the vision, direction and guiding principles of the department's service strategy, business model, and service transformation approach, while ensuring greater alignment of strategic, program, and operational policy;

- Overseeing business planning and execution for the service transformation agenda - i.e. main projects and initiatives – **including the effective alignment of resources** (i.e., investments budgeting, strategic human resource planning and decision-making) and the engagement of departmental enabling service partners;

- Monitoring the performance of the department's service delivery transformation agenda on a quarterly basis to ensure that it is aligned with the vision, goals and portfolio-wide service outcomes;

- Leveraging strategic policy, business intelligence, analytics and innovation towards continuous service delivery improvements;

- In support of PMBSC, providing leadership in the department's management of key service delivery risks, including those that are strategic, operational, and cross-cutting in nature, as well as the ongoing process to monitor and mitigate such risks on a continual basis; and

- Conducting quarterly reviews of global performance results and providing the direction of any required action or course correction.

SMC's Terms of Reference can be found on the ESDC IntraWeb under *Our Department > Corporate Committees*.

Note: The Service Transformation Committee and Service Delivery Committee are standing committees of the Service Management Committee (SMC) and facilitate more effective governance and oversight for transformation and service management. The Terms of Reference for these committees are under development, and will be published on the ESDC IntraWeb under *Our Department > Corporate Committees* when they are released.

3 Projects

3.1 Roles and Responsibilities

ESDC project teams are comprised of various key roles and stakeholders, described here.

3.1.1 Executive Project Sponsor

The Executive Project Sponsor:

- Is the accountable individual for realizing the benefits and outcomes sought from the project, and reports on the realization of the project business outcomes;
- Acts as champion and business owner for the project;
- Articulates the project's strategic goals and vision to executive stakeholders;
- Approves the Business Case prior to departmental review and approval;
- Secures the required resources and funds to deliver the project;
- Delegates the necessary fiscal authority to the Project Manager or Program Manager;
- Stays abreast of project status;
- Commissions Independent Reviews as required;
- Provides final approval of change requests escalated to Executive Sponsor level;
- Approves the deployment of the solution;
- Approves the close out of the project.

3.1.2 Project Manager

The term *Project Manager* is used to describe anyone who is fully responsible for the initiation, planning or delivery of a project. There can only be a single Project Manager responsible for a project at any point in time. The Project Manager:

- Is delegated by the Executive Sponsor and accountable to the Executive Sponsor for the successful delivery of the project, achieving the approved project outcomes within the approved cost and schedule;
- Is responsible for day-to-day management of the project;
- Secures approval for all required PPMP artefacts;
- Reports to the Executive Sponsor, and manages the project team;
- Approves, monitors and reports to the Executive Sponsor for the project plans involving deliverables/dependencies being provided by enabling partners (e.g. IITB, SSC, etc.);
- Articulates tactical goals, visions and expectations to the project team and stakeholders;
- Implements communications plans, and ensures ongoing engagement of stakeholders;

- Coordinates formal reviews and management reviews (e.g. design reviews, testing reviews, functional reviews);

- Ensures proactive and continuous risk and issue management, facilitates resolution and appropriate escalation of risks and issues;

- Ensures that the appropriate projects skills are available at the right time to support each project deliverable;

- Ensures change requests are completed and submitted for all changes to baseline scope, cost and schedule;

- Works directly with the EPMO to prepare for project assurance and gate reviews;

- Tracks and reports project status by comparing scope, cost and schedule performance to approved scope, cost and schedule baseline plans; and,

- Ensures timely, consistent and accurate project status reporting including key information from stakeholders where required.

3.1.3 Project Management Office (PMO)

The Project Management Office:

- Supports the Project Manager with project planning and control activities such as development and administration of schedules, cost, risks, issues, information and communication;

- Tracks activities, including but not limited to schedule, costs, risk, and issue status;

- Performs proactive and continuous risk and issue management by gathering and reporting on the status of risks and issues and highlights risks and issues that may significantly impact project success;

- Investigates and reports on inter-dependencies, risks and issues between or among projects in a program or portfolio;

- Integrates project information into a consistent and coordinated product for project and executive management; and

- Develops project status reports based on the results of tracking, and provides reports on scope, cost, schedule, risks and issue status against the approved project baselines, for approval by the Project/Program Manager.

3.1.4 ESDC Enterprise Project Management Office (EPMO)

The Enterprise Project Management Office:

- Develops and maintains department-wide (enterprise) PM standards, including processes, templates and tools;

- Establishes standard project management tools, templates and guides;

- Manages the Project Management Information Solution (PMIS);

- Creates a central repository for project management tools, templates and guides that is the single source of truth for project management standards and project information;

- Maintains the central repository;

- Provides project management tools to track and report on project progress and project costs;

- Updates process documentation and templates based on departmental changes;

- Updates project management standards based on lessons learned;

- Provides guidance to project managers;

- Answers questions about departmental standards and processes;

- Communicates executive intent and direction;

- Supports efforts to build project management capability and maturity within the department;

- Monitors compliance with standards and processes;

- Creates opportunities to foster a project management culture with ESDC;

- Ensures effective best practices in project management, adherence to TBS guidelines, and provides support with the departmental PPMP framework/foundations for schedule, cost3, scope, risk, issue, change and benefits realization through the Project Management Centre of Excellence (CoE) Project Management Advisor (PMA).

3.1.5 Transformation Project Delivery Office (TPDO) and Business Architecture and Alignment Office (BAAO)

The Transformation Project Delivery Office:

- Provides transformational projects with Project Delivery Services

- Guidance and application of transformation methodologies

- Expertise in defining of future state capabilities/operating models as they relate to Business Architecture

- Resource alignment and allocation

- Templates and guides to support business transformation and strategic alignment

3.1.6 Benefit Owner

A Benefit Owner is the individual responsible for harvesting and accepting the identified benefits. The Benefit Owner should ideally be represented by the operational/business area.

3.2 Horizontal Support and Expertise

3.2.1 Project Management Advisor (PMA)

The Project Management Advisor:

- Provides guidance to project managers;

- Answers questions about departmental standards and processes;

- Ensures effective best practices in project management, adherence to TBS guidelines, and provides support with the departmental PPMP framework/foundations for schedule, cost, scope, risk, issue, change, and benefits realization.

3.2.2 Financial Management Advisor (FMA)

The Financial Management Advisor:

- Supports sponsor establishing an appropriate costing at every stage of the process, ensuring proper alignment to departmental standards and provide a challenge function;

- Supports sponsor on identifying a project funding strategy;

- Ensures proper coding structure (Asset, Internal Order, WBS, Network Activities) is available in myEMS SAP to track every financial aspects of the projects (planned and actual costs);

- Conducts regular financial analysis and variance analysis;

- Supports project manager by ensuring proper financial information is available and accurate for required reports (quarterly reports);

- Provides advice on reporting capabilities and financial analysis;

- Monitors expenditure periodically and raise concerns, if any.

3.2.3 Legal Advisor (LA)

The Legal Advisor:

- Supports the sponsor in establishing an appropriate review of authorities to complete the project and deliver the proposed solutions;

- Supports the sponsor on identifying a legal / regulatory amendment strategy;

- Provides advice on legal matters.

3.2.4 Human Resources Advisor

The Human Resources Services Branch (HRSB) is the point of contact for all HR services pertaining to staffing and classification. The HR Advisor provides advice to implement Sourcing Strategy and Resource Management Plan.

3.2.5 Portfolio and Demand Management Advisor - Business Relationship Management (BRM)

The Innovation, Information and Technology Branch (IITB) is the point of contact for all IT-enabled projects; the above-referenced teams are in IITB. The Portfolio and Demand Management Advisor - Business Relationship Management, from IITB, coordinates between the Project Manager and the Enterprise Architecture and Solution Development teams.

3.2.6 Investment Planning Advisor

The Investment Planning Advisor is part of the Investment Management Team in CFOB. The Investment Planning Advisor:

- Supports the development of investment proposals and business cases;
- Verifies strategic alignment with organizational priorities;
- Identifies high-level, measurable benefits.

3.2.7 Privacy Management Division Analyst (PMDA)

The Privacy Management Division Analyst:

- Offers advice and guidance to Project Managers on Privacy Threshold Assessments and Privacy Impact Assessments;
- Reviews completed Threshold Assessments and renders a decision;
- Calculates the risk profile and significance of the initiative, in order to assist the Privacy and Information Security Committee (PISC) in prioritizing the inventory;
- Coordinates the identification and validation of risks with the initiative, its stakeholders, and corporate enablers (DSO, IT Security, Audit).

3.2.8 Business Architecture Alignment Office (BAAO)

A group within TISMB responsible for fostering streamlined business outcomes for the Department through a Business Architecture Program including Business Architecture Services; Requirements Management; Departmental Architecture Content Management; Repository and Toolset Management.

Ensuring IT alignment with business strategic direction by:

- assessing all significant investments, including product proposals, future state architectures, roadmaps and individual project proposals against architectural principles and future state architecture,
- making decisions for proposed departmental architectural directions

3.3 Framework: ESDC's Investment Project Management Framework (IPMF)

3.3.1 Overview of the IPMF

Within the PPMP, projects at ESDC follow a framework which supports the continued approval of all investments in the department.

3.3.1.1 PPMP Stages and Gates

As illustrated in Figures 1-3, the Project Management Process segments the project lifecycle into a series of stages and decision gates:

- *Stages* are where the project team completes project work. This is where the focus of day to day project management must be.

- *Gates* are points-in-time where decisions are made by the appropriate governance body to continue investing in the project, based on the information available at the time. The decisions are made based on agreed criteria. Gates occur at the end of project stages.

Based on this approach, the IPMF allows for informed decision-making about investments, based on the performance of the project to-date, the return on investment (business or social rationale), and the ability to execute the plan for the project going forward. It also provides a mechanism to allocate resource capacity at defined points in time.

All Project Investment Proposals are reviewed at Gate 0. Small and Minor Projects are required to pass through Gates 1, 3 and 5. Major Projects are required to pass through Gates 1 to 5.

A mandatory requirement of the gating process is that handoffs from one gate to another must be accepted by the receiving organization and/or Project Manager, and that approvals are required before the gate can be passed and next stage of work performed.

Projects are required to ensure that due diligence has been performed and they are "ready" to proceed through a gate as planned. The Governance and Performance Management Team ensures that project teams complete all required documentation.

3.3.1.2 Service Transformation Project Governance Review Cycle

The framework includes the initial requirements under the transformation flow that intersects with our project/program management stage gate process. Work continues with TISMB on the artifacts and decision framework development and there is a commitment to ensuring that the framework continuously reflect the latest project and program management policies and practices as they relate to ESDC. (Figure 4)

3.3.1.3 Project Governance Authority Levels

Following the TB Organizational Project Management Capacity Assessment (OPMCA), ESDC's expenditure authority for managing projects is at or below its OPMCA-assessed level; TB approval must be sought when the assessed risk and complexity of a project exceeds the assessed OPMCA level.

ESDC is currently assessed at OPMCA level 2; consequently, all projects with a PCRA score of 3 or 4 are subject to TB oversight. TB submissions for project approval and expenditure authority are coordinated in ESDC through the Chief Financial Officer Branch (CFOB) Submission Control Unit (SCU).

Regardless of whether or not TB oversight is required, gating authorities for ESDC projects are as defined in Table 3: IPMF Governance Authorities.

Table 3: IPMF Governance Authorities

Project Size	Gate 0	Gate 1	Gate 2	Gate 3	Gate 4	Gate 5
Major Project	MPIB	MPIB	MPIB	MPIB	MPIB	PSC
Minor Project	MPIB	MPIB	DG-MPOC		PSC	
Small Project	MPIB	DG-MPOC	DG-MPOC		PSC	

TBS Project Life Cycle

P1: Initial planning and identification	PA & EA	P2: Definition	PA & EA	P3: Implementation	P4: Close Out

Project Management Process for Major Projects

Strategic Alignment	Cost vs. Benefit	Clarity of Scope	Available Capacity	Fit for Purpose	Stability
Investment Intake (0)	Stage 1 Justification (1)	Stage 2 Initiation (2)	Stage 3 Planning (3)	Stage 4 Execution (4)	Stage 5 Closure (5)

Benefits Management Framework is under development

GOVERNANCE ▶	MPIB	MPIB	MPIB	MPIB	MPIB	Project Steering Committee
COST ESTIMATES	+/- 10% (for Stage 1)	+/- 10% (for Stage 2) +/- 100% (for the project)	+/- 10% (for Stage 3) +/- 50% (for the project)	+/- 10% (for the project)	Actual Costs to Date	Actual Costs

RESPONSIBLE ▼ — GATING ARTEFACTS ▼

	Investment Intake	Stage 1	Stage 2	Stage 3	Stage 4	Stage 5
Business Owner	• Investment Proposal	• Business Case				
Project Portfolio Assurance		• Gate 1 Review	• Gate 2 Review	• Gate 3 Review	• Gate 4 Review	• Gate 5 Review
Project Manager		• Costing Workbook	• Project Charter • Project Management Plan (Preliminary) • Costing Workbook (updated)	• Project Management Plan (updated) • Costing Workbook (updated)	• Approval to Deploy Form • Costing Workbook (updated)	• Project Closure Report • Lessons Learned Report • Costing Workbook (updated)

RESPONSIBLE ▼ — SUPPORTING ARTEFACTS ▼

	Stage 1	Stage 2	Stage 3	Stage 4	Stage 5
Business Analyst		• Business Needs / High Level Requirements Document	• [C] Detailed Requirements Doc		
Project Manager	• PCRA (Preliminary) • Stage 2 Schedule • Sourcing Strategy • [C] Asset Under Construction Request	• PCRA (updated) • Stage 3-5 Schedule • Privacy Threshold Assessment • Request for Information [C]	• Stage 4-5 Schedule • [C] Privacy Impact Assessment • Request for Proposal [C]	• Acceptance Report	
Business Owner		• [C] TB Submission and Project Brief for PA and EA for Planning (Stage 3)	• [C] TB Submission and Revised Project Brief for PA and EA for Execution (Stage 4) and Closure (Stage 5)		
IITB		• [C] Solution Architecture Document			
IITB			• [C] Technical Design Document	• [C] Integration Test Report	

SUPPORTING ACTIVITIES ▼

Stage 1	Stage 2	Stage 3	Stage 4	Stage 5
• Define business need • Identify strategic alignment • Estimate for Justification (Stage 1)	• Analyze stakeholders • Analyze options • Define solution scope • Schedule • Cost estimate • Define sourcing strategy • Assess risk and complexity • Estimate Stage 2 schedule and cost • Initiate PCRA • Identifying and Defining Benefits	• Establish authorities • Define high-level requirements • Determine if privacy impact assessment is needed • Update schedule • Update cost estimate • Complete PCRA • Estimate Stage 3 schedule and cost • Plan benefits realization • Perform Stakeholder Analysis	• Complete privacy impact assessment if needed • Develop detailed requirements • Completely define scope schedule and budget • Identify execution risks and mitigation plans • Refine benefits realization • Perform Change Impact Assessment • Refine Change Management Plan in PMP	• Develop solution • Test solution • Delivery the project outputs • Evaluate readiness to transition to Operations • Deploy and stabilize solution into Operations • Continue to manage risks, issues and change requests • Launch change management activities (training, communications, and other stakeholder engagements)	• Hand off solution to Operations • Evaluate and report on benefits realization • Close financials • Capture lessons-learned.

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[C] = Conditional, or if required
PA = Project Approval
EA = Expenditure Authority

Figure 1: Project Management Process for Major Projects

Project Management Process for Minor Projects

Strategic Alignment	Cost vs. Benefit	Clarity of Scope and Available Capacity	Fit for Purpose and Stability
Investment Intake (0)	Stage 1 Justification (1)	Stage 2-3 Initiation & Planning (3)	Stage 4-5 Execution & Closure (5)

Benefits Management Framework is under development

GOVERNANCE ▶	MPIB	MPIB	DG-MPOC	PSC

RESPONSIBLE ▼ — GATING ARTEFACTS ▼

	Investment Intake	Stage 1	Stage 2-3	Stage 4-5
Business Owner	• Investment Proposal	• Business Case		
Project Portfolio Assurance		• Gate 1 Review	• Gate 3 Review	• Gate 5 Review
Project Manager		• Costing Workbook	• Project Charter • Project Management Plan • Costing Workbook (updated)	• Approval to Deploy Form • Acceptance Report • Project Closure Report • Costing Workbook (updated)

RESPONSIBLE ▼ — SUPPORTING ARTEFACTS ▼

	Investment Intake	Stage 1	Stage 2-3	Stage 4-5
Business Analyst			• Business Needs / High Level Requirements Document • [C] Detailed Requirements Document	
Project Manager		• PCRA (Preliminary) • Project Schedule • Sourcing Strategy • [C] Asset Under Construction Request	• PCRA (updated) • Stage 4-5 Schedule • Request for Information [C] • Request for Proposal [C] • Privacy Threshold Assessment • [C] Privacy Impact Assessment	
IITB			• [C] Solution Architecture Document	
IITB			• [C] Technical Design Document	• [C] Integration Test Report

SUPPORTING ACTIVITIES ▼

Investment Intake	Stage 1	Stage 2-3	Stage 4-5
• Define business need • Identify strategic alignment • Assess capability gaps	• Analyze stakeholders • Analyze solution options • Define solution scope • Create high-level schedule • Estimate project cost • Define sourcing strategy • Assess risk and complexity • Plan next stage • Identifying and Defining Benefits	• Establish project authorities • Define how projects will be managed • Develop detailed business requirements, including privacy • Define detailed Work Breakdown Structure (WBS) • Define detailed schedule and estimate detailed costs • Re-assess risk and complexity and develop risk response plans • Plan benefits realization	• Deliver project according to PMP and manage risks/issues/change • Develop solution and test solution against requirements • Evaluate readiness to transition solution into operations • Deploy and stabilize new solution • Hand off solution to operations and close financials • Identify and document lessons-learned • Evaluate and report on benefits realization

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[C] = Conditional, or if required

Figure 2: Project Management Process for Minor Projects

Project Management Process for Small Projects

	Strategic Alignment	Cost vs. Benefit	Clarity of Scope and Available Capacity	Fit for Purpose and Stability
	Investment Intake 0	**Stage 1 Justification** 1	**Stage 2-3 Initiation & Planning** 3	**Stage 4-5 Execution & Closure** 5
GOVERNANCE ▶	MPIB	DG-MPOC	DG-MPOC	PSC

RESPONSIBLE ▼	**GATING ARTEFACTS ▼**			
Business Owner	• Investment Proposal			
Project Portfolio Assurance		• Gate 1 Review	• Gate 2-3 Review	• Gate 4-5 Review
Project Manager		• Costing Workbook	• Costing Workbook (updated)	• Approval to Deploy Form • Costing Workbook (updated)

RESPONSIBLE ▼	**SUPPORTING ARTEFACTS ▼**			
Business Owner		• Small Project Checklist		
Business Analyst		• Business Needs Document		
Project Manager		• Project Schedule	• Stage 4-5 Schedule	• Acceptance Report • Project Closure Report
IITB				• [C] Integration Test Report

SUPPORTING ACTIVITIES ▼				
	• Define business need • Identify strategic alignment • Assess capability gaps	• Demonstrate that proposed investment meets Small Project criteria • Define Requirements	• Define WBS • Define start date-independent, effort-based schedule • Document acceptance approach	• Build, test and confirm quality objectives met • Confirm readiness to deploy • Document hand-off to Operations • Report final actual project costs

Benefits Management Framework is under development
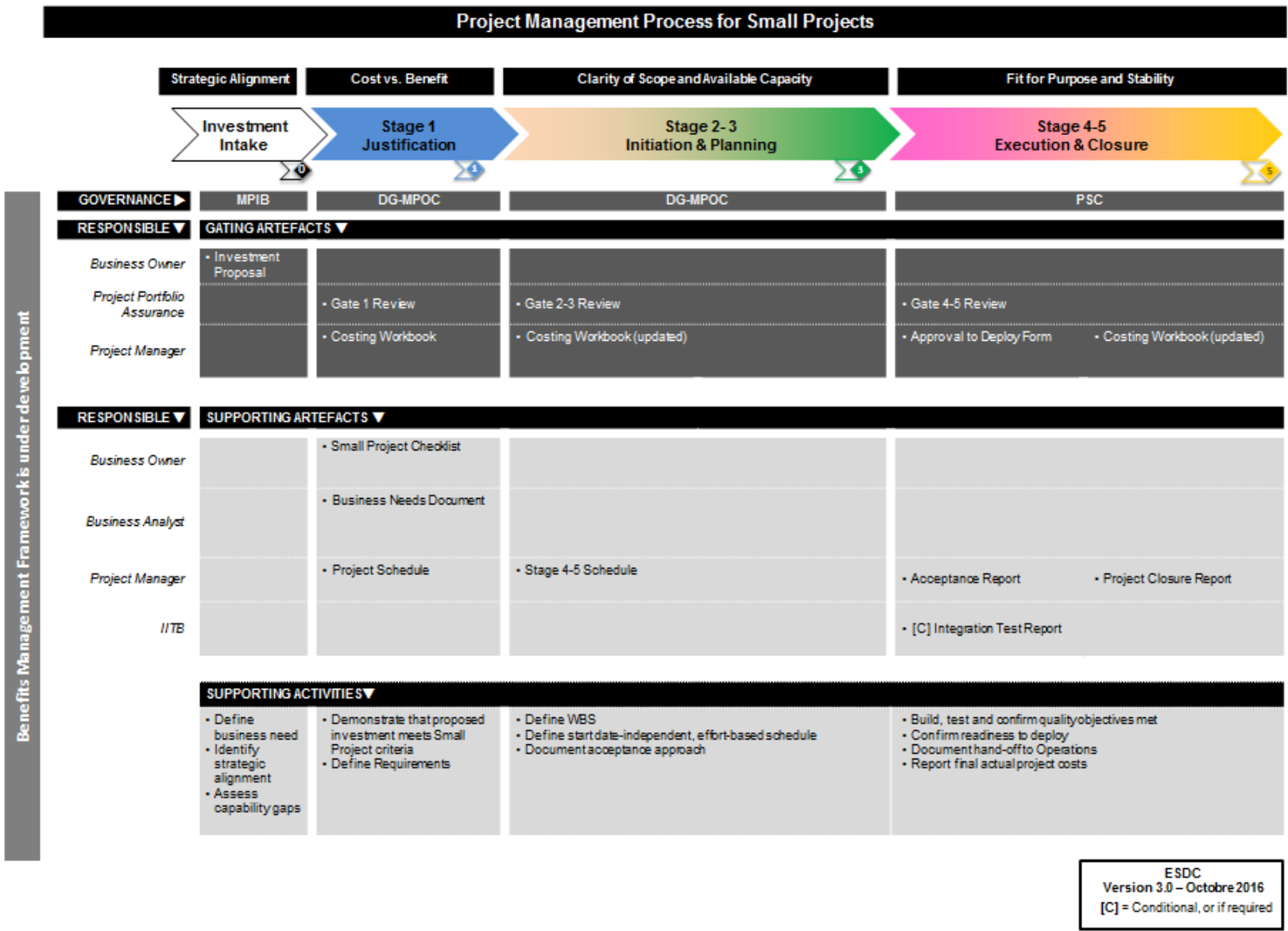
ESDC
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[C] = Conditional, or if required

Figure 3: Project Management Process for Small Projects

Service Transformation Project Governance Review Cycle

	STRATEGY (Investment Intake)	STAGE 1 JUSTIFICATION	STAGE 2 INITIATION	STAGE 3 PLANNING	STAGE 4 EXECUTION	STAGE 5 CLOSURE
	What is the strategic context and what are we trying to change?	What are the key insights from our understanding of the client experience?	What is the change we need to see to realize a better client experience?	How are we currently performing? What can we leverage vs develop?	Are we embedding business capabilities into business-as-usual operations?	Are we realizing the benefits we set out to achieve?

For Each Release:

| STC, SDC, EARB | • Vision and Objectives
• Case for Change
• Business Capabilities Model and PPIT scores
• Business Architecture Impact Assessment | • Current State Analysis
• Client Journey Maps (current state and future state) | • Design Requirements – includes detailed functional business requirements
• Reference / Solution Architecture
• Target Operating Model | | • Project Readiness Review | • Post-Implementation Benefits Review |
| | | • Concept of Operations
• Roadmap and Deployment Approach
• Business Case | • Change Impact Assessment
• Workforce Transition Plan
• Benefits Realization Plan and Profiles
• Business Case (Detailed, if required)
• Execution Readiness Assessment | | **Go Live**
• Business Acceptance
• Updated Benefit Profiles | |

| Governance: MPIB | • Investment Proposal | • Business Case
• Costing Workbook
• PCRA
• Stage 2 schedule
• Sourcing Strategy
• Asset Under Construction Request
• Project Assurance Review | • Business Case (Detailed if required)
• Project Charter
• PMP (incl. Benefit Realization Plan and Profiles)
• Costing Workbook
• Stage 3-5 schedule
• High Level Requirements
• PCRA (updated)
• Solution Architecture Document
• Privacy Threshold Assessment
• RFI
• TB Sub
• Project Assurance Review | • PMP (final)
• Costing Workbook
• Detailed Requirements
• Stage 4-5 Schedule
• PIA (if needed)
• RFP (if needed)
• TB Sub
• Technical Design Document
• Project Assurance Review | • Approval to Deploy Form
• Costing Workbook
• Acceptance Report
• Integrated Test Report
• Project Assurance Review | • Project Closure Report (incl. Benefit Realization Report)
• Lessons Learned Report
• Costing Workbook
• Project Assurance Review |

Figure 4: Service Transformation Project Governance Review Cycle

3.3.2 IPMF by Stage

3.3.2.1 Stage 0 - Investment Intake

During Investment Intake, a project is not yet initiated. Investment Intake focuses on gathering preliminary information to support an investment of time and resources into investigating the value of pursuing the opportunity.

For all types of projects (Major, Minor and Small), the artefact pertaining to Investment Intake that is presented at MPIB for Gate 0 approval is the **Investment Proposal**. The Investment Proposal is prepared by the Business Owner to present an opportunity to DG MPOC or MPIB for investment, with final approval granted by PMB.

> **Gate 0**: When MPIB reviews the Investment Proposal, it looks for clarity of the opportunity and a rational presentation of business needs to be explored in stage 1. Questions from MPIB may be directed on how the proposal measured and aligned with strategic priorities. When MPIB is satisfied, it approves the Investment Proposal. At that point, the Investment Proposal becomes a project included in the department's investment plan.

3.3.2.2 Stage 1 – Justification

The purpose of the Justification stage is to demonstrate that the opportunity will deliver enough benefit to ESDC and Canada to justify further investment. The focus of this stage is on gathering information on the options to meet the business need, evaluating the costs and benefits of the options, and defining the project's scope boundaries for the selected option.

3.3.2.2.1 Gate 1 Governance and Gating Artefacts

The artefacts presented for Gate 1 approval (Major and Minor projects only) are:

- **Business Case**: The Business Case is prepared by the Business Owner to provide the context and rationale for proceeding with a project. It clearly identifies the business need, is used to evaluate multiple solution options, and to identify which option is being recommended. It is used to demonstrate that a proposed project will deliver business benefits greater than the costs. The recommendation must be clear on the investment required, benefits, risks, timeframe, impact on stakeholders and other aspects that the department should be aware of. As a key decision document, the approving body must be clear on what they are being asked to approve and all its ramifications.

- **Costing Workbook**: The ESDC Costing Workbook is a project cost estimate modeling tool maintained by the Strategic Financial Analysis and Costing Directorate within CFOB. The project's Financial Management Analyst completes the Costing Workbook, in consultation with the Project Manager, at each stage of the project. In Stage 1, costs are estimated to +/- 10% for Stage 2 activities, and to +/- 100% for the remainder of project activities in Stages 3 to 5.

3.3.2.2.2 Supporting Gate 1 Artefacts

The following artefacts are also prepared in Stage 1:

- **Project Complexity and Risk Assessment (PCRA) - Preliminary**: The PCRA is a TB requirement for all Government of Canada projects, and completed by the Project Manager. It is a series of questions used to identify a project category, which in turn is used to determine the level of project oversight required. The formal PCRA is not required until Gate 2, but the informal PCRA is started in Stage 1.

- **Stage 2 Schedule**: In Stage 1, a schedule is prepared by the Project Manager with +/- 10% accuracy for Stage 2 activities and with +/- 100% accuracy for activities in Stages 3 through 5.

- **Sourcing Strategy**: The purpose of this document is to provide clients with the opportunity to determine the sourcing strategy to secure various goods and/or services for investment projects. This includes the strategy to augment existing resource capacity in terms of HR staffing actions or securing the services of external consultants. The output of this document will allow the Procurement Operations team to see what requirements are on the horizon. This will enable them to plan internal resources and to identify possible procurement approaches (including strategic procurement initiatives).

- **SDLC Artefacts**[4]: IT-enabled projects that will create an asset as a project output will also be required to complete the **Asset Under Construction (AUC) Request** artefact.

3.3.2.2.3 Stage 1 for Small Projects

At the end of Stage 1, DG-MPOC reviews the Small Project Checklist, Costing Workbook, Business Needs Document, and Project Schedule to confirm that the project is appropriately categorized as a Small project.

3.3.2.2.4 Gate 1 Review

Once the project has completed all the required activities and deliverables for the stage, the project's PMA will submit the gating artefacts to the Governance and Performance Management Team within CFOB's Investment, Procurement and Project Management (IPPM) Directorate to initiate the project assurance review process. Upon successful completion of the project assurance review, the project is added to the MPIB agenda for decision.

> **Gate 1**: MPIB evaluates the Business Case to confirm that investment in the project is justified and that it will deliver sufficient benefits.

3.3.2.3 Stage 2 – Initiation

The purpose of the Initiation stage is to convert the business case into a proposed project idea that MPIB can review and approve for continued investment in detailed project planning.

3.3.2.3.1 Gate 2 Governance and Gating Artefacts

The artefacts presented for Gate 2 approval (Major projects only) are:

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[4] The SDLC artefacts required to support an IT-enabled project are currently in progress of being defined by IITB.

- **Project Charter**: The Project Charter is the document that, when formally accepted and signed-off, officially recognizes and authorizes a project. It establishes the baseline scope, governance, accountabilities, interdependencies and commitment of stakeholders and will be an important project reference throughout the project lifecycle.

- **Project Management Plan (PMP)**: In Stage 2, a preliminary version of the Project Management Plan is required to begin the planning process. While the details around how the project will be managed during Execution may not be fully known at this time, fundamental information about how the project will implement each of the project management process standards is captured in the Project Management Plan in Stage 2. If a Project Brief is required, it will include a summary of the Project Management Plan. If the project is a standalone project (i.e.: not part of an investment program) and there are identified benefits to be realized at a project level, the project is expected to complete the Benefits Realization Plan (BRP) as part of the Project Management Plan. The BRP outlines identified benefits and dis-benefits, the plan for measurement, monitoring and reporting, as well as an explanation of the risks that may threaten the achievement of each benefit and how the threat will be handled.*

- **Costing Workbook** (updated): For Gate 2, the Costing Workbook is updated to estimate Stage 3 costs at +/- 10%, and the remaining Stage 4 and 5 costs at +/- 50%.

> ***Note:** Benefits Realization generally occurs at a Program level. However, in the case of a standalone project that is not part of a Program *and* where benefits are identified for the project, Benefits Realization principles and practices apply at the project level.

3.3.2.3.2 *Supporting Gate 2 Artefacts*

The following artefacts are also prepared in Stage 2, for Major and Minor projects:

- **Business Needs Document**: The Business Needs Document elaborates on the high-level requirements stated in the Business Case. In consultation with the Business Owner, the Business Needs Document is completed by a Business Analyst to document the current state business and technical environments as well as the future state expectations for people (stakeholders and other actors), information and data, solution usage. For an IT-enabled project, the Business Needs Document initiates the IITB project intake process.

- **PCRA** (updated): The PCRA that was begun in Stage 1 is completed by the Project Manager in Stage 2 with any new and updated information. More specifically, with updated evidence noted in the Project Charter or in the preliminary PMP. The PCRA score established in Stage 2 sets the governance authorities for the project going forward.

- **Stage 3-5 Schedule**: In Stage 2, a schedule is prepared by the Project Manager with +/- 10% accuracy for Stage 3 activities and with +/- 50% accuracy for activities in Stages 4 and 5.

- **Privacy Threshold Assessment**: The Privacy Threshold Assessment is completed by the Project Manager in consultation with the Corporate Secretariat's Privacy Renewal Division to determine if a PIA is required for the project. As a best practice, the Project Manager should request a written acknowledgement (e.g.: by email) regarding the requirement (or not) for a formal PIA.

- **Treasury Board Submission for Project Approval** (if required): If the PCRA score categorizes the project at a level that exceeds the authority designated to ESDC based on its OPMCA level, a Treasury Board submission for Project Approval is required. The Treasury Board submission is prepared by the Business Owner.

- **Treasury Board Project Brief** (if required): When Treasury Board approval is required, the Business Owner must append a Project Brief to the Treasury Board submission. The Project Brief provides additional information about the proposed project that is not included in the Treasury Board submission.

- **SDLC documents[5]** (if required): If a system solution is required as a project output, the Enterprise Architecture team in IITB collaborates with the project team to develop a **Solution Architecture** for the desired project output, from which detailed requirements and a technical design can be developed.

3.3.2.3.3 Gate 2 Review

Once the project has completed all the required activities and deliverables for the stage, the project's PMA will submit the gating artefacts to the Governance and Performance Management Team within CFOB's IPPM Directorate to initiate the project assurance review process. Upon successful completion of the project assurance review, the project is added to the MPIB agenda for decision.

> **Gate 2**: Based on the Gate 2 documents, MPIB decides whether or not to authorize the project. The Project Charter *must* include key project outputs, success criteria and key milestones including expected dates for the project's Gate 3 and 4 approvals. If MPIB provides Gate 2 approval, the Project Charter is signed-off and the project is formally launched and recognized.

3.3.2.4 Stage 3 – Planning

The purpose of the Planning stage is to substantively plan the project and to establish the project's information baselines – that is, the baseline scope, schedule, and costs.

3.3.2.4.1 Gate 3 Governance and Gating Artefacts

The artefacts presented for Gate 3 approval (Major and Minor projects) are:

- **Updated Project Management Plan (PMP)**: The Project Manager completes the PMP that was started in Stage 2: all subsidiary plans are fully documented and all information baselines (cost, scope, schedule) are summarized.

- **Updated Costing Workbook**: In consultation with the Project Manager, the Financial Management Analyst (FMA) updates the Costing Workbook with actual costs in Stage 2 and Stage 3; this serves as the cost baseline that should be also reflected in the updated PMP. In addition, the Costing Workbook includes cost estimates for Stages 4 and 5 at +/- 10%.

3.3.2.4.2 Supporting Gate 3 Artefacts

The following artefacts are also prepared in Stage 3, for Major and Minor projects:

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[5] The SDLC artefacts required to support an IT-enabled project are currently in progress of being defined by IITB.

- **Treasury Board Submission for Expenditure Authority** (if required): After Treasury Board grants Project Approval, the Business Owner must prepare another Treasury Board submission for expenditure authority in Stage 3.

- **Treasury Board Project Brief** (if required): The Business Owner must append a Project Brief to the Treasury Board submission for expenditure authority.

- **Privacy Impact Assessment**: If, in Stage 2, the Privacy Threshold Assessment determined that a Privacy Impact Assessment (PIA) is required, the Project Manager initiates a PIA in Stage 3. While the PIA is not required to be complete for Gate 3, it needs to be started in Stage 3 if it is required.

- **SDLC documents**[6] (if required): If a system solution is required as a project output, the development team in IITB develops a **Detailed Requirements Document** and a **Technical Design Document** based on the Solution Architecture developed in Stage 2. These documents are required by the Governance and Performance Management Team, for project assurance.

3.3.2.4.3 *Stage 2-3 for Small Projects*

When Small projects have completed Initiation and Planning activities, they are required to update DG-MPOC with an updated Costing Workbook and a schedule for the remainder of the project before moving into execution.

3.3.2.4.4 *Gate 3 Review*

Once the project has completed all the required activities and deliverables for the stage, the project's PMA will submit the gating artefacts to the Governance and Performance Management Team within CFOB's IPPM Directorate to initiate the project assurance review process. Upon successful completion of the project assurance review, the project is added to the MPIB agenda for decision.

For Major projects, the Gate 3 Review is presented to MPIB; for Minor projects, the Gate 3 Review is presented to DG-MPOC.

Gate 3: When MPIB (for Major projects) or DG-MPOC (for Minor projects) receives the PMP, it reviews the project management approach and evaluates whether the project is ready to proceed to Execution. Gate 3 is a key decision point, as the next stage will involve the expenditure of 80-90% of the total allocated budget. The Gate 3 review ensures explicit and detailed scope, often shown by detailed activity level schedules, clarity of roles and responsibilities, well-defined reporting processes, and having the right team available at the right time.

3.3.2.5 Stage 4 – Execution

The purpose of the Execution stage is to build, develop and deploy the project output according to the approach set out in the PMP. The focus is on monitoring and controlling project delivery (project activities are performed on time, within budget, and to an acceptable level of quality with any deviations from baselines managed appropriately) while implementing the project output, or

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[6] The SDLC artefacts required to support an IT-enabled project are currently in progress of being defined by IITB.

solution, that was planned in the previous stage. Stage 4 ensures that the project output is transitioned into and stabilized in the operational environment.

3.3.2.5.1 *Gate 4 Governance and Gating Artefacts*

The artefacts presented for Gate 4 approval (Major projects only) are:

- **Approval to Deploy Form**: The Project Manager completes an Approval to Deploy Form for each release of a solution to control the release of new capability – whether it is a new process, feature, system upgrade, etc. – into an organization. The final Approval to Deploy form (in the case of multiple releases) is prepared for Gate 4.

- **Updated Costing Workbook**: In consultation with the Project Manager, the FMA updates the Costing Workbook with Stage 3 and 4 actual costs to date and remaining to complete stage 4.

3.3.2.5.2 *Supporting Gate 4 Artefacts*

The following artefacts are also prepared in Stage 4:

- **Acceptance Report**: The Quality Management subsidiary plan in the PMP describes, at a high level, how the project intends to confirm that the Business Owner accepts the solution, or project output, delivered as a result of the project. This approach for acceptance by the Business Owner is further documented in the Acceptance Report, along with the supporting activities performed. The Business Owner completes the Acceptance Report to document their acceptance of the solution, or project output.

- **SDLC documents[7]** (if required): If a system solution is required as a project output, the testing team in IITB develops an **Integrated Test Report** to verify that the high-level design requirements have been met. A Unit Test Report and System Test Report may also be produced, as appropriate. These documents are required by the Governance and Performance Management Team, for project assurance.

3.3.2.5.3 *Gate 4 Review*

Once the project has completed all the required activities and deliverables for the stage, the project's PMA will submit the gating artefacts to the Governance and Performance Management Team within CFOB's IPPM Directorate to initiate the project assurance review process. Upon successful completion of the project assurance review, the project is added to the MPIB's agenda for their decision.

> **Gate 4**: When a Gate 4 submission is made, MPIB reviews the project's deliverables against the project plan to determine if the project is ready to move to the close-out stage. The project will be deemed ready to initiate the close process if the project can demonstrate that all planned project deliverables have been delivered in accordance with the quality expectations defined in the PMP.

3.3.2.6 Stage 5 – Closure

The purpose of the Closure stage is to recommend the project for closure because the project outcomes, or capabilities, have been successfully transitioned into Operations and stabilization

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[7] The SDLC artefacts required to support an IT-enabled project are currently in progress of being defined by IITB.

has been achieved. Alternatively, the project is recommended for early closure because the business case for the project is no longer viable.

Lessons learned finalized in this stage help the project team and stakeholders review project performance, so that aspects that went well can be repeated in future projects, while aspects that did not go so well are avoided in the future. Finally, this stage serves to communicate final project disposition and status to all participants and stakeholders.

3.3.2.6.1 Gate 5 Governance and Gating Artefacts

The artefacts presented for Gate 5 approval (Major and Minor projects only) are:

- **Lessons Learned Report**: The Lessons Learned Report documents the lessons project resources learned about the approach to project delivery and should be available for Project Managers to review as part of the development of new project submissions.

- **Project Closure Report**: The closeout report is used to communicate that a project has delivered its scope and is ready for official closure.

- **Updated Costing Workbook**: In consultation with the Project Manager, the FMA updates the Costing Workbook with the actuals for the entire project.

3.3.2.6.2 Stage 4-5 for Small Projects

Small projects demonstrate to their PSC that their project is ready to close by preparing an updated Costing Workbook, the Approval to Deploy Form, the Acceptance Report, and the Project Closure Report. Any testing reports from the solution development team, such as an Integrated Test Report, will also help to support project closure.

3.3.2.6.3 Gate 5 Review

Once the project has completed all the required activities and deliverables for the stage, the project's PMA will submit the gating artefacts to the Governance and Performance Management Team within CFOB's IPPM Directorate to initiate the project assurance review process. Upon successful completion of the project assurance review, the project is added to the MPIB agenda for recognition of the close-out.

Gate 5: The Project Steering Committee reviews the Project Closure Report to confirm that all deliverables have been transitioned into operations. After the PSC reviews and accepts the Project Closure Report, the Report is signed by the Executive Sponsor following consultation with the PSC and then provided to MPIB (for Major projects) and DG-MPOC (for minor project) for recognition of the close-out. Project documentation will be stored in the PMIS to support key controls throughout the Investment Management Process.

3.3.3 Horizontal Collaboration by Stage

Horizontal collaboration is required on all projects. A summary of the key roles, along with how each role supports projects, is outlined in Table 4: Horizontal Collaboration by Stage. In this table, the following coding is used:

- R denotes "is responsible for", and is shaded blue;
- A denotes "approves", and is shaded purple;
- C denotes "consults on", and is shaded yellow; and
- S denotes "supports", and is shaded green.

Table 4: Horizontal Collaboration by Stage

Role	Stage 0	Stage 1	Stage 2	Stage 3	Stage 4	Stage 5
Executive Project Sponsor	[R] Investment Proposal		[R] Treasury Board Submission		[A] Deployment, Acceptance Report	[A] Project Closure Report
Project Manager		[R] Business Case, Costing Workbook, Sourcing Strategy, Schedule, PCRA	[R] Project Charter, PMP, Costing Workbook updates, Business Needs, Schedule, Privacy Threshold Assessment	[R] PMP updates, Costing Workbook updates, Detailed Requirements, Schedule, Privacy Impact Assessment	[R] Approval to Deploy Form, Handover Acceptance Form, Costing Workbook updates	[R] Project Closure Report, Lessons Learned Report, Costing Workbook updates
Project Management Advisor		[S] Business Case	[S] Project Charter, PMP	[S] PMP updates	[S] Approval to Deploy Form, Handover Acceptance Form	[S] Project Closure Report, Lessons Learned Report
Financial Management Advisor		[S] Costing Workbook	[S] Costing Workbook updates	[S] Costing Workbook updates	[S] Costing Workbook updates	[S] Costing Workbook updates
Legal Advisor		[C] Advice on Legal Authorities	[C] Advice on Legal Authorities	[C] Advice on Legal Authorities	[C] Advice on Legal Authorities	
Procurement Advisor		[S] Sourcing Strategy				
Human Resources Advisor		[C] Sourcing Strategy	[S] Resource Management section of PMP			
Portfolio and Demand Management Advisor – Business		[S] Asset Under Construction Request	[S] Solution Architecture	[S] Technical Design	[S] Integration Testing	

Role	Stage 0	Stage 1	Stage 2	Stage 3	Stage 4	Stage 5
Relationship Management						
Privacy Management Division Analyst			**[S]** Privacy Threshold Assessment	**[S]** Privacy Impact Assessment		
Investment Planning Advisor	**[S]** Investment Proposal	**[S]** Business Case				
Project Management Information System Support		**[S]** Schedule	**[S]** Schedule	**[S]** Schedule	**[S]** Schedule	

4 Programs

4.1 Roles and Responsibilities

Some of the roles and stakeholders found in projects (refer to Sections 3.1 and 3.2) are also involved in programs. Roles and stakeholders generally exclusive to programs are described next.

4.1.1 Senior Responsible Owner (SRO)

The Senior Responsible Owner (SRO) is an ADM-level role accountable for the success of the Program. As such, the SRO:

- Defines and communicates the Program vision and future state to key senior stakeholders;
- Secures the required investment to set up and run the Program, and to fund transition activities to realize benefits;
- Ensures the viability of the business case by review and sign off;
- Monitors key strategic risks facing the Program;
- Commissions assurance and audit reviews;
- Ensures the effectiveness and performance of the Program team by review of Status Reports and resulting actions to address gaps to plan.

4.1.2 Program Manager

The Program Manager provides day-to-day management of the Program, including:

- Planning and designing the Program (producing the Program Brief, Program Preparation Plan, Program Blueprint, Business Case, etc.);
- Coordinating projects and their interdependencies;
- Managing the Program budget;
- Ensuring that the delivery of project outputs meet Program requirements;
- Facilitating the development of the blueprint;
- Managing the performance of the Program team;
- Managing stakeholder communications;
- Reporting progress to the SRO;
- Ensure delivery of organizational capabilities from project deliverables.

4.1.3 Business Change Manager (BCM)

The Business Change Manager (BCM) is responsible for realizing the benefits of a Program. The BCM must be "from the business" – that is, from business-as-usual, operations – so that he or she may bring the operational perspective on implementing and sustaining program outcomes so that they become benefits for the organization. To fulfill this key transformational role, the BCM:

- Contributes to the design of the future operating state;
- Contributes to the benefit realization framework and data elements to be baselined and tracked;
- Leads to the integration of the new capabilities into their business operations and facilitating business changes to exploit them;
- Assesses progress towards realizing the benefits by collecting data and monitoring results at the operational level.

4.1.4 Technical Authority

The Technical Authority provides the enterprise architecture view of the capabilities that a Program sets out to develop or enhance for ESDC. The Technical Authority:

- Provides expert advice for the technical solution – including departmental functions, services, standards or strategy that will be affected, or a major program outcome that needs to be implemented (for example, an IT infrastructure design, a web site, etc.);
- Provides expertise and guidance on technical design and solutions area to ensure alignment and control when IT changes are being planned and implemented.

4.1.5 Program Office

The Program Office supports the SRO. It keeps track of the full picture and has access to considerable program management expertise. The Program Office:

- Provides advice and challenge on what decisions the SRO needs to take;
- Informs when policy or strategy changes can impact programs;
- Maintains relationships with experts inside the organization and acts as a repository of analysis expertise;
- Keeps the SRO informed on the overall health of the program elements.

4.2 Framework: ESDC's Investment Program Management Framework (IPgMF)

Like other organizations in today's digital world, ESDC seeks continual and significant transformative change. Investment Program Management (Program Management) is recognized as a key enabler to manage the transformation journey aligned to ESDC's Service Strategy. Program Management aligns ESDC's Service Strategy, the delivery mechanisms for change (projects and governance), and business-as-usual (impact to operations).

ESDC's approach for program management is captured in the Investment Program Management Framework (IPgMF), and is based on Managing Successful Programmes® (MSP®)[8] global best practices. The IPgMF lifecycle is composed of four process flows:

1. Identifying a Program

2. Defining a Program

3. Managing the Tranches

4. Closing a Program

This is illustrated in Figure 5: IPgMF, which also shows that how projects fit within an Investment Program, and how the project gates line up with the IPgMF process flows.

To move from one process flow into another, approval to proceed must be sought from and granted by the Sponsoring Group (i.e.: MPIB and PMB). Each time this approval is sought, the SRO first initiates a Program Assurance Review. Upon satisfaction of the Program Assurance Findings Report, the SRO makes a recommendation to the Sponsoring Group for approval to proceed.

4.2.1.1 Service Transformation Program Governance Review Cycle

The framework includes the initial requirements under the transformation flow that intersects with our project/program management stage gate process. Work continues with TISMB on the artifacts and decision framework development and there is a committed to ensuring that the framework continuously reflect the latest project and program management policies and practices as they relate to ESDC. (Figure 6)

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[8] MSP is a structured framework owned by Axelos for setting up, running, and closing programs.
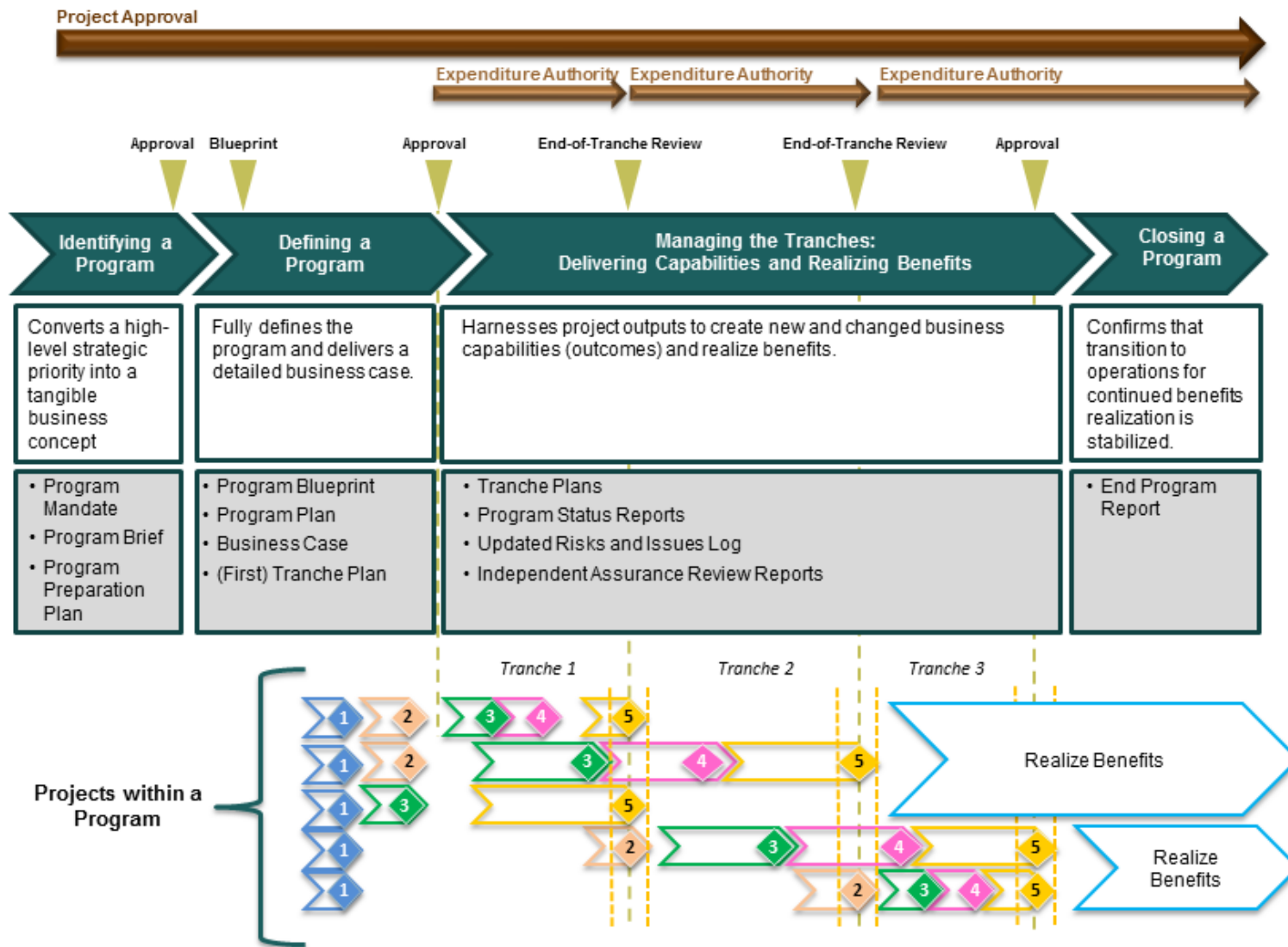
Figure 5: IPgMF

Service Transformation Program Governance Review Cycle

	STRATEGY — Investment Intake *What is the strategic context and what are we trying to change?*	IDENTIFYING A PROGRAM *What are the key insights from our understanding of the client experience?*	DEFINING A PROGRAM *What is the change we need to see to realize a better client experience?*	MANAGING THE TRANCHES — Delivering Capabilities and Realizing Benefits *Are we harvesting the business capabilities as they are delivered, and embedding them into business-as-usual operations, to translate the vision into an improved client experience?*			CLOSING A PROGRAM *Are we realizing the benefits we set out to achieve?*
STC, SDC, EARB	• Vision and Objectives • Case for Change • Business Capabilities Model and PPIT scores • Business Architecture Impact Assessment	• Current State Analysis • Client Journey Maps (current state and future state)	• Design Requirements – includes detailed functional business requirements • Reference / Solution Architecture • Program Target Operating Model	Program Readiness Review Go Live	Program Readiness Review Go Live	Program Readiness Review Go Live	• Post-Implementation Benefits Review
		• Concept of Operations • Roadmap and Deployment Approach	• Change Impact Assessment • Workforce Transition Plan • Benefits Realization Plan and Profiles • Business Case (Detailed, if required) • Managing the Tranches Readiness Assessment	• Business Acceptance • Updated Benefit Profiles	• Business Acceptance • Updated Benefit Profiles	• Business Acceptance • Updated Benefit Profiles	
Governance: MPIB	• Investment Proposal	• Program Mandate • Program Brief (Charter) • Program Preparation Plan	• Program Blueprint (Target Operating Model) • Program Plan (incl. Benefits Realization Plan and Profiles) • Business Case • First Tranche Plan - incl. Stage 1 & 2 artefacts for Major Projects (or Stage 1 & 2-3 for Minor/Small Projects) under the Transformation	• Tranche Plan (incl. Updated Benefit Profiles) • Program Status Reports • Updated Risks and Issues Log • Independent Assurance Review Reports	• Tranche Plan (incl. Updated Benefit Profiles) • Program Status Reports • Updated Risks and Issues Log • Independent Assurance Review Reports	• Tranche Plan (incl. Updated Benefit Profiles) • Program Status Reports • Updated Risks and Issues Log • Independent Assurance Review Reports	• End Program Report (incl. Benefits Realization Report)

Figure 6: Service Transformation Program Governance Review Cycle

4.2.2 Identifying a Program

Identifying a Program is the process flow in which a high-level strategic idea is converted into a tangible business concept.

The IPgMF artefacts developed in Identifying a Program are:

- **Program Mandate**: Following the trigger for initiating an investment program, the Sponsoring Group prepares a Program Mandate to set broad parameters around the strategic idea. The Sponsoring Group also appoints the SRO at this time.

- **Program Brief**: In response to the Program Mandate, the SRO develops a Program Brief. When the Sponsoring Group confirms that the Program Brief accurately describes the Mandate, the SRO appoints the Program Board.

- **Program Preparation Plan**: Together with the Program Board, the SRO prepares the Program Preparation Plan. This is a plan for all the resources – both in terms of people and costs – that are required to complete the next process flow, Defining a Program.

- **TB Submission for Project Approval**: With the Sponsoring Group's approval to proceed to Defining a Program, the Program may be required to submit a TB Submission for Project Approval and Expenditure Authority. Additional program artefacts may be required to support the TB Submission.

Identifying a Program - Approval to Proceed: At this decision point, the Sponsoring Group confirms whether the foundations have been put in place for the program to merit committing further resources to initiating the program. The review assesses if there is clarity and agreement about what the program will deliver; why and how it will be delivered; and whether there is adequate capability, capacity and program management governance, strategies and controls to support successful delivery.

4.2.3 Defining a Program

With Sponsoring Group approval to proceed to Defining a Program, the Program enters the process flow in which detailed planning fully defines the program and delivers a detailed business case. In this process flow, there are two points at which the Program seeks Sponsoring Group approval to proceed: once after the Program Blueprint is complete, and one more time when the remaining artefacts are complete.

The IPgMF artefacts developed in Defining a Program are:

- **Program Blueprint**: The Program Blueprint, developed in close consultation with the Technical Authority, is a model of the future organization in terms of Processes, Organizational Capability, Technology (which includes building infrastructure), and Information. This model may be represented in a number of transitional states before achieving the desired end state, as it is unusual that a transformational program achieves its end state capabilities in one pass due to the high level of risk that this would incur. It does not, however, describe *how* to achieve this state; the "how" is the focus of designing the projects dossier. When the Program Blueprint is complete, approval to proceed must be obtained from the Sponsoring Group before continuing to develop the remaining artefacts in Defining a Program, described next.

Defining a Program (Program Blueprint) - Approval to Proceed: The Sponsoring Group is assured that a coherent set of capabilities is planned for the program. If appropriate, these capabilities are introduced in interim states before the end state capabilities are achieved.

- **Program Plan**: With an endorsed Program Blueprint, the Program Manager develops the Program Plan, which is composed of three main components: the list of projects within the program (referred to as Projects Dossier) separated by high-level timeframes (referred to as tranches); the program management plans in response to the IPgMF Governance Strategies defined in this document; and the overall Program schedule.

- **Program Business Case**: The Program Business Case validates the initiation of the program and serves to assess the ongoing viability of the program. The Program Business Case also includes the business case of each individual project within the program's Projects Dossier.

- **Tranche Plan**: The Program Manager prepares the plan for implementing the first tranche, or set of related projects, in the first Tranche Plan. This first Tranche Plan includes the capabilities expected at the end of the first tranche and the PCRA for the entire tranche, as well as the Project Charter, the Stage 3-5 Schedule, the Privacy Threshold Assessment for each project within the program's Projects Dossier that is expected to start in the first tranche.

- **TB Submission for Expenditure Authority**: As the Program prepares to enter into the first tranche, the Program seeks Expenditure Authority from Treasury Board to fund the first tranche.

Defining a Program - Approval to Proceed: The Sponsoring Group is assured that the program has completed adequate procedures to ensure that the proposed solution meets business needs, that the supplier selection process has been robust and that it is appropriate to continue to invest in the program before contracts/work packages are awarded to suppliers in *Managing the Tranches*.

4.2.4 Managing the Tranches: Delivering Capabilities and Realizing Benefits

A program begins to implement its mandate in Managing the Tranches; this is the process flow that harnesses project outputs to create new and changed business capabilities (outcomes) and to realize benefits. A program will define multiple tranches, designed to sequence the projects within a program. A set of projects typically begins at the beginning of each tranche. An individual project may finish within a tranche, or have an overall duration that extends through several tranches. Regular program performance reporting to program stakeholders is provided via PMIS according to each program's Stakeholder Engagement Plan defined in the Program Plan.

The following IPgMF artefacts and a TB submission for each tranche are developed in Managing the Tranches:

- **Tranche Plan**: At the end of each tranche, the Program Manager prepares a Tranche Plan similar to the first Tranche Plan developed in Defining a Program.

- **End of Tranche Review**: The End of Tranche Review describes the capabilities achieved at the end of the tranche just completed and, for the Major projects in the tranche that have finished in the current tranche, the End of Tranche Review also includes the Gate 5 project artefacts for approval, e.g. the Gate 5 Review, Handover Acceptance Form, Project Closure Report, Lessons Learned Report, and updated Costing Workbook.

- **TB Submission for Expenditure Authority**: At the end of each tranche, the Program seeks Expenditure Authority from Treasury Board to fund the resource requirements for the next tranche. During the course of Program, note that if the Program Business Case upon which the Program was originally approved changes, the Program will need to resubmit a TB Submission for Project Approval.

Managing the Tranches - Approval to Proceed: At the end of each tranche, the Sponsoring Group confirms (1) that the program has effectively managed the completion of the detailed design of the changed organization, understood the department's or impacted branches' readiness to make the transition from the specification/solution to implementation, and put detailed and robust implementation plans are in place; and (2) that the program management in place can support the readiness of the organization to go live with the proposed change and for managing operational services.

4.2.5 Closing a Program

The Closing a Program process flow confirms that transition to operations for continued benefits realization is stabilized. There is one IPgMF artefact developed in Closing a Program:

- **End Program Report**: The End Program Report documents the program's success in achieving its mandate and realization of planned benefits. The Report reflects on the outputs achieved through project delivery through to the transition of these project outputs into ESDC capabilities, outcomes, and sustainable benefits in operations.

Closing a Program - Approval to Close: At the end of the program, the Sponsoring Group seeks assurance that the benefits set out in the Business Case are being achieved and that the operational service (or facility) is running effectively.

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5 Conclusion

As the Functional Authority for program and project management within ESDC, the EPMO is responsible for communicating this Framework, for ensuring that its content is understood, and for validating that associated processes, templates and guides are managed and maintained. The following key factors will serve to achieve, support and reinforce a high level of project and program management consistency, capability and maturity within ESDC:

- The Project Program Management Framework will be regularly reviewed by the EPMO and will be supported and enforced by executives across the branches.

- The organization will embrace a project and program management culture through building a strong and a vibrant knowledge network across all project and program management practitioners, including supporting skills development.

- Project and Program Managers will consult the appropriate governance bodies and the EPMO for guidance on this Framework.

Appendix A References

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Appendix B Glossary

Term	Definition
ADM	Assistant Deputy Minister
AUC	Asset Under Construction
BCM	Business Change Manager
BRM	Business Relationship Management
CFOB	Chief Financial Officer Branch
CoE	Centre of Excellence
CR	Change Request
DG	Director General
DG-MPOC	Director General Minor Projects Oversight Committee
EPMO	Enterprise Project Management Office
ESDC	Employment and Social Development Canada
ETC	Estimate to Complete
FMA	Financial Management Analyst
IITB	Innovation, Information and Technology Branch
IT	Information Technology
IPMF	Investment Project Management Framework
IPgMF	Investment Program Management Framework
IPPM	Investment, Procurement and Project Management
LA	Legal Advisor
MPIB	Major Projects and Investments Board
MSP	Managing Successful Programmes
OCM	Organizational Change Management
OPMCA	Organizational Project Management Capacity Assessment
PCRA	Project Complexity and Risk Assessment
PIA	Privacy Impact Assessment

PM	Project Management
PMA	Project Management Advisor
PMB	Portfolio Management Board
PMBOK	Project Management Body of Knowledge
PMBSC	Portfolio Management Board Steering Committee
PMDA	Privacy Management Division Analyst
PMP	Project Management Plan
PMI	Project Management Institute
PMIS	Project Management Information Solution
PMO	Project Management Office
PPMP	Project Program Management Practice
PPP	Project Procurement Plan
PSC	Project Steering Committees
SCU	Submission Control Unit
SDLC	Software Development Life Cycle
SMC	Service Management Committee
SRO	Senior Responsible Owner
SSC	Shared Services Canada
TB	Treasury Board
TBS	Treasury Board Secretariat
UAT	User Acceptance Testing
WBS	Work Breakdown Structure