

**Operational Policy**  
**on the**  
**I&IT Project Gateway Process**

**Minister of Government Services**

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# 1. PURPOSE

The purpose of this operational policy is to establish and define the gateway review process for approval of I&IT projects, incorporating review and decision points at critical project lifecycle transitions, in accordance with paragraph 36 of the I&IT Directive.

# 2. DEFINITIONS

In this Policy,

“CCIO” means Corporate Chief Information Officer,

“CIO” means the Chief Information Officer of an IT cluster,

“Close-out Report” means a project close-out report as defined in the Methodology,

“ITPAC” means the Information Technology Project Approval Committee,

“I&IT” means information & information technology,

“information” means ministry and cluster information in all forms, in any medium and at all stages of its lifecycle, including the description of information contents; origins, structure and relationships enabling correct interpretation of information; and including technologies currently in use and future technologies;

“information technology” means the equipment, software, services and processes used to create, store, process, communicate and manage information;

“Integrated Project Plan” means an integrated project plan as defined in the Methodology,

“I&IT Directive” means the Information and Information Technology (I&IT) Directive as amended from time to time,

“Methodology” means the methodology contained in the OPS Integrated Project Management Framework and Methodology, as amended from time to time,

“Policy” means this operational policy made by the Minister under paragraph 36 of the I&IT Directive, as amended from time to time,

“Project” means a project as defined by the Methodology and relating to I&IT,

“Project Charter” means a project charter as defined in the Methodology,

“Project Sponsor” means project sponsor as defined in the Methodology,

“SCLC” means the Supply Chain Leadership Council, and

“Sponsor Sign-off Form” means a sponsor sign-off form as defined in the Methodology.

### **3. APPLICATION AND SCOPE**

- 3.1 In accordance with paragraph 36 of the I&IT Directive, this policy applies to all I&IT projects with four-year projected cost greater than \$1M in ministries and clusters and in agencies utilizing OPS information technology infrastructure or subject to paragraph 36 by Memorandum of Understanding.
- 3.2 For greater clarity, calculation of the total cost of a project must include all costs necessary to achieve the project goal including all project deliverables or objectives, activities and tasks.
- 3.3 This Policy does not apply to the extension of maintenance and/or support agreements related to hardware, software or applications that were originally approved by Management Board of Cabinet; or to the refresh of hardware or software acquired through a Management Board of Cabinet-approved corporate, mandatory vendor or record arrangement.
- 3.4 This Policy does not restrict, qualify or limit application of the Methodology, which must be used for all I&IT projects regardless of size and scope, in accordance with paragraph 33 of the I&IT Directive.

### **4. PROJECT GATEWAYS**

#### **4.1 Purpose**

The purpose of gateway review is to reduce the risk of project under-performance by ensuring that I&IT projects do not proceed prematurely, that they are properly conceptualized, defined and planned, that adequate governance is in place, and that necessary resources have been identified and acquired, and to ensure that projects serve a legitimate business or strategic need.

#### **4.2 Project Gates**

4.2.1 The following project gates apply under this policy:

- a) before the commencement of concept phase, Gate 0 called Feasibility Gate;
- b) after completion of concept phase, Gate 1 called Approval Gate;
- c) after completion of definition phase, Gate 2 called Definition Gate;
- d) after completion of planning phase, Gate 3 called Planning Gate;
- e) after completion of implementation phase, Gate 4 called Implementation Gate;
- f) after completion of close-out phase, Gate 5 called Close-out Gate.

4.2.2 Gates 0 and 1 signify completion of information gathering and analysis to determine whether a project should be launched.

- 4.2.3 Gates 2 through 5 signify completion of the lifecycle phases of a project (as described in the Methodology) after the project has been approved and launched.
- 4.2.4 Concept phase for a proposed project shall not proceed unless the proposal has been approved at Gate 0, and a proposed project shall not proceed to definition phase unless it has been approved at Gate 1.
- 4.2.5 After completing definition phase, a project shall not proceed substantially into planning phase unless it has been approved at Gate 2.
- 4.2.6 After completion of planning phase, a project shall not proceed substantially into implementation phase unless it has been approved at Gate 3.
- 4.2.7 After completion of implementation phase, a project shall not proceed substantially into close-out phase unless it has been approved at Gate 4.
- 4.2.8 After completing close-out phase, a project shall not be considered officially closed until it has been approved at Gate 5.

### **4.3 Gateway Approval**

- 4.3.1 Gateway approval at Gate 0 is provided internally
  - (a) in the case of cluster-wide projects, cross-cluster projects, or any projects that could re-use common components or applications or whose deliverables could be re-used across clusters or enterprise-wide, by the Cluster I&IT Steering Committee; or
  - (b) in the case of projects specific or unique to a particular ministry, by the Ministry I&IT Management Committee.
- 4.3.2 Gateway approval at Gate 1 is provided
  - (a) in the case of projects whose projected four-year cost is greater than \$1M and less than \$10M, by ITPAC and for procurement components greater than \$1M by SCLC, or
  - (b) in the case of projects whose projected four-year cost is \$10M or greater, by MBC on the recommendation of ITPAC.
- 4.3.3 Gateway approval at Gates 2 through 5 is provided
  - (a) in the case of projects whose projected four-year cost is greater than \$1M and less than \$10M, by the Project Sponsor, or
  - (b) in the case of projects whose projected four-year cost is \$10M or greater, by the Project Sponsor after an independent third-party review.
- 4.3.4 Unfunded projects whose projected four-year cost is greater than \$1M and less than \$10M shall be treated at Gate 1 as projects with projected four-year cost of \$10M or greater.

## **4.4 Gateway Approval Requirements**

- 4.4.1 At Gate 0, a Project Outline must be approved by the Cluster I&IT Steering Committee or the Ministry I&IT Management Committee, as applicable.
- 4.4.2 At Gate 1,
- a) in the case of a project whose projected four-year cost is greater than \$1M and less than \$10M, a Business Case must be approved by ITPAC and any related procurement component greater than \$1M and less than \$10M must be approved by SCLC, or
  - b) in the case of a project whose projected four-year cost is \$10M or greater, an MB20 submission must be approved by MBC on the recommendation of ITPAC, and for any procurement component whose projected cost over four years is \$10M or greater, on the recommendation of SCLC .
- 4.4.3 At Gates 2 through 5, the Project Sponsor must approve,
- a) in the case of a project whose projected four-year cost is greater than \$1M and less than \$10M, a Project Charter, Integrated Project Plan, Sponsor Sign-Off Form and Project Close-out Report, respectively; or
  - b) in the case of a project whose projected four-year cost is \$10M or greater, a Project Charter, Integrated Project Plan, Sponsor Sign-Off Form and Project Close-out Report, respectively, after an independent third-party review.
- 4.4.4 Approval means written signature in the case of a Project Sponsor and in the case of a committee or other body an official minute attesting approval.
- 4.4.5 The Project Outline and Score Card shall be prepared in accordance with templates provided by the CCIO.
- 4.4.6 The Business Case, Charter, Integrated Project Plan, Sponsor Sign-Off Form and Close-out Report shall be prepared using templates provided by the Methodology.
- 4.4.7 Notwithstanding anything in this section, individual Project Sponsors are the single accountable executives for I&IT projects and bear ultimate responsibility for project progress and performance.
- 4.4.8 If during any phase of a project approved by ITPAC, four-year cost is forecast to increase to \$10M or greater, MBC approval of project continuation must be sought as soon as possible.

## **5. DOCUMENTATION**

### **5.1 Required Documentation**

Approval at any gate shall not be given unless all documents and information necessary to support the approval, including but not necessarily limited to the specific documents indicated at section 4.4, have been provided, including information to satisfy reasonable due diligence, and in the case of Gates 2 through 4, to demonstrate the project's readiness to proceed to the next project phase.

### **5.2 Increasing Refinement**

It is expected that documents and information to support approval, including cost and scheduling information, shall be presented with increasing accuracy, refinement and comprehensiveness at each successive gate, as applicable.

### **5.3 Architecture, Procurement, Privacy and Security**

5.3.1 Documents and information supporting Gates 1 through 4 shall demonstrate appropriate due diligence with respect to enterprise architecture review including compliance with paragraphs 13, 30 and 31 of the I&IT Directive.

5.3.2 Documents and information supporting Gates 1 through 4 shall demonstrate appropriate due diligence with respect to procurement requirements to meet the project end state (final product or service), in accordance with applicable directives.

5.3.3 Documents and information supporting Gates 1 through 4 shall demonstrate appropriate due diligence with respect to protection of personal information where personal information falls within the scope of project activities, including compliance with paragraph 21 of the I&IT Directive.

5.3.4 Documents and information supporting Gates 1 through 4 shall demonstrate appropriate due diligence with respect to corporate I&IT security requirements for I&IT systems, including compliance with paragraphs 24, 25 and 26 of the I&IT Directive.

## **6. INFORMATION TECHNOLOGY PROJECT APPROVAL COMMITTEE (ITPAC)**

### **6.1 Mandate**

ITPAC is chaired by the Corporate Chief Strategist and its mandate is to review proposals for I&IT projects with a projected four-year cost greater than \$1M and to approve projects with a projected four-year cost of between \$1M and \$10M.

## **6.2 Approval**

- 6.2.1 ITPAC shall approve, reject, or approve with modifications or conditions all project proposals at Gate 1 with a projected four-year cost greater than \$1M and less than \$10M.
- 6.2.2 ITPAC shall recommend, not recommend, or recommend with suggested modifications or conditions all project proposals at Gate 1 with a projected four-year cost of \$10M or greater, prior to submission to MBC.
- 6.2.3 With respect to reviewing documents and information at Gate 1, criteria for approval or recommendation shall include alignment with government priorities, quality of proposed solution and business case, scope of risk and risk management, and overall diligence, thoroughness, and accuracy.
- 6.2.4 ITPAC may refer a project proposal at Gate 1 to MBC for review and decision, regardless of projected project cost, if in the view of ITPAC the proposal involves excessive risk in relation to return, or for reasons of project sensitivity or for any other reason, and a proposal so referred is subject to MBC submission requirements and processes.

## **6.3 Subsequent Reporting to ITPAC**

- 6.3.1 ITPAC may require a project approved or recommended at Gate 1 to report back to ITPAC, at a time or times stipulated by ITPAC, and the report back shall include such documents, information or other requirements as ITPAC may determine.
- 6.3.2 After evaluating information provided in a report back pursuant to subsection 6.3.1, ITPAC may issue a report to the Project Sponsor, the sponsoring ministry's Deputy Minister, or MBC outlining issues or concerns with the project and recommending remedial action.

## **6.4 Documentation and Prior Approval**

- 6.4.1 Further to subsection 4.4.2, documentation required for completion of Gate 1 shall include the project scorecard and for I&IT projects between \$1M and \$10M a summary of the business case (approximately 5 pages), or for I&IT projects \$10M or greater an MB20 submission or Results-based Planning note.
- 6.4.2 All documentation submitted to ITPAC at Gate 1 must be approved by the sponsoring ministry's Deputy Minister and CIO prior to submission to ITPAC.

## **6.5 Decision**

- 6.5.1 A decision of ITPAC at Gate 1 shall be communicated in writing, together with the approved minute, by the chair of ITPAC to the sponsoring ministry's Deputy Minister, and copied to the sponsoring Ministry's CIO and to the Deputy Ministers and CIOs of other affected ministries.

- 6.5.2 In event of a dispute arising from an ITPAC decision, either the Minister of the sponsoring ministry or the Minister of Government Services may request that the project proposal be escalated to MBC for review and decision. A proposal so referred is subject to MBC submission requirements and processes.

## **7. INDEPENDENT REVIEW**

- 7.1 The independent third-party review required under subsections 4.3.3 and 4.4.3 shall be conducted by an individual or panel external to the ministry sponsoring the project, with appropriate project management experience and expertise, providing that the selection of the individual or panel must be submitted in writing to the CCIO, and the CCIO shall in writing approve or reject the selection.
- 7.2 Where the CCIO does not approve the selection of an individual reviewer or panel, the CCIO may recommend a suitable individual or panel.
- 7.3 A Project Sponsor may request that the CCIO recommend a reviewer at any Gate.
- 7.4 The independent third party review shall be conducted using the Methodology as the standard for successful project management, and using any additional procedures, templates or tools as may be prescribed by the CCIO.
- 7.5 The individual or panel reviewing a project shall be given timely access to all project documents and information.
- 7.6 A review shall be completed in a reasonably timely fashion, taking into account the size and complexity of the project and other relevant considerations.
- 7.7 Review criteria shall include completeness and quality of documentation, level of rigour and due diligence, appropriate refinement of information, adherence to required standards and processes (including architecture, procurement, privacy and security), actual performance against baseline, compliance with charter documents, and overall diligence, thoroughness, and accuracy.
- 7.8 The individual or panel conducting the independent review shall issue a written report to the Project Sponsor, and the report shall include any issues or concerns in relation to the project and recommendations for remedial action, and said report shall be copied by the individual or panel to the CCIO.

## **8. GUIDELINES**

The CCIO may issue guidelines pursuant to this policy setting out more detailed requirements and expectations not inconsistent with this policy in relation to the gateway process.

# RESPONSIBILITIES

## Management Board of Cabinet (MBC)

With respect to this operational policy, the responsibilities of MBC include,

- approving projects with projected four-year cost of \$10M or greater;
- approving unfunded projects with projected four-year cost greater than \$1M; and
- periodically reviewing projects with projected four-year cost of \$10M or greater through the Major Projects Report.

## Deputy Heads (Deputy Minister Or Equivalent And Agency Heads)

With respect to this operational policy, the responsibilities of deputy heads include:

- providing approval with the CIO for all documentation submitted to ITPAC at Gate 1; and
- ensuring single accountable executives are assigned as project sponsors to all projects approved at Gate 1 for which the ministry is responsible.

## Information and Information Technology Project Approval Committee (ITPAC)

With respect to this operational policy, the responsibilities of ITPAC include:

- at Gate 1, approving, rejecting, or approving with modifications or conditions all projects with a projected four-year cost greater than \$1M and less than \$10M;
- at Gate 1, recommending, not recommending, or recommending with suggested modifications or conditions all projects to MBC with a projected four-year cost of \$10M or greater and all unfunded projects with a projected four-year cost greater than \$1M; and
- at its discretion and as appropriate, escalating to MBC approval of specific projects with a projected four-year cost greater than \$1M and less than \$10M.

## Cluster I&IT Steering Committee

With respect to this operational policy, the responsibilities of the Cluster I&IT Steering Committee include:

- at Gate 0, approving proposals for all cluster-wide projects, cross-cluster projects, or any projects that could re-use common components or applications or whose deliverables could be re-used across clusters or enterprise-wide; and
- periodically reviewing the progress of projects with projected four-year cost greater than \$1M and less than \$10M that were approved by the Committee at Gate 0, in the context of portfolio management planning where applicable.

## **Corporate Chief Information Officer (CCIO)**

With respect to this operational policy, the responsibilities of CCIO include,

- approving in writing all written proposals for individuals or panels to conduct independent reviews at any of Gates 2 through 5 for projects with projected four-year cost greater than \$10M;
- at the CCIO's discretion, recommending an individual or panel to conduct an independent review when the CCIO does not approve a proposed individual or panel;
- recommending an individual or panel to conduct an independent review when requested by a Project Sponsor;
- prescribing additional procedures, templates or tools for the purpose of conducting independent reviews; and
- issuing guidelines pursuant to this policy setting out more detailed requirements and expectations not inconsistent with this policy in relation to the gateway process.

## **Ministry I&IT Management Committee**

With respect to this operational policy, the responsibilities of the Ministry I&IT Management Committee include,

- at Gate 0, approving proposals for all projects specific or unique to a particular ministry; and
- periodically reviewing the progress of projects with projected four-year cost greater than \$1M and less than \$10M that were approved by the Committee at Gate 0, in the context of portfolio management planning where applicable.

## **Cluster Chief Information Officers (CIOs)**

With respect to this operational policy, the responsibilities of CIOs include:

- providing approval with the Deputy Minister for all documentation submitted to ITPAC at Gate 1; and
- providing advice and guidance to Project Sponsors on the performance of appropriate due diligence with respect to architecture, privacy (as applicable) and security at Gates 1 through 4.

## **Project Sponsors**

With respect to this operational policy, the responsibilities of Project Sponsors include,

- acting as single accountable executives for their projects and bearing ultimate responsibility for project progress and performance, in accordance with the Methodology;
- providing approval at Gates 2 through 5 for projects with projected four-year cost greater than \$1M and less than \$10M;
- providing approval at Gates 2 through 5 for projects for projects with projected four-year cost of \$10M or greater after an independent third-party review;
- providing independent reviewers with timely access to all project documents and information and otherwise cooperating in good faith with independent reviews;
- in the case of projects with projected four-year cost greater than \$1M and less than \$10M that were approved by the Ministry I&IT Management Committee at Gate 0, providing periodic reports to the Committee on project progress; and
- in the case of projects with projected four-year cost greater than \$1M and less than \$10M that were approved by the Cluster I&IT Steering Committee at Gate 0, providing periodic reports to the Committee on project progress.