ISSC OPERATING PROCEDURES
Version 3.0

This Document outlines the procedures and processes for the efficient management of...
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1.0 OVERVIEW

The Information Systems Steering Committee (ISSC) operates as the enterprise level committee for IT Governance. It is the prime venue for discussing Information Technology (IT) initiatives and proposals, approving those that best align with the University's strategic priorities, and providing funding as required.

ISSC approved proposals become part of the portfolio of IT projects under the management of the ITS Project Management Office (PMO), using a methodology based on the internationally recognized Project Management Institute framework. The Project Management Methodology is tailored to meet Carleton’s requirements, and strikes a balance between a rigid, complex process and one that is flexible, adaptable, scalable, and easy to follow.

This Document describes the Project Portfolio Management Methodology (PPM) and the role of ISSC in the development and oversight of the IT project portfolio.

2.0 PROJECT PORTFOLIO MANAGEMENT FRAMEWORK

The PPM Framework is a set of best practices for project portfolio management and is a three-phase process: Alignment, Execution and Results. There are eight components within the Framework:

**Phase 1, Alignment** has five components:
- Submission
- Screening
- Prioritization
- Registration
- Activation

**Phase 2, Execution** has two components:
- Management & Reporting
- Capacity Management

**Phase 3, Results** has one component:
- Business Results Reporting

Together, they form a comprehensive, integrated project portfolio management framework.
2.1 PORTFOLIO ALIGNMENT AND ROLE OF ISSC

ISSC is most actively involved in the Alignment Phase in the screening, prioritization and approval of project submissions for IT initiatives; and subsequently the approval decisions of Project Proposals and Charters. The following is a step-by-step process for submitting a project proposal:

- A “Call for Proposals” is sent annually by the Office of the CIO to the IT Committee Chairs with an attached Project Proposal Template within the January/February timeframe
- Committee Chairs forward the call for Proposals to their staff requesting input for IT initiatives
- Using the template, staff members prepare Project Proposals for IT initiatives for the coming year and submit them to their Committee Chair
- Committees prioritize all their project Proposals as “Mandatory, High, Medium, Low” with approval from their Chairs
- Chairs submit project proposals to PMO Manager
- Prioritized project proposals are presented for review at one of the ISSC meetings
- ISSC confirms the priorities and ranks the project proposals in order of priority and approves those initiatives that will potentially be executed for the coming year
- Proposals that are approved are given the go-ahead to prepare Project Charters

Approval to proceed to Project Charter does not imply automatic approval for the “project”; this is determined when the Project Charter is presented to ISSC.

Note: There may be a case where a new initiative has come to light during the year that is critical and cannot wait until the annual call for proposals. The Committee may approve an urgent or critical proposal which may take precedence over current approved initiatives.
2.2 PLANNING AND PROJECT CHARTER
The Project Charter defines the project and is a document that forms the basis for project development.

Upon approval of a Proposal, the next steps are:

- A Project Charter is created, usually by the Project Manager in collaboration with the Functional Manager and other staff
- A Project Charter review is held, attended by ITS Management and the Project Manager for a final review
- Final copy is submitted to the Project Management Office (PMO) for inclusion on the ISSC Agenda
- The Project Charter is presented by the Author, Project/Functional Manager to ISSC
- The ISSC decision may be either: Approve, Reject or Defer the project
- If funding is requested and approved, the project is created in Banner and funds are allocated by the PMO

2.3 EXECUTION PHASE
During the execution phase, ISSC’s role is essentially monitoring the progress of the project, making decisions on change requests brought forward by the Project Manager, and resolving major issues if necessary. The Project Team executes the implementation of the product or service according to the Project Plan.

The progress of a project is reported to all stakeholders at defined periods, usually weekly. Project Managers provide detailed weekly status updates on project progress and budget for each project with input from the project team.

For the ISSC, status updates are reported monthly:

- Is the project on track to meet the target finish date
- Is the project spending on track
- General health of the project
- Stalled projects – issues/solution

2.4 CHANGE MANAGEMENT
Changes to the project scope, schedule or cost resulting in increases to the budget and/or schedule follow the formal PMO Change Control Process. The Project Manager completes a Project Change Request (PCR) form and submits it to the PMO. Depending on the size of the change, the following courses of action may be taken:

- If the dollar amount requested is less than 10% of the original funding and up to a maximum of $20K, the ISSC Chair has the authority to approve the Project Change Request and allocate the additional funding; however, this must be reported at the next ISSC meeting
- For amounts in excess of the above, the Project Change Request must be submitted for ISSC approval
- Similarly, if the time increase is not significant (+/- 10%), approval may be at the discretion of the ISSC Chair, but must be reported at the next meeting

Note: The project Sponsor is made aware of the Project Change Request and has approved it prior to its submission to the Project Management Office.

2.5 RESULTS PHASE AND CLOSING THE PROJECT
A Project Final Report is prepared by the Project Manager – with input from the project team – and presented to ISSC shortly after the system or product is in production (go-live). It captures a summary of the project overall performance and lessons learned. The Final Report formally closes the project.

3.0 ISSC BUDGET ALLOCATION
Project funding is allocated annually by the Vice-President (Finance and Administration) to the ISSC Organization (Org 5571) as a lump sum. As Project Charters are approved by ISSC, the projects are added to Banner and the funding is dispersed to individual projects by the ISSC Secretary. Project funds are fiscal; however, they remain in the project until completion. Balances (including commitments) at the end of a fiscal year are carried forward to the following year.

Base funds for such things as software licenses, maintenance and support contracts, are not included in ISSC funding, but are identified for the purpose of informing the user department of future budgetary obligations.

Project funding does not include equipment used for everyday operational activities such as computers and printers.

4.0 PROJECT SPENDING/REPORTING
Expenses are charged to the project according to the line items identified in the Charter. The Project Manager is responsible for managing the budget and keeping spending within budget for each individual project. The Project Management Office retains all financial documents; i.e.; Purchase Orders, Cheque Requisitions, Internal Chargebacks, and records of salaries for backfills.

The Project Management Office (PMO) Manager is the contact for budget queries on the overall portfolio; and provides the Committee with a monthly report on all project spending. The report includes a summary of: “Total Funding, Committed, and Available” for the entire portfolio as well as individual projects.

4.1 Surplus/Deficit
At the completion of a project, surplus funds are transferred back to the ISSC Org (5571) account “Unallocated Budget Provision”. Conversely, completed projects with a deficit may be covered from that account at the discretion of the ISSC Chair. In either case, the balance must be zero in order to close the project in the system (Banner/FAST).
5.0 ORGANIZATION

5.1 ISSC Membership
Please refer to the IT Governance document located in cucollab for the ISSC membership.

5.2 ISSC Meetings
ISSC meetings are pre-scheduled by the ISSC Secretary for the year and occur on the second Tuesday of every month. An Agenda is made available on the collaboration site for Committee members one week prior to the meeting. Minutes of ISSC meetings are recorded by the Secretary and distributed.

In terms of attendance, the Committee requires a quorum of at least seven (7) members be present (in addition to the Chair and Secretary); otherwise, the meeting will be cancelled. Members may send delegates in their absence; however, to maintain familiarity and continuity, the delegate should be the same person for each meeting. A meeting may also be cancelled at the discretion of the Chair depending on the number and/or the urgency of Agenda items.

5.3 Training and Support
The Project Management Office in ITS provides training and mentoring services on Project Portfolio Management and the Methodology, as well as on key document writing. In addition, templates, tools, checklists, examples, and detailed information on project management are available on the Project Management Office website at: http://www.carleton.ca/its/project-office/

5 VERSION CONTROL

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<td>August 2013</td>
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<td>May 2014</td>
<td>- Revision of the Project Management Methodology</td>
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| 3.0 | Betty Baxter | November 2019 | - Replaced Project Management methodology with Project Portfolio Management Methodology  
- Removed the ISSC membership table and referenced the IT Governance document for the membership  
- Updated CCS with ITS |