

Action Item Number	Identified under	IM Number	Date Identified	Action Item	Area Responsible	Priority/Severity	Status	Closure Date	Progress / Recommendation	Resolution
1	SIP	IM988855	11/08/2016	EIM - Assessment outcome - Reassessment incorrectly coded EANS for first fortnight. Partially verified fortnight was incorrectly coded to EANS during reassessment. Apportioned earnings as result of reassessment has not been correctly applied to record, this has been updated in IM982358 (item #34). Please see attachments. CRN S47F(1) .	ISIS Applications	2	Pending		Registered in SM 11/08/2016 - IM988855	Fixed via release C206632 (02/09) - awaiting health check by business
2	SIP	IM988899	12/08/2016	EIM - Assessment Outcome - Raising debt for a period where nil paid Assessment outcome shows debt is being raised for period 24/11/2014 to 03/12/2014, however customer had not been paid during this period. YAL granted 24/11/2014 but suspended before any payments issued. No arrears were ever issued for this period. Debt also raised outside of match period; reported IM947790. Please see attachments. CRN S47F(1) .	ISIS Applications	2	Open		Registered in SM 12/08/2016 - IM988899 17/08/16 With WAS for analysis 15/09/2016 SM updated, CRN S47F(1) also affected by this issue.	Pending Health Check
3	SIP	IM994209	16/08/2016	EIM - Online Services - Automatic reallocation of Anomaly/mismatch work item required. Currently, when the Anomaly/Mismatch GP is completed, the work item is required to be manually reallocated to pool. We require item to be automatically reallocated when GP is completed. Please see attachments, as discussed with S47F(1) .	Online Services	4	Pending		Registered in SM 16/08/2016 - IM994209 29/08/2016 Scheduled for ICT fix 02/09/2016. 10/10/2016 - Health Check Failed 16/10/2016 - Health Check Not Passed	Fixed via release C206632 (02/09) - awaiting health check by business
4	SIP	IM994219	16/08/2016	EIM - Online Services - EANS not coded in assessment. Customer has updated match data however no earnings apportioned to EANS. CO cancelled and regenerated the assessment, however this did not change issue. Manual calculations have been done and show that a debt should exist if the earnings had been coded to EANS. Please see attachments (2 manual calculations: scenario 1 is ATO Employer is not matched and creates a new employer on EANS; scenario 2 is if ATO matches employer on EANS. CRN S47F(1) .	Online Services	2	Pending		Registered in SM 16/08/2016 - IM994219 19/08/2016 - ICT Release processed 19/08. Health Check to be conducted. 30/09/2016 Business health check not passed. 16/10/2016 - Health Check Not Passed	Fixed via release (19/08) (RFC unknown - non related) - awaiting positive BVT result
5	SIP	IM998988	18/08/2016	EIM - Online Services - Unable to add notes in ZIRV or ZCOC once intervention has been completed. For both ZCOC and ZIRV, the following error presented when attempting to add a note "No changes possible in document / transaction." ZCOC note does not allow option of "English" to be selected. Please see attachments. CRN S47F(1) .	Online Services	4	Resolved		Registered in SM 18/08/2016 - IM998988 ICT Fix release scheduled 30/09/2016. 01/10/2016 Business health check performed, notes in GDACC solution is not viable, however ZCOC notes can be added.	Fixed via change release C212880 (30/09) Release fixed that the ZCOC could be annotated, but the ZIRV still cannot be annotated after it has been Completed.
6	SIP	IM1014048	28/08/2016	In relation to IM962327, but varied, to consider EAAD where the EAAD period partly lies outside the match year. Please see attached email with S47F(1) .	Online Services	2	Open		Registered in SM 29/07/2016 - IM962327 04/08/2016 CRN S47F(1) - Assessment has changed previously verified earnings for S47F(1) , match year S47F(1) . 08/08/16 New incident lodged as previous IM incorrectly closed off. New IM977998 19/08/2016 - ICT release. Closure ending Business Health Check 28/08/2016 SM updated with new IM1014048 opened, to consider rules allowing EAAD period which lies partly outside match period. 30/08/2016 CRN S47F(1) updated in SM for IM1014048. 30/09/2016 Business health check not passed.	
7	SIP	IM1015138	29/08/2016	EIM - Assessment Outcome - Incorrect generation of arrears by a reassessment activity Customer undertook reassessment online and updated details. Earnings updated should have resulted in a No Debt outcome. Arrears have been generated for the amount of the debt and the activity finalised. Arrears did not offset the debt and are now incorrectly paying to the customer. CRN S47F(1) As discussed with S47F(1) (see attached email) this is an incident relating to incorrectly closed IM988376 (for CRN initially advised S47F(1) where level 2 ICT suppressed these arrears). This remains an issue for BVT, and new incident lodged as per S47F(1) an S47F(1) .	ISIS Applications	2	Open		Registered in SM 12/08/16 - IM988376 29/08/2016 SM recorded with new incident IM1015138 (as IM988376 closed incorrectly). 13/09/2016 SM updated, CRN S47F(1) also affected by this issue. ICT Fix release scheduled 29/09/2016.	

8	SIP	IM1020437	30/08/2016	EIM - Online Services - Customer First Workload Management reports Currently, WFM reports displays "completed" as nil. CMC have discussed with Debt Branch that data should be displayed in this field when a work item is completed. Please see attached email.	Online Services	2	Resolved	TO BE CLOSED	Registered in SM 30/08/2016 - IM1020437 ICT Fix release scheduled 30/09/2016.	Fixed via change release C221915 (07/10)
9	SIP	IM1026692	2/09/2016	EIM - Online Services - Reassessment disregarding staff-updated data entered in Verify Evidence GP CO has verified evidence and updated data in Verify Evidence GP, using payslip periods and amounts (whereas customer had changed the period of employment and accepted the total amount). When earnings apportioned, reassessment has used the staff-updated date range, and PAYG amount - instead of apportioning the payslips amounts as entered. Additionally, during Verify Evidence GP, when CO changes date range (from customer's advice at reassessment), the change is only held if saved and exited; the CO must re-enter for the changes to be reflected. Please see attachments. CRNs: s47F(1)	Online Services	3	Resolved	TO BE CLOSED	Registered in SM 02/09/2016 - IM1026692 ICT Fix release scheduled 30/09/2016.	Fixed via change release C212880 (30/09)
10	SIP	IM1029890	5/09/2016	EIM - Assessment Outcome - Reassessment outcome incorrect without ROA coding (NOHL rules). Manual calculation of reassessment shows reassessment ADEX result was incorrect (the credit to offset debt is incorrect). When ROA recorded, ADEX result matched the manual calculation due to changing of NOHL rule 22 (was rule 2 and 6 without ROA coding). The NOHL rules are changing throughout entire reassessment period (not just CPI dates). This is different to issue #23. Please see attachments (without ROA coding). CRNs: s47F(1)	ISIS Applications	2	Open		Registered in SM 05/09/2016 - IM1029890 06/09/2016 SM updated, CRNs: s47F(1) also affected by this issue 13/09/2016 SM updated, CRNs: s47F(1) and s47F(1) also affected by this issue 16/10/2016 - Health Check Not Passed	
11	SIP	IM1031877	6/09/2016	EIM Assessment Outcome - Incorrect working credit balance when YAL-stu changed to NSA and the gao in entitlement is less than 12 months. YAL-stu cancelled s47F(1) with a SIB balance of s47F(1). Assessment is incorrectly deleting the 1000 credits (that was initially given at NSA grant) and applying a balance of nil credits from NSA grant date. As per 108-07020000 where a full-time student transfers to another benefit where working credits are applied, unused SIB becomes the working credits balance capped at 1000. Please see attachments. CRNs: s47F(1)	ISIS Applications	2	Open		Registered in SM 06/09/2016 - IM1031877 09/09/2016 SM updated with CRNs: s47F(1) and s47F(1) 13/09/2016 SM updated, CRNs: s47F(1) and s47F(1) also affected by this issue 15/09/2016 SM updated, CRNs: s47F(1) s47F(1) and s47F(1) are also affected by this issue. 28/09/2016 SM updated s47F(1) and s47F(1) are also affected by this issue. ICT TARGETING 03 DECEMBER RELEASE	
12	SIP	IM1048850	19/09/2016	EIM - Assessment Outcome - Adjustments are made on RATS causes the debt period to be incorrect. When adjustments made on RATS, the assessment period is passed to DMIS, thereby making the debt period incorrect. As discussed with M.O ISIS Applications.	ISIS Applications	2	Open		Registered in SM 19/09/2016 - IM1048850 16/10/2016 - Health Check Not Passed	
13	SIP	IM1085448	30/09/2016	EIM - Online Services - Cancel ZIRV process creating document on the partner record. 2 instances have occurred where the Cancel ZIRV process to change the IRS Method has created the ODR on the Partner record and not the primary customers. CRNs: s47F(1)	Online Services	2	Pending		Registered in SM 30/09/2016 - IM1085448	Fixed via change release C219826 (14/10) - awaiting positive bvt feedback
14	SIP	IM1069333	4/10/2016	EIM - Earnings assessment - Consecutive PAYGs not apportioned correctly. This incident was under IM988861, which has been closed - but is now presenting as an issue again for SIP Consecutive PAYGs are not being apportioned correctly for the EPED which spans the 2 financial years. Both PAYGs need to be assessed. This was health-checked over the weekend going through new work.	Online Services	2	Open		Registered in SM 11/08/2016 - IM988861 Business health check completed 29/08/2016. 04/10/2016 logged in SM IM1069333.	Target Fix Date Not Provided

15	SIP	IM1073062	6/10/2016	EIM - Online Services - Tolerance rule reached however customer data accepted without verification Customer updated data for 2 employers, tolerances should have met for both, however only 1 has been selected for requiring verification. For employer All Terrain 4x4 Parts & Accessories P/L, customer updated end-date and UP01 rule met, however customer data accepted. Please see CRN s47F(1)	Online Services	3	Open		Registered in SM 06/10/2016 - IM1073062	
16	SIP	IM1073501	6/10/2016	EIM - Online Services - Verified Evidence GP, enhancement to staff updated fields • CO updated the GP (via Staff Updated Income fields) for allowances, changing frequency from fortnightly to annual; • The GP had to be exited and then re-entered for changes to be held; • When change to allowance held, the gross did not revert (to ATO gross less updated allowance) and remained at s47F(1) ; • CO updated GP for gross income; • The lump sum amount s47F(1) which had been accepted by customer (and appeared initially in GP) no longer appeared in GP. As discussed with s47F(1) Please see CRN s47F(1)	Online Services	2	Open		Registered in SM 06/10/2016 - IM1073501	
17	SIP	IM1091876	28/10/2016	EIM - DMIS - Debt Status changed to over recovered following reassessment. Debt Status on the CRN's below was changed to over recovered without the customer making any payments and there is still an outstanding amount. CRN: s47F(1)	DMIS	2	Open		Registered in SM 20/10/2016 - IM1091876	Being Investigated
18	SIP	IM1100937	31/10/2016	EIM - DMIS - Recovery Fee not updating correctly within reassessment Recover Fee is not automatically updating correctly as part of the reassessment pathway. Adjustment was coded however DMIS has not adjusted the fee value s47F(1)	Online Services	2	Open		Registered in SM 31/10/2016 - IM1100937	Being Investigated
19	SIP	IM1107252	31/10/2016	EIM - Online Services - Fringe Benefit rate calculated incorrectly The fringe benefit calculation for applying the non grossed up rate is incorrect on the CRN below. The rate calculation should have applied a taper of 47% into s47F(1) at which time the increase should be to 49% for the remainder of the financial year The XML indicate was are applying 53% to the customers record. s47F(1)	Online Services	2	Open		Registered in SM 31/10/2016 - IM1107252	
20	SIP	IM1107262	31/10/2016	EIM - Online Services - Match Data displaying the incorrect income components. The customer was receiving fringe benefits from their employer. The IRMD has incorrectly populated these as Lump Sum E payments for the 12/13 & 13/14 Financial years. This incorrect alignment is adversely impacting the customer as the rate has not been degrossed as a result of this alignment. CRN s47F(1)	Online Services	2	Open		Registered in SM 31/10/2016 - IM1107262	

21	SIP	IM1127449	15/11/2016	<p>EIM - Online Services - SIMS Allocation Issues</p> <p>Per s47F(1) advice</p> <p>There are 2,981 allocated interventions in SIMS that are stuck in the status of ALC. Normally once OCI confirms the appropriate activities and reviews have been created it sends a message back to SIMS to update the status to 'DIS'tributed.</p> <p>We are seeing incidents where due to this issue, secondary duplicate interventions are being created on some records. Our help desk team are being to handle complaints from customers on this matter.</p> <p>Example CRN: s47F(1)</p> <p>s47F(1) has advised s47F that each morning they have been reconciling the schedule results, and where there has been a discrepancy we have been collating the details and forwarding this on to the CRM and/or IRS teams for their information as well.</p>	Online Services	2	Resolved	TO BE CLOSED	Registered in SM 15/11/2016 - IM1127449	This incident has been resolved as part of IM1108117.
22	SIP	IM1127867	15/11/2016	<p>EIM - Online Services - Discrepancy between the debt amount from OPDL and total debt amount in ZIRV note (negative component)</p> <p>As discussed with s47F(1) . Please see CRN s47F(1)</p> <p>A new instance of the debt note being incorrect as a result of a negative component at the end of the debt period.</p> <p>Previous incident IM1053655 was closed 01/10/2016.</p> <p>This issue will like have higher occurrences following the agreement with DMB to allow the credits at the end of debt periods to offset the debt outcome. The amount displayed in the note is reflective of the debt total minus the credits at the end of the EIM period.</p>	Online Services	2	Open		Registered in SM 21/09/2016 - IM1053655 01/10/2016 Business health check passed. New Incident opened 15/11/2016 - New IM1127867	
23	NEIDM	IM1148483	1/12/2016	<p>SIMS - Historical Schedules search criteria for Bypass External Processing not populating</p> <p>Issue identified as part of NEIDM December UAT exercise (P/S-1413) ALM Defect ID: 11736 (P4)</p> <p>Test Set: CMC - SIMS Tests Test: User Case - Historical Schedule Search 91 Run: Run_11-28_16-46-54</p> <p>Test Parameters: Step: Step 19</p> <p>Description: Test Bypass External Process Search Function is successful/results viewable</p> <p>Expected: Successful Search function - Bypass External Process</p> <p>Actual: Does not show correctly in search criteria options. Data appears as YES or NO in results</p> <p>Run Step[725285] : Step 19</p> <p>Attachment provided</p>	Analytics SIMS	3	Open			
24	SIP	IM1149422	2/12/2016	<p>EIM - Online Services - Mismatch GP crashing CF session</p> <p>A number of incidents were reported yesterday of Customer First crashing and producing the attached error when processing the Mismatch GP. The compliance officers were processing the CO level of the GP but were presented with a message advising they didnt have the required BISC/Case Selection role.</p> <p>Hoping this was an isolated incident for just yesterday as we over 300 to process.</p> <p>Screen shots attached</p>	Online Services	2	Pending		Registered in SM 02/12/2016 - IM1149422	Fixed via C240868 (07/12/16) - awaiting BVT

25	SIP	IM1151398	5/12/2016	EIM - Online Services - Employer name matching not occurring correctly The automated employer name matching appears to have had a number of failures over the last week. I have been advised that there are a additional CRN's to the ones indicated below. Following up with the help desk team to confirm s47F(1)	Online Services	2	Resolved	TO BE CLOSED	Registered in SM 05/12/2016 - IM1151398	Email clarification sent on the 8th of December.
26	SIP	IM1153316	5/12/2016	EIM - DMIS - Reassessment Debt outcome adjusted to a negative value on OPDL Attached are 12 CRN's that are currently displaying a negative value on OPDL following a reassessment online. The assessment activity appears to have suppressed the arrears correctly however displaying a negative debt outcome. This issue is currently impacting reporting as the values from our reporting teams cannot e verified against the independent check conducted by our section	DMIS	2	Open		Registered in SM 05/12/2016 - IM1153316	
27	NEIDM	IM1167651	19/12/2016	Previously recorded ongoing income that was deleted by our assessment, is not correctly populating within the declared income column of the debt explanation tab on the Assessment Outcome Page. This is causing the UI to display a greater discrepancy in income than what is actually the case. CRN s47F(1)	Online Services	2	Open			
28		IM1177217	4/01/2017	OLS>CLK>ENTRYPAGERMDROSC Unable to access OCI - error: SNA Customer is having difficulties trying to access her OCI review through her my.gov account. The customer has not yet completed the assessment as she is continually receiving an error which states 'The service is unavailable at this time. Please return to home and try again.'. I have also tried to access the OCI Online Customer Access through Customer First and I am running into the same error. Seems to be an isolated incident in which the customer is unable to access the review.	Online Services	2	Open			
29	NEIDM	IM1179826	6/01/2017	EDM - Online Services - Match Data on Receipt. The Receipt is missing the information under the ATO data matching section. Further details attached. Affected CRNs s47F(1)	Online Services	4	Open			
30	NEIDM	IM1179839	6/01/2017	EDM - Online Services - Anomaly/Mismatch GP not pushing intervention back online After the GP was completed the ZIRV was still for manual action, whereas it should have changed to For Customer Action. As it is still For Manual Action the customer is unable to go back online to make any updates. Anomalv/mismatch when raised initially did not generate any notes. CRN - s47F(1) Further screenshots attached.	Online Services	3	Open			
31	NEIDM	IM1181291	9/01/2017	EDM - Online Services - Combined Assessment Failed CRN s47F(1) is primary customer, and this intervention has been completed and a debt raised. Intervention was completed on s47F(1) as per IRRS screen. NSA debt of s47F(1) has been raised for this CRN. No debt raised for other CRN. When the earnings transaction was finalised, this automatically reverted to the default partner processing and zeroed out the partner debt as there was no partner review present. The partner debt in this case was over s47F(1) CRN s47F(1) is the linked primary partner, and is sitting for Manual action, however there is no receipt in the Attachments tab to indicate that customer actioned the intervention. It would appear the linkages are missing on the CRM end as the link was coded correctly in IRS. Screen shots have been attached	Online Services	2	Open			

32	Ministerial	IM1181711	9/01/2017	EIM - Outbound Correspondence Issues with variable data Reported by s47F(1) , T/L of SOC on 05/01/2017. Hi s47F(1) As discussed, please see attached/below. In the first example 0.00 is being passed as a recovery fee and in the second we have the blank Employer data blocks. CRN: s47F(1) <SECTION ID="VARIABLES"> <TEXTS> <TEXT_1 NAME="Debt amount s47F(1)"> </TEXT_1> <TEXT_2 NAME="Appeal review period">13 weeks</TEXT_2> <TEXT_3 NAME="Total Recovery Fee">0.00</TEXT_3> </TEXTS> </SECTION> CRN: s47F(1) <SECTION ID="VARIABLES">	SAPOC	3	Open		
33		IM1183070	10/01/2017	re-escalated- w/a not applying - OCI Review X007PG error - Newstart Allowance (NSA)- ERROR COMES UP WHEN TRYING TO AR ACTIVITY - SEE BELOW	ISIS Applications	3	Open		
34	Ministerial	IM1181975	10/01/2017	EIM - Online Services - Incorrect Reassessment letter issued Below are a list of CRN's that have been issued a reassessment outcome letter advising that the debt is zero by the system, however there is still a debt outstanding for the customers. s47F(1)	*SAPOC	2	Open	ICT has confirmed that this issue has been present since original deployment. The code has only ever been checking for a determined status whereas in the example CRNs the original debts have moved to collection agent status. Helpdesk have done a spot checking for sample of 50 and have identified 15 for recovery action. It has been identified that customers should have received an accounts payable letter (with the correct debt) after the incorrect \$0 debt letter. It is proposed to call and apologise the customer for the incorrect letter and to ensure they are aware of their actual debt and then offer the reassessment pathway.	*Emergency release targeting to fix on 10/01/2017. Change to be made to look for status DET, DMC (and DWO, as per advise from s47F(1) from DMIS) *CMC will organise for Service Strategy to occur for the 618 customers. The letter has been issued for total of 618 customers and 13 customers have received the correct reassessment outcome in this case (debt \$0 or <\$50).
35	NEIDM	IM1182394	10/01/2017	EIM/NEIDM - Online Services - ZIRV work items not allocating ZIRV work items are not allocating within the Work Load management system. Email trail with example CRN's has been attached to the item.	Online Services	2	Open		
36	Ministerial	IM1183884	11/01/2017	EIM - Online Services - Contact letter issued for Reassessment requests Analysis has identified 19 instances where an initial contact letter has been incorrectly issued to a customer where a reassessment has been sought. CRN list attached in SM	Online Services	2	Open	Pending response from ICT	
37	Ministerial	IM1190428	18/01/2017	Cancel EIM review activities EIM review activity processing within ISIS by non compliance staff is leading to undesirable customer outcomes.	ISIS Applications	2	Open		

38	Ministerial	IM1197345	25/01/2017	<p>EIM - SAPOC - Reminder notification contains incorrect detail</p> <p>23rd Jan initiations CRN^{S47F(1)} – PDF attached. Identical match data is present on the letter</p> <p>24th Jan initiations Initial Employee Income Review letter - CRN^{S47F(1)} name is not appearing in Outbound Correspondence Tool Letter content is correct and is addressed to Nominee – PDF CRN^{S47F(1)} attached Initial Employee Income Review letter - CRN^{S47F(1)} name is not appearing in Outbound Correspondence Tool. Letter content is correct and is addressed to Nominee – PDF CRN^{S47F(1)} attached All CRNs initiated 24/01/2017, letters should be dated 25/01/2017 with due date of 15/02/2017 however they are appearing with 24/01/2017 sent date. Content and match data is correct – PDF CRN^{S47F(1)} attached</p> <p>Reminder Letters Looking at the reminder letters in the Outbound Correspondence Admin Tool there are a total of 30 presenting for the period 23.01.2017 – 25.01.2017. 9 reminder letters have been sent 23.01.2017 prior to the filter being applied 21 reminder letters are presenting with the Do not send filter All 30 reminder letters are presenting with incorrectly formatted and duplicated match data (PDF CRN^{S47F(1)} attached as an example).</p> <p>Please be advised I have checked the 9 reminder letters that were sent and they were all started in 2016</p> <p>702 101 7211 started 25/11/2016 FIN 24/01/2016</p>	SAPOC	2	Pending		Fixed via C263186 & C263080 (27/01) - Awaiting BVT
39	Ministerial	IM1209956	8/02/2017	<p>Negative Waiver from EIM Offset need correcting</p> <p>As the debt is less than zero, the auto waive process kicked in and put negative waived amount because it was less than \$50 (this is incorrect processing). Reverse the waiver.</p>	DMIS	3	Open		ADHOC required
40	Ministerial	IM1211308	9/02/2017	<p>OCI debt re-assessed, however Recovery Fee not included in new Debt Total</p> <p>OCI debt with a recovery fee was re-assessed, however, when the amended debt did not include the recovery fee in the debt total. OPGI showed Recovery Fee is present, however, the debt total on OPDL does not reflect this, nor the data on the BD group on the database. The data has since been corrected by OCI (activity 1223) so it is not apparent looking at the record.</p> <p>Attached is a spreadsheet showing the BD, DBRF and OV data at various points (extract from Teradata), along with a summary of pertinent data and incorrect details.</p> <p>Additionally, the OV group appears inconsistent when updated with EIM as it is then also updated with DET, and the two groups, updated at the same time, have different Est Dates, adding to the confusion Can this please be addressed (either explain why it is, or corrected)</p> <p>As the process is automatic, the result is incorrect debt amounts recorded and possibly incorrect debt information sent/provided to the customer.</p> <p>If time permits, DMB will attempt to identify further cases which have not been corrected.</p>	DMIS/SIS Applications	2	Open		
41	EIC	IM1224696	23/02/2017	<p>EIM - DMIS - EIM debt not offset by manual debt</p> <p>Customer had a previously raised manual debt prior to the EIM intervention. This debt was of the same payment type and was within the EIM debt period however the EIM debt was not offset by the manual debt.</p> <p>This particular debt scenario (number 5) was released as part of the June 2016 release. Any debt scenarios that aren't currently automated as part of the online platform are either not selected or are a manual handoff.</p> <p>Currently we have identified one customer affected by this however there is no current workaround so the urgency is high.</p> <p>CRN^{S47F(1)}</p>	DMIS	2	Open		

42	EIC	IM1231318	1/03/2017	<p>EIM - Online Services - Incorrect apportionment for consecutive year matches</p> <p>I have reviewed the XML files created within the activity. An issue was identified for employers s47F(1) and s47F(1). Both employers have the same ABN s47F(1).</p> <p>The employers matched using the ABN provided on the matches therefore the income should have been coded correctly. For some reason the process has split the apportionment up for the employers and applied the default rule of exclude the first and last period from upload for each match period.</p> <p>As the ABN matching is the default matching the system should have identified these employers as the same and continued the apportionment through as they were a consecutive year match.</p> <p>Based on how the system has performed here, I have concern that it may impact another scenario where the customer selects the employer they declared under.</p> <p>CRN s47F(1)</p>	Online Services	2	Open		
43	EIC	IM1236175	6/03/2017	<p>WCEM - OCI - Back button allowing double submission</p> <p>Bug has been found where the customer can hit 'back' on the browser which allows them to re-submit the workflow.</p>	Online Services	2	Open		
44	EIC	IM1246521	16/03/2017	<p>EIC - Online Services - Letter duplication</p> <p>There were some more Employment income confirmation reminders (Letter D) duplicated today.</p>	SAPOC	2	Open	<p>It has been identified that the issue is caused by the customer pressing the next button multiple times before the next page has loaded. More instances have been identified on 23/03/2017, 24/03/2017 and 28/03/2017 where letter D generating duplicates. On 28/03/17- For 2 more CRN's multiple Letter D's have been generated. 29/03/2017- A new customer has been identified with the same issue.</p>	04/04/2017-UAT has been completed successfully and scheduled to release on 8/04/2017.
45	EIC	IM1248677	20/03/2017	<p>EIC - Online Services - Letter A not triggered</p> <p>The letter processing issue under IM1244601, allowed the customer to commence and undertake their online intervention prior to the letter A generation. It is a requirement that all customers undertaking this process, must be issued a letter A.</p> <p>Letter A was not generated for CRN s47F(1). Due to the current volumes of initiations, this only impacted a single customer. Once initiations are scaled up there could be a much broader impact. Concern here is we are not in a position to say all customers that have been through the process, have been sent a letter A.</p>	SAPOC	2	Open	<p>It was identified that this customer has actioned the review prior to the deployment of the fix which has changed the start condition of the customer and the letter has not been generated.</p>	<p>A decision has been made by s47F(1) to generate the letter A to all customers regardless. IM1248677 has been raised for ICT to provide resolution. 04/04/2017-UAT has been completed successfully and scheduled to release on 8/04/2017.</p>
46	EIC	IM1255843	27/03/2017	<p>EIC - Incorrect assessment error hand off screen</p> <p>Where the workflow hits an Assessment Error (Provisional Assessment Outcome and Assessment Outcome stage). The Please Contact Us screen should present the message:</p> <p>Thank you for confirming your employment income. We will be in contact with you regarding the outcome within 14 days. Attachment shows what is been displayed instead.</p>	Online Services	2	Open	<p>A mismatch has been identified with the OCI matrix used in ICT and business where business matrix doesn't contain the landing page wording.</p>	<p>Response from ICT: this is an issue with version control of the document, and that this issue wasn't picked up during SIT/UAT testing. Given the nature of the design and build during that period, it's understandable that something like this was missed.</p> <p>The text on the landing page currently in production is as per specification. Therefore, this is technically not a defect. Given the scrutiny around the accuracy of the tool (and the subsequent defect ratios) it is proposed to address this request as an 'enhancement' and get it fixed ASAP.</p>
47	EIC	IM1260962	31/03/2017	<p>EIC - Open DOC from bulk cancellation</p> <p>There are approx. 30,000 open DOCs in the Workgroup GENERAL Position BISC with the subject 'Match Data Not Valid' which appear to be the result of the bulk intervention cancellation process for EIC via CRM. These docs need to be closed off. Email with screen shot attached.</p>	CMC	2	Open	<p>CMC have analysed 50 DOCS and found 47 were cancelled interventions and 3 were completed interventions. 29/03/2017- Issue has been escalated to ICT by CDM. ICT have requested the list of CRNs for the 30,000 customers or the A1 cohort and ways to identify the customers (example CRNs, record attributes)</p>	<p>CMC is unaware of any reason that these docs should have been left open and would like to request this be escalated to ICT for further investigation and confirmation that these are a result of the process undertaken as part of the A1 Service Strategy.</p> <p>ICT has obtained permission to include this fix in the 08/04 release under the existing CRM change. The change will be tested as part of the SIT cycle. It is required to run an ISIS adhoc job to assist with the clean-up of open docs once the change has been made in production.</p>

48	EIC	IM1265866	6/04/2017	<p>EIC - Online Services - Address Resolution tool</p> <p>A few minor issues have been identified within the address resolution tool. I have included the detail that was escalated to me below. If you need to discuss or clarify any of the items, please contact s47F(1) as she has been undertaking the testing. (467607)</p> <p>1. Missing sources The Address Resolution Tool only seems to be pulling Centrelink Data – advised sources may include AEC and Medicare as well</p> <p>2. Last contact attempt not recorded A few of the CRNs tested had the following issue: The Address Resolution Tool does not have the contact attempt recorded.</p> <p>Affected CRNs s47F(1)</p> <p>s47F(1) (this one has a contact attempt but not the most recent) s47F(1) (this one has a contact attempt but not the most recent)</p> <p>3. Incorrect information: The information being provided is not always correct: s47F(1)</p>	Online Services	2	Open		
49	EIC	IM1274699	18/04/2017	<p>EIM - Letter B (Also possibly Letter D) not generating properly since 08/04 Business advised that no Letter B/D/E/F has been generated in production since 08/04/2017.</p> <p>After investigation from CRM side, it looks like the reminder actioned has failed in production for a few records: s47F(1)</p> <p>reminder letter for all of them failed in C4P s47F(1) has investigated from OC side and advised to raise a production incident. Email trails attached. **NOTE** - Business advised this could also effect E / F letters (extensions).</p>	SAPOC	2	Open		
50	EIC	IM1278723	24/04/2017	<p>EIC - Reminder Letter B Trigger Date IM1238071 was closed 13 March.</p> <p>The logic for the triggering of reminder letter B is currently set at 7 days from the due date.</p> <p>Updated logic provided 09 February has this set at 14 days from the confirmation of the receipt of letter A.</p> <p>I have attached all the applicable email trails.</p>	SAPOC	2	Open		
51	EIC	IM1278836	24/04/2017	<p>EIC - Online Services – Risk rule reached however no note populated on ZIRV Staff Assisted run to update data, Risk Rule has been triggered pausing the assessment, however no note relating to the Risk Rule Trigger has populated. For Employer s47F(1) Customer has updated a rounded response Period: s47F(1) and UP07 rule met. Please see CRN: s47F(1) Issue confirmed by s47F(1)</p>	Online Services	2	Open		
52	EIC	IM1278853	24/04/2017	<p>EIC – Debts raised incorrectly. School Kids Bonus debt amount of s47F(1) should have been raised alongside YAL Debt s47F(1). However once the assessment was run through the School Kids Bonus debt raised was only s47F(1). The missing amount of the School Kids Bonus debt raised was s47F(1) has been raised with YAL debt s47F(1). Please see CRN: s47F(1) Issue confirmed with s47F(1)</p>	DMIS	2	Open		

53	EIC	IM1279153	24/04/2017	EIC - Online Services - Due date in CRM inconsistent with the letter The Review Completion Dates are adjusted incorrectly after an extension is requested. The letters are populated with the correct Extension Date, but the system is not populating the correct date into the Date Tab. All cases have due dates that have been incorrectly changed and are inconsistent with the date populated on the letter. s47F(1)	Online Services	2	Open			
54				Analysis attached						
55										
56										

Action Item Number	Identified under	IM Number	Date Identified	Action Item
23	NEIDM	IM1148483	1/12/2016	<p>SIMS - Historical Schedules search criteria for Bypass External Processing not populating</p> <p>Issue identified as part of NEIDM December UAT exercise (P/S-1413) ALM Defect ID: 11736 (P4)</p> <p>Test Set: CMC - SIMS Tests Test: User Case - Historical Schedule Search 91 Run: Run_11-28_16-46-54</p> <p>Test Parameters: Step: Step 19</p> <p>Description: Test Bypass External Process Search Function is successful/results viewable</p> <p>Expected: Successful Search function - Bypass External Process</p> <p>Actual: Does not show correctly in search criteria options. Data appears as YES or NO in results</p> <p>Run Step[725285] : Step 19</p> <p>Attachment provided</p> <p>As discussed with s47F(1) - Historical Schedules search criteria for Bypass External Processing is not populating results based on the 2 available options of 0 - No and 1 - Yes</p>
				<p>CMC Identified 28/11/2016 5.00pm</p> <p>s47F(1) requested we raise as defect with Low Priority. Also discussed with s47F(1)</p> <p>RFC221594</p> <p>Tester: Z_SIMS_USER_S02 -s47F(1) for CMC</p> <p>s47F(1) s47F(1) , 29/11/2016: Attachment provided</p> <p>As discussed with s47F(1) - Historical Schedules search criteria for Bypass External Processing is not populating results based on the 2 available options of 0 - No and 1 - Yes</p> <p>CMC Identified 28/11/2016 5.00pm</p> <p>s47F(1) requested we raise as defect with Low Priority. Also discussed with s47F(1)</p> <p>RFC221594</p> <p>Tester: Z_SIMS_USER_S02 -s47F(1) for CMC</p> <p>s47F(1) s47F(1) , 29/11/2016: Attachment provided</p> <p>As discussed with s47F(1) - Historical Schedules search criteria for Bypass External Processing is not populating results based on the 2 available options of 0 - No and 1 - Yes</p>

				<p>CMC Identified 28/11/2016 5.00pm</p> <p>s47F(1) requested we raise as defect with Low Priority. Also discussed with s47F(1)</p> <p>RFC221594</p> <p>Tester: Z_SIMS_USER_S02 - s47F(1) for CMC</p> <p>s47F(1) s47F(1), 29/11/2016: Display issue only. Drop list is showing value that is stored in Hana table and corresponding value. It should only be showing the value. Display of search results is correct.</p>
<p>32</p>	<p>Ministerial</p>	<p>IM1181711</p>	<p>9/01/2017</p>	<p>EIM - Ou bound Correspondence Issues with variable data</p> <p>Reported by s47F(1) , T/L of SOC on 05/01/2017.</p> <p>-----</p> <p>Hi s47F(1)</p> <p>As discussed, please see attached/below. In the first example 0.00 is being passed as a recovery fee and in the second we have the blank Employer data blocks.</p> <p>CRN s47F(1)</p> <pre> <SECTION ID="VARIABLES"> <TEXTS> <TEXT_1 NAME="Debt amount">s47F(1) </TEXT_1> <TEXT_2 NAME="Appeal review period">13 weeks</TEXT_2> <TEXT_3 NAME="Total Recovery Fee">0.00 </TEXT_3> </TEXTS> </SECTION> </pre> <p>CRN: s47F(1)</p> <pre> <SECTION ID="VARIABLES"> <TEXTS> <TEXT_1 NAME="Confirm/update by date">20170111</TEXT_1> <TEXT_2 NAME="User name"/> <TEXT_3 NAME="Staff Assisted letter">N</TEXT_3> </TEXTS> </SECTION> <SECTION ID="EMPLOYMENTDETAILS"> <TEXTS> <TEXT_1 NAME="EMPLOYER"> <![CDATA[]]> </TEXT_1> <TEXT_2 NAME="EMPLOYMENT PERIOD"> to </TEXT_2> <TEXT_3 NAME="EARNINGS">0 </TEXT_3> </TEXTS> </SECTION> <SECTION ID="EMPLOYMENTDETAILS"> <TEXTS> <TEXT_1 NAME="EMPLOYER"> <![CDATA[s47F(1)]]> </TEXT_1> <TEXT_2 NAME="EMPLOYMENT PERIOD">s47F(1) to s47F(1) </TEXT_2> <TEXT_3 NAME="EARNINGS">s47F(1) </TEXT_3> </TEXTS> </SECTION> <SECTION ID="EMPLOYMENTDETAILS"> <TEXTS> <TEXT_1 NAME="EMPLOYER"> <![CDATA[]]> </TEXT_1> <TEXT_2 NAME="EMPLOYMENT PERIOD"> to </TEXT_2> <TEXT_3 NAME="EARNINGS">0 </TEXT_3> </TEXTS> </pre>

				<pre> </SECTION> <SECTION ID="EMPLOYMENTDETAILS"> <TEXTS> <TEXT_1 NAME="EMPLOYER"> <!s47F(1) </TEXT_1> <TEXT_2 NAME="EMPLOYMENT s47F(1) s47F(1) </TEXT_2> <TEXT_3 NAME="EARNINGS's47F(1) </TEXT_3> </TEXTS> </SECTION> Kind Regards, s47F(1) SAP Outbound Communications Team Childcare, Customer Communications and Corporate Systems Branch Canberra Delivery Centre Department of Human Services s47F(1) </pre>
38	Ministerial	IM1197345	25/01/2017	<p>EIM - SAPOC - Reminder notification contains incorrect detail 23rd Jan initiations CRN s47F(1) – PDF attached. Identical match data is present on the letter</p> <p>24th Jan initiations Initial Employee Income Review letter - CRN s47F(1) name is not appearing in Outbound Correspondence Tool. Letter content is correct and is addressed to Nominee – PDF CRN s47F(1) attached Initial Employee Income Review letter - CRN s47F(1) name is not appearing in Outbound Correspondence Tool. Letter content is correct and is addressed to Nominee – PDF CRN s47F(1) attached</p> <p>All CRNs initiated 24/01/2017, letters should be dated 25/01/2017 with due date of 15/02/2017 however they are appearing with 24/01/2017 sent date. Content and match data is correct – PDF CRN s47F(1) attached</p> <p>Reminder Letters Looking at the reminder letters in the Outbound Correspondence Admin Tool there are a total of 30 presenting for the period 23.01.2017 – 25 01.2017. 9 reminder letters have been sent 23 01.2017 prior to the filter being applied 21 reminder letters are presenting with the Do not send filter All 30 reminder letters are presenting with incorrectly formatted and duplicated match data (PDF CRN s47F(1) attached as an example).</p> <p>Please be advised I have checked the 9 reminder letters that were sent and they were all started in 2016</p>
				<p>s47F(1) started 25/11/2016 FIN 24/01/2016 s47F(1) started 30/11/2016 (plus a NOM letter) s47F(1) started 17/11/2016 FIN 08/12/2016 s47F(1) started 23/11/2016 s47F(1) started 18/11/2016 FIN 12/12/2016 s47F(1) started 29/11/2016 s47F(1) started 19/11/2016 FIN 24/11/2016 s47F(1) started 18/11/2016 fd</p>

48 EIC	IM1265866	6/04/2017	<p>EIC - Online Services - Address Resolution tool</p> <p>A few minor issues have been identified within the address resolution tool. I have included the detail that was escalated to me below. If you need to discuss or clarify any of the items, please contact s47F(1) as she has been undertaking the testing. (467607)</p> <p>1. Missing sources The Address Resolution Tool only seems to be pulling Centrelink Data – advised sources may include AEC and Medicare as well</p> <p>2. Last contact attempt not recorded A few of the CRNs tested had the following issue: The Address Resolution Tool does not have the contact attempt recorded.</p> <p>Affected CRNs s47F(1)</p> <p>s47F(1) (this one has a contact attempt but not the most recent) s47F(1) (this one has a contact attempt but not the most recent)</p> <p>3. Incorrect information: The information being provided is not always correct:</p> <p>s47F(1)</p> <ul style="list-style-type: none"> • Master spreadsheet advises we sent letter to: s47F(1) (Initial sent on 16/02/2017 and Reminder 09/03/2017) • Address tool advises last attempted contact was sent it to: s47F(1) (sent 16/02/2017) • Address tool advises last known address/updates (home and postal) are: - s47F(1) Updated 06/03/2017 (though this address was updated 03/04/2017) - s47F(1) Updated 07/01/2017 (this was the move in date – Jan till March – this address was actually updated on the system after the fact on the 03/04/2017) - s47F(1) updated 24/10/2016 Its displaying 'living dates' as the 'date last updated'
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Issues Register



Action Item Number	Identified under	IM Number	Date identified	Action Item	Area Responsible	Priority/Severity	Status	Closure Date	Progress / Recommendation	Result on
1	SIP	IM98955	11/08/2016	E-M - Assessment outcome - Reassessment incorrectly coded EANS for first fortnight. Partly verified fortnight was incorrectly coded to EANS during reassessment. Appointed earnings as result of reassessment has not been correctly applied to record, this has been updated in IM98258 (Item #3). Please see a tab/matrix. CRN 647F(1)	ISIS Applications	2	Open		Reg stated in SM 11/08/2016 - IM98955 17/08/16 With WAS for analysis 15/09/2016 SM updated, CRN 647F(1) also affected by this issue.	Fixed via release C20652 (02/09) awaiting health check by business
2	SIP	IM98889	12/08/2016	E-M - Assessment Outcome - Raising debit for a period where a paid Assessment outcome shows debt is being raised for period 2 / 11/201 to 03/12/201, however customer had not been paid during this period. YAL granted 2 / 11/201 but suspended before any payments issued. No areas were ever issued for this period. Debit was raised outside of match period, reported M9 7790. Please see a tab/matrix. CRN 647F(1)	ISIS Applications	2	Open		Reg stated in SM 12/08/2016 - IM98889 17/08/16 With WAS for analysis 15/09/2016 SM updated, CRN 647F(1) also affected by this issue.	Pending Health Check
3	SIP	IM9 206	16/08/2016	E-M - Online Services - Automatic reallocation of Anomaly/mismatch work item required. Currently, when the Anomaly Mismatch GP is completed, the work item is required to be manually reallocated to pool. We require item to be automated on by real occur when GP is complete. Please see a tab/matrix, as discussed with 647F(1)	Online Services		Open		Reg stated in SM 16/08/2016 - IM9 206 29/08/2016 Scheduled for ICT Ex C206/2016. 10/10/2016 - Health Check Failed 19/10/2016 - Health Check Not Passed	Fixed via release C20652 (02/09) awaiting health check by business
4	SIP	IM9 219	16/08/2016	E-M - Online Services - EANS not coded in assessment. Customer has updated match data however no earnings apportioned to EANS. CO since led and regenerated the assessment, however this did not change issue. Manual calculations have been done and showed that a debt should exist if the earnings had been coded to EANS. Please see a tab/matrix (2 manual calculations, scenario 1 - ATO Employer is not matched and creates a new employer on EANS, scenario 2 - ATO matches employer on EANS. CRN 647F(1)	Online Services	2	Open		Reg stated in SM 16/08/2016 - IM9 219 19/08/2016 - ICT Release processed 19/08. Health Check to be conducted. 30/09/2016 Business health check not passed. 19/10/2016 Health Check Not Passed	Fixed via release (19/08) (RFC unknown - non related) awaiting positive BV result
5	SIP	IM90988	18/08/2016	BM - On-line Services - Unable to add notes > 2 BV to ZODC once visit event has been completed. For both ZODC and 2 BV, the following is proposed when attempting to add a note. No changes possible in document / if a second. ZODC note does not allow opt on of English to be selected. Please see attachments. CRN 647F(1)	Online Services		Resolved		Reg stated in SM 18/08/2016 - IM90988 ICT Fix release scheduled 30/09/2016. 01/10/2016 Business health check performed, notes in QOACC addition is not visible, however ZODC notes can be added.	Fixed via change release C21280 (30/09)
6	SIP	IM10108	28/08/2016	In relation to IM92227, but vs. add to code EAND with the EAND per side party in out of the match year. Please see attached email with 647F(1)	Online Services	2	Open		Reg stated in SM 28/08/2016 - IM92227 01/09/2016 CRN 647F(1) Assessment has changed previously verified earnings match year 2010/11. 08/09/16 New incident lodged as previous IM incorrectly coded to f. New IM977908 19/08/2016 - ICT release. Closure ending Business Health Check 28/08/2016 SM updated with new IM10108 opened, to consider rules at closing EAAD period which is partly outside match period. 30/09/2016 CRN 647F(1) updated in SM for IM10108. 30/09/2016 Business health check not passed.	
7	SIP	IM101538	29/08/2016	BM - Assessment Outcome - Incomplete on a set of a assessment activity. Customer under took assessment of new and updated data. In regards updated should have resulted in No Debt outcome. As there has been a change to the amount of the debt and the activity failed. As a result of not offset the debt and a new note added paying to the customer. As discussed with 647F(1) (see attached email) this is an incident relating to not fully closed IM98375 (for CRN 647F(1) with a level 2 ICT tag raised these as a result). This relates to an issue for BVT, and new incident lodged as per 647F(1) (IM9547	ISIS Applications	2	Open		Reg stated in SM 12/08/16 - IM98375 29/08/2016 SM recorded with new incident IM101538 (as IM98375 closed incorrectly). 13/09/2016 SM updated, CRN 647F(1) also affected by this issue. ICT Fix release scheduled 29/09/2016.	
8	SIP	IM102037	30/08/2016	BM - On-line Services - Customer F at Workload Management app to be used. While app is still completed in a CRM has a closed with Debt B such that data should be displayed in the field when a work item is completed. Please see attachments.	Online Services	2	Resolved		Reg stated in SM 30/08/2016 - IM102037 ICT Fix release scheduled 30/09/2016.	Fixed via change release C221915 (07/10)
9	SIP	IM102892	30/08/2016	BM - On-line Services - Reassessment of staff updated data entered in Ve fy by device GP CO has ve fy device and updated data in Ve fy by device GP, using payroll per side and amounts have been customer had changed the period of employment and accepted the total amount. When an input is entered, assessment has used the staff updated data range, and PABC amount - instead of applying the payroll per amount as entered. Additionally, during Ve fy by device GP, when CO change data range (from customer's advice at assessment), the change is only held forward and entered the CO must enter to the changes to be affected. Please see attachments. CRN 647F(1)	Online Services	3	Resolved		Reg stated in SM 20/08/2016 - IM102892 ICT Fix release scheduled 30/09/2016.	Fixed via change release C21280 (30/09)
10	SIP	IM102890	30/08/2016	BM - Assessment Outcome - Reassessment outcome not set without ROA coding (NCHL use). Manual calculation of assessment shows assessment ADCE result was incorrect (the correct offset debt is not null). When ROA cod ded, ADCE result matched the manual calculation due to changing of NCHL use 22 (was use 2 and 6 without ROA coding). The NCHL uses a changing throughout entire assessment period (not just CP dates). This is a follow up to issue #22. Please see attachments (without ROA coding). CRN 647F(1)	ISIS Applications	2	Open		Reg stated in SM 25/08/2016 - IM102890 09/09/2016 SM updated, CRN 647F(1) also affected by this issue. 13/09/2016 SM updated, CRN 647F(1) also affected by this issue. 19/10/2016 Health Check Not Passed	
11	SIP	IM103187	30/08/2016	BM Assessment Outcome - Incorrect linking of debt balance when YAL-us changed to NGA and the gap in entitlement is less than 12 months. YAL-us cancelled 16/02/2016 with a 100 balance of 1000. Assessment is not, activity during the 1000 credit to that was initially given as NGA and applying a balance of nil credit to on NGA activity data. As per 108-07020000 which is full-time student until 31st October benefit when a working credit is applied, unused SB balance when the working credit to balance topped at 1000. Please see attachments. CRN 647F(1)	ISIS Applications	2	Open		Reg stated in SM 06/09/2016 - IM103187 09/09/2016 SM updated with CRN 647F(1) 13/09/2016 SM updated with CRN 647F(1) 19/09/2016 SM updated, CRN 647F(1) also affected by this issue. 15/09/2016 SM updated, CRN 647F(1) 09/09/2016 SM updated, CRN 647F(1) also affected by this issue. 29/09/2016 SM updated, CRN 647F(1) also affected by this issue. 19/10/2016 Health Check Not Passed	
12	SIP	IM10 9850	19/08/2016	BM - Assessment Outcome - Adjustments made on RATS create the debt period to be not set. When adjustments made on RATS, the assessment period is passed to DMG, the why making the debt period not set. As discussed with M/D SS Appl cat one.	ISIS Applications	2	Open		Reg stated in SM 19/08/2016 - IM10 9850 19/10/2016 Health Check Not Passed	
13	SIP	IM10658	30/08/2016	BM - On-line Services - Cancel ZRV process setting document on the per note account. 2 instances have occurred where the Cancel ZRV process to change the IS Method has caused the COB on the Pa the account and not the primary customer. CRN 647F(1)	Online Services	2	Open		Reg stated in SM 30/08/2016 - IM10658	Fixed via change release C219638 (14/10) awaiting positive bvt feedback
14	SIP	IM106933	17/02/2016	E-M - Earnings assessment - Corrective PAYGs not apportioned correctly. This incident was under IM98991, which has been closed - but is now presenting as an issue again for SIP. Corrective PAYGs are not being apportioned correctly for the EPED which spans the 2 financial years. Both PAYGs need to be assessed. This was health-checked over the weekend going through new work.	Online Services	2	Open		Reg stated in SM 11/08/2016 - IM98991 Business health check completed 28/08/2016. 01/10/2016 logged in SM IM106933.	Target Fix Date Not Provided

15	BP	M1073062	9/10/2016	<p>IRM - Online Services - Tools since update however customer data accepted in IRM via first call Customer updated data for 2 employees, tools since should have met for both, however only 1 has been selected for accounting first call on for employee All the other data for 3 Accounts as FY, customer updated end-date and UPOI. Use met, however, customer data accepted.</p> <p>Please see CRN 647F(1)</p>	Online Services	3	Open	Registered in SM 06/10/2016 - IM1073062	
16	BP	M1073501	9/10/2016	<p>IRM - Online Services - Verified Evidence GP, enhancement to staff updated fields CO updated the GP by a Staff updated income fields to allowances, changing frequency from 12 to 12 to annual. The GP had to be tested and then re-activated for changes to be held. When change to allowance held, the customer did not see it for ATD going less updated allowance and some need 647F CO updated GP for cost income. The lump sum amount 647F which had been accepted by customer (and appears automatically in GP) no longer appears in GP.</p> <p>As discussed with 647F(1) Please see 647F(1)</p>	Online Services	2	Open	Registered in SM 06/10/2016 - IM1073501	
17	BP	M1091676	26/10/2016	<p>E - DMS - Debt Status changed to over recovered allowing reassessment. Debt Status on the CRNs below was changed to over recovered without the customer making any payments and there is still an outstanding amount.</p> <p>CRN: 647F(1)</p>	DMS	2	Open	Registered in SM 20/10/2016 - IM1091676	Being Investigated
18	BP	M1106927	31/10/2016	<p>E - DMS - Recovery Fee not updating correctly within reassessment Recovery Fee is not automatically updating correctly as part of the reassessment pathway. Adjustment was coded however DMS has not adjusted the fee value.</p> <p>647F(1)</p>	Online Services	2	Open	Registered in SM 31/10/2016 - IM1106927	Being Investigated
19	BP	M1107252	31/10/2016	<p>E - Online Services - Filing Benefit rate calculated incorrectly The filing benefit calculation for applying the non grossed up rate is incorrect on the CRN below. The rate calculated on signal have applied a taper of 7% (in 31/03/2015) at which time the increase should be to 5% for the remainder of the financial year. The XML indicate was applying 53% to the customer record.</p> <p>647F(1)</p>	Online Services	2	Open	Registered in SM 31/10/2016 - IM1107252	
20	BP	M1107262	31/10/2016	<p>E - Online Services - Match Data displaying the incorrect income components. The customer was receiving filing benefit from their employer. The RMD has incorrectly populated these as Lump Sum E payments for the 12/13 & 13/14 financial years. This incorrect alignment is adversely impacting the customer as the rate has not been depressed as a result of this alignment.</p> <p>CRN 647F(1)</p>	Online Services	2	Open	Registered in SM 31/10/2016 - IM1107262	
21	BP	M112709	15/11/2016	<p>E - Online Services - SMS Allocation Issues Please 647F(1) advice There are 2,961 allocated interventions in SIMS that are stuck in the status of ALLC. Normally once OCI confirms the appropriate active line and review have been created it sends a message back to SIMS to update the status to Distributed. We are seeing incidents where due to this issue, secondary duplicate interventions are being created on some records. Our help desk team are being to handle complaints from customers on this matter. Example CRN 647F(1) 647F has advised 647 that each morning they have been reconciling the previous results, and where there has been a discrepancy we have been to letting the details and forwarding this on to the CRM and/or IRG teams to their information as well.</p>	Online Services	2	Resolved	Registered in SM 15/11/2016 - IM112709	No incident has been resolved as part of IM1108117
22	BP	M1127867	15/11/2016	<p>IRM - Online Services - Discrepancy between the debt amount from CRN and total debt amount in ZRV note (negative component) As discussed with 647F(1) Please see CRN 647F(1) A new instance of the debt note being noted as a result of a negative component at the end of the debt period. For our incident IM1053025 was closed 01/12/2016. This issue will be highlighted once we follow the agreement with DMS to show the credit at the end of debt period to offset the debt outcome. The amount applied in the note is affected by the debt total in the credit at the end of the EM period.</p>	Online Services	2	Open	Registered in SM 21/09/2016 - IM1026655 01/10/2016 Business health check passed New incident opened 15/11/2016 New IM1127867	
23	NEOM	M110803	1/12/2016	<p>SIMS - Historical Schedules search criteria for Bypass External Processing not populating issue identified as part of NEIDM December UAT exercises (PS-1 13) ALM Defect ID: 11736 (P.) Test Set: CMC - SIMS Tests Test: User Case - Historical Schedules Search 91 Run: Run_11_28_16_6-5</p> <p>Test Parameters: Step: Step 19 Description: Test Bypass External Process Search Function is successful/this is available Expected: Successful Search function - Bypass External Process Actual: Does not show correctly in search or test options. Data appears as YES or NO in results. Run Step(725285) : Step 19 Attachment provided</p> <p>As discussed with 647F(1) - Historical Schedules search criteria for Bypass External processing is not populating results based on the 2 available options of 0 - No and 1 - Yes CMC Identified 28/11/2016 5.00pm 647F requested we raise as defect with Low Priority. Also discussed with 647F(1) RFC22159 Tester: Z_SIMS_USER_802-647F(1) for CMC 647F(1) 29/11/2016 Attachment provided</p> <p>As discussed with 647F(1) - Historical Schedules search criteria for Bypass External processing is not populating results based on the 2 available options of 0 - No and 1 - Yes CMC Identified 28/11/2016 5.00pm 647F requested we raise as defect with Low Priority. Also discussed with 647F(1)</p>	Analys SIMS	3	Open		

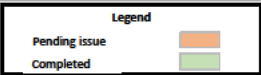
				<p>Tester: Z_SIMS_USER_802-647F(1) for CMC 647F(1) - 0430 6p, 20/11/2016 Attachment provided</p> <p>As discussed with 647F(1) Historical Schedules search criteria for Bypass External processing is not populating results based on the 2 available options of 0 - No and 1 - Yes</p> <p>CMC Identified 28/11/2016 5:00pm</p> <p>647F(1) requires us raise as defect with Low Priority. Also discussed with 647F(1)</p> <p>RFC22159</p> <p>Tester: Z_SIMS_USER_802-647F(1) for CMC</p> <p>647F(1) 20/11/2016: Display issue only. Drop list is showing value that is stored in Hana table and corresponding value. It should only be showing the value. Display of search results is correct.</p>					
2	BP	M111822	01/12/2016	<p>E - M - Online Services - Mismatch GP creating CP session</p> <p>A number of incidents were reported yesterday of Customer First crashing and producing the attached error when processing the Mismatch GP. The compliance officers were processing the CO level of the GP but were presented with a message advising they did not have the required SDC Case Selection role.</p> <p>Noting this was an isolated incident for just yesterday as we over 300 in process.</p> <p>Screen shots attached</p>	Online Services	2	Open	Registered in SM 02/12/2016 - IM111822	Fixed via C240698 (01/12/16) awaiting BV
25	BP	M1151368	01/12/2016	<p>E - M - Online Services - Employer name matching not occurring correctly</p> <p>The automated employer name matching appears to have had a number of failures over the last week. I have been advised that there are additional CRNs to the ones indicated below. Following up with the help desk team to confirm.</p> <p>647F(1)</p>	Online Services	2	Resolved	Registered in SM 05/12/2016 - IM1151368	Email clarification sent on the 8th of December
26	BP	M1153316	01/12/2016	<p>E - M - DMS - Reassessment Debt outcome adjusted to a negative value on CPDL</p> <p>Attached are 12 CRNs that are currently displaying a negative value on CPDL following a reassessment online.</p> <p>The assessment activity appears to have suppressed the arrears correctly however displaying a negative debt outcome.</p> <p>This issue is currently impacting reporting as the values from our reporting teams cannot be verified against the independent check conducted by our section.</p>	DMS	2	Open	Registered in SM 05/12/2016 - IM1153316	
27	NE DM	M1167851	19/12/2016	<p>Previously recorded ongoing income that was deleted by our assessment, is not correctly populating within the declared income column of the debt explanation tab on the Assessment Outcome Page. This is causing the LIA to display a greater discrepancy in income than what is actually the case.</p> <p>CRN 647F(1)</p>	Online Services	2	Open		
28		M1177217	01/12/2017	<p>SLP-CLK-ENTRYPADRMOROSC Unable to access OCI - error: SNA</p> <p>Customer is having difficulty trying to access her OCI review through her gov account. The customer has not yet completed the assessment as she is continually receiving an error which states 'The service is unavailable at this time. Please return to home and try again.' I have also tried to access the OCI Online Customer Access through Customer First and I am running into the same error. Seems to be an isolated incident in which the customer is unable to access the review.</p>	Online Services	2	Open		
29	NE DM	M1179626	06/12/2017	<p>EDM - Online Services - Match Data on Receipt</p> <p>The Receipt is missing the information under the ATO data matching section. Further details attached.</p> <p>Attached CRNs</p> <p>647F(1)</p>	Online Services		Open		
30	NE DM	M1179630	06/12/2017	<p>EDM - Online Services - Anomaly/Mismatch GP not pushing in eventlog back online</p> <p>After the GP was completed the ZIRV was still for manual action, whereas it should have changed to For Case owner Action. As it is still For Manual Action the customer is unable to go back online to make any updates. Anomaly/Mismatch when raised initially did not generate any notes.</p> <p>CRN 647F(1)</p> <p>Further screenshots attached.</p>	Online Services	3	Open		
31	NE DM	M1181291	06/12/2017	<p>EDM - Online Services - Combined Assessment Failed</p> <p>CRN 647F(1) is primary customer, and its interview on was completed on 27/12/16 as per IRRS screen 647F(1) has been raised for this CRN. No debt issued for other CRNs. When the earnings transaction was finalized, this automatically reverted to the default partner processing and zeroed out the partner debt as there was no partner review present. The partner debt in this case was over 647F(1)</p> <p>CRN 647F(1) is the linked primary partner, and is sitting for Manual action, however there is no receipt in the Attachments tab to indicate that customer accessed the interview.</p> <p>I would appear the linkages are missing on the CRM and as the link was loaded correctly in IRRS.</p> <p>Screen shots have been attached</p>	Online Services	2	Open		
32	Ministerial	M1181711	06/12/2017	<p>EIM - Outbound Correspondence issues with variable data</p> <p>Reported by 647F(1) T L of SOC on 05/01/2017.</p> <p>647F(1)</p> <p>As discussed, please see attached below. In the first example 0.00 is being passed as a recovery fee and in the second we have the blank Employer data blocks.</p> <p>CRN 647F(1)</p> <p><SECTION ID= VARIABLES > <TEXTS> <TEXT_1 NAME= Debt amount 647F(1)> <TEXT_1> <TEXT_2 NAME= Appeal review period >13 weeks<TEXT_2> <TEXT_3 NAME= Total Recovery Fee >0.00<TEXT_3> <TEXTS> <SECTION></p> <p>CRN 647F(1)</p>	SAPOC	3	Open		

			<p><SECTION ID= VARIABLES > <TEXTS> <TEXT_1 NAME= Confirm/Update by da => 2017011</TEXT_1> <TEXT_2 NAME= User name => <TEXT_3 NAME= Staff Assisted letter =>N</TEXT_3> </TEXTS> <SECTION ID= EMPLOYMENTDETAILS > <TEXTS> <TEXT_1 NAME= EMPLOYER => <CDATA > </TEXT_1> <TEXT_2 NAME= EMPLOYMENT PERIOD => to </TEXT_2> <TEXT_3 NAME= EARNINGS =></TEXT_3> </TEXTS> <SECTION ID= EMPLOYMENTDETAILS > <TEXTS> <TEXT_1 NAME= EMPLOYER => <CDATA > </TEXT_1> <TEXT_2 NAME= EMPLOYMENT PERIOD => </TEXT_2> <TEXT_3 NAME= EARNINGS =></TEXT_3> </TEXTS> <SECTION ID= EMPLOYMENTDETAILS > <TEXTS> <TEXT_1 NAME= EMPLOYER => <CDATA > </TEXT_1> <TEXT_2 NAME= EMPLOYMENT PERIOD => </TEXT_2> <TEXT_3 NAME= EARNINGS =></TEXT_3> </TEXTS> <SECTION ID= EMPLOYMENTDETAILS > <TEXTS> <TEXT_1 NAME= EMPLOYER => <CDATA > </TEXT_1> <TEXT_2 NAME= EMPLOYMENT PERIOD => </TEXT_2> <TEXT_3 NAME= EARNINGS =></TEXT_3> </TEXTS> <SECTION ID= EMPLOYMENTDETAILS > <TEXTS> <TEXT_1 NAME= EMPLOYER => <CDATA > </TEXT_1> <TEXT_2 NAME= EMPLOYMENT PERIOD => </TEXT_2> <TEXT_3 NAME= EARNINGS =></TEXT_3> </TEXTS> <SECTION ID= EMPLOYMENTDETAILS > <TEXTS> <TEXT_1 NAME= EMPLOYER => <CDATA > </TEXT_1> <TEXT_2 NAME= EMPLOYMENT PERIOD => </TEXT_2> <TEXT_3 NAME= EARNINGS =></TEXT_3> </TEXTS> Kind Regards, <TEXT_1 NAME= > SAP Outbound Communications Team Childcare, Customer Communications and Corporate Systems Branch Canberra De Ivory Centre Department of Human Services <TEXT_1 NAME= ></p>					
			<p>re-escalated- was not applying - OCI Review X007PG error - Newsletter Allowance (NSA)- ERROR COMES UP WHEN TRYING TO AR ACTIVITY - SEE BELOW</p>	ISIS Applications	3	Open		
3	BC	M1181675	10/01/2017	<p>E.M - Online Services - Incorrect Reassessment after issued Below are a list of CRNs that have been issued a reassessment outcome after advising that the debt is zero by the system, however there is still a debt outstanding for the customers. <TEXT_1 NAME= ></p>	*SAPOC	2	Open	<p>ICT has confirmed that this issue has been present since go-live deployment. The code has only ever been checking for a determined status whereas in the example CRNs the original debts have moved to collection agent status. Helpdesk have done a spot checking for sample of 50 and have identified 15 for recovery action. It has been identified that customers who have received an account payable after (with the correct debt) after the incorrect \$0 debt order. It is proposed to call and apologise the customer or the incorrect letter and to ensure they are aware of their actual debt and then offer the reassessment pathway.</p> <p>Emergency release targeting to fix on 10/01/2017 Change to be made to look for status DE - DMIC (and DWO as per advice from <TEXT_1 NAME= > from DMIS) DMIC will originate for Service availability to occur for the 15 customers The letter has been issued for total of 618 customers and 13 customers have received the correct reassessment outcome in this case <TEXT_1 NAME= ></p>
35	NEW	M115239	10/01/2017	<p>E.MNEEDM - Online Services - ZRRV work items not at coding ZRRV work items are not a locating within the Work Load management system. Email trail with example CRNs has been attached to the item.</p>	Online Services	2	Open	
36	Ministerial	M115586	11/01/2017	<p>EM - On line Services - Contact letter issued for Reassessment requests Analyse has identified 19 instances where a initial contact letter has been incorrectly issued to a customer where a reassessment has been sought. CRN list attached in excel</p>	Online Services	2	Open	Pending response from ICT
37	Ministerial	M1190 28	18/01/2017	<p>Cancel EIM review activity fees E.M review activity processing within ISIS by non compliance staff is leading to undesirable customer outcomes.</p>	ISIS Applications	2	Open	
38	Ministerial	M11973 5	25/01/2017	<p>E.M - SAPOC - Item not filed on contra account details 22 days in arrears CRN <TEXT_1 NAME= > - PDF attached. Identical match data is present on the letter 24th Jan 2017 Initial Employee Income Review letter - CRN <TEXT_1 NAME= > name is not appearing in Outbound Co-respondence Tool. Letter content is correct and is added issued to Non-Res - PDF CRN <TEXT_1 NAME= > attached Initial Employee Income Review letter - CRN <TEXT_1 NAME= > name is not appearing in Outbound Co-respondence Tool. Letter content is correct and is added issued to Non-Res - PDF CRN <TEXT_1 NAME= > attached All CRNs in arrears 24/01/2017, where it should be dated 25/01/2017 with due date of 15/02/2017 however they are appearing with 24/01/2017 sent date. Content and match data is correct - PDF CRN <TEXT_1 NAME= > attached Rem note Letters Looking at the arrears letters in the Outbound Co-respondence Admin Tool there is a total of 30 arrears letters to the period 23/01/2017 - 25/01/2017. 9 arrears letters have been sent 23/01/2017 prior to the fee being applied. 21 arrears letters are a part of arrears with the fee not sent for. All 30 arrears letters are a part of arrears with non-compliance staff reviewed and duplicated match data PDF CRN <TEXT_1 NAME= > attached as an example. Please be advised I have checked the 9 arrears letters that were sent and they were as intended in 2016 <TEXT_1 NAME= > <TEXT_1 NAME= > <TEXT_1 NAME= > <TEXT_1 NAME= > <TEXT_1 NAME= > <TEXT_1 NAME= > <TEXT_1 NAME= > <TEXT_1 NAME= > <TEXT_1 NAME= > <TEXT_1 NAME= > <TEXT_1 NAME= ></p>	SAPOC	2	Open	Filed via C283196 & C283080 (2/6/17) Awaiting BV

30	Ministerial	M120956	30/02/2017	Negative Waiver from EIM Offset need correcting. As the debt is less than zero, the auto waive process kicked in and put negative waived amount because I was less than \$50 (It is incorrect processing). Reverse the waiver.	DMS	3	Open		ADROC required
0	Ministerial	M1211306	30/02/2017	OCI debt re-assessed, however Recovery Fee not included in new Debt Total. OCI debt with a recovery fee was re-assessed, however, when the amended debt did not include the recovery fee in the debt to at. (OCI) showed Recovery Fee is present, however, the debt to at on OPDL does not reflect this, nor the data on the SO group on the database. The data has since been corrected by OCI (activity 1225) so it is not apparent looking at the record. A factored is a spreadsheet showing the SO, DSRF and OV data at various points (extract from Teradata), along with a summary of pertinent data and incorrect details. Additionally, the OV group appears Income start when updated with EIM as it is then also updated with DET, and the two groups, updated at the same time, have different End Dates, adding to the confusion. Can this please be addressed (either explain why it is, or corrected). As the process is automatic, the result is incorrect debt amount recorded and possibly incorrect debt information sent/provided to the customer. If time permits, DMB will attempt to identify further cases which have not been corrected.	DMS/ISS Appt cat one	2	Open		
1	EC	M1221696	23/02/2017	EIM - DMS - EIM debt not offset by manual debt. Customer had a previous manual debt posted to the EIM system went on. This debt was of the same payment type and was with the EIM debt posted however the EIM debt was not offset by the manual debt. This particular debt scenario (number 3) was released as part of the June 2016 release. Any debt scenario that is not fully automated as part of the debt release process is either not selected or a manual handoff. Currently we have identified one customer affected by this however the scenario will be resolved so the urgency is high. CR#647F(1)	DMS	2	Open		
2	EC	M1231516	16/03/2017	EIM - Online Service - Incorrect app consent for consecutive yes matches. I have reviewed the XML files created with the activity. An issue was identified for employee 647F(1) and 647F(1). Both employees were given consent for consecutive yes matches. The employee's matches with the ARN provided on the matches the employee's income should have been coded correctly. For some reason the process has split the app consent up for the employee and applied the default rule of exclude the first and last period from upload for each match period. As the ARN matching is the default matching the system should have identified these employees as the same and consented the app consent through as they were a consecutive yes match. Based on how the system has performed here, I have come to the conclusion that I may input possible scenarios where the customer selects the employee they decided on. CR#647F(1)	Online Services	2	Open		
3	EC	M1236175	30/03/2017	MCEM - OCI - Back but on a lowing double submit on Bug has been found where the customer can hit 'back' on the browser which allows them to re-submit the form.	Online Services	2	Open		
4	EC	M1218521	16/03/2017	E-C - On line Service - Letter duplicated. There were some more Employment Income confirmation reminders (Letter D) duplicated today.	SAPOC	2	Open	It has been identified that the issue is caused by the customer pressing the next button multiple times before the next page has loaded. More instances have been identified on 23/03/2017, 24/03/2017 and 28/03/2017 where letter D generated by duplicate dates. On 28/03/17 - For 2 more CRNs multiple Letter D's have been generated. 28/03/2017 - A new customer has been identified with the same issue.	Job 2017-1441 has been completed successfully and scheduled to release on 30/03/2017.
5	EC	M1218677	20/03/2017	E-C - On line Service - Letter A not triggered. The after processing issue under IM1218677, allowed the customer to commence and undertake their online interest prior to the letter A generation. This is a requirement that all customers undertaking the process, must be issued a letter A. Letter A was not generated for CR#647F(1). Due to the current volume of initial letters, this is only impacted a single customer. Once initial letters are scaled up there could be a much broader impact. Concern here is we are not in a position to say all customers that have been through the process, have been sent a letter A.	SAPOC	2	Open	It was identified that this customer has acted on the new version prior to the deployment of the fix which has changed the start condition of the customer and the letter has not been generated.	A decision has been made by 647F(1) to generate the letter A to all customers regardless of CR#647F(1) has been raised for ICT to provide resolution 04/04/2017. This has been completed successfully and scheduled to release on 04/04/2017.
6	EC	M125583	27/03/2017	E-C - Incorrect assessment error hand off screen. Where the workflow is an Assessment Error (Provisional Assessment Outcome and Assessment Outcome stage). The Please Contact Us screen should present the message: Thank you for confirming your employment income. We will be in contact with you regarding the outcome within 10 days. A factored shows what is been displayed instead.	Online Services	2	Open	A mismatch has been identified with the OCI matrix used in and business where business matrix doesn't contain the landing page wording.	Response from ICT this is an issue with version control of the document, and that this issue wasn't picked up during SIT/UA testing. Given the nature of the design and build during that period, it's understandable that something like this was missed. The text on the landing page currently in production is as per agreed location. Therefore, this is technically not a defect. Given the scrutiny around the accuracy of the tool (and the subsequent defect notice) it is proposed to address this request as an enhancement and get it fixed ASAP.
7	EC	M1260962	31/03/2017	E-C - Open DOC from bulk cancel at on. There are approx. 30,000 open DOCA in the Workgroup GENERAL Position B SC with the subject Match Data Not Valid which appear to be the result of the bulk intervention on cancelation process, or EIC via CRM. These docs need to be closed off. Email with screen shot attached.	CMC	2	Open	CMC have analysed 50 DOCS and found 7 were cancelled interventions and 3 were completed interventions. 29/03/2017 - Issue has been escalated to CT by CDM. ICT have requested the list of CRNs for the 30,000 customers on the AT cohort and ways to identify the customers (example CRNs, record a tribu es).	CMC is unaware of any reason that these docs should have been left open and would like to request this be escalated to ICT for further investigation and confirm that these are a result of the process undertaken as part of the AT Service Strategy. ICT has obtained permission to include this fix in the SRS release under the existing CRM change. The change will be tested as part of the SIT cycle. It is required to run an ISS without job to assist with the clean-up of open docs once the change has been made in production.
8	EC	M1265866	30/03/2017	EIC - Online Service - Address Resolution on hold. A few minor issues have been identified with the address resolution tool, have included the data that was escalated to the below. If you need to discuss or clarify any of the items, please contact 647F(1) as she has been under using the testing (correct). 1. Missing sources The Address Resolution Tool only seems to be pulling Centrelink Data - address sources may include AEC and Medicare as well. 2. Last contact attempt not recorded A few of the CRNs tested had the following issue: The Address Resolution Tool does not have the contact attempt recorded. Affected CRNs 647F(1) 647F(1) (this one has a contact attempt but not the most recent) 647F(1) 3. Incorrect information: The information being provided is not always correct. 647F(1)		2	Open		

				<p>647F(1)</p> <p>Master spreadsheet advised was sent set at to 647F(1) (in fact sent to 647F(1) and nonmon 647F(1)) Address not advised set attempted contact was sent to 647F(1) (with 647F(1))</p> <p>Address of address last known address/updates (home and post) are 647F(1) Updates 647F(1) through 647F(1) as address was updated 647F(1) Updates 647F(1) (this was the move in date - 647F(1) - this address was actually updated on the system after the fact on the 647F(1) update 647F(1) 647F(1) this is my first entry case as one case last update</p>				
50	EC	M127698	2 0 /2017	<p>E - Letter B (A so possibly Letter C) not generating properly since BDE Business advised that no Letter B/DE/F has been generated in production since 647F(1)</p> <p>A further investigation from CRM side, I look like the reminder action has failed in production or a few records:</p> <p>647F(1)</p> <p>Reminder letter for a lot of them failed in C/P</p> <p>647F(1) has investigated from OC side and advised to raise a production concern.</p> <p>Email trails attached.</p> <p>NOTE: - Business advised this could be an effect E/F items (extens ones).</p>	SAPOC	2	Open	
50	EC	M1276720	2 0 /2017	<p>E - Reminder Letter B Trigger Date M1276671 was closed 13 March.</p> <p>The logic for the triggering of reminder letter B is currently set at 7 days from the due date.</p> <p>Updated logic provided 647F(1) has this set at 1 days from the completion of the receipt or letter A.</p> <p>I have attached all the applicable email trails.</p>	SAPOC	2	Open	
51	EC	M1276836	2 0 /2017	<p>E - Online Services - Risk rule reached however no note populated on ZIRV</p> <p>B - If Assisted run to update data, Risk Rule has been triggered pending the assessment, however no note relating to the Risk Rule Trigger has populated.</p> <p>For Employee 647F(1) Customer has updated a rounded response memo 647F(1) and LP07 is a met.</p> <p>Please see CRN 647F(1) issue confirmed by 647F(1)</p>	Online Services	2	Open	
52	EC	M1276853	2 0 /2017	<p>E - Debt issued incorrectly.</p> <p>School Kids Bonus debt amount of 647F(1) should have been raised alongside YAL Deb 647F(1) However once the assessment was run through the School Kids Bonus debt raised was only 647F(1) The missing amount of the School Kids Bonus deb 647F(1) has been raised with YAL deb 647F(1)</p> <p>Please see CRN 647F(1) issue confirmed with 647F(1)</p>	DMIS	2	Open	
53	EC	M1276153	2 0 /2017	<p>E - On the Serv case - Due date in CRM inconsistent with the letter</p> <p>The Review Completion Dates are adjusted incorrectly after an extension is requested.</p> <p>The letters are populated with the correct Extension Date, but the system is not populating the correct date into the Date Tab.</p> <p>All cases have due dates that have been incorrectly changed and are inconsistent with the date populated on the letter.</p> <p>647F(1)</p> <p>Analysis is attached</p>	Online Services	2	Open	
54								
55								
56								

EIC Issues Register



Issue Number	Date Identified	IM Number if Applicable	Issue	Stakeholders	Priority/Severity	Due Date	Progress	Resolution	Comments	Completed
1	9/02/2017		ICT has catered for two status to trigger the next step in the business process for Registered Mail (Letter delivered and Letter not delivered). There are 17 scenarios for undelivered letters that may need triggers and Australia Post have advised when a card will be left.	s47f(1) Dep Sec, s47f(1) Culham, PSBS			Of the 17 scenarios for non-delivery: 12 will be handled as per next stage in normal return to sender (RTS) process. One will need the letter to be triggered again for delivery, and four will require manual intervention (go to stage 4) to resolve the problem. s47f(1) is co-ordinating a meeting to map out the processes from the status report returned by Aust Post.	Discuss with ICT on triggers to address the need to resend the letter due to damage and the need to trigger a manual intervention.		No
2	16/02/2017		Reviews are already counting down but as part of the registered post process, when EIC is created it is held until: A. the customer starts it online, or B. we are advised of a 'Delivered' stats from Aus Post and at that point ICT starts the review.	PSBS			PSBS have had a look at the cases that have already been initiated and have been going into outbound correspondence to see the date that the letter is created and dated. They have found that the countdown is going after the cases are initiated (unsure if this is the timeframe it takes to send the letter).			No
3	21/02/2017		If the Department will accept a bank statement as a form of income evidence.				Response from Income Support Means Test Team - a bank book or bank statement would not be acceptable as evidence if the type of income being verified is a wage or salary. This is because the evidence would only show the net wage received, rather than the gross income amount that is required for payment assessment purposes. In addition, the deposits would not necessarily match or identify the period of employment nor would they identify allowance or salary sacrifice amounts. s47f(1) wants more discussion with Income Support Means Test Team and provide them more context.			No
4	6/03/2017		Testing on the P50 line extendend operation time has identified that although calls are being distributed to Compliance Officers the initial IVR Greeting is incorrect.	CMC			This information has been escalated to Telstra for correction.	Telstra to resolve		No
5	6/03/2017		Employment Income Review letter for CRN s47f(1) (initiated 03.03.2017 - letter create date 06.03.2017) reflects an incorrect address. This has also occurred for CRN s47f(1) which was initiated on the 09.03.2017 - letter created 10.03.2017.	ICT, CMC				This was an issue due to data replication from ISIS to SAP. s47f(1) has resolved issue.	During the BVT process for the Employment Income Review letters CMC would perform quality assurance checks on the letters to ensure the correct details were reflected in the initial EIC letters. The Do Not Send filter was then removed from the letters to allow automatic overnight processing and distribution via registered mail. CMC continue to check the letters as part of the time lining process for EIC initiations. This issue was experienced previously when the do not send filter was still in use and CMC believe it was an ICT issue.	Yes
6	15/03/2017	IM1244601	60 PAYG interventions have been initiated and no letters were presenting in the Outbound Correspondence tool.	ICT, CMC, PSBS	2		15.03.17- The issue has been escalated to the NM of the team responsible for the issue and ETA has been requested 16.03.17- The fix has been deployed into production at around 6.30pm Canberra time on 15/03/17 and the midnight batch job to generate the initial notification letters has been completed successfully. Total of 119 selections were allocated between the 14th to 15th of March which aligns with the 119 initial Employment Income Review (ZOBOC1 - C001) letters on the outbound correspondence tool.	15.03.07-ICT has advised that a recent deployment by another ICT team has impacted the batch job that processes these initial notification letters causing it to abort with exceptions. The issue has been resolved in Production and these Customers will be picked up tonight(15.03.07) in the job at 12:05am.		Yes

7	16/03/2017	IM1248677	Following the issue No. 6, CMC has advised that there were 120 reviews initiated over 14.03.2017 – 15.03.2017. Letter A was not generated for CRN s47f(1) . Due to the current volumes of initiations, this only impacted a single customer. Once initiations are scaled up there could be a much broader impact. Concern here is we are not in a position to say all customers that have been through the process, have been sent a letter A.	ICT,CMC, PSBS			It was identified that this customer has actioned the review prior to the deployment of the fix which has changed the start condition of the customer and the letter has not been generated.	A decision has been made by s47f(1) to generate the letter A to all customers regardless. IM1248677 has been raised for ICT to provide resolution. 04/04/2017-UAT has been completed successfully and scheduled to release on 8/04/2017.	Customer has actioned on 15th March at 10:41am online and review has been transferred for manual action before the fix was deployed on 16th March at 8:30pm. So when the job ran at 12:05am to process the backlog, the start condition was not fulfilled as the review for CRN s47f(1) was already been submitted.	No
8	2/03/2017		The customer CRN s47f(1) had four OCI 'letter D' s created on 28/02/2017, and all those four LIRs were triggered by the same Integrated Review order s47f(1), most likely there were multiple triggers from the host (BIS or the Online system). The average creation time for each of the LIRs (letter triggers) was 15 seconds.	ICT, CMC,BI			It was identified that the customer is able to press the back button on the browser when they get their outcome page. This takes them to the previous page and is able to submit again. It appears the customer did this 4 times (hence 4 notes on ZIRV and 4 letters).	Fixed with the new release issued on 7/3/17.		Yes
9	16/03/2017	IM1246521	Employment income confirmation reminders (Letter D) were duplicated.	ICT, CMC	2		It has been identified that the issue is caused by the customer pressing the next button multiple times before the next page has loaded. More instances have been identified on 23/03/2017, 24/03/2017 and 28/03/2017 where letter D generating duplicates. On 28/03/17- For 2 more CRN's multiple Letter D's have been generated. 29/03/2017- A new customer has been identified with the same issue.	04/04/2017-UAT has been completed successfully and scheduled to release on 8/04/2017.	Issue No 8 is differ from this as it is caused by pressing the browser back button on the outcome page.	No
10	7/03/2017		Two CRNs that were initiated on Monday 6th March, the staff assisted letters were generated incorrectly.	ICT, CMC				Fixed with the release issued on 9/03/17.		Yes
11	7/03/2017	IM1238071	- Inconsistencies in receipt date between the note and the notification date on the ZIRV. - Reminder letter being generated on the incorrect date. Should be generated on day 14 from receipt date not day 21.	PSBS, BI			Issue resolved by ICT on 08/03/17.			Yes
12	20/03/2017	IM1091878	A fix will be deployed by the DMIS team for EIM - DMIS - Debt Status changed to over recovered following reassessment. This fix will resolve the issue around the debt status following reassessment. Concerns have raised conducting UAT testing for this release.	PSBS, ICT			UAT Exemption Certificate submitted and approved	UAT exemption certificate.	It will be a requirement from 25 March for all weekly releases to include a UAT recommendation. This process is already in place for Monthly and Major releases. Approval to release a change is not granted without a UAT recommendation, in addition to the SIT recommendation. This will be the case for C291845, the change deploying the DMIS fix for the issue with the debt status following reassessment.	Yes
13	21/03/2017		EIC work being processed outside Adelaide	RRT's, Helpdesk			OCI Help desk team escalating comms for all staff to ensure they are aware of how to identify and EIC case and refer to Adelaide for action.	Comms plan	Cases started on or after 11/2/17 should only be processed by Adelaide RRT. Some completions from other sites have led to the debt not be attributed.	No
14	22/03/2017	IM1251950	Incorrect dates on Letter A and approximately 235 Letter A (EIC Initiation letter) are affected by this issue in the following batches: - L1723BGV – 16 March 2017; - L1727BV1 – 20 March 2017; - L1728C31 – 21 March 2017;	Helpdesk, PSBS, CMC			It has been identified that the issue with the date on the Letter A occurred since the release of Letter B which have been produced as part of the registered post batch. The issue is where a Letter B appears before Letter A in the batch, all Letter A following Letter B will inherit the variable date (Letter A receipt date + 28 days). This is a technical issue with the letter design tool sharing the same piece of content between Letter A and Letter B where the date variable is used for both and not initialised appropriately.	The issue will be fixed tonight (22/03/2017). s47f(1) has confirmed that the fix for Letter A has been successfully implemented on Wednesday 22 March and following a positive health check on Thursday 23 March.	Letter A in the production is populating dates against the confirmation code and in the 'please note' paragraph where the approved letter does not have any dates and just references '28 days' and during BVT the letter was being populated correctly.	Yes
15	22/03/2017		Employment Income Confirmation letters with incorrect address. Same as the Issue No 5 identified on 06/03/2017.	CMC			A historical postal address has been used on the letter. 30/03/2017: Another CRN where the incorrect postal address has been used for Letter A has been identified.	ICT to resolve	The affected CRNs are as below, s47f(1) - 21.03.2017 s47f(1) - 21.03.2017 s47f(1) - 20.03.2017 s47f(1) - 17.03.2017 s47f(1) - 16.03.2017 (please note that this letter also incorrectly includes an expiration date on the customer's code)	No

16	22/03/2017		Quality checking for Letter B has identified that the review for CRN s47F(1) does not appear to have a due date or reminder issue date loaded in CRM.	CMC				There was no issue with letter itself and it matched the template and had the correct information listed.	No	
17	23/03/2017	IM1255768	Letter Health Checks on the Employment Income Review Reminder (B) letter have identified 10 CRN's where the due date is incorrect. The due date is being calculated based on the date of the initial letter as opposed to the date that the customer has received the letter.	PSBS, ICT, CMC	2			ICT has resolved it via emergency release and has passed technical healthchecks(27/03/12).	It has been identified that out of 10, some reviews have been started and some have not, with both situations, the reminder letter is displaying the incorrect due date based off of the form issue date.	Yes
18	24/03/2017	IM1255843	An issue has been identified with the EIC handoff screen for the assessment error manual handoff.	PSBS	2		A mismatch has been identified with the OCI matrix used in ICT and business where business matrix doesn't contain the landing page wording.	Response from ICT: this is an issue with version control of the document, and that this issue wasn't picked up during SIT/UAT testing. Given the nature of the design and build during that period, it's understandable that something like this was missed. The text on the landing page currently in production is as per specification. Therefore, this is technically not a defect. Given the scrutiny around the accuracy of the tool (and the subsequent defect ratios) it is proposed to address this request as an 'enhancement' and get it fixed ASAP.	It has been identified that when the workflow hits an Assessment Error (Provisional Assessment Outcome and Assessment Outcome stage). The 'Please Contact Us' screen displays a message different to the intended message.	
19	24/03/2017	IM1255879	Quality checking for Letter B has identified that a letter has been generated for a CRN s47F(1) where the review was already completed on 08/12/2016.	CMC, ICT	2		Response from ICT: - The review remained in Open status after being 'completed' on 08.12.2016 and no explanation for this as there is no indication in the change history that the review ever moved out of 'Open'. However, the outcome letters were sent which only happens after review goes to 'Completed' status. - Customer must have accessed the review on 03.03.2016 - while it's in 'Open' status. - Due to the registered mail changes which were implemented in Feb, the system set their initial notification receipt date (as it was blank previously), and reset the reminder date, and due dates	Resolved by ICT (isolated incident on corrupt review). Seek confirmation from ICT regarding interventions started prior to 10th Feb still having an active ZIRV. If ICT can confirm that there are no other instances of completed reviews having an open status, CMC is happy to resolve the incident based on the assurance. 30/03/2017- ICT has provided the assurance and the case is now closed.	CRN s47F(1) review was initiated on 18.11.2016 and was completed 08.12.2016.	Yes
20	27/03/2017		Issue with Letter B has been sent when there is no confirmation of Letter A is being received. 1. 12 CRNs where Letter B has been sent however there is no evidence to suggest they entered the workflow and/or no evidence from Australia Post that they have received Letter A 2. 14 CRNs where Letter B was created 23.03.2017 however these have not been sent and still present with the Do Not Send Filter. There is no evidence to suggest customers entered the workflow and/or no evidence from Australia Post that they have received Letter A	CMC			5 CRN's from 23/03/2017 letters were identified with no evidence of a receipt date in the Notes on CRM. It is suspected that this is either due to the data not being received from Australia Post as yet, or that the customer has not received letter A.	A possible Service Strategy has been proposed.		No
21	10/01/2017	IM1181975 IM1182105	Customers have been issued with reassessment outcome letter advising that the debt is zero by the system, however there is still a debt outstanding for the customers- 618 impacted customers.	PSBS, CMC, RRT	2		ICT has confirmed that this issue has been present since original deployment. The code has only ever been checking for a determined status whereas in the example CRNs the original debts have moved to collection agent status. Helpdesk have done a spot checking for sample of 50 and have identified 15 for recovery action. It has been identified that customers should have received an accounts payable letter (with the correct debt) after the incorrect \$0 debt letter. It is proposed to call and apologise the customer for the incorrect letter and to ensure they are aware of their actual debt and then offer the reassessment pathway.	*Emergency release targeting to fix on 10/01/2017. Change to his mode to look for status DET, DMC (and DWO, as per advise from s47F(1) from DMIS) *CMC will organise for Service Strategy to occur for the 618 customers.	The letter has been issued for total of 618 customers and 13 customers have received the correct reassessment outcome in this case (debt \$0 or <\$50).	No

22	28/03/2017		Recovery action related to Issue No. 14 (IM1251950). Approximately 235 customers have been sent letters with dates incorrectly listed, 157 Letter have been confirmed delivered so far.	CMC, Brisbane RRT, PSBS		<p>Proposed Service Strategy: Staff from Brisbane RRT to assess the CRNs and identify if the customer has interacted. Where customer has interacted and there is a subsequent manual hand off no further action to be taken as these will be picked up in the work item management</p> <ul style="list-style-type: none"> - Where no interaction has occurred Brisbane RRT to make three outbound call attempts over two days - Where contact is successful CO to advise customer of the correct dates against the confirmation code and response timeframe, using 28 days from the date of receipt of the letter - Where contact is not successful no further contact attempts to be made with the customer. Can we please confirm that when the receipt date is updated in Customer First letter B will be triggered 14 days from the receipt date? This will support no further contact attempts being required <p>Note – CMC has undertaken analysis on a minimal number of CRNs impacted by this and the receipt date has not yet been updated on the customers record. This will need to occur prior to Service Strategy commencing OR the receipt date will need to be added to the CRN listing so that staff can calculate the correct 28 day period. Once the approach is confirmed, CMC will coordinate Service Strategy once the date of delivery has been updated or noted on the CRN listing.</p>	<p>Service Strategy action for the customers impacted as the letter has been delivered.</p> <p>4/04/2017-Service Strategy has been completed and the summary:</p> <ul style="list-style-type: none"> - 157 impacted customers - 70 / 157 successful contacts - 51 / 157 already interacted – no outbound contact attempt required at this time - 38 / 157 unsuccessful contact attempts <p>where no contact has been made with the customer there is no further action required. A spot check has been undertaken on the 38 CRNS where contact was unsuccessful and can confirm the notification date has been entered into Customer First. Current process is that Letter B (reminder letter) will be generated 14 days from the receipt date</p>	<p>Action to be undertaken</p> <ul style="list-style-type: none"> - Undertake a check to identify letters that have been receipted. - Undertake an Outbound call to customers who have receipted their letter advising them of the actual due date. - Discuss with Australia Post the recall of letters that have not been receipted, and arrange for these to be resent with the correct information. 	Yes
23	29/03/2017	IM1280962	It has been identified that there are approx. 30,000 open DOCS in the Workgroup GENERAL Position BISC with the subject 'Match Data Not Valid' which appear to be the result of the bulk intervention cancellation process for EIC via CRM (A1 Service Strategy).	CMC, ICT		<p>CMC have analysed 50 DOCS and found 47 were cancelled interventions and 3 were completed interventions. 29/03/2017- Issue has been escalated to ICT by CDM. ICT have requested the list of CRNs for the 30,000 customers or the A1 cohort and ways to identify the customers (example CRNs, record attributes)</p>	<p>CMC is unaware of any reason that these docs should have been left open and would like to request this be escalated to ICT for further investigation and confirmation that these are a result of the process undertaken as part of the A1 Service Strategy.</p> <p>ICT has obtained permission to include this fix in the 08/04 release under the existing CRM change. The change will be tested as part of the SIT cycle. It is required to run an ISIS adhoc job to assist with the clean-up of open docs once the change has been made in production.</p>	<p>ICT has suggested that CCB to run an additional test or two as part of UAT next week (starting from 3/4/17), if it's possible, to cover off from both sides.</p>	No
24	30/03/2017		Issue with Registered mail being incorrectly delivered.			<p>Customer has reported that the registered mail letter was left in their letter box without being signed for S47F(1) is chasing further details on this), other instances reported where incorrect person is signing for letter. In this case the intended customer might not even live at the address. Need to gather further details then contact Australia Post.</p>	<p>PSBS to confirm the status AusPost returned for this item before the matter is escalated to AusPost.</p>		No
25	30/03/2017		It has been identified during letter A checking that duplicate match data is present for customer S47F(1) . Same employer, same match year, first amount S47F(1) , second amount S47F(1)	CMC, Output management Team		<p>The letter is a correct reflection of the match data however the data itself is duplicated. This intervention was initiated 29.03.2017, letter generated 30.03.2017. Distribution of letter has been stopped until further advice is received. Letter will be destroyed.</p>	<p>CMC has advised that Letter should not be sent to customer via registered post. The Letter has been retrieved on Friday (31/03/17) and was securely destroyed on 3/04/17.</p>		Yes
26	29/03/2017		Service Recovery for customers affected by issue No 17 (IM1255768)	CMC, PSBS, ICT		<p>23/03-28/03 It has been identified that 23 letters in the status 'do not send filter'</p> <ul style="list-style-type: none"> - A. 10 customers whose due dates have been calculated based on the initial letter sent date as opposed to the date of receipt - B. 13 customers who do not have a date of receipt in CRM 	<p>Need to provide advice to ICT on how to act on these letters with 'DO not send' filter status. Possible approach is proposed.</p>		No

19	24/03/2017	IM1255879	Quality checking for Letter B has identified that a letter has been generated for a CRNs47F(1) where the review was already completed on 08/12/2016.	CMC, ICT	2	<p>Response from ICT:</p> <ul style="list-style-type: none">• The review remained in Open status after being 'completed' on 08.12.2016 and no explanation for this as there is no indication in the change history that the review ever moved out of "Open". However, the outcome letters were sent which only happens after review goes to 'Completed' status.• Customer must have accessed the review on 03.03.2016 – while it's in 'Open' status.• Due to the registered mail changes which were implemented in Feb, the system set their initial notification receipt date (as it was blank previously), and reset the reminder date, and due dates• This caused the Reminder action to run 24.03.2016 <p>This appears to be a very isolated incident due to this corrupt "Open" review.</p> <p>It is suggested that the review be "Cancelled" as the outcome letters have already been sent out.</p>
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Issue Number	Issue	Impact	Responsibility	Remedial Actions	Action Date

Pending Health Check	60	IM998988		EIM - Online Services - Unable to add notes in ZIRV or ZCOC once intervention has been completed.	FURTHER FOLLOW UP REQUIRED WITH GDACC
	76	IM1026692		EIM - Online Services - Reassessment disregarding staff-updated data entered in Verify Evidence GP	30 September
	48	IM988889		EIM - Assessment Outcome - Raising debt for a period where nil paid	Targeting 15 October Release
	88	IM1049850		EIM - Assessment Outcome - Adjustments are made on RATS causes the debt period to be incorrect. Added at Matt's request	15 October 2016 - Auto solution ICT required to run batch job following the release to cancel and regenerate the ISIS activity to allow for auto processing (15/10-17/10)
	82	IM1034060		EIM - Online services - RAD change, earnings apportioned to incorrect entitlement period.	14 October
	63	IM1001193		EIM - Online Services - Reassessment, customer not able to select actual employer.	14 October/21 October
	97	IM1065448		EIM - Online Services - Cancel ZIRV process creating document on the partner record.	14 October
	107	IM1078967		EIM - Online Services - SAP OC Letters not created on customer account	14 October
	108	IM1079467		EIM - Online Services - Assessment not using the correct self service assessment	15 October
	74	IM1020437		EIM - Online Services - Customer First Workload Management reports Currently, WFM reports displays "completed" as nil.	Undergoing Health Checking - Dashboard unavailable yesterday
	17	IM962466		EIM - Earnings coding - Duplicated employer due to exact-name matching.	Health Check Passed - Item Closed
	72	IM1014028		ABN Matching has not occurred where EANS employer contains same ABN per data match.	Health Check Passed - Item Closed
25	IM970083		EIM - Online Services - Matching of ATO employer name against all EANS employers regardless of FY	Health Check Passed - Item Closed	
37	IM986829		EIM - Online Services - Personal factors question asked to an exempt customer	Health Check Passed - Item Closed	
49	IM988899		EIM - Online Services - Receipt not displaying Paid Parental Leave field, and not displaying discrepancy of amount declared.	Health Check Passed - Item Closed	
11	IM948100		EIM - ISIS applications - positive adjustment prior to match period.	Health Check Passed - Item Closed	
16	IM960355		EIM - Assessment Outcome - Arrears at the end of the debt period	Health Check Passed - Item Closed	
45	IM986864		EIM - Earnings assessment - Coding EANS for short entitlement period was not grossed up on EANS.	Health Check Passed - Item Closed	
81	IM1031988		EIM - Online Services - Recovery Fee not applying correctly, cust accepts match data.	Health Check Passed - Item Closed	
77	IM1026697		EIM - Online Services - Incorrect apportioning of earnings: multiple coding in the entitlement period	Health Check Passed - Item Closed	
75	IM1022571		EIM - Online Services - Declared earnings from commencement of employment not deleted.	Health Check Passed - Item Closed	
61	IM1001198		EIM - Online Services - Reassessment apportioning for 5-day week incorrectly.	Health Check Passed - Item Closed	
62	IM1052641		EIM - Online Services - IRRS not loaded with all matched employers	Health Check Passed - Item Closed	
9	IM947790		EIM - ISIS applications - Debt amount is outside match period. Match year was 2010/2011.	Health Check Passed - Item Closed	
58	IM996782		EIM - Online Services - Personal factors question and answer not displayed on receipt, where recovery fee applied.	Health Check Passed - Item Closed	
59	IM998979		EIM - Assessment Outcome - Previously zero-ed arrears are incorrectly being considered in assessment.	Health Check Passed - Item Closed	
64	IM1004505		EIM - Assessment Outcome - Incorrect rejection of current payment.	Health Check Passed - Item Closed	
73	IM1016748		EIM - Reassessment status and count-down reminder incorrectly displaying	Health Check Passed - Item Closed	
79	IM1031714		EIM - Online Services - Mismatch Anomaly GP missing data	Health Check Passed - Item Closed	
86	IM1042890		EIM - Online Services - Incorrect date used for IMPS Date Payment Received field.	Health Check Passed - Item Closed	
87	IM1045675		EIM - Online Services - Customer incorrectly exempted from recovery fee	Health Check Passed - Item Closed	
90	IM1053649		EIM - Online Services - Discrepancy exists between the total debt amount and components in the ZIRV note	Health Check Passed - Item Closed	
91	IM1053655		EIM - Online Services - Discrepancy between the debt amount from OPDL and total debt amount in ZIRV note (negative component)	Health Check Passed - Item Closed	
89	IM1051571		EIM - Online Services - Reassessment ZCOC completed but left ZIRV in progress.	Health Check Passed - Item Closed	
101	IM1071714		EIM - Online Services - Duplicated employer for DSE Employer, despite name matching	Not an issue	
102	IM1072755		EIM - Online Services - Incorrect pathway when denying Anomaly Mismatch GP	User Issue	
21	IM963348		EIM - Earnings Assessment - PAYG Match Not Assessed	Health Check Passed - Item Closed	
43	IM986831		EIM - Assessment outcome - Reassessment incorrectly coded EANS for first fortnight.	Health Check Passed - Item Closed	
20	IM968409		EIM - Assessment outcome - compensation debt overlapping.	Health Check Passed - Item Closed	
34	IM982358		EIM - Online Services - reassessment not deleting earnings outside period of employment, when customer shortens period of employment.	Health Check Passed - Item Closed	
46	IM988376		EIM - Assessment Outcome - Incorrect generation of arrears by a reassessment activity	Health Check Passed - Item Closed	
55	IM994239		EIM - Assessment Outcome - Assessment applying incorrect working credits at NSA to PPS transfer.	Health Check Passed - Item Closed	
47	IM988523		EIM - Assessment Activity - SPCOMREV Mapping	Health Check Passed - Item Closed	
85	TBA		EIM - Online Services - Reassessment has deleted a PAYG but not re-apportioned the PAYG where customer accepted match data	Health Check Passed - Item Closed	
70	IM1012149		EIM - Online Services - Unable to start reassessment, where the first reassessment cancels.	Health Check Passed - Item Closed	
23	IM968747		EIM - Assessment Outcome - Reassessment outcome not displayed on AR.	Health Check Passed - Item Closed	
31	IM976792		EIM - Assessment Outcome - Debt raised for current partner for a period when not linked.	Health Check Passed - Item Closed	
51	IM992132		EIM - Online Services - Debt not attributed to intervention.	Health Check Passed - Item Closed	
84	IM1036637		EIM - Online Services - Unable to regenerate activity when Verify Earnings GP exists in staff tasks.	Health Check Passed - Item Closed	
92	IM1053660		EIM - Assessment Outcome - No result (debt) for partner generated	Health Check Passed - Item Closed	
93	IM1055433		EIM - Online Services - Incorrect finalisation result on IRRS	Health Check Passed - Item Closed	
94	IM1061365		EIM - Online Services - Suspension incorrectly attributed	Health Check Passed - Item Closed	
96	IM1065431		EIM - Online Services - Reassessment - Recovery Fee not auto updated within reassessment	Health Check Passed - Item Closed	
22	IM966412		EIM - Online Services - Deletion of earnings prior to match year.	Health Check Passed - Item Closed	
18	IM977998		EIM - Assessment Outcome - Previously verified earnings not considered when earnings apportioned.	Health Check Passed - Item Closed	
99	IM1069785		EIM - Online Services - Display error on receipt for 'worked weekends' response	Health Check Passed - Item Closed	

Critical
 Moderate Low
 Fixed / Low Priority

Risk Management Plan

PN2015.5075 Employment Income Matching

Next Review Date:	February 2017
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Note: Reviews should be undertaken monthly or when significant change occurs. Please refer to the [Enterprise Risk Management Policy](#).

Endorsement

In endorsing this Risk Management Plan (RMP), the lead executive acknowledges that:

- They agree with the findings of the RMP,
- They accept accountability for the identified risks, and
- Responsibility for risk treatments has been allocated to the appropriate Treatment Owner for management.

Note: Risk Ownership should be considered in accordance with the department's Risk Appetite as defined in the Tolerance and Escalation Table.

Version	Endorsed by	Position	Date
2.0	Gary Clarke s47F(1)	Senior Responsible Official National Manager Compliance Risk Branch	13/1/17

Approvals

Managers have a responsibility to ensure the RMP is escalated to the relevant Risk Owner(s) as defined in the Tolerance and Escalation Table. The table can be found towards the end of this plan.

In approving this RMP, the Risk Owner acknowledges responsibility for:

- Deciding on the risk treatment strategy (i.e. accept, avoid, treat or transfer),
- Managing and treating all aspects of the risks assigned to them,
- Providing their rationale for a decision to accept a threat or not accept an opportunity, and
- Granting resources / budget for treatment actions.

Risk No.	Risk Owner	Group/Division/Branch	Risk Ownership Agreed	Date
R05	Gary Clarke	Senior Responsible Official National Manager Compliance Risk Customer Compliance	Yes	13/01/2017
R11	s47F(1)	Project Manager Capability Delivery Management Compliance Risk Customer Compliance	Yes	09/01/2017
R13	Gary Clarke	Senior Responsible Official National Manager Compliance Risk Customer Compliance	Yes	13/01/2017
R14	s47F(1)	Project Manager Capability Delivery Management Compliance Risk Customer Compliance	Yes	09/01/2017
R15	s47F(1)	Project Manager Capability Delivery Management Compliance Risk Customer Compliance	Yes	09/01/2017
R16	Gary Clarke	Senior Responsible Official National Manager Compliance Risk Customer Compliance	Yes	13/01/2017
R17	Gary Clarke	Senior Responsible Official National Manager Compliance Risk Customer Compliance	Yes	13/01/2017
R18	s47F(1)	Project Manager Capability Delivery Management Compliance Risk Customer Compliance	Yes	09/01/2017

R19	s47F(1)	Project Manager Capability Delivery Management Compliance Risk Customer Compliance	Yes	09/01/2017
R20	Gary Clarke	Senior Responsible Official National Manager Compliance Risk Customer Compliance	Yes	13/01/2017
R21	Gary Clarke	Senior Responsible Official National Manager Compliance Risk Customer Compliance	Yes	13/01/2017

Document Control History

Version	Document Author Name and Position	Date	Document Location
0.1	s47F(1)	18/06/2015	Initial draft
0.2		23/06/2015	Edits following feedback from Project Officers Elisha Hodgson and Christopher Nicola
0.3			Edits following feedback from Assistant Director
0.4		07/07/2015	Further edits following internal review
0.5		31/07/2015	Updated to reflect outcomes from risk workshop
0.6		31/07/2015	Updates to draft
1.0		06/08/2015	NM Endorsed version
1.1	s47F(1) Project Officer	05/01/2017	Amendments following internal Risk Workshop
1.2	s47F(1) Project Officer	06/01/2017	Amendments following internal review
2.0	s47F(1) Project Manager	09/01/2017	Prepared for SRO sign off.
Document Location s47E(d) s47E(d)			

Risk Management Context

The 2015-16 Budget measure Strengthening the Integrity of Welfare Payments facilitates significant investment to increase the Department of Human Services' (the department) capability to deter, detect, investigate and prosecute cases of suspected fraud and non-compliance. It builds on current activity, introduces more streamlined and efficient processes and will focus on more targeted interventions with significantly increased fraud investigation and compliance review activity. The measure is expected to return approximately \$1.7 billion savings to Government. The measure consists of eight different elements to be delivered over four years:

- AUSTRAC – automated real time data matching with AUSTRAC to target unexplained wealth and tackle systemic serious non compliance
- Regional Taskforce – A taskforce designed to target high risk geographic clusters
- Customer Reporting and Declarations – Introducing a more active online approach to compliance which will require customers to electronically confirm correctness of information we hold or have obtained
- Strengthening Obligations for Students – requires students to confirm study load at critical times identified as high risk
- Administrative Sanctions – Introduce sanctions regime with administrative penalties for matters that don't meet the threshold for prosecution or where evidence to prove intent may be lacking
- Streamlining Prosecution Referrals – Explore options to enable information gathered by the department for administrative purposes to be used for the purposes of prosecution
- Real Time Risk Profiling – Undertake ICT development to provide capability to identify and intervene in potential fraudulent claims before they go to payment
- Employment Income Matching – Individuals who have failed to declare, or under declared their income between 2010 and 2013 will be reviewed.

Employment Income Matching targets identified discrepancies from the Pay as You Go (PAYG) file obtained from the Australian Taxation Office (ATO). Incorrect Centrelink payments identified through this matching for 2010-11, 2011-12 and 2012-13 financial years will be targeted. This will be undertaken as a project and will provide for investment in resourcing and ICT infrastructure.

Commencing 1 July 2015, the project will undertake 866,858 compliance interventions with administered savings of approximately \$1.5 billion over the four years of the measure. The compliance interventions will be delivered in two stages:

- In 2015-16 interventions will be undertaken via a new streamlined manual business process
- In 2016-18 interventions will be undertaken via an online compliance solution

The project supports the Government's key priorities and will:

- reduce burden of regulation on third parties to provide verification documentation
- ensure customers take responsibility for their obligations to report income correctly
- increase efficiency through automation, reducing manual effort, allowing staff to focus on more complex work and the compliance interventions for customers who require greater support or assistance
- strengthen the integrity of government outlays for welfare payments by reducing the level of untreated risk
- provide customers with alternative and online contact channels to encourage active participation in the compliance process.

This risk assessment has been conducted taking into account all relevant risks specific to this project and the Online Compliance system.

This risk assessment has been reviewed by the Capability Delivery Management team as well as consultation with relevant stakeholders.

The Risk Management Plan has been developed and reviewed as per the Enterprise Risk Management Policy. Review of the plan will continue on a monthly basis.

Executive Summary

Risk Statements	Risk Owner	Current Risk Level	Residual Risk Level	Proposed Treatment	Treatment Owner	Due Date
R05 There is an opportunity to build scalable solutions for Customer Compliance within the digital environment.	Gary Clarke Senior Responsible Official National Manager Compliance Risk	Medium				
R11 There is risk that interventions may not be processed in a timely manner caused by system stability resulting in a delay in debt outcomes.	^{s47F(1)} Project Manager Capability Delivery Management Compliance Risk Customer Compliance	Low				
R13 There is a risk that available or appropriately skilled resources may not be available at the appropriate time causing a delay to the project resulting in a failure to deliver the solution within the required timeframe.	Gary Clarke Senior Responsible Official National Manager Compliance Risk	Medium				
R14 There is a risk that the actual selections do not meet initial forecasts in the proposal (NPP) caused by differences in data and business rules resulting in not meeting forecasted savings.	^{s47F(1)} Project Manager Capability Delivery Management Compliance Risk Customer Compliance	Low				

R15	There is a risk that ICT does not deliver the required capability caused by a clarification of business requirements resulting in a failure to deliver the solution within the required timeframe.	^{s47F(1)} Project Manager Capability Delivery Management Compliance Risk Customer Compliance	Low	
R16	There is a risk that government priorities may change caused by external influences resulting in priorities no longer aligning with project outcomes.	Gary Clarke Senior Responsible Official National Manager Compliance Risk	Medium	
R17	There is a risk that delivery of project governance and processes may be insufficient caused by ineffective monitoring and controlling of the project resulting in a lack of confidence in meeting business outcomes and government objectives.	Gary Clarke Senior Responsible Official National Manager Compliance Risk	Medium	
R18	There is a risk that stakeholder engagement and communication does not support the achievement of project outcomes caused by failure to identify all impacted stakeholders resulting in a lack of involvement and awareness of project outcomes.	^{s47F(1)} Project Manager Capability Delivery Management Compliance Risk Customer Compliance	Low	
R19	There is a risk that business outcomes may not be met caused by unclear or delayed business requirements resulting in a failure to deliver an optimal solution.	^{s47F(1)} Project Manager Capability Delivery Management Compliance Risk Customer Compliance	Low	
R20	There is a risk that the system stability may impact desired business outcomes caused by system outages/availability resulting in a failure to meet forecasted completions.	Gary Clarke Senior Responsible Official National Manager Compliance Risk	Medium	

R21	There is a risk that the full suite of scenarios may not be tested caused by reduced timeframes resulting in unfavourable customer outcomes.	Gary Clarke Senior Responsible Official National Manager Compliance Risk	Medium				
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Risk Assessment Matrix

Opportunity				Threat			
Risk level				Risk level			
Very High	Very High	High	Medium	Medium	High	Very High	Very High
Very High	High	Medium	Low	Low	Medium	High	Very High
High	High	Medium	Low	Low	Medium	High	High
High	Medium	Low	Low	Low	Low	Medium	High
Outstanding				Minor	Moderate	Major	Extreme
Positive Consequences				Negative Consequences			
Likelihood				Likelihood			
Almost Certain Event is expected to occur. 91% – 100%				Almost Certain Event is expected to occur. 91% – 100%			
Likely Event is likely to occur occasionally. 41% – 90%				Likely Event is likely to occur occasionally. 41% – 90%			
Possible Event could occur at some time, but only rarely. 11% – 40%				Possible Event could occur at some time, but only rarely. 11% – 40%			
Unlikely Event may only occur in exceptional circumstances. 1% – 10%				Unlikely Event may only occur in exceptional circumstances. 1% – 10%			

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Tolerance and Escalation Table

Opportunity Risk Level		Escalation channel and Risk Owner		Threat Risk Level	
Rating	Tolerance	Escalation channel and Risk Owner	Tolerance	Rating	
Very high	Desirable	The Secretary to be briefed by the Deputy Secretary. Immediate action required.	Unacceptable	Very High	
High	Desirable	To be addressed by the Deputy Secretary as a matter of planning priority.	Unacceptable	High	
Medium	Modest	To be addressed by the General Manager or SRO (for projects).	Tolerable	Medium	
Low	Negligible	To be addressed by the National Manager, Service Leader or Project Manager (in the case of projects) in the ordinary course of management.	Acceptable	Low	

Consequence Descriptor Table

CONSEQUENCE CATEGORIES		Descriptors: threat in red, opportunity in blue			
	Minor Consequences	Moderate Consequences	Major Consequences	Extreme/Outstanding Consequences	
Reputational	<ul style="list-style-type: none"> Some adverse localised press coverage and/or criticism from minor community segment. Minor loss of the public's confidence in the department. Opportunity to generate positive media attention/news story locally with minimal or no cost. 	<ul style="list-style-type: none"> Some adverse state-wide press coverage and/or criticism from significant community segment. Questions from Parliamentary Committees. Adverse Australian National Audit Office (ANAO) report(s). Moderate loss of the public's confidence in the department and embarrassment to the Minister. Opportunity to generate positive media attention/news story nationally with minimal or no cost. 	<ul style="list-style-type: none"> Significant adverse national media attention and/or public outrage/condemnation. State/Local political criticism and/or parliamentary enquiry. Significant breach of regulations. Highly critical ANAO audit report(s). Significant loss of the Public and the Minister's confidence in the department and embarrassment to the Minister. Opportunity to generate positive media attention/news story nationally over time with minimal or no cost. 	<ul style="list-style-type: none"> National public outrage/condemnation and high level criticism. Significant breach of legislation and/or judicial enquiry. Sustained national negative press coverage. High staff turnover (including long term staff) and loss of corporate knowledge. Major loss of the Public and the Minister's confidence in the department and increasing embarrassment to the Minister. Opportunity to regularly generate positive media attention/news story nationally with minimal or no cost. 	
Financial	<ul style="list-style-type: none"> Departmental funds: \$1m to \$5m impact. Some departmental funds between \$1m to \$5m impact. Administered funds: Less than \$50,000 impact. Project budget: Less than 5% or \$100k* impact. 	<ul style="list-style-type: none"> Departmental funds: Between \$5m to \$30m impact. Save departmental funds between \$5m to \$30m. Administered funds: \$50,000 to \$250,000 impact. Project budget: Greater than 5% or \$100k* impact. 	<ul style="list-style-type: none"> Departmental funds: Greater than \$30m to \$50m impact. Save departmental funds greater than \$30m to \$50m. Administered funds: \$250,000 to \$1m impact. Project budget: Greater than 10% or \$250k* impact. 	<ul style="list-style-type: none"> Departmental funds: Greater than \$50m impact. Save departmental funds greater than \$50m. Administered funds: Greater than \$1m impact. Project budget: Greater than 20% or \$1m* impact. 	
Fraud	<p>Internal:</p> <ul style="list-style-type: none"> Individual instances of non-compliance or petty theft detected – no litigation. Pockets of non-compliance above tolerance level. Engage individual staff to prevent non-compliance. 	<p>Internal:</p> <ul style="list-style-type: none"> Low levels or pockets of internal non-compliance. Minor internal financial fraud – no litigation. Identify trends and loopholes to prevent future fraud or detect past activities. 	<p>Internal:</p> <ul style="list-style-type: none"> Significant serious internal fraud which impacts a program - litigation. Design and implement automated processes systems and processes to monitor fraud patterns across the organisation. 	<p>Internal:</p> <ul style="list-style-type: none"> Widespread serious internal fraud by employees involving millions of dollars in revenue. Criminal proceedings against staff. Design and implement processes to prevent widespread internal fraud in a programme. 	

Descriptors: threat in red, opportunity in blue				
CONSEQUENCE CATEGORIES	Minor Consequences	Moderate Consequences	Major Consequences	Extreme/Outstanding Consequences
	<p>External:</p> <ul style="list-style-type: none"> Isolated instances of customer fraud – administrative outcome. Identified areas of communications with customers that may need clarification, education and prevent fraud. Opportunity to improve fraud identification process. Identified trends and loopholes to prevent future fraud or detect past activities. 	<p>External:</p> <ul style="list-style-type: none"> Individual customer fraud - litigation. Fraud cases identified as 'sensitive'. Opportunity to improve fraud identification process. Identify trends and loopholes to prevent future fraud or detect past activities. 	<p>External:</p> <ul style="list-style-type: none"> Significant individual customer fraud - litigation. Repeated/multiple instances of individual customer fraud. High levels or significant spikes in the detected levels of external fraud in administered programmes. Secretary informed. Identify trends and loopholes to prevent future fraud or detect past activities. Potential changes to organisational policy. Potential development of awareness raising programmes. 	<p>External:</p> <ul style="list-style-type: none"> Systemic/organised customer fraud - litigation. Widespread or systemic external fraud in administered programmes. Secretary action. Increased recovery powers under legislation. Improved information sharing through legislation. Potential changes to organisational policy.
Leadership	<ul style="list-style-type: none"> Unclear approval, authority, roles, and/or responsibilities. Lack of staff confidence in leadership. Opportunity to clarify roles and responsibilities. Identify areas where degree of feedback is 	<ul style="list-style-type: none"> Lack of confidence expressed by Governance Committee(s). Poor alignment of business objectives/roles. Widespread lack of staff confidence in leadership. Opportunity to receive positive feedback and endorsement from governance committee(s). More closely aligned business objectives/roles. 	<ul style="list-style-type: none"> Breakdown between Governance and Management structures. High cost/profile project cancelled. Opportunity to apply for National recognition/awards. 	<ul style="list-style-type: none"> Loss of confidence in Secretary by Minister. High cost/profile project failure. Opportunity to provide positive state of the service report results.
Work Health and Safety (WH&S)	<ul style="list-style-type: none"> Divergence from approved WH&S Codes of Practice. Minor injuries and discomfort. Reinforce adherence to WH&S Policies, Guidelines and Codes of Practice and monitoring incident trends. 	<ul style="list-style-type: none"> Contravention of the WH&S Regulations. Minor injuries resulting in time off work of more than one week. Increase in reported incidents and injuries. Reinforce adherence to WH&S Procedures, Guidelines and 	<ul style="list-style-type: none"> Contravention of the Work Health and Safety Act (WH&S Act). Serious injury resulting in extended absences. Reinforce adherence to WHS Procedures, guidelines and WH&S Act. Safety investigation and review of risk assessments. Implement corrective action plan. 	<ul style="list-style-type: none"> Contravention of general duty of care under the Work Health and Safety Act. Serious injuries or death. Review of risk assessments, safety investigation and legal advice or external expert advice. Corrective action plans.

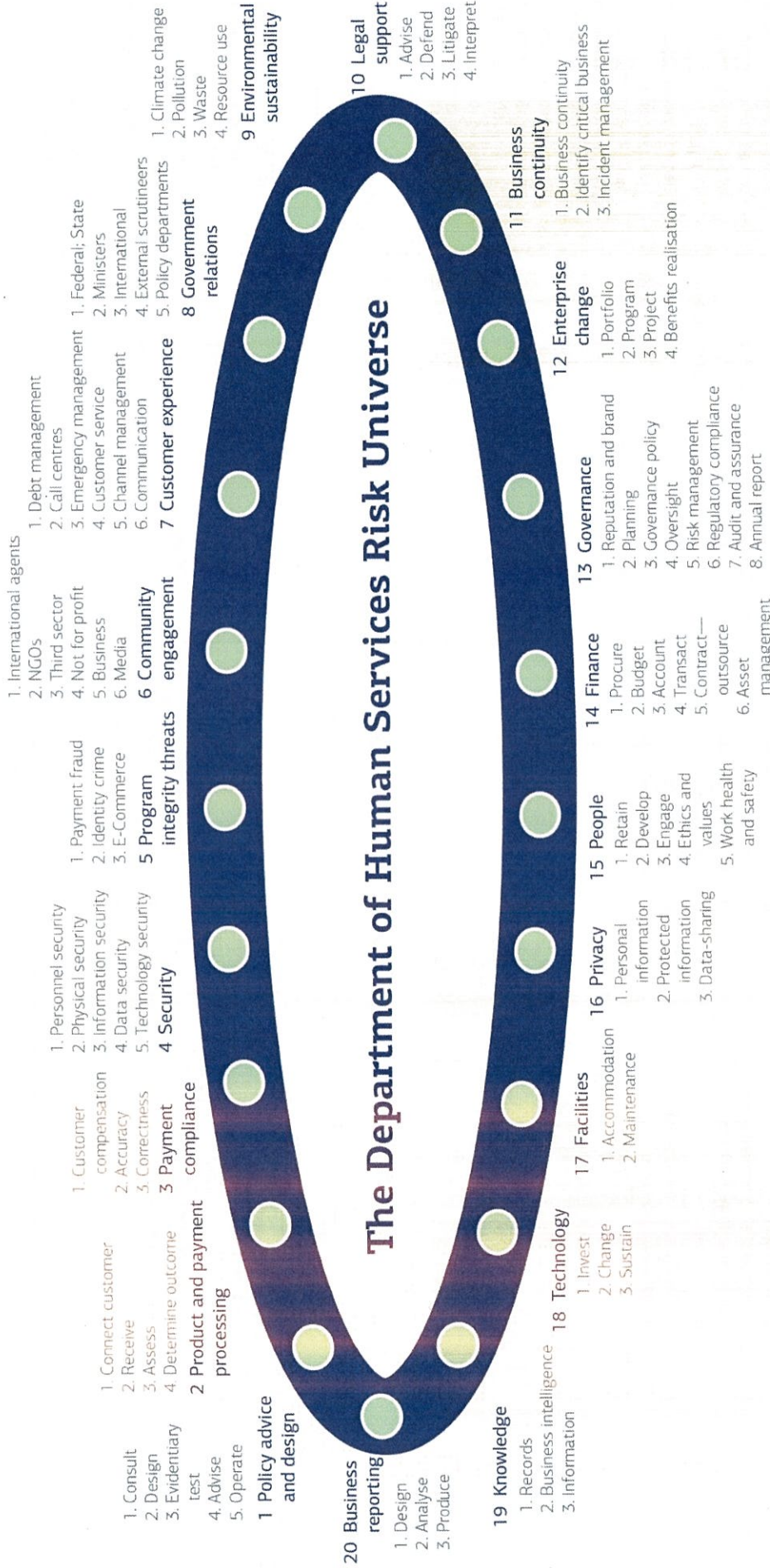
CONSEQUENCE CATEGORIES		Descriptors: threat in red, opportunity in blue		
	Minor Consequences	Moderate Consequences	Major Consequences	Extreme/Outstanding Consequences
ICT and Infrastructure	<ul style="list-style-type: none"> Minor/isolated service interruption, manageable by local intervention. Slow response time. ICT resources not available. Local ICT resources/infrastructure are not available. 	<p>Regulations, Incident monitoring and risk assessments.</p> <ul style="list-style-type: none"> Minor service interruption across the organisation. Some disruption (up to 1 day) to operations manageable by altered operational routine. Raise the priority on investigating the use of new technology and/or new processes. 	<ul style="list-style-type: none"> Major loss of productivity due to ICT disruption. Serious deterioration of ICT. Ineffective Change Management (e.g. failed components of a release). Consolidate multiple systems under new single system. 	<ul style="list-style-type: none"> Review safety management systems. Destruction or serious damage to key physical or information assets. Sustained ICT outage. Inability to deliver core business services/programme(s). Inability to keep pace with future needs. Replace/retire legacy system with more efficient and cost effective solution.
Internal and external stakeholder relationships	<ul style="list-style-type: none"> Internal strain/tension. Opportunity to reduce strain/tension in internal relationships or enhance external relationships. 	<ul style="list-style-type: none"> Relationship with major stakeholder suffers low level tension. Opportunity to reduce tension/strain in relationships with internal/external key stakeholders or enhance existing ones. 	<ul style="list-style-type: none"> Relationship with major stakeholder suffers low level damage. Ministerial question raised in Parliament. Poor programme or project outcomes due to break-down of stakeholder relationship. Damage to a commercial third party supplier relationship. Opportunity to develop and implement better consultation strategies with key stakeholders. Positive mention of department in political circles. 	<ul style="list-style-type: none"> Fall-out with major stakeholder. Parliamentary inquiry. Loss of support from major stakeholders. Major failure of programme(s) or project(s). Litigation with major supplier leading to sustained impact on key payments, products, and services. Opportunity to develop and implement better consultation and communication strategies with key stakeholders.
Service delivery / continuity	<ul style="list-style-type: none"> Minor staff impact, minor localised interruption to premises; minor isolated service interruption. Local management intervention required with locally available resources. Manageable by local intervention. No measurable operational delay or interruption. Opportunity to reduce operational delays/interruptions. 	<ul style="list-style-type: none"> Impact to multiple areas of the business. Substantial management support required to resolve local issue. Temporary loss of key staff. Minor service interruption (e.g., power failure, floods) across the organisation. Late payment to a small number of customers. 	<ul style="list-style-type: none"> May require senior management intervention. May require external assistance. Unavailability of staff, damage to physical assets; major loss of productivity due to ICT disruption (e.g. Single User Workspace). Unable to pay small number of customers. Disruption (up to 1 month) to operations with flow on effects to CSC. 	<ul style="list-style-type: none"> Impact to multiple and diverse areas of the department, threatening viability of the organisation. Executive intervention necessary, with mobilisation of resources including external assistance. Unable to pay customers for an extended period of time (e.g., data centre failure). Sustained ICT outage.

CONSEQUENCE CATEGORIES				
Descriptors: threat in red, opportunity in blue				
	Minor Consequences	Moderate Consequences	Major Consequences	Extreme/Outstanding Consequences
Program integrity	<ul style="list-style-type: none"> Debts, incorrect payments. Payment accuracy decreases but remains above 95%. Pockets of non-compliance above tolerance level in administered programme(s). Opportunity to identify areas of weakness in departmental training, policy or procedures that may lead to breaches. 	<ul style="list-style-type: none"> Some disruption (up to 1 day) to operations manageable by altered operational routine. Key staff temporarily diverted to manage/resolve the issue. Re-design/streamline local processes. 	<ul style="list-style-type: none"> Would threaten the effective function of the programme/project. Widespread unavailability of staff diverted to resolve the issue. Opportunity to rebuild in a more optimal location, streamline a process on a national level. 	<ul style="list-style-type: none"> Would threaten the survival of the agency. Opportunity to implement a new approach to service delivery on a national level.
Program integrity	<ul style="list-style-type: none"> Debts, incorrect payments. Payment accuracy decreases but remains above 95%. Pockets of non-compliance above tolerance level in administered programme(s). Opportunity to identify areas of weakness in departmental training, policy or procedures that may lead to breaches. 	<ul style="list-style-type: none"> Minor and isolated payment errors and increased pockets of non-compliance in administered programme(s). Increased complaints, appeals, policy impacts, SSAT, ANAO. Payment accuracy between 91-95%. Find and eliminate payment errors. 	<ul style="list-style-type: none"> Major but isolated payment errors. Payment accuracy between 81-90%. High levels or significant spikes in the detected levels of serious non-compliance in administered programme(s). New detection methodology/tools. 	<ul style="list-style-type: none"> Widespread or systemic serious non-compliance in administered programme(s). Payment accuracy 80% or below. Increased recovery powers under legislation.
Legislation	<ul style="list-style-type: none"> Non-compliance with program legislation by staff. The department has some non-reportable legislative breaches caused by not meeting legislative requirements. Opportunity to identify areas of weakness in departmental training, policy or procedures that may lead to breaches. 	<ul style="list-style-type: none"> The department has a breach of legislative requirements resulting in breaches being reported in the Annual Report, e.g. WHS and Fair Work Act compliance. Opportunity to identify areas of weakness in departmental training, policy or procedures that may lead to breaches. 	<ul style="list-style-type: none"> Repeated breaches of legislation within the department that must be reported in the Annual Report (e.g. WHS & Fair Work Act compliance). Opportunity to identify areas of weakness in departmental training, policy or procedures that may lead to breaches. 	<ul style="list-style-type: none"> The department has a serious breach of legislation, caused by not meeting legislative requirements resulting in criminal or civil legal liability. Serious breach of legislation resulting in termination of staff member for criminal conduct. Opportunity to detect and prevent legislative breaches through automated system rules within ESS.
Legal liability	<ul style="list-style-type: none"> Legal liability for a trivial amount, which is likely to have no effect on departmental insurance cover/premium. Opportunity to identify areas of weakness in departmental training, policy or procedures that may lead to breaches. 	<ul style="list-style-type: none"> Legal liability for a moderate amount, which may lead to a small increase in Comcover premium. Vendor agrees to take out additional insurances to cover liabilities. 	<ul style="list-style-type: none"> Legal liability for a large amount, which is likely to lead to a significant increase in Comcover premium. Opportunity to negotiate with vendors to take on all liability in a moderate-large contract. 	<ul style="list-style-type: none"> Legal liability for an amount which is a material proportion of the department's total administered appropriations, which is likely to lead to large increase in Comcover premium. A monopoly supplier agrees to take on an uncapped liability.

CONSEQUENCE CATEGORIES	Descriptors: threat in red, opportunity in blue			
	Minor Consequences	Moderate Consequences	Major Consequences	Extreme/Outstanding Consequences
Security	<ul style="list-style-type: none"> Breach at Protected/Confidential level; no litigation. Opportunity to implement lessons learned to reduce breaches by 10%. 	<ul style="list-style-type: none"> Breach at Protected level. Short enquiry with moderate findings. Opportunity to implement lessons learned to reduce breaches by 20%. 	<ul style="list-style-type: none"> Minor breach of sensitive Secret data. Lengthy enquiry with adverse findings. Opportunity to implement lessons learned to reduce breaches by 50%. 	<ul style="list-style-type: none"> Significant breach of sensitive Secret data. Long drawn out inquiry with extensive highly credible adverse findings. Opportunity to implement lessons learned to reduce breaches by 70% or more.
Privacy	<ul style="list-style-type: none"> Low level non sensitive personal data released for an individual or small group of individuals. Less than 10% reduction in privacy breaches. 	<ul style="list-style-type: none"> Low level non sensitive personal data released for an individual or small group of individuals. A 10-30% reduction in privacy breaches. 	<ul style="list-style-type: none"> Release of any personal information for an individual or a significant number of customers/ staff. Referral of incident to Office of the Australian Information Commissioner. A 31-69% reduction in privacy breaches. 	<ul style="list-style-type: none"> Release of sensitive personal information for an individual and/or significant number of customers/staff. Referral of incident to Office of the Australian Information Commissioner. A 70% or more reduction in privacy breaches.
Contracts and procurement	<ul style="list-style-type: none"> Value for money not achieved for purchases valued at less than \$10,000 (below the AusTender reporting threshold). Criticism/loss of confidence by unsuccessful tenderers or by suppliers. Incorrect termination of low value contracts. Engaging an Australian Disability Enterprise or Indigenous Small to Medium Enterprise to meet procurement need demonstrating a commitment to corporate social responsibility. 	<ul style="list-style-type: none"> Value for money not achieved for purchases valued between \$10,000 and \$80,000 (below the procurement threshold). Breaches of internal procurement related policies. Minor reduction in the number of suppliers willing to tender for departmental contracts in some industries. Questions from Senate Committees. Sub-standard business outcomes. Incorrect termination of contracts valued between \$80,000 and \$1m. Engaging an Australian Disability Enterprise or Indigenous Small to Medium Enterprise to meet a procurement need results in savings by avoiding tendering costs. 	<ul style="list-style-type: none"> Value for money not achieved for high value, high risk purchases. Criticism by Senate Committees. Breaches of Commonwealth procurement-related policies. Significant reduction in suppliers willing to tender for departmental contracts across all industries. Incorrect termination of contracts valued over \$1m. Some business outcomes delayed or not achieved. Effective analysis of risk during the procurement process results in the risks being allocated to whichever party is best placed to manage them, which may result in lower contract costs. 	<ul style="list-style-type: none"> National public outrage/condemnation, adverse media attention and high level criticism for waste of taxpayer money. Failure to deliver programs/customer services. Applying "lessons learned" from previous contracts results in more effective contract management processes, significantly improving contract outcomes/deliverables.

CONSEQUENCE CATEGORIES		Descriptors: threat in red, opportunity in blue			
	Minor Consequences	Moderate Consequences	Major Consequences	Extreme/Outstanding Consequences	
Environmental	<ul style="list-style-type: none"> Release of pollution (emissions and/or discharges) from a building due to an unexpected event that causes negligible contamination to land, air and/or water. Failure to meet one of the Australian Government environmental policy targets for energy, waste and resource management. Low level resource waste that could otherwise be recovered. Department-wide opportunities to reduce or contain pollution, waste and resource use. Environmental Management System aligned to ISO14001:2004. 	<ul style="list-style-type: none"> Release of pollution (emissions and/or discharges) from a building due to an unexpected event that causes low level contamination to land, air and/or water. Failure to meet several of the Australian Government environmental policy targets for energy, waste and resource management. Low level resource waste that could otherwise be recovered. Department-wide opportunities to reduce or contain pollution, waste and resource use. Environmental Management System aligned to ISO14001:2004. 	<ul style="list-style-type: none"> Release of pollution (emissions and/or discharges) from a building due to an unexpected or extreme event that causes severe contamination to land, air and/or water, and attracts local news coverage. Failure to meet every Australian Government Environmental policy target for energy, waste and resource management. High level resource waste that otherwise would have been recovered. Best practice environmental management program in the Government Sector. The department is a leader in achieving government policy targets. Staff fully aware of their environmental obligations. Certified Environmental Management System to ISO 14001:2004. 	<ul style="list-style-type: none"> Extreme weather events effecting business operations. Release of pollution (emissions and/or discharges) from a building due to an unexpected or extreme event that causes severe contamination to land, air and/or water, and attracts national news coverage. Electronic waste (departmental assets) or other hazardous waste being discarded illegally (offshore or local) and attracting national news coverage. Departmental procuring or consuming of resources that are derived from threatened habitats or species; or derived from illegal sources and that attracts media attention. World class environmental management program. Lease buildings that are resilient to extreme weather events, such as floods and cyclones. 	
Enterprise change	<ul style="list-style-type: none"> Less than 2 week delay to implementation or benefit realisation. Less than 5% or \$100k* reduction to expected savings. Less than 10% impact on any KPI. 	<ul style="list-style-type: none"> Greater than 2 week delay to implementation or benefit realisation. Greater than 5% or \$100k* reduction to expected savings. Greater than 10% impact on any KPI. 	<ul style="list-style-type: none"> Greater than 4 week delay to implementation or benefit realisation. Greater than 10% or \$250k* reduction to expected savings. Greater than 20% impact on any KPI. 	<ul style="list-style-type: none"> Greater than 8 week delay to implementation or benefit realisation. Greater than 20% or \$1m* reduction to expected savings. Greater than 30% impact on any KPI. Failure to meet budget initiative deadline. 	

Risk Universe Model



There are 20 categories which form the department's Risk Universe. Strategic and operational risks fall into one of these 20 categories.

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