

# Risk Management Plan

## PN2016.6005 Enhanced Welfare Payment Integrity - Income Data Matching

|                   |               |
|-------------------|---------------|
| Next Review Date: | February 2017 |
|-------------------|---------------|

**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<br><b>s47F(1)</b> | Senior Responsible Official<br>National Manager<br>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       |
|----------|-------------|---|-----------------------|------------|
| R08      | s47F(1)     | Project Manager<br>Capability Delivery Management<br>Compliance Risk<br>Customer Compliance | Yes                   | 09/01/2017 |
| R10      | Gary Clarke | Senior Responsible Official<br>National Manager<br>Compliance Risk<br>Customer Compliance   | Yes                   | 13/01/2017 |
| R11      | s47F(1)     | Project Manager<br>Capability Delivery Management<br>Compliance Risk<br>Customer Compliance | Yes                   | 09/01/2017 |
| R12      | Gary Clarke | Senior Responsible Official<br>National Manager<br>Compliance Risk<br>Customer Compliance   | Yes                   | 13/01/2017 |
| R13      | Gary Clarke | Senior Responsible Official<br>National Manager<br>Compliance Risk<br>Customer Compliance   | Yes                   | 13/01/2017 |
| R14      | s47F(1)     | Project Manager<br>Capability Delivery Management<br>Compliance Risk<br>Customer Compliance | Yes                   | 09/01/2017 |
| R15      | Gary Clarke | Senior Responsible Official<br>National Manager<br>Compliance Risk<br>Customer Compliance   | Yes                   | 13/01/2017 |

## Document control history

| Version                                      | Document author name, position | Date       | Comments  |
|--|--------------------------------|------------|---|
| 0.1  | s47F(1) Project Officer        | 3/06/2016  | Initial draft   |
| 0.2  | s47F(1), Project Officer       | 9/06/2016  | Edits   |
| 0.3  | s47F(1) Project Manager        | 29/08/2016 | Edits   |
| 0.4  | s47F(1) Project Officer        | 6/09/2016  | Edits   |
| 0.5  | Project Officer                | 13/09/2016 | Edits from Director feedback  |
| 0.6  | s47F(1) Project Officer        | 20/09/2016 | Edits   |
| 0.7  | s47F(1) Project Manager        | 21/09/2016 | Feedback  |
| 0.8  | s47F(1) Project officer        | 21/09/2016 | Edits from feedback   |
| 0.9  | Project Officer                | 23/09/2016 | Edits from feedback   |
| 0.10   | Project Manager                | 27/09/2016 | Further edits from feedback   |
| 0.11   | s47F(1) Project Manager        | 24/10/2016 | Final Draft   |
| 0.12   | s47F(1) Project Manager        | 08/11/2016 | Amendments following NM Review.<br>Updated as per v.1.3 Enterprise Risk Management Framework. |
| 1.0  | Project Manager                | 25/11/2016 | Final Signed Version  |
| 1.1  | Project Manager                | 5/1/2017   | Monthly Internal Review   |
| 2.0  | Project Manager                | 9/1/2017   | Prepared for SRO sign off.  |
| <b>Document Location -s47E(d)</b><br>s47E(d) |                                |            |   |

## Risk Management Context

The 2015-16 Mid-Year Economic Fiscal Outlook (MYEFO) Budget measure, Enhanced Welfare Payment Integrity – Income Data Matching, will significantly increase the Department's compliance activity and manage identified cases of non-compliance which are currently untreated. Commencing 1 July 2016, the measure will provide for an additional 617,762 customer interventions and will deliver \$1.3 billion in gross fiscal savings to government over two years.

The Enhanced Welfare Payment Integrity – Income Data Matching measure extends the successful outcomes achieved by the Employment Income Matching element of the 2015-16 Budget measure *Strengthening the Integrity of Welfare Payments (SIWP)*. This measure will target individuals where employment income discrepancies, for 2013-14 and 2014-15 financial years, have been identified between information provided to the Department and Pay As You Go (PAYG) information provided by employers to the Australian Taxation Office (ATO).

Interventions will be undertaken via an Online Compliance Intervention (OCI) which has been developed as part of the *SIWP* Budget Measure. The OCI is an end-to-end, self-service digital solution which will be part of the Information and Communication Technology (ICT) release in June 2016.

The measure is in addition to the compliance work already undertaken by the Customer Compliance Division (CCD) that returns significant savings to government. The measure 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, noting that this project has no ICT delivery component.

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 |
|--|--|--------------------|---------------------|--------------------|-----------------|----------|
| R08<br>There is risk that interventions may not be processed in a timely manner caused by system stability resulting in a delay in debt outcomes.  | <b>s47F(1)</b><br>Project Manager<br>Capability Delivery<br>Management<br>Compliance Risk<br>Customer Compliance | Low                |                     |                    |                 |          |
| R10<br>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<br>Senior Responsible<br>Official<br>National Manager<br>Compliance Risk                             | Medium             |                     |                    |                 |          |
| R11<br>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.                                | <b>s47F(1)</b><br>Project Manager<br>Capability Delivery<br>Management<br>Compliance Risk<br>Customer Compliance | Low                |                     |                    |                 |          |
| R12<br>There is a risk that government priorities may change caused by external influences resulting in priorities no longer aligning with project outcomes.   | Gary Clarke<br>Senior Responsible<br>Official<br>National Manager<br>Compliance Risk                             | Medium             |                     |                    |                 |          |



|     |  |  |        |  |  |
|-----|--|--|--------|--|--|
| R13 | 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<br>Senior Responsible<br>Official<br>National Manager<br>Compliance Risk                             | Medium |  |  |
| R14 | 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. | <b>s47F(1)</b><br>Project Manager<br>Capability Delivery<br>Management<br>Compliance Risk<br>Customer Compliance | Low    |  |  |
| R15 | 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<br>Senior Responsible<br>Official<br>National Manager<br>Compliance Risk                             | Medium |  |  |

**Please note, as per the current Enterprise Risk Management Policy v1.3, treatment plans have been developed for risks that are currently rated 'high' or 'very high'. All risks and associated treatments are currently managed through the Project Logbook.**



Risk Assessment Matrix

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

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Tolerance and Escalation Table

| Opportunity risk level |            | Escalation channel and risk owner  |  | Threat risk level |           |
|------------------------|------------|--|--|-------------------|-----------|
| Rating                 | Tolerance  |  |  | Tolerance         | Rating    |
| Very high              | Desirable  | The <b>Secretary</b> to be briefed by the Associate Secretary or Deputy Secretary. Immediate action required.  |  | Unacceptable      | Very high |
| High                   | Desirable  | To be addressed by the <b>Associate Secretary</b> or <b>Deputy Secretary</b> as a matter of planning priority. |  | Unacceptable      | High      |
| Medium                 | Modest     | To be addressed by the <b>General Manager</b> or <b>SRO</b> (for projects).                                    |  | Tolerable         | Medium    |
| Low                    | Negligible | To be addressed by the <b>National Manager, Service Leader</b> or <b>Project Manager</b> .                     |  | Acceptable        | Low       |

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# Consequence Descriptor Table

| DESCRIPTORS: THREAT IN RED, OPPORTUNITY IN BLUE |   |  |  |   |
|---|---|--|--|---|
| Consequence categories                          | MINOR CONSEQUENCES  | MODERATE CONSEQUENCES  | MAJOR CONSEQUENCES   | EXTREME/OUTSTANDING CONSEQUENCES  |
| <b>Reputational</b>                             | <ul style="list-style-type: none"> <li>Some adverse localised press coverage and/or criticism from minor community segment.</li> <li>Minor loss of the public's confidence in the department.</li> <li>Opportunity to generate positive media attention/ news story locally with minimal or no cost.</li> </ul> | <ul style="list-style-type: none"> <li>Some adverse state-wide press coverage and/or criticism from significant community segment.</li> <li>Questions from Parliamentary Committees.</li> <li>Adverse Australian National Audit Office (ANAO) report(s).</li> <li>Moderate loss of the public's confidence in the department and embarrassment to the Minister.</li> <li>Opportunity to generate positive media attention/ news story nationally with minimal or no cost.</li> </ul> | <ul style="list-style-type: none"> <li>Significant adverse national media attention and/or public outrage/ condemnation.</li> <li>State/Local political criticism and/or parliamentary enquiry.</li> <li>Significant breach of regulations.</li> <li>Highly critical ANAO audit report(s).</li> <li>Significant loss of the Public and the Minister's confidence in the department and embarrassment to the Minister.</li> <li>Opportunity to generate positive media attention/ news story nationally over time with minimal or no cost.</li> </ul> | <ul style="list-style-type: none"> <li>National public outrage/ condemnation and high level criticism.</li> <li>Significant breach of legislation and/or judicial enquiry.</li> <li>Sustained national negative press coverage.</li> <li>High staff turnover (including long term staff) and loss of corporate knowledge.</li> <li>Major loss of the Public and the Minister's confidence in the department and increasing embarrassment to the Minister.</li> <li>Opportunity to regularly generate positive media attention/news story nationally with minimal or no cost.</li> </ul> |
| <b>Financial</b>                                | <ul style="list-style-type: none"> <li>Departmental funds: \$1m to \$5m impact.</li> <li>Administered funds: Less than \$50,000 impact.</li> <li>Project budget: Less than 5% or \$100k* impact.</li> </ul>   | <ul style="list-style-type: none"> <li>Departmental funds: Between \$5m to \$30m impact.</li> <li>Administered funds: \$50,000 to \$250,000 impact.</li> <li>Project budget: Greater than 5% or \$100k* impact.</li> </ul>   | <ul style="list-style-type: none"> <li>Departmental funds: Greater than \$30m to \$50m impact.</li> <li>Administered funds: \$250,000 to \$1m impact.</li> <li>Project budget: Greater than 10% or \$250k* impact.</li> </ul>  | <ul style="list-style-type: none"> <li>Departmental funds: Greater than \$50m impact.</li> <li>Administered funds: Greater than \$1m impact.</li> <li>Project budget: Greater than 20% or \$1m* impact.</li> </ul>  |
| <b>Fraud</b>                                    | <ul style="list-style-type: none"> <li>Individual instances of non-compliance or petty theft detected – no litigation.</li> <li>Pockets of non-compliance above tolerance level.</li> </ul>   | <ul style="list-style-type: none"> <li>Low levels or pockets of internal non-compliance.</li> <li>Minor internal financial fraud – no litigation.</li> </ul>   | <ul style="list-style-type: none"> <li>Significant serious internal fraud which impacts a program - litigation.</li> <li>Design and implement automated processes systems and processes to</li> </ul>  | <ul style="list-style-type: none"> <li>Widespread serious internal fraud by employees involving millions of dollars in revenue.</li> <li>Criminal proceedings against staff.</li> </ul>   |



| DESCRIPTORS: THREAT IN RED, OPPORTUNITY IN BLUE |   |  |   |   |
|---|---|--|---|---|
| Consequence categories                          | MINOR CONSEQUENCES  | MODERATE CONSEQUENCES  | MAJOR CONSEQUENCES  | EXTREME/OUTSTANDING CONSEQUENCES  |
|   | <p>Identify areas of communications that may need clarification to educate and prevent fraud.</p> <p>Opportunity to improve fraud identification process.</p> <p>Identify trends and loopholes to prevent future fraud or detect past activities.</p> | <p>Identify trends and loopholes to prevent future fraud or detect past activities.</p>  | <p>monitor fraud patterns across the organisation.</p>  | <p>Design and implement processes to prevent widespread internal fraud in a programme.</p>  |
| <b>Leadership</b>                               | <p>Unclear approval, authority, roles, and/or responsibilities.</p> <p>Lack of staff confidence in leadership.</p> <p>Opportunity to clarify roles and responsibilities.</p> <p>Relative 360 degree feedback.</p>                                     | <p>Individual customer fraud - litigation.</p> <p>Fraud cases identified as 'sensitive'.</p> <p>Opportunity to improve fraud identification process.</p> <p>Identify trends and loopholes to prevent future fraud or detect past activities.</p> | <p>Breakdown between Governance and Management structures.</p> <p>High cost/profile project cancelled.</p> <p>Opportunity to apply for National recognition/awards.</p> | <p>Loss of confidence in Secretary by Minister.</p> <p>High cost/profile project failure.</p> <p>Opportunity to provide positive state of the service report results.</p> |

| DESCRIPTORS: THREAT IN RED, OPPORTUNITY IN BLUE        |   |   |   |   |
|--|---|---|---|---|
| Consequence categories                                 | MINOR CONSEQUENCES  | MODERATE CONSEQUENCES   | MAJOR CONSEQUENCES  | EXTREME/OUTSTANDING CONSEQUENCES  |
| <b>Work Health and Safety (WH&amp;S)</b>               | <ul style="list-style-type: none"> <li>Divergence from approved WH&amp;S Codes of Practice.</li> <li>Minor injuries and discomfort.</li> <li>Reinforce adherence to WH&amp;S procedure, guidelines and Codes of Practice and monitoring incidents.</li> </ul>                     | <ul style="list-style-type: none"> <li>Contravention of the WH&amp;S Regulations.</li> <li>Minor injuries resulting in time off work of more than one week.</li> <li>Increase in reported incidents and injuries.</li> <li>Reinforce adherence to WH&amp;S Procedures, Guidelines and Regulations, Incident monitoring and risk assessments.</li> </ul> | <ul style="list-style-type: none"> <li>Contravention of the <i>Work Health and Safety Act (WH&amp;S Act)</i>.</li> <li>Serious injury resulting in extended absences.</li> <li>Reinforce adherence to WH&amp;S Procedures, guidelines and WH&amp;S Act. Safety investigation and review of risk assessments.</li> <li>Implement corrective action plan.</li> </ul>  | <ul style="list-style-type: none"> <li>Contravention of general duty of care under the <i>Work Health and Safety Act</i>.</li> <li>Serious injuries or death.</li> <li>Review of risk assessments, safety investigation and legal advice or external expert advice.</li> <li>Corrective action plans.</li> <li>Review safety management systems.</li> </ul>   |
| <b>ICT and Infrastructure</b>                          | <ul style="list-style-type: none"> <li>Minor/isolated service interruption, manageable by local intervention.</li> <li>Slow response time.</li> <li>ICT resources not available.</li> <li>Issue of minor systems incidents/updates are updates completed successfully.</li> </ul> | <ul style="list-style-type: none"> <li>Minor service interruption across the organisation.</li> <li>Some disruption (up to 1 day) to operations manageable by altered operational routine.</li> <li>Raise the priority on investigating the use of new technology and/or new processes.</li> </ul>  | <ul style="list-style-type: none"> <li>Major loss of productivity due to ICT disruption.</li> <li>Serious deterioration of ICT.</li> <li>Ineffective Change Management (e.g. failed components of a release).</li> <li>Consolidate multiple systems under new single system.</li> </ul>   | <ul style="list-style-type: none"> <li>Destruction or serious damage to key physical or information assets.</li> <li>Sustained ICT outage.</li> <li>Inability to deliver core business services/programme(s).</li> <li>Inability to keep pace with future needs.</li> <li>Replace/retire legacy system with more efficient and cost effective solution.</li> </ul>  |
| <b>Internal and external stakeholder relationships</b> | <ul style="list-style-type: none"> <li>Internal strain/tension.</li> <li>Opportunity to reduce internal strain/tension in internal relationships or enhance existing</li> </ul>   | <ul style="list-style-type: none"> <li>Relationship with major stakeholder suffers low level tension.</li> <li>Opportunity to reduce tension/strain in relationships with internal/external key stakeholders or enhance existing ones.</li> </ul>   | <ul style="list-style-type: none"> <li>Relationship with major stakeholder suffers low level damage.</li> <li>Ministerial question raised in Parliament.</li> <li>Poor programme or project outcomes due to break-down of stakeholder relationship.</li> <li>Damage to a commercial third party supplier relationship.</li> <li>Opportunity to develop and implement better consultation strategies with key stakeholders.</li> <li>Positive mention of department in political circles.</li> </ul> | <ul style="list-style-type: none"> <li>Fall-out with major stakeholder.</li> <li>Parliamentary inquiry.</li> <li>Loss of support from major stakeholders.</li> <li>Major failure of programme(s) or project(s).</li> <li>Litigation with major supplier leading to sustained impact on key payments, products, and services.</li> <li>Opportunity to develop and implement better consultation and communication strategies with key stakeholders.</li> </ul> |



| DESCRIPTORS: THREAT IN RED, OPPORTUNITY IN BLUE |  |   |  |   |
|---|--|---|--|---|
| Consequence categories                          | MINOR CONSEQUENCES   | MODERATE CONSEQUENCES   | MAJOR CONSEQUENCES   | EXTREME/OUTSTANDING CONSEQUENCES  |
| Service delivery / continuity                   | <ul style="list-style-type: none"> <li>Minor staff impact, minor localised interruption to premises; minor isolated service interruption.</li> <li>Local management intervention required with locally available resources.</li> <li>Manageable by local intervention.</li> <li>No measurable operational delay or interruption.</li> <li>Operational overruns in local processes (e.g. around short cuts).</li> </ul> | <ul style="list-style-type: none"> <li>Impact to multiple areas of the business.</li> <li>Substantial management support required to resolve local issue.</li> <li>Temporary loss of key staff.</li> <li>Minor service interruption (e.g., power failure, floods) across the organisation.</li> <li>Late payment to a small number of customers.</li> <li>Some disruption (up to 1 day) to operations manageable by altered operational routine.</li> <li>Key staff temporarily diverted to manage/resolve the issue.</li> <li>Re-design/streamline local processes.</li> </ul> | <ul style="list-style-type: none"> <li>May require senior management intervention.</li> <li>May require external assistance.</li> <li>Unavailability of staff, damage to physical assets; major loss of productivity due to ICT disruption (e.g. Single User Workspace).</li> <li>Unable to pay small number of customers.</li> <li>Disruption (up to 1 month) to operations with flow on effects to CSC.</li> <li>Would threaten the effective function of the programme/project.</li> <li>Widespread unavailability of staff diverted to resolve the issue.</li> <li>Opportunity to rebuild in a more optimal location, streamline a process on a national level.</li> </ul> | <ul style="list-style-type: none"> <li>Impact to multiple and diverse areas of the department, threatening viability of the organisation.</li> <li>Executive intervention necessary, with mobilisation of resources including external assistance.</li> <li>Unable to pay customers for an extended period of time (e.g., data centre failure).</li> <li>Sustained ICT outage.</li> <li>Would threaten the survival of the agency.</li> <li>Opportunity to implement a new approach to service delivery on a national level.</li> </ul> |
| Program integrity                               | <ul style="list-style-type: none"> <li>Debts, incorrect payments.</li> <li>Payment accuracy decreases but remains above 95%.</li> <li>Pockets of non-compliance above tolerance level in administered programme(s).</li> <li>Comprehensive education targeting pockets of non-compliance.</li> </ul>   | <ul style="list-style-type: none"> <li>Minor and isolated payment errors and increased pockets of non-compliance in administered programme(s).</li> <li>Increased complaints, appeals, policy impacts, SSAT, ANAO.</li> <li>Payment accuracy between 91-95%.</li> <li>Find and eliminate payment errors.</li> </ul>   | <ul style="list-style-type: none"> <li>Major but isolated payment errors.</li> <li>Payment accuracy between 81-90%.</li> <li>High levels or significant spikes in the detected levels of serious non-compliance in administered programme(s).</li> <li>New detection methodology/tools.</li> </ul>   | <ul style="list-style-type: none"> <li>Widespread or systemic serious non-compliance in administered programme(s).</li> <li>Payment accuracy 80% or below.</li> <li>Increased recovery powers under legislation.</li> </ul>   |
| Legislation                                     | <ul style="list-style-type: none"> <li>Non-compliance with program legislation by staff.</li> <li>The department has some non-reportable legislative breaches</li> </ul>   | <ul style="list-style-type: none"> <li>The department has a breach of legislation, caused by not meeting legislative requirements resulting in breaches being reported in the</li> </ul>  | <ul style="list-style-type: none"> <li>Repeated breaches of legislation within the department that must be reported in the Annual Report (e.g. WHS &amp; Fair Work Act compliance).</li> </ul>   | <ul style="list-style-type: none"> <li>The department has a serious breach of legislation, caused by not meeting legislative requirements resulting in criminal or civil liability.</li> </ul>  |



| DESCRIPTORS: THREAT IN RED, OPPORTUNITY IN BLUE |  |  |   |  |
|---|--|--|---|--|
| Consequence categories                          | MINOR CONSEQUENCES   | MODERATE CONSEQUENCES  | MAJOR CONSEQUENCES  | EXTREME/OUTSTANDING CONSEQUENCES   |
|   | <p>caused by not meeting legislative requirements.</p> <ul style="list-style-type: none"> <li>Opportunity to identify areas of weakness in departmental training, policy or procedures that may lead to breaches.</li> </ul>                                 | <p>Annual Report, e.g. WHS and Fair Work Act compliance.</p> <ul style="list-style-type: none"> <li>Opportunity to identify areas of weakness in departmental training, policy or procedures that may lead to breaches.</li> </ul> | <ul style="list-style-type: none"> <li>Opportunity to identify areas of weakness in departmental training, policy or procedures that may lead to breaches.</li> </ul>   | <ul style="list-style-type: none"> <li>Serious breach of legislation resulting in termination of staff member for criminal conduct.</li> <li>Opportunity to detect and prevent legislative breaches through automated system rules within ESS.</li> </ul>  |
| <b>Legal liability</b>                          | <ul style="list-style-type: none"> <li>Legal liability for a trivial amount, which is likely to have no effect on departmental insurance cover/premium.</li> <li>Opportunity to actively reduce the number of claims for minor amounts (\$5,000).</li> </ul> | <ul style="list-style-type: none"> <li>Legal liability for a moderate amount, which may lead to a small increase in Comcover premium.</li> <li>Vendor agrees to take out additional insurances to cover liabilities.</li> </ul>    | <ul style="list-style-type: none"> <li>Legal liability for a large amount, which is likely to lead to a significant increase in Comcover premium.</li> <li>Opportunity to negotiate with vendors to take on all liability in a moderate-large contract.</li> </ul>                        | <ul style="list-style-type: none"> <li>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.</li> <li>A monopoly supplier agrees to take on an uncapped liability.</li> </ul> |
| <b>Security</b>                                 | <ul style="list-style-type: none"> <li>Breach at Protected/Confidential level; no litigation.</li> <li>Opportunity to implement lessons learned to reduce breaches by 20%.</li> </ul>  | <ul style="list-style-type: none"> <li>Breach at Protected level.</li> <li>Short enquiry with moderate findings.</li> <li>Opportunity to implement lessons learned to reduce breaches by 20%.</li> </ul>                           | <ul style="list-style-type: none"> <li>Minor breach of sensitive Secret data.</li> <li>Lengthy enquiry with adverse findings.</li> <li>Opportunity to implement lessons learned to reduce breaches by 50%.</li> </ul>   | <ul style="list-style-type: none"> <li>Significant breach of sensitive Secret data.</li> <li>Long drawn out inquiry with extensive highly credible adverse findings.</li> <li>Opportunity to implement lessons learned to reduce breaches by 70% or more.</li> </ul>                                       |
| <b>Privacy</b>                                  | <ul style="list-style-type: none"> <li>Low level non sensitive personal data released for an individual or small group of individuals.</li> <li>Less than 10% reduction in privacy breaches.</li> </ul>  | <ul style="list-style-type: none"> <li>Low level non sensitive personal data released for an individual or small group of individuals.</li> <li>A 10-30% reduction in privacy breaches.</li> </ul>                                 | <ul style="list-style-type: none"> <li>Release of any personal information for an individual or a significant number of customers/ staff.</li> <li>Referral of incident to Office of the Australian Information Commissioner.</li> <li>A 31-69% reduction in privacy breaches.</li> </ul> | <ul style="list-style-type: none"> <li>Release of sensitive personal information for an individual and/or significant number of customers/staff.</li> <li>Referral of incident to Office of the Australian Information Commissioner.</li> <li>A 70% or more reduction in privacy breaches.</li> </ul>      |
| <b>Contracts and procurement</b>                | <ul style="list-style-type: none"> <li>Value for money not achieved for purchases valued at less than \$10,000 (below the AusTender reporting threshold).</li> </ul>   | <ul style="list-style-type: none"> <li>Value for money not achieved for purchases valued between \$10,000 and \$80,000 (below the procurement threshold).</li> </ul>   | <ul style="list-style-type: none"> <li>Value for money not achieved for high value, high risk purchases.</li> <li>Criticism by Senate Committees.</li> <li>Breaches of Commonwealth procurement-related policies.</li> </ul>  | <ul style="list-style-type: none"> <li>National public outrage/condemnation, adverse media attention and high level criticism for waste of taxpayer money.</li> </ul>  |

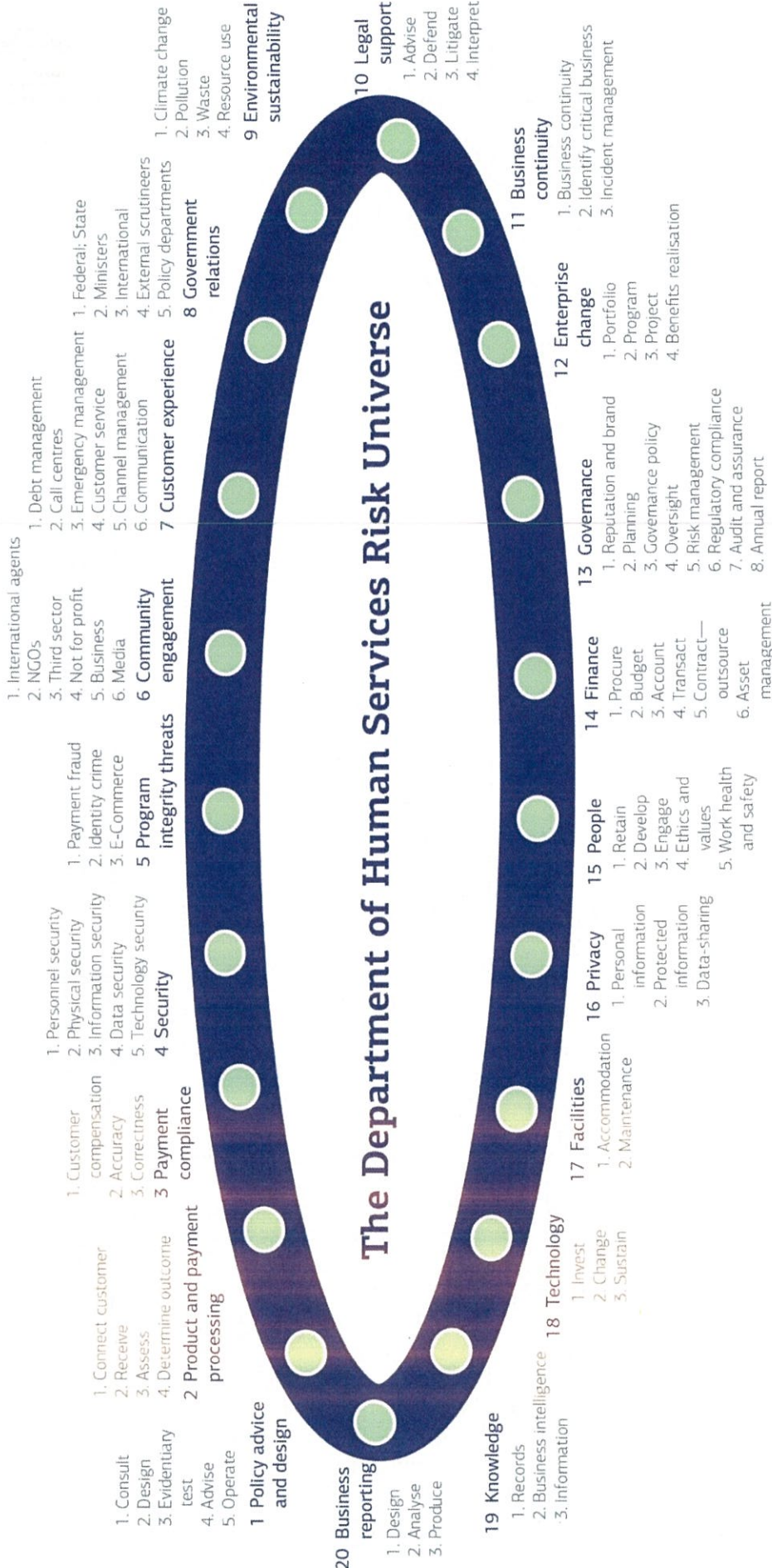


| Consequence categories | DESCRIPTORS: THREAT IN RED, OPPORTUNITY IN BLUE  |   |  |   |
|------------------------|--|---|--|---|
|                        | MINOR CONSEQUENCES   | MODERATE CONSEQUENCES   | MAJOR CONSEQUENCES   | EXTREME/OUTSTANDING CONSEQUENCES  |
|                        | <ul style="list-style-type: none"> <li>Criticism/loss of confidence by unsuccessful tenderers or by suppliers.</li> <li>Incorrect termination of low value contracts.</li> </ul>   | <ul style="list-style-type: none"> <li>Breaches of internal procurement-related policies.</li> <li>Minor reduction in the number of suppliers willing to tender for departmental contracts in some industries.</li> <li>Questions from Senate Committees.</li> <li>Sub-standard business outcomes.</li> <li>Incorrect termination of contracts valued between \$80,000 and \$1m.</li> <li>Engaging an Australian Disability Enterprise or Indigenous Small to Medium Enterprise to meet a procurement need results in savings by avoiding tendering costs.</li> </ul>                       | <ul style="list-style-type: none"> <li>Significant reduction in suppliers willing to tender for departmental contracts across all industries.</li> <li>Incorrect termination of contracts valued over \$1m.</li> <li>Some business outcomes delayed or not achieved.</li> <li>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.</li> </ul>  | <ul style="list-style-type: none"> <li>Failure to deliver programs/customer services.</li> <li>Applying "lessons learned" from previous contracts results in more effective contract management processes, significantly improving contract outcomes/deliverables.</li> </ul>   |
| Environmental          | <ul style="list-style-type: none"> <li>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.</li> <li>Failure to meet one of the Australian Government environmental policy targets for energy, waste and resource management.</li> <li>Low level resource waste that could otherwise be recovered.</li> <li>Departmental opportunities to reduce or contain pollution, waste and resource use.</li> </ul> | <ul style="list-style-type: none"> <li>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.</li> <li>Failure to meet several of the Australian Government environmental policy targets for energy, waste and resource management.</li> <li>Low level resource waste that could otherwise be recovered.</li> <li>Department-wide opportunities to reduce or contain pollution, waste and resource use.</li> <li>Environmental Management System aligned to ISO14001:2004.</li> </ul> | <ul style="list-style-type: none"> <li>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.</li> <li>Failure to meet every Australian Government. Environmental policy target for energy, waste and resource management.</li> <li>High level resource waste that otherwise would have been recovered.</li> <li>Best practice environmental management program in the Government Sector.</li> <li>The department is a leader in achieving government policy targets.</li> </ul> | <ul style="list-style-type: none"> <li>Extreme weather events effecting business operations.</li> <li>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.</li> <li>Electronic waste (departmental assets) or other hazardous waste being discarded illegally (offshore or local) and attracting national news coverage.</li> <li>Departmental procuring or consuming of resources that are derived from threatened habitats or species; or derived from illegal sources and that attracts media attention.</li> </ul> |

| Consequence categories   | DESCRIPTORS: THREAT IN RED, OPPORTUNITY IN BLUE  |   |   |  |
|--------------------------|--|---|---|--|
|                          | MINOR CONSEQUENCES   | MODERATE CONSEQUENCES   | MAJOR CONSEQUENCES  | EXTREME/OUTSTANDING CONSEQUENCES   |
| <b>Enterprise change</b> | <ul style="list-style-type: none"> <li>Less than 2 week delay to implementation or benefit realisation.</li> <li>Less than 5% or \$100k* reduction to expected savings.</li> <li>Less than 10% impact on any KPI.</li> </ul> | <ul style="list-style-type: none"> <li>Greater than 2 week delay to implementation or benefit realisation.</li> <li>Greater than 5% or \$100k* reduction to expected savings.</li> <li>Greater than 10% impact on any KPI.</li> </ul> | <ul style="list-style-type: none"> <li>Staff fully aware of their environmental obligations.</li> <li>Certified Environmental Management System to ISO 14001:2004.</li> <li>Greater than 4 week delay to implementation or benefit realisation.</li> <li>Greater than 10% or \$250k* reduction to expected savings.</li> <li>Greater than 20% impact on any KPI.</li> </ul> | <ul style="list-style-type: none"> <li>World class environmental management program.</li> <li>Lease buildings that are resilient to extreme weather events, such as floods and cyclones.</li> <li>Greater than 8 week delay to implementation or benefit realisation.</li> <li>Greater than 20% or \$1m* reduction to expected savings.</li> <li>Greater than 30% impact on any KPI.</li> <li>Failure to meet budget initiative deadline.</li> </ul> |



# 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.

9048 1304





**Issue Register**

The Issue Register should be monitored by the Project Manager on a regular basis - recommend weekly reviews - to keep things moving.

An issue is a risk (or relevant event) that has happened, was not planned and requires management action. It can be any concern, query, request for change, suggestion or off-specification raised during a programme/project.

The register is used to capture and maintain information on all of the issues that are being managed formally.

*Please remove the example in italics before you use this register.*

| Significance to Portfolio? | Programme D# | Project ID# | Issue D# | Risk ID# (if applicable) | Date identified | Identified by | Issue Description                                    | Impact Description   | Category | Issue Rating | Plan for Resolution | Issue Owner | Resolution Due Date | Last Review Date | Resolution Progress % | Issue Status |                    |
|----------------------------|--------------|-------------|----------|--------------------------|-----------------|---------------|--|--|----------|--------------|---------------------|-------------|---------------------|------------------|-----------------------|--------------|--------------------|
|                            |              |             | 1        |                          | 13/02/2017      | s47F(1)       | CSV file not received by the CCB mailbox as required | CSV file sent 11/02/2017 - sent to FX  |          | Minor        | Contact s47F(1)     | s47F(1)     |                     |                  |                       |              | <i>In Progress</i> |
|                            |              |             | 2        |                          | 13/01/1900      | s47F(1)       | FX scan file name standards                          | scan file needs to include date. NSW scan file included this in the name, VIC did not. File name to start with date eg: 13022017XXXXXX |          | Minor        | Contact with Fuji   | s47F(1)     |                     |                  |                       |              |                    |
|                            |              |             |          |                          |                 |               |  |  |          |              |                     |             |                     |                  |                       |              |                    |
|                            |              |             |          |                          |                 |               |  |  |          |              |                     |             |                     |                  |                       |              |                    |
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|                            |              |             |          |                          |                 |               |  |  |          |              |                     |             |                     |                  |                       |              |                    |
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|                            |              |             |          |                          |                 |               |  |  |          |              |                     |             |                     |                  |                       |              |                    |

### Decisions Register


Use this register to track every decision made about the programme/project, how the decision is progressing and detail information on the reasons for the decision. This register can also be used as a tool for managing your decision makers i.e. the Executive or Project Managers, as the user is able to document decisions/recommendations from meetings, for example.


*Please remove the example in italics before you use this register.*

| Programme ID# | Project ID#     | Decision ID# | Decision details   | Date decision is required by | Date decision made | Decision maker | Decision status | Specify any stakeholder communication required | Progress/comments | Rationale For Decision & Reference Document Location |
|---------------|-----------------|--------------|--|------------------------------|--------------------|----------------|-----------------|--|-------------------|--|
| PN2014.XXXX   | PN2014.XXX<br>X | D01          | <i>SRO decided to resolve issue by accepting a lower quality product</i> | <i>5/12/2014</i>             | <i>4/12/2014</i>   | <i>SRO</i>     | <i>Made</i>     | <i>End user, other key stakeholders</i>        | <i>Complete</i>   |  |
|               |                 |              |  |                              |                    |                |                 |  |                   |  |
|               |                 |              |  |                              |                    |                |                 |  |                   |  |
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## Do's and Don'ts

### When filling in the PPO Project Status Report

| Do   | Don't  |
|--|--|
| <p><input type="checkbox"/> When copying from another document please copy and paste in <b>formula bar</b> only.</p>  <p><input type="checkbox"/> When updating status report <b>period</b>, make sure reporting period is right and that all three fields i.e. Year, Month and Status are filled in.</p> <p><input type="checkbox"/> Wherever possible, use <b>Tab</b> button for navigating between cells in the spreadsheet.</p> <p><input type="checkbox"/> Keep the text limited to <b>viewable area</b> of cells within the status report.</p> <p><input type="checkbox"/> If issues in relation to the template please <b>contact:</b><br/> <a href="#">s47E(d)</a> <a href="#">humanser</a><br/> <a href="#">vices.gov.au</a></p> | <p><input type="checkbox"/> Attempt to copy and paste on multiple cells using copy and paste function in excel.</p> <p><input type="checkbox"/> Change the font size (Arial 11).</p> |

|  |  |                     |  |                                       |               |
|--|--|---------------------|--|---------------------------------------|---------------|
|  Australian Government<br>Department of Human Services | <b>PPO Monthly Project Status Report</b><br>Version 8.0  |                     |  | <b>Current Status</b><br><b>Amber</b> |               |
|  | If you require assistance please phone the Portfolio Programme Office help desk on <b>s47E(d)</b> or email: <b>s47E(d)</b> @humanservices.gov.au |                     |  |                                       |               |
| <b>This is the monthly project Status Report for</b>   |  |                     |  | <b>Update Period/Status</b>           |               |
| <b>Project Number</b>  | <b>PN2015.5075</b>   | <b>Project Name</b> | <b>Strengthening the Integrity of Welfare Payments - Employment Income Matching (PAYG)</b> | <b>Reporting Period</b>               | <b>Jan-17</b> |

### 1. PROJECT DETAILS

|  |   |                  |             |   |   |                                |                      |                                  |       |       |       |                |       |                      |  |
|--|---|------------------|-------------|---|---|--------------------------------|----------------------|----------------------------------|-------|-------|-------|----------------|-------|----------------------|--|
| <b>Brief project description</b><br>(Character Limit: 1000)      | The Employment Income Matching project is one of the eight elements that support the 2015-16 Budget measure Strengthening the Integrity of Welfare Payments programme. The project will deliver a new streamlined intervention process which will transition to an online solution from 1 July 2016. The project will undertake 866,858 compliance interventions with administered savings of approximately \$1.5 billion over the four years of the measure. The project will target identified discrepancies from the Pay as You Go (PAYG) file obtained from the Australian Taxation Office (ATO) for the 2010-13 financial years. |                  |             |   |   |                                |                      |                                  |       |       |       |                |       |                      |  |
| Will the project implement new government policy or legislation? |   | No               |             | Are customers impacted?                     |   | Yes                            |                      | Has the legislation been passed? |       | N/A   |       |                |       |                      |  |
| <b>Senior Responsible Official name</b>                          |   | Tenille Collins  |             | <b>Senior Responsible Official position</b> |   | Avg NM, Compliance Risk Branch |                      |                                  |       |       |       |                |       |                      |  |
| <b>NM or equivalent name</b>                                     |   | Tenille Collins  |             | <b>Branch name</b>                          |   | Compliance Risk                |                      |                                  |       |       |       |                |       |                      |  |
| <b>GM or equivalent name</b>                                     |   | Karen Harfield   |             | <b>Division name</b>                        |   | Customer Compliance            |                      |                                  |       |       |       |                |       |                      |  |
| <b>Dep Sec or equivalent name</b>                                |   | Malisa Golightly |             | <b>Group name</b>                           |   | Integrity and Information      |                      |                                  |       |       |       |                |       |                      |  |
| <b>Project manager name</b>                                      |   | s47F(1)          |             | <b>Report contact phone number</b>          |   | s47F(1)                        |                      |                                  |       |       |       |                |       |                      |  |
| <b>Report prepared by</b>  |   | s47F(1)          |             | <b>Date report prepared on</b>              |   | 25 Jan 2017                    |                      |                                  |       |       |       |                |       |                      |  |
| <b>Enter the actual or planned key project dates</b>             | <b>Initiate phase</b>   |                  | 20 Jan 2015 |   | <b>ICT General Manager name</b>   |                                | Andrew Larkin        |                                  |       |       |       |                |       |                      |  |
|  | <b>Plan phase</b>   |                  | 13 May 2015 |   | <b>ICT Project Manager name</b>   |                                | Maurice Savelli      |                                  |       |       |       |                |       |                      |  |
|  | <b>Execute phase</b>  |                  | 30 Jun 2015 |   |   |                                |                      |                                  |       |       |       |                |       |                      |  |
|  | <b>Implementation date</b>  |                  | 30 Jun 2015 |   |   |                                |                      |                                  |       |       |       |                |       |                      |  |
|  | <b>Next ICT release dates #01</b>   |                  | 1 Dec 2016  |   | <b>ICT #02</b>  |                                | <input type="text"/> |                                  |       |       |       | <b>ICT #03</b> |       | <input type="text"/> |  |
|  | <b>Close phase *</b>  |                  | 14 May 2019 |   | * Note Projects that have reached Close phase must set the Current Status field above to "Closing" for this month. You do not need to complete any further status reports after this. |                                |                      |                                  |       |       |       |                |       |                      |  |
| <b>Closure date</b>  |   | 29 Jun 2019      |             |   |   |                                |                      |                                  |       |       |       |                |       |                      |  |
| <b>Overall Project Status Trend</b>                              |   | Feb              | Mar         | Apr   | May   | Jun                            | Jul                  | Aug                              | Sep   | Oct   | Nov   | Dec            | Jan   |                      |  |
|  |   | Green            | Green       | Amber                                       | Amber   | Amber                          | Amber                | Amber                            | Amber | Amber | Green | Green          | Amber |                      |  |

### 2. EXECUTIVE SUMMARY

For the current reporting period only, provide a brief summary of why your project status is Red or Amber or Green this month. Your executive summary information is provided to the Executive Committee, so please be clear, concise, avoid the use of acronyms and refer to DHS as 'the department'.

**Overview (Character Limit: 1450)**

The Department is currently experiencing significant media, ministerial and ombudsman attention, regarding the Online Compliance Intervention (OCI) Platform which is impacting project targets. As planned, interventions were paused on 2 December 2016 and recommenced from 11 January 2017 after the reduced activity period. Interventions recommenced on 11 January 2017 at a reduced volume and this change requires further analysis to understand any impact to the project. Following a brief to the Minister, a request has been made to implement changes and enhancements to the OCI process and customer correspondence, prior to large scale recommencement of interventions. As at 31 January 2016, the project had completed 107,214 compliance interventions for the 2016-17 financial year. Approximately \$162 million in administered savings has been achieved against an annual target of \$576.8 million for the 2016-17 financial year.

**What are the main issues the Executive Committee need to be aware of? (Character Limit: 1350)**

The Department is currently experiencing significant media, ministerial and ombudsman attention, regarding the Online Compliance Intervention (OCI) Platform which has been escalated. The project is currently being reviewed by the Commonwealth Ombudsman office, this is being worked through and escalated accordingly.

**What resolution action is being taken? What is the plan for moving forward to bring the project back to Green / Amber? (Character Limit: 750)**

Work is currently being undertaken to assess any impact to the budget measure due to the delay in recommending initiations on 11 January 2017. There is potential for savings targets not to be met this financial year and currently the schedule reflects an Amber rating for this reason. Analysis of initiation forecasts is in progress to assess the impacts to the measure and also finalise a forward initiation schedule.

**To whom and how has the project issue(s) been escalated? (Character Limit: 170)**

SRO, General Manager and Deputy Secretary of the Integrity and Information Group.

**What assistance can Executive Committee provide to get this project back on track? (Character Limit: 680)**

| EXECUTIVE SUMMARY STATUS   |                        |        |         |          |           |            |
|--|------------------------|--------|---------|----------|-----------|------------|
| Refer to Tolerances link at the top of the page for guidance on assessing the health status of each element. |                        |        |         |          |           |            |
| Project Management Elements  | Overall project status | Issues | Risks * | Schedule | Financial | ICT Status |
| Current  | Amber                  | Amber  | Green   | Amber    | Green     | Green      |
| Previous   | Green                  | Green  | Green   | Green    | Green     | Green      |
| Next month's status indication   |                        |        |         |          |           |            |



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This is the monthly project status report for

Update Period/Status

|                |             |              |   |                  |        |
|----------------|-------------|--------------|---|------------------|--------|
| Project Number | PN2015.5075 | Project Name | Strengthening the Integrity of Welfare Payments - Employment Income Matching (PAYG) | Reporting Period | Jan-17 |
|----------------|-------------|--------------|---|------------------|--------|

### 3. ISSUE MANAGEMENT

Include details of all **current** issues rated Extreme or Major. If you have more than 5 Extreme or Major issues, contact the PPO immediately for advice.  
\*\*All Issues must be registered and managed in the PM Logbook\*\* Refer to the Risk Management DHS intranet page for further support on managing issues.

|   |         |   |       |   |          |   |       |   |
|---|---------|---|-------|---|----------|---|-------|---|
| How many current issues are registered? | Extreme | 0 | Major | 3 | Moderate | 0 | Minor | 0 |
|---|---------|---|-------|---|----------|---|-------|---|

Click the 'Expand' button to view and edit up to five available issues or click the 'Collapse' button to view the relevant issues with entered data only

|         |      |                       |     |                 |            |                |       |                      |     |
|---------|------|-----------------------|-----|-----------------|------------|----------------|-------|----------------------|-----|
| Issue D | IS41 | Risk ID if applicable | N/A | Date identified | 3 Jan 2017 | Current rating | Major | Issue under control? | Yes |
|---------|------|-----------------------|-----|-----------------|------------|----------------|-------|----------------------|-----|

|  |     |                                      |                  |
|--|-----|--------------------------------------|------------------|
| Has the issue been escalated within 10 days? | Yes | Who has the issue been escalated to? | Deputy Secretary |
|--|-----|--------------------------------------|------------------|

Issue description (Character Limit: 650)  
OCI automatic assessment processing, which occurs at day 22 for customers that do not respond, was stopped during the Reduced Activity Period and has not recommenced.

What progress has been made since the last report? Include anticipated resolution date (Character Limit: 700)  
The project is currently revising the process flow for the Online Compliance Intervention system, following reviews conducted with the Minister, Secretary and Deputy Secretary. The automatic processing will be functioning once other issues with the platform are resolved.

|         |      |                       |     |                 |            |                |       |                      |     |
|---------|------|-----------------------|-----|-----------------|------------|----------------|-------|----------------------|-----|
| Issue D | IS44 | Risk ID if applicable | R12 | Date identified | 4 Jan 2017 | Current rating | Major | Issue under control? | Yes |
|---------|------|-----------------------|-----|-----------------|------------|----------------|-------|----------------------|-----|

|  |     |                                      |                  |
|--|-----|--------------------------------------|------------------|
| Has the issue been escalated within 10 days? | Yes | Who has the issue been escalated to? | Deputy Secretary |
|--|-----|--------------------------------------|------------------|

Issue description (Character Limit: 650)  
Public confidence may be eroded caused by media attention and scrutiny resulting in increased attention for the project. Negative media publicity has an impact on the perceived success of the programme.

What progress has been made since the last report? Include anticipated resolution date (Character Limit: 700)  
Media issues are being addressed and escalated accordingly.

|         |      |                       |     |                 |            |                |       |                      |     |
|---------|------|-----------------------|-----|-----------------|------------|----------------|-------|----------------------|-----|
| Issue D | IS51 | Risk ID if applicable | R20 | Date identified | 3 Jan 2017 | Current rating | Major | Issue under control? | Yes |
|---------|------|-----------------------|-----|-----------------|------------|----------------|-------|----------------------|-----|

|  |     |                                      |                  |
|--|-----|--------------------------------------|------------------|
| Has the issue been escalated within 10 days? | Yes | Who has the issue been escalated to? | Deputy Secretary |
|--|-----|--------------------------------------|------------------|

Issue description (Character Limit: 650)  
System stability may impact desired business outcomes caused by system outages/availability resulting in a failure to meet forecasted completions.

What progress has been made since the last report? Include anticipated resolution date (Character Limit: 700)  
Due to the extension of the cessation of initiations after the Christmas period and media scrutiny, interventions have been ceased until the process has been revised.

|         |  |                       |  |                 |  |                |  |                      |  |
|---------|--|-----------------------|--|-----------------|--|----------------|--|----------------------|--|
| Issue D |  | Risk ID if applicable |  | Date identified |  | Current rating |  | Issue under control? |  |
|---------|--|-----------------------|--|-----------------|--|----------------|--|----------------------|--|

|  |  |                                      |  |
|--|--|--------------------------------------|--|
| Has the issue been escalated within 10 days? |  | Who has the issue been escalated to? |  |
|--|--|--------------------------------------|--|

Issue description (Character Limit: 650)

What progress has been made since the last report? Include anticipated resolution date (Character Limit: 700)

|         |  |                       |  |                 |  |                |  |                      |  |
|---------|--|-----------------------|--|-----------------|--|----------------|--|----------------------|--|
| Issue D |  | Risk ID if applicable |  | Date identified |  | Current rating |  | Issue under control? |  |
|---------|--|-----------------------|--|-----------------|--|----------------|--|----------------------|--|

|  |  |                                      |  |
|--|--|--------------------------------------|--|
| Has the issue been escalated within 10 days? |  | Who has the issue been escalated to? |  |
|--|--|--------------------------------------|--|

Issue description (Character Limit: 650)

What progress has been made since the last report? Include anticipated resolution date (Character Limit: 700)

If you require assistance please phone the Portfolio Programme Office help desk on [s47E\(d\)](tel:1300762234) or email [s47E\(d\)](mailto:s47E(d)@humanservices.gov.au) or email [s47E\(d\)](mailto:s47E(d)@humanservices.gov.au) [@humanservices.gov.au](mailto:s47E(d)@humanservices.gov.au)

This is the monthly project status report for

Update Period/Status

|                |             |              |   |                  |        |
|----------------|-------------|--------------|---|------------------|--------|
| Project Number | PN2015.5075 | Project Name | Strengthening the Integrity of Welfare Payments - Employment Income Matching (PAYG) | Reporting Period | Jan-17 |
|----------------|-------------|--------------|---|------------------|--------|

#### 4. RISK MANAGEMENT

Include details of all current risks rated Very High or High. If you have more than 5 Very High or High risks, contact the PPO immediately for advice.  
\*\*All Risks must be documented in the Risk Management Plan, then registered and managed in the PM Logbook\*\*  
Refer to the Risk Management DHS intranet page for further support on managing risks.

How many current risks do you have in your Risk Management Plan? Very High 0 High 1 Medium 5 Low 4

Click the 'Expand' button to view and edit up to five available risks or click the 'Collapse' button to view the relevant risks with entered data only [Expand](#) [Collapse](#)

|  |     |  |     |
|--|-----|--|-----|
| 1. Has Risk Management Plan been completed & approved? | Yes | 2. Have all the risks been escalated to the appropriate risk owner within 10 days of identification? | Yes |
| 3. Are controls in place and effective?                | Yes | 4. Have the risks been reviewed in the last month?   | Yes |

\* NB: If answers to all questions are YES, then the Risk status is GREEN

If there is a mixture of YES & NO answers, the status is AMBER

For projects in execute stage, if the answer to the first question is NO, then the Risk status is RED

| Risk D  | Date identified   | Date reviewed | Current risk level     | Is a risk treatment measure in place? |
|---|---|---------------|------------------------|---------------------------------------|
| 19  | 4 Jan 2017  | 17 Jan 2017   | High                   | Yes                                   |
| Risk escalated within 10 days?  | Who has the risk been escalated to?   |               | Risk category          |                                       |
| Yes   | Deputy Secretary  |               | Policy advice & design |                                       |
| Risk Statement (Character Limit: 550)   | 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. |               |                        |                                       |
| What is the progress of treatment since the last report? (Character Limit: 550) | Processes relating to the OCI platform are currently being reviewed.  |               |                        |                                       |
| Risk D  | Date identified   | Date reviewed | Current risk level     | Is a risk treatment measure in place? |
|   |   |               |                        |                                       |
| Risk escalated within 10 days?  | Who has the risk been escalated to?   |               | Risk category          |                                       |
|   |   |               |                        |                                       |
| Risk Statement (Character Limit: 550)   |   |               |                        |                                       |
| What is the progress of treatment since the last report? (Character Limit: 550) |   |               |                        |                                       |
| Risk D  | Date identified   | Date reviewed | Current risk level     | Is a risk treatment measure in place? |
|   |   |               |                        |                                       |
| Risk escalated within 10 days?  | Who has the risk been escalated to?   |               | Risk category          |                                       |
|   |   |               |                        |                                       |
| Risk Statement (Character Limit: 550)   |   |               |                        |                                       |
| What is the progress of treatment since the last report? (Character Limit: 550) |   |               |                        |                                       |
| Risk D  | Date identified   | Date reviewed | Current risk level     | Is a risk treatment measure in place? |
|   |   |               |                        |                                       |
| Risk escalated within 10 days?  | Who has the risk been escalated to?   |               | Risk category          |                                       |
|   |   |               |                        |                                       |
| Risk Statement (Character Limit: 550)   |   |               |                        |                                       |
| What is the progress of treatment since the last report? (Character Limit: 550) |   |               |                        |                                       |
| Risk D  | Date identified   | Date reviewed | Current risk level     | Is a risk treatment measure in place? |
|   |   |               |                        |                                       |
| Risk escalated within 10 days?  | Who has the risk been escalated to?   |               | Risk category          |                                       |
|   |   |               |                        |                                       |
| Risk Statement (Character Limit: 550)   |   |               |                        |                                       |
| What is the progress of treatment since the last report? (Character Limit: 550) |   |               |                        |                                       |

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This is the monthly project Status Report for

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|----------------|-------------|--------------|---|------------------|--------|
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|----------------|-------------|--------------|---|------------------|--------|

### 5. SCHEDULE MANAGEMENT

| Does the project have business deliverables?   | Yes                         | Does the project have ICT deliverables? | No     |   |
|--|-----------------------------|---|--------|---|
| Click 'Expand' to edit Business and/or ICT deliverables or click 'Collapse' to view deliverables with data entered. **Note this function works in conjunction with the answers provided in the row immediately above** (i.e. answering "No" in the business deliverables will hide all Business rows). |                             |   |        | <input type="button" value="Expand"/> <input type="button" value="Collapse"/>   |
| Description of key business deliverables and milestones for the current and future reporting periods   | Planned implementation date | Actual implementation date              | Status | Comments<br>Slippage, unintended impacts & remedial actions   |
| Commencement of Post Implementation Review   | Pending                     |   | Amber  | A post-implementation review (PIR) was scheduled to be undertaken in July 2016 following the full implementation of the OCI Platform. As this implementation was not fully completed by the start of the PIR, it had not yet started. |
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| Description of key ICT deliverables and milestones for the current and future reporting periods  | Planned implementation date | Actual implementation date              | Status | Comments<br>Slippage, unintended impacts & remedial actions   |
|  |                             |   |        |   |
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This is the monthly project Status Report for

Update Period/Status

|                |             |              |   |                  |        |
|----------------|-------------|--------------|---|------------------|--------|
| Project Number | PN2015.5075 | Project Name | Strengthening the Integrity of Welfare Payments - Employment Income Matching (PAYG) | Reporting Period | Jan-17 |
|----------------|-------------|--------------|---|------------------|--------|

### 6. BENEFITS MANAGEMENT

Refer to the Departmental Benefits Section on the DHS intranet for further support on managing benefits. Please USE TAB BUTTON on keyboard to navigate through this section.

Have benefits (financial or non-financial) for the Department of Human Services been identified?

N/A - External

Provide name of external agency

Department of Social Services

If you require assistance please phone the Portfolio Programme Office help desk on [\(s47E\(d\)\)](tel:s47E(d)) or email: [s47E\(d\)@humanservices.gov.au](mailto:s47E(d)@humanservices.gov.au)

This is the monthly project status report for

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|                |             |              |   |                  |        |
|----------------|-------------|--------------|---|------------------|--------|
| Project Number | PN2015.5075 | Project Name | Strengthening the Integrity of Welfare Payments - Employment Income Matching (PAYG) | Reporting Period | Jan-17 |
|----------------|-------------|--------------|---|------------------|--------|

7. FINANCIAL MANAGEMENT

Please USE TAB BUTTON on keyboard to navigate through this section.

|   |   |   |       |   |                 |       |  |
|---|---|---|-------|---|-----------------|-------|--|
| What is the project's funding type?   | Financially Complex   | Has the project budget been approved by the CFO?                | Yes   | Date project budget approved                                |                 |       |  |
| What is the total confirmed budget over the life of the project as confirmed by the approved costing? |   | What is the total confirmed project budget this financial year? |       |   |                 |       |  |
| Current Year Project expenditure (Complex projects only)  | Year To Date (YTD) = YTD Phased Budget to YTD Actual Expenses |   |       | Full Year = Total Budget Allocation to End of Year Forecast |                 |       | Project financial information should be provided separately to your SRO / Project Board following end of month financial processing.<br><br>Provide here only if figures are available and have been confirmed by Internal budgets following month-end processing. |
|   | Budget \$'000   | Actual \$'000   | Var % | Budget \$'000   | Forecast \$'000 | Var % |  |
|   | Business expenditure  |   |       |   |                 |       |  |
|   | ICT expenditure   |   |       |   |                 |       |  |
| Total expenditure   |   |   |       |   |                 |       |  |

**OPTIONAL INFORMATION**

This section is optional and for your internal use only.

The information in this section **will not be used in executive dashboard reports for the executive committee.**

Ensure critical information is included in the executive summary section of the status report

[Empty content area for optional information]



## Quick Guide to completing the Monthly Project Status Report

### How to Update/ Change the Overall Current Status:

Please follow the following steps:

1. Click on Update Period/ Status Button in the STATUS REPORT FOR section
2. Update the Year you are preparing the status report for e.g. choose 2014 for December 2014 report
3. Update the relevant Month you are preparing the status report for e.g. choose December for the December 2014 Report
4. Choose the overall status traffic light colour
5. Press ok to confirm.

### PROJECT DETAILS

Please re-confirm details are correct each month.

#### Project Description:

This should be a succinct statement about what the project will be delivering and why.

#### Project Lifecycle Phase:

There are 4 phases – Initiate, Plan, Execute and Close – each has set mandatory documentation and governance requirements. For more information on Project Lifecycle Phases refer to the Project Management Framework Manual, Project Lifecycle section.

All projects submit monthly project status reports from the start of the Plan Phase to the start of the Close Phase.

At the start of the Close Phase, a final Project Status Report must be submitted with an Overall Project Status of "Closing" and the date the Close Phase commenced entered. No further Project Status Reports will be requested after that month.

Projects are formally closed when the approved Closure Report is received.

#### Implementation of new policy or legislation:

Most Category 1 and some Category 2 projects are responsible for implementing new policy and/or legislation.

Please provide/re-confirm the relevant implementation date/dates in your report.

### EXECUTIVE SUMMARY

This is a brief summary of current project status, including progress against schedule and current issues and/or significant risks (including escalation and It should be clear, concise, simple, and non-technical.

Do not use acronyms – it must stand alone for interpretation. It may be quoted verbatim to the Executive Committee or external agencies.

If the overall status of the project is Red or Amber, please include main issue(s)/risk(s) actual/likely impact on customers, what action is being taken, and what

#### 1. Issue Management \*

Most of the information comes directly from your PM Logbook Issues Register and provides assurance to Senior Executives that issues are being managed and escalated appropriately and the intended resolution date.

Please only list Extreme or Major issues.

**\*NB:** All Issues must be registered and managed in the PM logbook

#### 2. Risk Management \*

Most of the information comes directly from your PM Logbook Risk Register and provides assurance to Senior Executives that risks are being managed appropriately and mitigated wherever possible.

Please only list Very High and High risks.

**\*NB:** All Risks must be registered and managed in the PM logbook

#### 3. Schedule Management

Only provide details of 'key' deliverables/milestones for the current/immediate reporting period.

It should show at a glance if the project is on track to deliver as intended, and whether any slippage relates to business, ICT or both.

#### 4. Benefits Management

There is an expectation that projects with identified benefits (both financial and non-financial) for the department apply the departmental Benefits Management framework.

The questions in this section are designed to provide information on the status of benefits management within the project to the project executive and other applicable stakeholders. The question set streamlines the process as much as possible to create exit points where applicable, so that project staff do not have to answer any more questions than needed.

#### 5. Financial Management

The PPO will make a financial status assessment based on data provided directly from the CFO.

Please provide the Full Year project funding (Business and ICT) and the date this was approved.

Project Managers should check with their Management Accountant (MA).

Similarly, MAs will seek explanations for variances in actual YTD expenditure where it is more than +/- 5% of estimated YTD expenditure.

## Report help

### TO START:

#### File Naming Convention

Save this file as a 'Save as' with the following file name convention: PN201x.xxxx Proje  
For example:

PN2013.3000 New System Requirements Project Mar 2013

Then re-save the file each month - changing the month reference in the file title

### NOTES:

#### Protection:

All cells within the status report with exception of the data entry cells have been locked down, if you are unable to enter information in the required fields, please notify or contact **s47E(d)** @humanservices.gov.au for further instruction.

- Information should be kept brief so that it fits within the given cell.
- Rows can not be inserted or deleted.
- Row heights can not be amended on the first page  
(this is to make sure that the page layouts remain as is)
- You can check the spelling of the unprotected cells by clicking the button "ABC ✓"

#### Helpful Excel Hints:

To move from cell to cell:


- use the tab key or mouse to move around within the sheet

To copy and paste information from another cell or document:


- highlight the required information (if from another excel document or a MS Word table, highlight the information within the cell - do not copy the whole cell)
- copy the information by selecting Ctrl + C or right click and select copy
- click on the destination cell and click inside formula bar and select Ctrl + V  
(This will input only the values to the destination cell instead of copying the formats or overriding the cells below)

## Do's and Don'ts

### When filling in the PPO Project Status Report

| Do   | Don't  |
|--|--|
| <p><input type="checkbox"/> When copying from another document please copy and paste in <b>formula bar</b> only.</p>  <p><input type="checkbox"/> When updating status report <b>period</b>, make sure reporting period is right and that all three fields i.e. Year, Month and Status are filled in.</p> <p><input type="checkbox"/> Wherever possible, use <b>Tab</b> button for navigating between cells in the spreadsheet.</p> <p><input type="checkbox"/> Keep the text limited to <b>viewable area</b> of cells within the status report.</p> <p><input type="checkbox"/> If issues in relation to the template please <b>contact:</b><br/> <a href="#">s47E(d)</a> <a href="#">humanser</a><br/> <a href="#">vices.gov.au</a></p> | <p><input type="checkbox"/> Attempt to copy and paste on multiple cells using copy and paste function in excel.</p> <p><input type="checkbox"/> Change the font size (Arial 11).</p> |



|  |  |   |  |  |                                |  |  |
|--|--|---|--|--|--------------------------------|--|--|
|  Australian Government<br>Department of Human Services   |  | <b>PPO Monthly Project Status Report</b><br>Version 8.0   |  |  |                                | <b>Current Status</b><br><span style="background-color: red; color: white; padding: 2px;">Red</span> |  |
| If you require assistance please phone the Portfolio Programme Office help desk on <a href="tel:1300720615">s47E(d)</a> or email: <a href="mailto:s47E(d)@humanservices.gov.au">s47E(d)@humanservices.gov.au</a> |  |   |  |  |                                |  |  |
| <b>This is the monthly project Status Report for</b>   |  |   |  |  |                                | <span style="background-color: red; color: white; padding: 2px;">Update Period/Status</span>         |  |
| <b>Project Number</b> PN2015.5075  |  | <b>Project Name</b> Strengthening the Integrity of Welfare Payments - Employment Income Matching (PAYG) |  |  | <b>Reporting Period</b> Feb-17 |  |  |

### 1. PROJECT DETAILS

|   |                                   |                  |             |   |   |       |                                |       |       |                                  |       |     |     |
|---|-----------------------------------|------------------|-------------|---|---|-------|--------------------------------|-------|-------|----------------------------------|-------|-----|-----|
| <b>Brief project description (Character Limit: 1000)</b><br>The Employment Income Matching project is one of the eight elements that support the 2015-16 Budget measure Strengthening the Integrity of Welfare Payments programme. The project will deliver a new streamlined intervention process which will transition to an online solution from 1 July 2016. 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:<br>• In 2015-16 interventions will be undertaken via a new streamlined manual business process<br>• In 2016-18 interventions will be undertaken via an online compliance solution |                                   |                  |             |   |   |       |                                |       |       |                                  |       |     |     |
| Will the project implement new government policy or legislation?  |                                   |                  | No          |   | Are customers impacted?                     |       |                                | Yes   |       | Has the legislation been passed? |       |     | N/A |
| <b>Senior Responsible Official name</b>   |                                   | Tenille Collins  |             |   | <b>Senior Responsible Official position</b> |       | Avg NM, Compliance Risk Branch |       |       |                                  |       |     |     |
| <b>NM or equivalent name</b>  |                                   | Tenille Collins  |             |   | <b>Branch name</b>                          |       | Compliance Risk                |       |       |                                  |       |     |     |
| <b>GM or equivalent name</b>  |                                   | Alison McCann    |             |   | <b>Division name</b>                        |       | Customer Compliance            |       |       |                                  |       |     |     |
| <b>Dep Sec or equivalent name</b>   |                                   | Malisa Golightly |             |   | <b>Group name</b>                           |       | Integrity and Information      |       |       |                                  |       |     |     |
| <b>Project manager name</b>   |                                   | s47F(1)          |             |   | <b>Report contact phone number</b>          |       | s47F(1)                        |       |       |                                  |       |     |     |
| <b>Report prepared by</b>   |                                   | s47F(1)          |             |   | <b>Date report prepared on</b>              |       | 22 Feb 2017                    |       |       |                                  |       |     |     |
| <b>Enter the actual or planned key project dates</b>  | <b>Initiate phase</b>             |                  | 20 Jan 2015 |   | <b>ICT General Manager name</b>             |       | Andrew Larkin                  |       |       |                                  |       |     |     |
|   | <b>Plan phase</b>                 |                  | 13 May 2015 |   | <b>ICT Project Manager name</b>             |       | s47F(1)                        |       |       |                                  |       |     |     |
|   | <b>Execute phase</b>              |                  | 30 Jun 2015 |   |   |       |                                |       |       |                                  |       |     |     |
|   | <b>Implementation date</b>        |                  | 30 Jun 2015 |   |   |       |                                |       |       |                                  |       |     |     |
|   | <b>Next ICT release dates #01</b> |                  |             |   | <b>ICT #02</b>                              |       | <b>ICT #03</b>                 |       |       |                                  |       |     |     |
| <b>Close phase *</b>  |                                   | 14 May 2019      |             | * Note Projects that have reached Close phase must set the Current Status field above to "Closing" for this month. You do not need to complete any further status reports after this. |   |       |                                |       |       |                                  |       |     |     |
| <b>Closure date</b>   |                                   | 29 Jun 2019      |             |   |   |       |                                |       |       |                                  |       |     |     |
| <b>Overall Project Status Trend</b>   |                                   |                  |             |   |   |       |                                |       |       |                                  |       |     |     |
| Mar   | Apr                               | May              | Jun         | Jul   | Aug   | Sep   | Oct                            | Nov   | Dec   | Jan                              | Feb   |     |     |
| Green   | Amber                             | Amber            | Amber       | Amber   | Amber                                       | Amber | Amber                          | Amber | Green | Green                            | Amber | Red |     |

### 2. EXECUTIVE SUMMARY

For the current reporting period only, provide a brief summary of why your project status is Red or Amber or Green this month. Your executive summary information is provided to the Executive Committee, so please be clear, concise, avoid the use of acronyms and refer to DHS as 'the department'.

**Overview (Character Limit: 1450)**  
 Online interventions were paused on 2 December 2016 and recommenced at a reduced volume from 11 January 2017. On 10 February 2017 a number of changes to the Online Compliance Intervention (OCI) system were implemented. OCI was subsequently renamed Employment Income Confirmation (EIC) which now includes new and enhanced screens, workflows, letters and a new registered mail process for sending confirmation codes to enable authentication of customers who do not have an active myGov/Centrelink Online Services account. These enhancements were implemented as part of the department's commitment to continual improvement. There are now a number of points in the new EIC workflow where a 'manual hand-off' may be invoked. From this point forward, the process must be assisted by compliance staff to complete the process.

**What are the main issues the Executive Committee need to be aware of? (Character Limit: 1350)**  
 The current volume of initiations is low to allow for Staged Implementation Phase (S P) to support Business Verification Testing (BVT) following the February 2017 system enhancements. Initiation at a reduced rate of 10 per day commenced from 11 February 2017, increasing to 30 per day from 27 February 2017.

The system enhancements are supported by process changes, including more hand-off points for manual assistance. Baseline assumptions in terms of FTE requirements and cost need to be reassessed.

At this stage all recipients who have responded have been referred to manual handling.

**What resolution action is being taken? What is the plan for moving forward to bring the project back to Green / Amber? (Character Limit: 750)**  
 We continue to monitor customer flow to outcome.

We are fine tuning the selection methodology so when we do increase flow through we will maximise the outcome.

**To whom and how has the project issue(s) been escalated? (Character Limit: 170)**  
 Project SRO and the Improving Compliance Programme Board

**What assistance can Executive Committee provide to get this project back on track? (Character Limit: 680)**  
 Acknowledge the budget measures for FY2016-17 are at risk and leverage this to drive the approval of an Initiation Strategy to inform the development of an implementation roadmap to achieve the intervention volumes necessary to deliver on the target savings.

#### EXECUTIVE SUMMARY STATUS

Refer to Tolerances link at the top of the page for guidance on assessing the health status of each element.

| Project Management Elements    | Overall project status | Issues | Risks * | Schedule | Financial | ICT Status |
|--------------------------------|------------------------|--------|---------|----------|-----------|------------|
| Current                        | Red                    | Amber  | Amber   | Red      |           |            |
| Previous                       | Amber                  | Amber  | Green   | Amber    | Green     | Green      |
| Next month's status indication |                        |        |         |          |           |            |

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Update Period/Status

|                |             |              |   |                  |        |
|----------------|-------------|--------------|---|------------------|--------|
| Project Number | PN2015.5075 | Project Name | Strengthening the Integrity of Welfare Payments - Employment Income Matching (PAYG) | Reporting Period | Feb-17 |
|----------------|-------------|--------------|---|------------------|--------|

### 3. ISSUE MANAGEMENT

Include details of all **current** issues rated Extreme or Major. If you have more than 5 Extreme or Major issues, contact the PPO immediately for advice.  
\*\*All Issues must be registered and managed in the PM Logbook\*\* Refer to the Risk Management DHS intranet page for further support on managing issues.

| How many current issues are registered?  |  | Extreme   | 0   | Major                                | 3          | Moderate         | 0     | Minor                | 0   |
|--|--|---|-----|--------------------------------------|------------|------------------|-------|----------------------|-----|
| Click the 'Expand' button to view and edit up to five available issues or click the 'Collapse' button to view the relevant issues with entered data only |  |   |     |                                      |            |                  |       |                      |     |
| Issue D  | IS41   | Risk ID if applicable   | N/A | Date identified                      | 3 Jan 2017 | Current rating   | Major | Issue under control? | Yes |
| Has the issue been escalated within 10 days?   |  | Yes   |     | Who has the issue been escalated to? |            | Deputy Secretary |       |                      |     |
| Issue description (Character Limit: 650)   | OCI automatic assessment processing, which occurs at day 22 for customers that do not respond, was stopped during the Reduced Activity Period and has not recommenced.                                     |   |     |                                      |            |                  |       |                      |     |
| What progress has been made since the last report? Include anticipated resolution date (Character Limit: 700)  |  | The project is currently revising the process flow for the Online Compliance Intervention system, following reviews conducted with the Minister, Secretary and Deputy Secretary. The automatic processing will be functioning once other issues with the platform are resolved. |     |                                      |            |                  |       |                      |     |
| Issue D  | IS44   | Risk ID if applicable   | R12 | Date identified                      | 4 Jan 2017 | Current rating   | Major | Issue under control? | Yes |
| Has the issue been escalated within 10 days?   |  | Yes   |     | Who has the issue been escalated to? |            | Deputy Secretary |       |                      |     |
| Issue description (Character Limit: 650)   | Public confidence may be eroded caused by media attention and scrutiny resulting in increased attention for the project. Negative media publicity has an impact on the perceived success of the programme. |   |     |                                      |            |                  |       |                      |     |
| What progress has been made since the last report? Include anticipated resolution date (Character Limit: 700)  |  | Media issues are being addressed and escalated accordingly.   |     |                                      |            |                  |       |                      |     |
| Issue D  | IS51   | Risk ID if applicable   | R20 | Date identified                      | 3 Jan 2017 | Current rating   | Major | Issue under control? | Yes |
| Has the issue been escalated within 10 days?   |  | Yes   |     | Who has the issue been escalated to? |            | Deputy Secretary |       |                      |     |
| Issue description (Character Limit: 650)   | System stability may impact desired business outcomes caused by system outages/availability resulting in a failure to meet forecasted completions.   |   |     |                                      |            |                  |       |                      |     |
| What progress has been made since the last report? Include anticipated resolution date (Character Limit: 700)  |  | Due to the extension of the cessation of initiations after the Christmas period and media scrutiny, interventions have been ceased until the process has been revised.  |     |                                      |            |                  |       |                      |     |
| Issue D  |  | Risk ID if applicable   |     | Date identified                      |            | Current rating   |       | Issue under control? |     |
| Has the issue been escalated within 10 days?   |  |   |     | Who has the issue been escalated to? |            |                  |       |                      |     |
| Issue description (Character Limit: 650)   |  |   |     |                                      |            |                  |       |                      |     |
| What progress has been made since the last report? Include anticipated resolution date (Character Limit: 700)  |  |   |     |                                      |            |                  |       |                      |     |
| Issue D  |  | Risk ID if applicable   |     | Date identified                      |            | Current rating   |       | Issue under control? |     |
| Has the issue been escalated within 10 days?   |  |   |     | Who has the issue been escalated to? |            |                  |       |                      |     |
| Issue description (Character Limit: 650)   |  |   |     |                                      |            |                  |       |                      |     |
| What progress has been made since the last report? Include anticipated resolution date (Character Limit: 700)  |  |   |     |                                      |            |                  |       |                      |     |

If you require assistance please phone the Portfolio Programme Office help desk on s47E(d) or email: s47E(d) @humanservices.gov.au

This is the monthly project status report for

Update Period/Status

|                |             |              |   |                  |        |
|----------------|-------------|--------------|---|------------------|--------|
| Project Number | PN2015.5075 | Project Name | Strengthening the Integrity of Welfare Payments - Employment Income Matching (PAYG) | Reporting Period | Feb-17 |
|----------------|-------------|--------------|---|------------------|--------|

#### 4. RISK MANAGEMENT

Include details of all current risks rated Very High or High. If you have more than 5 Very High or High risks, contact the PPO immediately for advice.  
\*\*All Risks must be documented in the Risk Management Plan, then registered and managed in the PM Logbook\*\*  
Refer to the Risk Management DHS intranet page for further support on managing risks.

How many current risks do you have in your Risk Management Plan? Very High 0 High 1 Medium 5 Low 4

Click the 'Expand' button to view and edit up to five available risks or click the 'Collapse' button to view the relevant risks with entered data only [Expand](#) [Collapse](#)

|  |     |  |     |
|--|-----|--|-----|
| 1. Has Risk Management Plan been completed & approved? | Yes | 2. Have all the risks been escalated to the appropriate risk owner within 10 days of identification? | Yes |
| 3. Are controls in place and effective?                | Yes | 4. Have the risks been reviewed in the last month?   | No  |

\* NB: If answers to all questions are YES, then the Risk status is GREEN  
If there is a mixture of YES & NO answers, the status is AMBER  
For projects in execute stage, if the answer to the first question is NO, then the Risk status is RED

| Risk D  | Date identified   | Date reviewed | Current risk level     | Is a risk treatment measure in place? |
|---|---|---------------|------------------------|---------------------------------------|
| 19  | 4 Jan 2017  | 17 Jan 2017   | High                   | Yes                                   |
| Risk escalated within 10 days?  | Who has the risk been escalated to?   |               | Risk category          |                                       |
| Yes   | Deputy Secretary  |               | Policy advice & design |                                       |
| Risk Statement (Character Limit: 550)   | 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. |               |                        |                                       |
| What is the progress of treatment since the last report? (Character Limit: 550) | Processes relating to the OCI platform are currently being reviewed.  |               |                        |                                       |
| Risk D  | Date identified   | Date reviewed | Current risk level     | Is a risk treatment measure in place? |
|   |   |               |                        |                                       |
| Risk escalated within 10 days?  | Who has the risk been escalated to?   |               | Risk category          |                                       |
|   |   |               |                        |                                       |
| Risk Statement (Character Limit: 550)   |   |               |                        |                                       |
| What is the progress of treatment since the last report? (Character Limit: 550) |   |               |                        |                                       |
| Risk D  | Date identified   | Date reviewed | Current risk level     | Is a risk treatment measure in place? |
|   |   |               |                        |                                       |
| Risk escalated within 10 days?  | Who has the risk been escalated to?   |               | Risk category          |                                       |
|   |   |               |                        |                                       |
| Risk Statement (Character Limit: 550)   |   |               |                        |                                       |
| What is the progress of treatment since the last report? (Character Limit: 550) |   |               |                        |                                       |
| Risk D  | Date identified   | Date reviewed | Current risk level     | Is a risk treatment measure in place? |
|   |   |               |                        |                                       |
| Risk escalated within 10 days?  | Who has the risk been escalated to?   |               | Risk category          |                                       |
|   |   |               |                        |                                       |
| Risk Statement (Character Limit: 550)   |   |               |                        |                                       |
| What is the progress of treatment since the last report? (Character Limit: 550) |   |               |                        |                                       |



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**This is the monthly project Status Report for**

**Update Period/Status**

|                       |             |                     |   |                         |        |
|-----------------------|-------------|---------------------|---|-------------------------|--------|
| <b>Project Number</b> | PN2015.5075 | <b>Project Name</b> | Strengthening the Integrity of Welfare Payments - Employment Income Matching (PAYG) | <b>Reporting Period</b> | Feb-17 |
|-----------------------|-------------|---------------------|---|-------------------------|--------|

**5. SCHEDULE MANAGEMENT**

Does the project have business deliverables? **Yes** Does the project have ICT deliverables? **No**

Click 'Expand' to edit Business and/or ICT deliverables or click 'Collapse' to view deliverables with data entered. **\*\*Note this function works in conjunction with the answers provided in the row immediately above\*\*** (i.e. answering "No" in the business deliverables will hide all Business rows). [Expand](#) [Collapse](#)

| Description of key business deliverables and milestones for the current and future reporting periods | Planned implementation date | Actual implementation date | Status | Comments<br>Slippage, unintended impacts & remedial actions  |
|--|-----------------------------|----------------------------|--------|--|
| Commencement of Post Implementation Review   | Pending                     |                            | Amber  | A post-implementation review (PIR) was scheduled to be undertaken in July 2016 following the full implementation of the OCI Platform. As this implementation was not fully completed by the end of the PIR, it is currently on hold. |
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| Description of key ICT deliverables and milestones for the current and future reporting periods      | Planned implementation date | Actual implementation date | Status | Comments<br>Slippage, unintended impacts & remedial actions  |
|  |                             |                            |        |  |
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|----------------|-------------|--------------|---|------------------|--------|

### 6. BENEFITS MANAGEMENT

Refer to the Departmental Benefits Section on the DHS intranet for further support on managing benefits. Please USE TAB BUTTON on keyboard to navigate through this section.

Have benefits (financial or non-financial) for the Department of Human Services been identified?

N/A - External

Provide name of external agency

Department of Social Services

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|----------------|-------------|--------------|---|------------------|--------|

**7. FINANCIAL MANAGEMENT**

Please USE TAB.BUTTON on keyboard to navigate through this section.

|   |   |   |       |   |                 |       |  |
|---|---|---|-------|---|-----------------|-------|--|
| What is the project's funding type?   | Financially Complex   | Has the project budget been approved by the CFO?                | Yes   | Date project budget approved                                |                 |       |  |
| What is the total confirmed budget over the life of the project as confirmed by the approved costing? |   | What is the total confirmed project budget this financial year? |       |   |                 |       |  |
| Current Year Project expenditure (Complex projects only)  | Year To Date (YTD) = YTD Phased Budget to YTD Actual Expenses |   |       | Full Year = Total Budget Allocation to End of Year Forecast |                 |       | Project financial information should be provided separately to your SRO / Project Board following end of month financial processing.<br><br>Provide here only if figures are available and have been confirmed by Internal budgets following month-end processing. |
|   | Budget \$'000   | Actual \$'000   | Var % | Budget \$'000   | Forecast \$'000 | Var % |  |
|   | Business expenditure  |   |       |   |                 |       |  |
|   | ICT expenditure   |   |       |   |                 |       |  |
| Total expenditure   |   |   |       |   |                 |       |  |



**OPTIONAL INFORMATION**

This section is optional and for your internal use only.

The information in this section **will not be used in executive dashboard reports for the executive committee.**

Ensure critical information is included in the executive summary section of the status report

[Empty content area for optional information]

## Quick Guide to completing the Monthly Project Status Report

### How to Update/ Change the Overall Current Status:

Please follow the following steps:

1. Click on Update Period/ Status Button in the STATUS REPORT FOR section
2. Update the Year you are preparing the status report for e.g. choose 2014 for December 2014 report
3. Update the relevant Month you are preparing the status report for e.g. choose December for the December 2014 Report
4. Choose the overall status traffic light colour
5. Press ok to confirm.

### PROJECT DETAILS

Please re-confirm details are correct each month.

#### Project Description:

This should be a succinct statement about what the project will be delivering and why.

#### Project Lifecycle Phase:

There are 4 phases – Initiate, Plan, Execute and Close – each has set mandatory documentation and governance requirements. For more information on Project Lifecycle Phases refer to the Project Management Framework Manual, Project Lifecycle section.

All projects submit monthly project status reports from the start of the Plan Phase to the start of the Close Phase.

At the start of the Close Phase, a final Project Status Report must be submitted with an Overall Project Status of "Closing" and the date the Close Phase commenced entered. No further Project Status Reports will be requested after that month.

Projects are formally closed when the approved Closure Report is received.

#### Implementation of new policy or legislation:

Most Category 1 and some Category 2 projects are responsible for implementing new policy and/or legislation.

Please provide/re-confirm the relevant implementation date/dates in your report.

### EXECUTIVE SUMMARY

This is a brief summary of current project status, including progress against schedule and current issues and/or significant risks (including escalation and It should be clear, concise, simple, and non-technical.

Do not use acronyms – it must stand alone for interpretation. It may be quoted verbatim to the Executive Committee or external agencies.

If the overall status of the project is Red or Amber, please include main issue(s)/risk(s) actual/likely impact on customers, what action is being taken, and what

#### 1. Issue Management \*

Most of the information comes directly from your PM Logbook Issues Register and provides assurance to Senior Executives that issues are being managed and escalated appropriately and the intended resolution date.

Please only list Extreme or Major issues.

**\*NB:** All Issues must be registered and managed in the PM logbook

#### 2. Risk Management \*

Most of the information comes directly from your PM Logbook Risk Register and provides assurance to Senior Executives that risks are being managed appropriately and mitigated wherever possible.

Please only list Very High and High risks.

**\*NB:** All Risks must be registered and managed in the PM logbook

#### 3. Schedule Management

Only provide details of 'key' deliverables/milestones for the current/immediate reporting period.

It should show at a glance if the project is on track to deliver as intended, and whether any slippage relates to business, ICT or both.

#### 4. Benefits Management

There is an expectation that projects with identified benefits (both financial and non-financial) for the department apply the departmental Benefits Management framework.

The questions in this section are designed to provide information on the status of benefits management within the project to the project executive and other applicable stakeholders. The question set streamlines the process as much as possible to create exit points where applicable, so that project staff do not have to answer any more questions than needed.

#### 5. Financial Management

The PPO will make a financial status assessment based on data provided directly from the CFO.

Please provide the Full Year project funding (Business and ICT) and the date this was approved.

Project Managers should check with their Management Accountant (MA).

Similarly, MAs will seek explanations for variances in actual YTD expenditure where it is more than +/- 5% of estimated YTD expenditure.

## Report help

### TO START:

#### File Naming Convention

Save this file as a 'Save as' with the following file name convention: PN201x.xxxx Proje  
For example:

PN2013.3000 New System Requirements Project Mar 2013

Then re-save the file each month - changing the month reference in the file title

### NOTES:

#### Protection:

All cells within the status report with exception of the data entry cells have been locked down, if you are unable to enter information in the required fields, please notify or contact **s47E(d)** @humanservices.gov.au for further instruction.

- Information should be kept brief so that it fits within the given cell.
- Rows can not be inserted or deleted.
- Row heights can not be amended on the first page  
(this is to make sure that the page layouts remain as is)
- You can check the spelling of the unprotected cells by clicking the button "ABC ✓"

#### Helpful Excel Hints:

To move from cell to cell:

- use the tab key or mouse to move around within the sheet


To copy and paste information from another cell or document:

- highlight the required information (if from another excel document or a MS Word table, highlight the information within the cell - do not copy the whole cell)
- copy the information by selecting Ctrl + C or right click and select copy
- click on the destination cell and click inside formula bar and select Ctrl + V  
(This will input only the values to the destination cell instead of copying the formats or overriding the cells below)



## Do's and Don'ts

### When filling in the PPO Project Status Report

| Do  | Don't  |
|---|--|
| <p><input type="checkbox"/> When copying from another document please copy and paste in <b>formula bar</b> only.</p>  <p><input type="checkbox"/> When updating status report <b>period</b>, make sure reporting period is right and that all three fields i.e. Year, Month and Status are filled in.</p> <p><input type="checkbox"/> Wherever possible, use <b>Tab</b> button for navigating between cells in the spreadsheet.</p> <p><input type="checkbox"/> Keep the text limited to <b>viewable area</b> of cells within the status report.</p> <p><input type="checkbox"/> If issues in relation to the template please <b>contact:</b><br/> <a href="#">s47E(d)</a> <a href="#">humanser</a><br/> <a href="mailto:s47E(d)@humanser.vices.gov.au">vices.gov.au</a></p> | <p><input type="checkbox"/> Attempt to copy and paste on multiple cells using copy and paste function in excel.</p> <p><input type="checkbox"/> Change the font size (Arial 11).</p> |