Australian Government
Department of Finance

Parliamentary Expenses Management System (PEMS) Project

Steering Committee – Agenda

Meeting Details	
Date:	Tuesday 27 September 2022
Time:	11.00pm to 12.30pm
Venue:	RM 3N.38 Mt Woodroffe and/or GovTEAMS video conference
Attendees	*Members*: Ms. Mary Wiley-Smith – Chair Mr. John Sheridan – Project Executive Mr. David de Silva – Senior User, Ministerial and Parliamentary Services (MaPS) Ms. Annwyn Godwin – Senior User, Independent Parliamentary Expenses Authority (IPEA) Ms. Lucelle Veneros – Senior Supplier, Service Delivery Office (SDO) Mr. Simon Quarrell – Independent Member, Digital Transformation Agency (DTA) Mr. Peter Rush – Independent Member, Prime Minister and Cabinet (PM&C) *Advisers*: Mr. Ben Rillo – User, SMOS Chief of Staff Mr. S 22 – Senior Supplier (PEMS Branch), ICTD Ms. S 22 – A/g Director, PEMS Branch, ICTD Ms. Michelle Black – Service Delivery Office (SDO) *Secretariat*: Provided by Project Office

Agenda item	Presenter	Paper / Action

1. Meeting Opening
  a. Apologies
  b. Action Items
  c. Minutes from previous meeting
	Chair	Yes
		Accept Minutes and status of actions

2. Steering Committee – Updated Terms of Reference Attachment 2A: PEMS Steering Committee Terms of Reference	Chair	Yes **Agree** the updated PEMS Steering Committee Terms of Reference
3. User experience feedback	Ben Rillo	Discussion – no paper
4. Expenditure Reporting (Release 1)	John Sheridan	Yes **Agree** Project Board's recommendation for delivery of the Expenditure Report.

5.	Training awareness and communications	David de Silva Annywn Godwin	Discussion – no paper

6.	Project delivery update
	  a. Project status report
	  b. Risks and issues
	  c. Hypercare / support update
		John Sheridan	Yes
			Agree the project status report for Milestone 7.2
			Discuss the project risks and issues

7.	Other Business	Chair	No

Next Meeting: 11.00am – 12.00pm, Thursday 20 October 2022
RM 3N.38 Mt Woodroffe and/or GovTEAMS video conference

2

Action Items

Item	Action	Owner	Status	Comments
Actions from meeting of 16/06/2022				
A111	Update the Terms of Reference and membership arrangements of the proposed Governance Arrangements.	PO	In progress	19/09/22 – Terms of Reference have been updated to include the attendance of an independent advisor and a user representative from the SMOS's office. 08/07/22 – The draft Terms of Reference (ToR) for the Change Authority have been distributed to business areas for feedback and confirmation of membership. The ToR for the Project Board and Steering will be reviewed an updated, if required to cover the roles and responsibilities to project closure.
Actions from meeting of 11/08/2022				
A113	Report Project Board's evolving discussion of Risk #29	PO	New	05/09/22 – risk #29 updated and presented to the Project Board on 31 August, this risk hasn't changed significantly as the deliverable isn't in question, rather the date of delivery is being reconsidered as per action A115. This risk will be updated as required based on the outcome of the discussion on A115 in the meeting.
A114	Redistribute the finalised documents accepted as part of A109's and A110's closure to Members.	PO	New	19/09/22 – governance papers are included in the document pack for the 27 Sept meeting.
A115	Provide an out-of-session update regarding the complete delivery of Release 1 and possible strategies (i.e. increased funding/resources) to achieve the required outcome by 30 September 2022	PO	In Progress	14/09/22 – a discussion paper for Steering Committee consideration is provided as part of this pack for discussion in the meeting. 05/09/22 – A paper was drafted and provided out-of-session to Project Board members, who agreed to provide a recommendation to the Steering Committee for consideration, to be discussed further in the meeting.

Australian Government
Department of Finance

Parliamentary Expenses Management System (PEMS) Project

Steering Committee – Meeting Minutes

Meeting Details	
Date:	Thursday, 11 August 2022
Time:	11.00am to 12.00pm
Venue:	GovTEAMS video conference
Attendees:	Ms. Tracey Carroll – Chair Mr. John Sheridan – Project Executive Mr. Annwyn Godwin – Senior User, Independent Parliamentary Expenses Authority (IPEA) Mr. David De Silva – Senior User, Ministerial and Parliamentary Services (MaPS) Ms. Michelle Black – Senior Supplier, Service Delivery Office (SDO) Mr. Emmanuel Njuguna *on behalf of Simon Quarrell* – Member, Digital Transformation Agency (DTA) Mr. Peter Rush – Member, Prime Minister and Cabinet (PM&C) Advisers s 22 – A/g PEMS Branch Director and Senior Supplier, ICTD s 22 – PEMS A/g Director Observers s 22 – MaPS Secretariat s 22
1. Meeting Opening	
Summary	*Apologies* Mr. Simon Quarrell – Member, Digital Transformation Agency (DTA) *Minutes* The Minutes of the meeting of 14 July 2022 were accepted. *Actions* • IPEA requested the evolving discussion of Risk #29 in the Project Board forum be reported to the Steering Committee as an action separate to the monthly updates in Risks and Issues (PEMS Delivery Update).

1

<table>
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• The concurrent delivery of Hypercare and Release 1 development and any subsequent contention issues will also be raised in all future Steering Committee meetings, as prioritisation of the backlog is ongoing.

A109 – Project Office to circulate an updated diagram and/or table to clearly represent the current and proposed ("before and after") governance structures and functions mapped to their respective future BAU forums:

• The specified work has been completed and redistributed.
• Closed.

A110 – Report the management of all governance deliverables (including the final Gateway Review and Project Closure Report) in the proposed Governance structures when transitioning from Project to BAU:

• This was included in the approved Governance Arrangements paper.
• Closed.

A111 – Project Office to update the Terms of Reference (ToRs) and membership arrangements of the proposed Governance Arrangements:

• The Project are revising the ToRs for the Project Board and Steering Committee to the extent needed and will distribute updated versions to members for review prior to the subsequent meetings.

A112 – Confirm the Executive Management Committee and Management Board dotted line connection in the Governance Arrangements paper:

• The Action will be absorbed into A111.
• Closed.

Closed Actions
A109, A110 & 112.

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<tr><td>Decisions</td><td>The Steering Committee **accepted** the minutes from the previous meeting as well as the status of actions raised.</td></tr>
<tr><td>Actions</td><td>**A113** – Report Project Board's evolving discussion of Risk #29.

A114 – Redistribute the finalised documents accepted as part of A109's and A110's closure to Members.</td></tr>
<tr><td colspan="2">**2.   PEMS Delivery Update**</td></tr>
<tr><td>Summary</td><td>

Phase 1 Production Support Update

• There has been a significant increase in the number of claims processed, with outstanding tickets being reduced from the previous peak period.
• The highest recorded volume of politicians registered has been met with only 15 politicians left to register.
• The Project will closely assess aged tickets that are 3 weeks old, with close monitoring to continue for the 136 total open tickets.
  o The outcome of very recent production fixes implemented are expected to further reduce the volume of outstanding tickets.

Hypercare update

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| | The Project Board agreed to extend Hypercare for 1 week, with members to reconvene tomorrow to reassess its closure based on updated data. Hypercare has expended additional resources to answer client queries while also actioning Severity 3 and 4 tickets that would typically be added to the backlog for the business to prioritise, in addition to Severity 2 items. A resource reduction of 10% will occur in Release 1 – Expenditure Reporting for every week that Hypercare is extended. Further extensions are potentially sustainable noting other constraining factors such as critical Release 1 deliverables and associated funding. The resolution of numerous Severity 3 tickets through Hypercare will effectively balance out the overall backlog list by reducing future efforts. MaPS and IPEA are supportive of extending Hypercare, noting the need to continue reassessing the added value and further implementing more robust models to ensure timely resolutions can continue beyond Hypercare's completion, to minimise high profile stakeholder impacts and possible escalation to Ministers and the SMOS. IPEA highlighted that additional defects are identified as each fix remediation has been implemented, causing notable performance issues such as delayed processing and the system lagging. Increased efforts are needed throughout the Hypercare period for staff supporting clients on higher query volumes (from 50-100 per week to 480 per week) and longer resolution times (from 10 to 40-50 minutes). IPEA also raised their expectation of missing claims due to the historical average of 6,000 claims per week that is not appearing in the reports, further supporting Hypercare's extension to resolve the unknown claims. The Project Executive suggested the average unknown claims may be lower due to other factors including the recent staff turnaround impacts from the Federal Election as well as reduced travel due to COVID-19. 95% of Office Expenses claims logged in July 2022 have been processed successfully, while 2% are awaiting action by users. A higher percentage of claims are awaiting action by users for claims logged in August 2022. The only notable decline in claims logged by users occurred during the system closure in the week prior to Milestone 7.2 Go-Live, while a peak claim submission occurred immediately prior to the Federal Election. A steady flow of claims logged by users is expected once parliamentary offices are established. A number of the manual processes are transitioning to automatic in the coming weeks, with MaPS' expectation that there is not a significant number of missing claims to be logged during this transition. Previous identified issues of non-payment including outstanding CabCharge items have been resolved and are now captured in one of the three categories that translates to either "paid" or "queued for payment": SAP FI document posted, Paid in SAP FI, and Verified. The Travel Claims status was presented to inform percentage of claims paid against each of the following categories since 10 August 2022: CabCharge: 100% DFAT: 100% Domestic Expenditure: 80% Domestic Travel (which includes Travel Allowance): 74% FCM: 47% |

- 22 upload files from travel advisor are pending due to an unforeseen issue that has not paid for the approximate 4,000 tickets flagged for payment.
- A fix is scheduled to be implemented into production tonight and is expected to resolve the pending payments.
  - o Awaiting submission: IPEA to resolve this to
  - o International Travel: 50%, and
  - o Unplanned Commercial Travel (UCT): 80%.
- 72% of the Travel claims have been paid or are queued for payment, with the rate of claims logged increasing each day.
- 11% of the Travel Claims submitted are pending user action that is required, while 16% of Travel Claims are with IPEA to action.
- The identified issue of logging a domestic and international travel claim on the same day has been resolved.
- The estimated 6,000 missing claims are not believed to be entirely travel claims, while noting the bulk of travel claims would likely be CabCharges (that now process correctly) and/or tickets to be paid to CTM.
- 10 new SAP errors have been reported that are being investigated.
- Only 6 Travel claims are outstanding that are older than 7 days since being certified.
- IPEA highlighted the toll on their staff to effectively convince the broad range of external parliamentary offices to adopt the new system where there could be at least one staff member who is not confident.
- The overall trend of delayed payments appears to be decreasing substantially as the length of Hypercare continues to grow.

Release 1 progress

- Developers began Release 1 work this week however, due to the added Hypercare efforts, a 3-week delay has impacted the delivery schedule by incurring a Schedule Performance Index of 0.69.
- The typical tolerance for schedule delivery is 10% above or below 1.0.
- The Project Board have determined the completion of the 60 Expenditure Reporting items (56 essential, 4 important) may not be achieved by the upcoming Release 1 on 30 September 2022, and will clarify the estimated delta based on current planned scheduled delivery on 17 August 2022.
- The Project are mindful of Hypercare's effect on the remediation of pre and post-Release 1 by conducting daily monitoring, as well as the separate backlog, resource and funding availability implications with Hypercare extending beyond the original completion date.
- IPEA advised the necessity in delivering the next quarterly Expenditure Report with the new system and its individual expense components operating as required by the highlighted timeframe based on external client's zero tolerance to delay Release 1, due to possible interpretations by government parties of reduced frequency and transparency of reports.
- The Steering Committee Chair is scheduled to present an updated Release 1 status to the IPEA Executive Board on 22 August 2022.
- IPEA are not satisfied at this time that sufficient analysis and business stakeholder engagement has been conducted to review the Release 1 schedule and require clearer input from the Project regarding the proposed testing regime for system integration and end-to-end testing.
- IPEA expect that additional items will be identified as each backlog item is analysed and verified as a priority.

	• Project Board members will need to decide the appropriate strategy that will achieve Release 1 within the known resource, timeframe and scope limitations, to report out-of-session to Steering Committee members.
Decisions	The Steering Committee **accepted** the Project update.
Actions	**A115** – Provide an out-of-session update regarding the complete delivery of Release 1 and possible strategies (i.e. increased funding/resources) to achieve the required outcome by 30 September 2022.

3. Other Business

The meeting closed at 12:02pm.

Action Items

Item	Action	Owner	Status	Comments
Actions from meeting of 16/06/2022				
A109	Circulate an updated diagram and/or table to clearly represents the current and proposed ("before and after") governance structures and functions mapped to their respective future BAU forums.	PO	Closed	11/08/22 – The specified work has been completed and redistributed.
A110	Report the management of all governance deliverables (including the final Gateway Review and Project Closure Report) in the proposed Governance structures when transitioning from Project to BAU.	PO	Closed	11/08/22 – The Table in Attachment A for the "Project Board Release 1" refers to the expenditure reporting solution. After this, there will be successive releases (quantity unknown at this time).
A111	Update the Terms of Reference and membership of the proposed Governance Arrangements.	PO	In progress	11/08/22 – The Project are revising the ToRs for the Project Board and Steering Committee and will distribute updated versions to members for review prior to the subsequent meetings.
Actions from meeting of 14/07/2022				
A112	Confirm the Executive Management Committee and the Management Board dotted line connection in the Governance Arrangements paper.	PO	In progress	
Actions from meeting of 11/08/2022				
A113	Report Project Board's evolving discussion of Risk #29.	PO	New	
A114	Redistribute the finalised documents accepted as part of A109's and A110's closure to Members.	PO	New	
A115	Provide an out-of-session update regarding the complete delivery of Release 1 and possible strategies (i.e. increased funding/resources) to achieve the required outcome by 30 September 2022.	PO	New	

PARLIAMENTARY EXPENSES MANAGEMENT SYSTEM (PEMS) STEERING COMMITTEE

MEETING DATE: Tuesday, 27 September 2022

AGENDA ITEM	2. Updated Terms of Reference
ACTION	Item for decision
PRESENTING OFFICER	John Sheridan CIO & CISO, Project Executive ICT Division, Department of Finance Contact Number

Outcome sought

1.   That the Committee **agree** to the updated PEMS Steering Committee Terms of Reference.

Key Issues

2.   The updated ToRs at Attachment 2A include two additional members:

   a.   Mr Ben Rillo, Chief of Staff to the Special Minister of State, and representing users of PEMS, as an Observer to the Committee

   b.   An external IT expert, as an independent member of the Committee, to provide independent advice and assurance on the future scope of work for PEMS.

3.   The revised Committee membership reflects the current stage of the PEMS development and rollout as the project transitions towards implementation and user acceptance.

4.   Engaging an independent member will provide the executive with additional assurance and advice on the build and rollout.

5.   Noting the importance of change management in the rollout and implementation of PEMS Release 1 and the system backlog, feedback from users will be critical to the success of PEMS.

6.   These membership changes will help to ensure that the system remains fit for purpose and balances the needs of end users, including the Independent Parliamentary Expenses Authority (IPEA) and parliamentarians and support staff.

Attachments

2A: PEMS Steering Committee – Terms of Reference

Australian Government
Department of Finance

Parliamentary Expenses Management System (PEMS)

Steering Committee – Terms of Reference

Background

Members of Parliament incur work expenses in accordance with a complex legislative framework supported by a series of procedural rules, guidelines, determinations, administrative procedures and authorisations.

The existing technical environment supporting the business functions of Ministerial and Parliamentary Services (MaPS) Division and the Independent Parliamentary Expenses Authority (IPEA) is characterised by a number of disparate systems that have minimal integration requiring significant manual intervention for the extraction of data.

On 1 January 2018, the Parliamentary Business Resources Act and Regulations will commence, in accordance with the recommendations of the Independent Parliamentary System Review 2016 (the Review). The new framework simplifies the work expense provisions with numerous rules being replaced by new overarching obligations imposed on parliamentarians in relation to their work expenses.

The PEMS system is required to support these crucial improvements for parliamentarians. In addition, it will enable MaPS and IPEA to effectively and efficiently complete their assigned tasks and meet both parliamentary and public expectations.

The key strategic drivers for the PEMS project are:

- the need for a simple, effective and clear system to set and monitor parliamentarians' expenses
- a system that supports parliamentarians' and their employees in their work and allows them to operate inside the rules
- a system that enables administrators to provide an efficient and effective service; and
- increased transparency for the public of parliamentarians expenses.

The PEMS system will align with the Digital Service Standard to support simpler, faster and more easily used digital services delivered through agile based design and iterative system development.

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Governance

Governance to support the successful delivery of the PEMS Project will be in accordance with the Australian/New Zealand Standard on the Governance of IT Enabled Projects (AS/NZS 8016:2013).

Objective of the Committee

The Steering Committee will provide advice and support to the PEMS project and to the Senior Responsible Officer (SRO) as decision maker and signatory authority for the Project. The Steering Committee will consider and endorse recommendations for approval by the SRO, which will include consideration of options, engagement and communication and strategic direction.

The Steering Committee should seek independent advice, as required, to enable it to endorse recommendations, to resolve escalated issues and to measure success, which includes the experience of users.

Role of Steering Committee Members

The Steering Committee is responsible for ensuring the PEMS project is delivered in accordance with the Government's direction, as reflected in the approved Second Pass Business Case. The Steering Committee will provide guidance and oversight throughout the Project. Members are to attend meetings, advise as appropriate and represent their areas of interest and expertise. The Steering Committee will be chaired by the Deputy Secretary, Business Enabling Services, Department of Finance. The full membership is at Attachment A.

The Steering Committee will:

- provide advice and support to the Project

- consider and endorse recommendations for approval

- provide consideration of options and strategic direction

The Steering Committee, as a governance body, does not have a delegation to commit the Commonwealth under the provisions of the *Public Governance, Performance and Accountability Act 2013* (PGPA Act).

Frequency of Meetings

The Steering Committee will meet at least monthly and as required. Subject to the agreement of Steering Committee members, flexibility on the frequency of face-to-face meetings may be appropriate, dependent on project activity and milestones.

The Steering Committee chair may choose to hold 'virtual' meetings, consider matters out of session, or cancel or defer a meeting. However, no more than three months should pass without a face-to-face meeting; and meetings may not be cancelled where the Project status report indicates a substantive risk or issue, or there is an item requiring action from the Steering Committee.

Papers or matters requiring Steering Committee acceptance or approval may be managed out of session via electronic mail where appropriate, between scheduled meetings.

Quorum

A quorum is required for Steering Committee endorsement of key decisions and acceptance of deliverables and changes in scope. The Quorum is defined as:

- the Chair, or an acting Chair as nominated by the Chair or the Finance Secretary

- two members, and

- the Project Executive or their representative as agreed by the Chair.

Agenda

Agenda and other documentation relevant to the business of the Steering Committee will be provided to members at least two working days before each meeting.

Records of Meetings

Records of meetings will be kept, including action items, and relevant matters will be confirmed at the next meeting of the Steering Committee. Secretariat services will be provided by the PEMS Project Office.

Attachment A

Steering Committee Members

Member	Title / Department	Contact Details
Ms Mary Wiley-Smith Senior Responsible Officer (SRO), Committee Chair	Deputy Secretary, Business Enabling Services, Department of Finance	02 6215 3075 Mary.Wiley-Smith@finance.gov.au s 22 ▮▮▮▮
Mr John Sheridan Project Executive	Chief Information Officer, Department of Finance	02 6215 1501 John.Sheridan@finance.gov.au
Mr David de Silva Senior User	First Assistant Secretary, Ministerial and Parliamentary Services	02 6215 3978 s 22 ▮▮▮ David.deSilva@finance.gov.au
Ms Annwyn Godwin Senior User	Chief Executive Officer, Independent Parliamentary Expenses Authority	02 6215 3548 Annwyn.Godwin@ipea.gov.au
Ms Lucelle Veneros Senior Supplier	First Assistant Secretary, Service Delivery Office, Department of Finance	02 6215 3222 Lucelle.Veneros@finance.gov.au
Mr Simon Quarrell, Member	Assistant Secretary, Digital Investment Branch, Digital Transformation Agency	s 22 ▮▮▮ Simon.Quarrell@dta.gov.au
Mr Peter Rush Member	First Assistant Secretary, Department of the Prime Minister and Cabinet	02 6271 5909 Peter.Rush@pmc.gov.au s 22 ▮▮▮
Mr Ben Rillo Observer and Senior User of PEMS	Chief of Staff Special Minister of State	
TBA Independent Member	TBA	TBA
s 22 ▮▮▮ Senior Supplier / Project Assurance	A/g Assistant Secretary, ICT Division Department of Finance	02 6215 2937 s 22 ▮▮▮ @finance.gov.au
Project Secretariat	ICT Division Department of Finance	PEMSProjectSupport@finance.gov.au

Note: The role of the Project Executive is in accordance with the Prince2 Agile definition and may differ from the Gateway review definition.

PARLIAMENTARY EXPENSES MANAGEMENT SYSTEM (PEMS) STEERING COMMITTEE

MEETING DATE: Tuesday, 27 September 2022

AGENDA ITEM	4. Expenditure Reporting – Minimum Viable Product
ACTION	Item for decision
PRESENTING OFFICER	John Sheridan CIO & CISO, Project Executive ICT Division, Department of Finance

Outcome sought

1. That the Committee **agree** to the PEMS Project Board's preferred option for the delivery of the Expenditure Report, to deliver the Minimal Viable Product (MVP) by 31 October 2022.

2. The Committee **discuss** the proposed approach to scoping, costing and resourcing the additional data required for Expenditure Reporting.

Key Issues

1. Delivery of expenditure reporting functionality was scheduled for 30 September 2022. Due to the continuation of heightened post deployment support (Hypercare), a delay of 3-4 weeks has contributed to delays in the project schedule.

2. While the majority of the work has been undertaken on the original build scope, the full suite of expenditure reporting functionality will not be put into production by that date. Instead, and as agreed by the Project Board, the MVP will be delivered by 31 October 2022.

3. Since the release of Phase 2 (7.2), a further 7 work items have been identified, leading to a total of 66. Of these 66, 15 work items require collection of data elements which were not identified during previous build phases. This data cannot be collected after the event. It will not be possible to build, test and deploy these functions before the January-March quarter of 2023.

4. The requirements to capture additional data elements not originally identified and agreed will be scoped and costed with IPEA, with the schedule for delivery being subject to IPEA agreeing the scope of the work, the delivery timeline and committing resources to complete user acceptance testing.

5. The Project Board will finalise the schedule and delivery approach, including clear articulation of roles and responsibilities at its next meeting and bring forward for the Committee's consideration at the next meeting.

Financial Implications

6. The project has used $481,429.54 (65%) of the $740,000 available to address the Expenditure Report and backlog reduction this financial year. The balance is expected to be sufficient to deliver the Expenditure Report MVP and the extended Hypercare arrangements.

Risks

7. The preferred way ahead shares the identified risks already being managed by the Project:

Risk	Description Summary	Rating
1	Schedule slippage	Medium
3	Loss of resources	Medium
5	Quality	Medium
29	Inability to meet IPEA's requirements	Medium
42	Insufficient funding	Low

Background

8. The expenditure report has four components – the view developed for parliamentarians, the IPEA administrators' view, the extracts used to provide published reports, and the master data management component.

PEMS STEERING COMMITTEE

MEETING DATE: Tuesday, 27 September 2022

AGENDA ITEM	6. Project delivery update
ACTION	Item for decision
PRESENTING OFFICER	John Sheridan CIO & CISO, Project Executive ICT Division, Department of Finance Contact Number

Outcome sought

That the Committee:

1.   **agree** the project status report for Milestone 7.

2.   **discuss** the project risks and issues.

Key Issues

<u>Project status and Hypercare update</u>

1.   A project status report for Milestone 7.2 as at 19 September is provided at <u>Attachment 6A.</u> The overall status of the project for Milestone 7.2 is rated amber. This is primarily due to the continuation of heightened post-deployment (Hypercare) support, which has contributed to delays in the project schedule for Release 1 (expenditure reporting).

   a)   The PEMS Project Board agreed to extend the Hypercare period to Friday 23 September. As at 16 September, there were six priority issues remaining for remediation during the Hypercare period. Once the PEMS Project Board agrees to close the Hypercare period, all outstanding items will be prioritised on the backlog list.

2.   The project team continues to work closely with business areas to manage issues during the Hypercare period. The project team resolved 11 incidents in the week ending 16 September including the following Major Incidents (<u>Attachment 6B</u> refers):

   a)   <u>Severity-2:</u> Travel claims – Ex Prime Ministers are not able to be selected as Primary Traveller.
   b)   <u>Severity-2:</u> Cannot raise a debt against a parliamentarian - issue with work expense.
   c)   <u>Severity-2:</u> Failure in the BWP daily org unit sync process chain. Restructures and new positions for the Office of Staff Support will not be reflected in the Office / Travel apps, or in SAC-based reports until the issue is resolved.
   d)   <u>Severity-3:</u> Trip cancelled not creating a debt for staffer. Trips cancelled due to the Queen's funeral are not creating debts to recover paid travel.

3.   The eight remaining severity-2 and ten severity-3 incidents are progressing with daily business engagement.

<u>Project risks and issues</u>

4.   Five project risks remain open and are set out at <u>Attachment 6C.</u> Since the last update, project risk #1, *Project schedule – inherent schedule flaws prevent delivery as planned*, has since been realised as a project issue.

5.   There are two open project issues (<u>Attachment 6D</u>):

   a)   Issue #38 – raised as the realisation of risk #1 – inherent schedule risk. Agenda item 4 sets out a recommended approach to address this issue for the Committee's consideration.

   b)   Issue #26 – for benefits realisation that will be managed as part of the project closure process.

Attachments

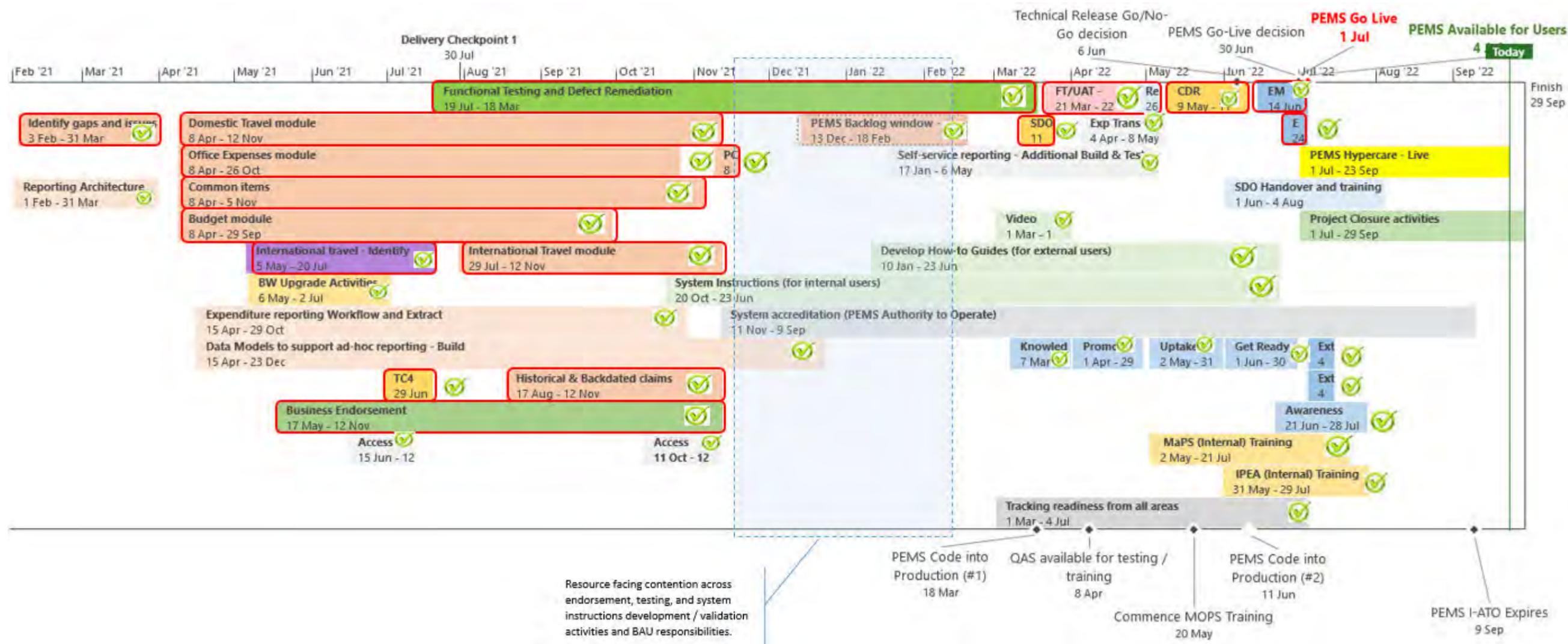6A: Project Status Report

6B: Project Risks

6C: Project Issues

1.   Project Status Report – Milestone 7

Summary	Previous Status	Current Status	Commentary
Overall Status	(green ↔)	(amber ↔)	*Overall* • Heightened post-deployment (hypercare) support continues, the project team are working closely with MaPS, IPEA and SDO to monitoring for, and resolve issues as they arise. • Expenditure Reporting (Release 1) has been delayed due to the amount of work occurring during the hypercare period, a paper has been considered by Project Board and a recommended way forward will be discussed in the Steering Committee meeting.
Governance	(green ↔)	(green ↔)	• The Steering Committee's next meeting is scheduled for Thursday 20 October 2022. • The Project Board's next fortnightly meeting is scheduled for Wednesday 12 October 2022.
Schedule	(green ↔)	(amber ↔)	**Refer to Attachment 3** high level schedule. A high level schedule can be found in **Attachment 4**. Key dates for critical path activities: **Key Date** — **Description** — **Progress** 18 March to 30 June — Technical documentation and knowledge transfer to SDO — In Progress TBD — Release 1 – Expenditure Rptg — In Progress
Scope / Requirements	(green ↔)	(amber ↔)	**Hypercare** • The PEMS M7.2 Hypercare period is reviewed weekly, Project Board have agreed to extend the Hypercare period to Friday 23 September. • As at 16 September, there were six priority issues remaining for remediation during the Hypercare period. It is expected that once Project Board agree to close the Hypercare period, all outstanding items will be prioritised on the backlog list. **Release 1 (the first post go-live release):** • A paper for Project Board to consider a number of approaches to delivering the PEMS expenditure report. • At this time the scope and resourcing for Release 1 are fixed (though SDO have sourced some additional developer resourcing and will continue to look for suitable resources going forward). • Board have recommended an option and a paper will be included with this report for Steering Committee's consideration at its 27 September meeting.
Resources	(green ↔)	(green ↔)	• Ongoing resourcing will be shared between BAU and remaining project work so will need to manage associated priorities.
Issues	(green ↔)	(amber ↔)	**Refer Attachment 1 - Project Issues** • The project team manages issues and escalates where necessary. • 38 issues have been identified with two issues open. • One new issue has been raised to manage the schedule for expenditure reporting, this is a realisation of risk #1 – inherent schedule risk.
Risks	(green ↔)	(green ↔)	**Refer Attachment 2 - Project Risks** • The next Risk Workshop is scheduled for Wednesday 19 October 2022. • 71 risks have been raised for the project. 5 medium risks remain open. • The open risks are shown Attachment 2.
Design	(green ↔)	(green ↔)	• This responsibility has transitioned with the development resources to the SDO.

Report Date: 19 Sept 2022

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Support Organisation	↔	↔	**Phase 1** • A weekly dashboard is distributed to Senior Users. There are no issues of concern. This will be updated to incorporate Phase 2 aspects. **Phase 2** • Hypercare commenced 4 July, daily monitoring and issue tracking is occurring and a daily dashboard is distributed to Senior Users. • The MaPS surge team ended on Friday 2 September, with one ex-surge team resource remaining with the MaPS HR team until October, and two ex-surge team resources remaining with the MaPS Help Desk to assist with incoming email. • An update on the high severity issues will be tabled at the Committee meeting.
Other	N/A	N/A	•

Legend: On Target	Alert	Escalate	Overall
↔	↔	↔	**Green Light** Criterion = All green, or only one amber with no red **Amber Light** Criterion = More than one amber but no red **Red Light** Criterion = One or more red
Identified issues being managed and updated regularly	Issues are likely to affect the implementation effort if action is not taken and managed	Issues will have a significant effect on the implementation effort if action is not taken and managed	

Report Date: 19 Sept 2022

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PEMS MILESTONE 7.2 HIGH LEVEL SCHEDULE

ATTACHMENT 6B – PROJECT RISKS

ID	Date Raised	Risk Description	Scenario (Examples)	Source / Cause	Current controls	Consequence	Likelihood	Rating	Treatments	Consequence	Likelihood	Rating	Assigned to	Reviewed Date	Status	Close date
						Risk level				Residual Risk						
3	22/03/18	Loss of key (knowledgeable) resources from ICTD, SDO, MaPS and IPEA.	* Project expertise is lost, requiring additional effort to achieve milestone * Highly customised solution with limited resources who have the system knowledge (SPOF). * Resource 'burn out' due to long term high intensity work.	* High percentage of team are contractors * Reduced project team due to remaining responsibilities. * Loss of general project knowledge.	* Expenditure reporting design, decisions and outcomes are documented. * Work with IPEA to have appropriate resourcing allocation for the project. * Review of resourcing requirements in accordance withthe Release 1 work plan. * Contract extensions agreed to support the project through to completion of Release 1. * Business areas and project assess recent or soon to be loss of key resources. * Regular health checks on resources. Ensure resources have sufficient down time at time of reduced work load.	Moderate	Possible	Medium	* Resourcing balance for Release 1 is agreed with the SDO. * Manage resources priorities.	Moderate	Unlikely	Medium	s 22 /Michelle Black/Annwyn Godwin/John Sheridan	21/09/22	Open	
5	22/03/18	Quality of product	* UAT finds critical issues that cannot be addressed within the Release 1 timeframe. * Post implementation issues affects users confidence in the system.	* IPEA finds expenditure reporting product deficient. * PEMS perceived as poor quality due to post implementation issues.		Moderate	Unlikely	Medium	* Clearly articulate issues, their cause and remediation. * Timely resolution of issues.	Moderate	Unlikely	Medium	s 22	21/09/22	Open	

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ID	Date Raised	Risk Description	Scenario (Examples)	Source / Cause	Current controls	Risk level			Treatments	Residual Risk			Assigned to	Reviewed Date	Status	Close date
						Consequence	Likelihood	Rating		Consequence	Likelihood	Rating				
29	12/09/18	IPEA's legislative requirements for reporting Parliamentary expenses are not addressed by the reporting solution.	* The PEMS reporting solution does not support IPEA in meeting its responsibilities. * The Expenditure reporting solution does not satisfy business' requirements and testing determines that it cannot be made fit for purpose.	• Limited development resources will be supporting hypercare and the same resources will also be required to do development for Backlog items across all functional areas. * Identification of issues during remaining build and testing that are difficult to resolve. * execution of the remaining test cases not passed by 6 May 2022 reveal additional items to resolve. * solution cannot meet all requirements * business rules for the extracts component are unknown and not documented.	* Expenditure reporting workflow solution is developed with ongoing review and input from IPEA. * Agreed requirements and scope of work for Expenditure management report. * Review PEMS system adherence to revised IPEA and PBR Act recommendations. * Planning to implement the remaining expenditure reporting functionality is in progress. * Project oversee implementation and assign a Change and Release Manager * Retain sufficient knowledgeable project resources to implement remaining functionality. * Create the required data prior to commencing testing to reduce testing timeframe. * Exclude non-expenditure reporting changes from Release 1, except where those changes are required for the expenditure report's completeness and accuracy. * IPEA will be able to observe the performance of expenditure reporting in the Production environment post M7.2 go live. * IPEA prioritised top 60 items and their sequence for addressing.	Moderate	Possible	Medium	* Expenditure Reporting remediation plan agreed by the Project Board. * Confirm assumptions to use Production to validate the expenditure reporting product. * Risk 1 regarding schedule flaws has been realised and transferred to Issue #38 as the impact of the higher than expected development effort for M7.2 hypercare has precluded the delivery of expenditure reporting by 30 September 2022.	Moderate	Unlikely	Medium	Michael Frost, s 22 /Michelle Black/Nicole Pearson	21/09/22	Open	
42	29/10/19	Cost to deliver the remaining project responsibilities will exceed funds set aside in the 2022-23 support charge and available capital funding. Refer to BAU risk #8 – "Enhancements not affordable").	*Insufficient surplus from 2021-22 to cover finalisation of expenditure reporting.	* Insufficient funds to support implementation of Expenditure Reporting. * hypercare consuming more funding than expected.	* Closely monitor project resource allocations and monthly spend. * Weekly review of forecast and actual cost attribution. * Detailed tracking of effort and cost against funds set aside. * Minimise the costs consistent with achieving required results. * Implement measures to minimise scope increase. * Use resources effectively. * Capital funding confirmed * PB and SC to consider further funding of the PEMS Backlog;	Moderate	Unlikely	Medium	* Need to confirm available funding and source to cover delivery of the post go live release of Expenditure Reporting. * There is a surplus of funds from 2021-22 and CFO agrees to roll the forward to 2022-23. * Project Board and Steering Committee to consider further funding of PEMS.	Moderate	Remote	Low	s 22	21/09/22	Open	

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ATTACHMENT 6C – PROJECT ISSUES

#	Date Raised	Related to risk	Issue Description	Raised by	Assigned to	Rating	Open Actions	Due Date	Status	Completed Actions Refer to previous version of the Risk and Issues register for detail prior to January 2019.
26	19/11/2020	-	Benefits approved in the second pass business case are not achieved.	PO	s 22	Low	* Commence assessment for Period 3 reporting - expected delivery date - Q122 * Review in the context of the Gateway Review Team's recommendation: Finance attempts to seek agreement that the success of this Project will be measured in line with delivery against the outputs and outcomes articulated in the Second Pass Business Case and the PEMS Benefits Realisation Plan.	1-Nov-22	In progress	* Propose to the Project Board options for Gateway Reviews in Feb 2021 and prior to go-live in July 2021. * Assurance Review occurred 8 to 12 February 2021. Rating of Amber. All recommendations accepted by Finance. * Gate 4d assurance review occurred May 2021. All recommendations accepted by Finance. * IPEA savings benefits 'reversed' through the 2021-22 Budget for FYs 2021-22 and 2023-24. * Benefits Plan and tracker updated by end of May 2021 to reflect revised Milestone 7 Phase 1 and Phase 2 delivery. * Benefits Working Group initiated 20 May 2021. Meetings scheduled for the w/c 24 May 2021 subsequently cancelled to reduce Phase 1 resource contention concerns. * Benefits re-baselining review requested on 21 September. IPEA responses received, MaPS response expected to be received shortly. * IPEA have added a new benefit B06 'improved supplier management' * Recommence review of updated Benefits Plan. * Review and update the benefits tracker in conjunction with the Benefits Working Group from September 2021. * Implement the actions to address Gate 4d recommendation 1: Ensure that the current re-baselining exercise is completed by November 2021: a. Reviews benefits and outcomes in the context of the Second Pass Business Case and available baseline measures; b. Is expressed at the appropriate level to enable assessment of the success of the project; c. Includes any newly identified benefits or dis-benefits, and d. Includes metrics to assist measurement of improved performance * Update the tracker with revised measuring periods. * Prepare a paper for SC consideration of the Review's recommendation.
38	23/08/2022	1	Project schedule - inherent schedule flaws prevent delivery as planned	PO	s 22	High	* Project Board to agree a recommended approach for delivery Expenditure Reporting in PEMS. * Steering Committee agree to the Project Board recommendation. * PM to product an updated Release 1 delivery schedule for agreement by Project Board and Steering Committee. * SDO to provide Project Delivery Office support to PEMS expenditure reporting.	30-Sep-22	In progress	* Paper delivered to Project Board on 25 August 2022 providing an update on the current position of M7.2 Expenditure Reporting, impacts of the M7.2 hypercare period on development effort, and recommending that build work extend until all agreed essential functionality, production issues and input data issues are resolved for the purposes of providing an accurate expenditure report to parliamentarians and the public. * SDO to provide (as available) additional ABAP resourcing to implement expenditure reporting more quickly.

Australian Government

Department of Finance

Parliamentary Expenses Management System (PEMS) Project

Steering Committee – Agenda

Meeting Details	
Date:	Wednesday 12 October 2022
Time:	3.30pm to 5.00pm
Venue:	RM 3N.38 Mt Woodroffe and/or GovTEAMS video conference
Attendees	*Members*: Ms. Mary Wiley-Smith – Chair Mr. John Sheridan – Project Executive Mr. David de Silva – User, Ministerial and Parliamentary Services (MaPS) Mr. Michael Frost – User, Independent Parliamentary Expenses Authority (IPEA) Ms. Lucelle Veneros – Supplier, Service Delivery Office (SDO) Mr. Simon Quarrell – Independent Member, Digital Transformation Agency (DTA) Mr. Peter Rush – Independent Member, Prime Minister and Cabinet (PM&C) *Observer:* Mr. Ben Rillo – User, SMOS Chief of Staff *Advisers*: s 22 – Supplier (PEMS Branch), ICTD s 22 A/g Director, PEMS Branch, ICTD Ms. Michelle Black – Service Delivery Office (SDO) *Secretariat*: Provided by Project Office

Agenda item	Presenter	Paper / Action

1. Meeting Opening
  a. Apologies
  b. Action Items
  c. Minutes from previous meeting
	Chair	Yes
		Accept Minutes and status of actions

2. Training awareness and communications	David de Silva Michael Frost	Yes **Agree** to the updated Training and Communications Plan
3. Expenditure Reporting update and next steps	Lucelle Veneros John Sheridan	Yes **Discuss** the status of the outstanding defect items that require further investigation **Discuss** the SDO analysis of the residual 90 expenditure reporting test cases **Discuss** the fit-gap analysis of the expenditure report for Members and Senators **Agree** handling strategies for the outstanding items

4. Project delivery update
   a. Project status report
   b. Risks and issues
	John Sheridan	Yes
		Agree the project status report for Milestone 7
		Discuss the project risks and issues

5. Other Business a. Closing PEMS M7.2 Hypercare	Chair	No A presentation will be distributed on the morning of 12 October.

Next Meeting: 11.00am – 12.00pm, Thursday 17 November 2022
RM 3N.38 Mt Woodroffe and/or GovTEAMS video conference

Action Items

Item	Action	Owner	Status	Comments
Actions from meeting of 16/06/2022				
A111	Update the Terms of Reference and membership arrangements of the proposed Governance Arrangements.	PO	In progress	10/10/22 – Project Team to distribute the updated ToRs to Steering Committee for out of session consideration. 05/10/22 – Considered at the meeting of 27/9/22. Refer to Action Item A116 19/09/22 – Terms of Reference have been updated to include the attendance of an independent advisor and a user representative from the SMOS's office. 08/07/22 – The draft Terms of Reference (ToR) for the Change Authority have been distributed to business areas for feedback and confirmation of membership. The ToR for the Project Board and Steering will be reviewed an updated, if required to cover the roles and responsibilities to project closure.
Actions from meeting of 14/07/2022				
A112	Confirm the Executive Management Committee and the Management Board dotted line connection in the Governance Arrangements paper.	PO	In progress	
Actions from meeting of 11/08/2022				
A113	Report Project Board's evolving discussion of Risk #29	PO	New	05/09/22 – risk #29 updated and presented to the Project Board on 31 August, this risk hasn't changed significantly as the deliverable isn't in question, rather the date of delivery is being reconsidered as per action A115. This risk will be updated as required based on the outcome of the discussion on A115 in the meeting.
A114	Redistribute the finalised documents accepted as part of A109's and A110's closure to Members.	PO	New	19/09/22 – governance papers are included in the document pack for the 27 Sept meeting.
Actions from meeting of 27/09/2022				
A116	Chair to meet with Simon Quarrell to discuss the DTA's role on the Committee.	Chair	New	

Item	Action	Owner	Status	Comments
A117	IPEA and MaPS to update the Steering Committee Terms of Reference (ToRs).	MaPS IPEA	New	
A118	MaPS to brief to SMOS on possible delegations.	MaPS	New	
A119	SDO to work with Mr Rillo and staff in the SMOS office to test PEMS as required.	SDO Mr Rillo	New	
A120	SDO and IPEA to investigate the 15 items that require further investigation and to come back to the Committee with options, including potential workarounds to ensure that the expenditure reports are correct.	SDO IPEA	New	
A121	SDO to compare the current reporting with the new PEMS Reporting to identify any differences and additional requirements	SDO	New	
A122	Schedule a Steering Committee meeting in 2 weeks to discuss the progress of the Expenditures report, and the 15 work items requiring investigation.	PO	Closed	5/10/22 – extra-ordinary meeting of the PEMS Steering Commmittee scheduled for 12 Oct 2022.

Australian Government
Department of Finance

Parliamentary Expenses Management System (PEMS) Project

Steering Committee – Meeting Minutes

Meeting Details	
Date:	Tuesday, 27 August 2022
Time:	11.00am to 12.30pm
Venue:	GovTEAMS video conference
Attendees:	Ms. Mary Wiley-Smith – Chair Mr. John Sheridan – Project Executive Mr. Annwyn Godwin – Senior User, Independent Parliamentary Expenses Authority (IPEA) Mr. David De Silva – Senior User, Ministerial and Parliamentary Services (MaPS) Ms. Lucelle Verenos – Senior Supplier, Service Delivery Office (SDO) Mr. Simon Quarrell – Member, Digital Transformation Agency (DTA) Advisers Mr. David Sabin – A/g PEMS Branch Head and Senior Supplier, ICTD s 22 – PEMS A/g Director Mr. Michael Frost – Branch Head, IPEA Observers Mr. Ben Rillo – Chief of Staff, Special Minister of State s 22 – MaPS

1. Meeting Opening	
Summary	*Apologies* Mr. Peter Rush – Member, Prime Minister and Cabinet (PM&C) *Minutes* The Minutes of the meeting of 11 August 2022 were accepted.
Decisions	The Steering Committee **accepted** the minutes from the previous meeting.
Actions	Nil

2. Steering Committee – Updated Terms of Reference (ToR)	
Summary	The **Committee agreed to update** the ToRs to: • Include Mr Rillo as an Observer to the Committee • Strengthen the Committee's role to consider the experience, engagement and feedback of users.

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	• Include an independent expert on the Committee to provide advice and assurance • Update the background information to reflect progress over the last few years. The Chair noted that an internal audit will be undertaken on PEMS next year to prepare for possible external scrutiny given the delays to the build. The **Committee noted** that: • significant work may be required post project closure in December to address user feedback, backlog issues and any future changes as a result of the implementation of *Set the Standard* report. This could lead to the establishment of a new oversight Committee or a revamp of the existing one. • DTA's role on the Committee could complement the proposed independent advisor.
Actions	**A116** – The **Chair agreed** to meet with Simon Quarrell separately to discuss the DTA's role on the Committee. **A117** – IPEA and MaPs to update the ToRs.
3. User experience feedback	
Summary	Mr Rillo provided an update to the Committee on the experience of using PEMS by parliamentarians and their staff. In particular he covered the different types of work environments and styles in parliamentary offices and the need for a range of tailored training and engagement. He also noted that PEMS is just one of 11 systems used. The **Committee agreed to**: • Accept Mr RIllo's offer to use the SMOS's office staff to test the PEMS reporting functionality and future enhancements, and thanked Mr Rillo for his offer of assistance. • Consider changes to the specs where possible to make PEMS more user friendly, including looking at whether parliamentarians can delegate some approvals to their staff.
Actions	**A118** – MaPs to brief the SMOS on possible delegations **A119** – SDO to work with Mr Rillo and staff in the SMOS office to test PEMS as required.
4. Expenditure Reporting (Release 1)	
Summary	An update on the progress to date was provided to the Committee. The **Committee agreed** to continue to deliver the MVP for the reporting function by 31 October 2022, noting however that 15 work items (specs from IPEA) require further investigation and discussion at the next meeting. Mr Rillo mentioned that from a change management perspective, a report with the same look and feel as the current report would be expected. The expenditure reports attract a lot of attention and accuracy is preferable over timeliness, but ideally both. The **Committee agreed** that a further meeting is required to understand the 15 items and their impact on the expenditure reporting for December, and to discuss the remaining Agenda items.
Actions	**A120** – SDO and IPEA to investigate the 15 items that require further

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	investigation and to come back to the Committee with options, including potential workarounds to ensure that the expenditure reports are correct. **A121** – SDO to compare the current reporting with the new PEMS reporting to identify any differences and additional requirements. **A122** – Schedule a Steering Committee meeting in 2 weeks to discuss the progress of the Expenditure report, and the 15 work items requiring investigation
5. Other Business	
The meeting closed at 12:47pm.	

Action Items

Item	Action	Owner	Status	Comments
Actions from meeting of 16/06/2022				
A111	Update the Terms of Reference and membership of the proposed Governance Arrangements.	IPEA and MaPS	In progress	05/10/22 – Considered at the meeting of 27/9/22. Refer to Action Item A116 19/09/22 – Terms of Reference have been updated to include the attendance of an independent advisor and a user representative from the SMOS's office. 08/07/22 – The draft Terms of Reference (ToR) for the Change Authority have been distributed to business areas for feedback and confirmation of membership. The ToR for the Project Board and Steering will be reviewed an updated, if required to cover the roles and responsibilities to project closure.
Actions from meeting of 14/07/2022				
A112	Confirm the Executive Management Committee and the Management Board dotted line connection in the Governance Arrangements paper.	PO	In progress	
Actions from meeting of 11/08/2022				
A113	Report Project Board's evolving discussion of Risk #29.	PO	In progress	05/09/22 – risk #29 updated and presented to the Project Board on 31 August, this risk hasn't changed significantly as the deliverable isn't in question, rather the date of delivery is being reconsidered as per action A115. This risk will be updated as required based on the outcome of the discussion on A115 in the meeting.
A114	Redistribute the finalised documents accepted as part of A109's and A110's closure to Members.	PO	In progress	19/09/22 – governance papers included in the document pack for the meeting of 27 September.
A115	Provide an out-of-session update regarding the complete delivery of Release 1 and possible strategies (i.e. increased funding/resources) to achieve the required outcome by 30 September 2022.	PO	Closed	5/10/22 – Paper provided and considered at the meeting of 27 September.

Item	Action	Owner	Status	Comments
Actions from meeting of 27/09/2022				
A116	Chair to meet with Simon Quarrell to discuss the DTA's role on the Committee.	Chair	New	
A117	IPEA and MaPS to update the Steering Committee Terms of Reference (ToRs).	MaPS IPEA	New	
A118	MaPS to brief to SMOS on possible delegations.	MaPS	New	
A119	SDO to work with Mr Rillo and staff in the SMOS office to test PEMS as required.	SDO Mr Rillo	New	
A120	SDO and IPEA to investigate the 15 items that require further investigation and to come back to the Committee with options, including potential workarounds to ensure that the expenditure reports are correct.	SDO IPEA	New	
A121	SDO to compare the current reporting with the new PEMS Reporting to identify any differences and additional requirements	SDO	New	
A122	Schedule a Steering Committee meeting in 2 weeks to discuss the progress of the Expenditures report, and the 15 work items requiring investigation.	PO	New	

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PARLIAMENTARY EXPENSES MANAGEMENT SYSTEM (PEMS) STEERING COMMITTEE

MEETING DATE: Wednesday, 12 October 2022

AGENDA ITEM	2. Training awareness and communications
ACTION	Item for decision
PRESENTING OFFICER	David De Silva, Department of Finance MIchael Frost, Independent Parliamentary Expenses Authority

Outcome sought

1. The Committee **agree** to the revised approach to PEMS user training.

Key Issues

<u>Current training approach</u>

Pre Phase 2 go live

1. To support the introduction of the PEMS Phase 2 release, MaPS offered GovTeams awareness training sessions in the last two weeks of June 2022. The training, which included the HR functionality (Phase 1), targeted the new Members of Parliament and their staff. The uptake was low (8 attendees) – noting many office were still becoming established.

Post Phase 2 go live

2. A comprehensive package of training sessions and supporting material e.g. instructional videos, Help Guides, etc. was made available following the Phase 2 go-live.

3. In addition, since go live, MaPS and IPEA have undertaken training with many staff and offices to assist with entering claims, accessing budget related information and other systems matters or issues. This support remains ongoing.

4. MaPS also deployed staff to Parliament House to provide face-to-face and GovTeams small group training sessions twice per day in July 2022 and as requested for the first two weeks of August 2022.

    o The training covered basic usage of the PEMS dashboard functions and HR tiles as well as reviewing claims and certifying Office claims.

    o Training was customised for each participant as experience within PEMS varied greatly.

5. MaPS training sessions were also booked outside of the scheduled sessions to personalise particular office needs and levels of experience. The sessions were mostly provided one-on-one, or with up to three staff members from the same office. The uptake of the MaPS Phase 2 training was also low with 63 staff attending in the six week period.

6. IPEA also provided parliamentarians and their staff an overview of PEMS travel functionality face-to-face at CPOs, over the phone, via GovTeams and at APH.

7. While some participants expressed frustration with the system functionality our trainer received positive feedback on the training content. Small group training sessions remain available on request.

8. IPEA continues to receive calls from clients who are struggling to lodge a travel claim, view a budget or review travel expenses. In these cases IPEA works through the claim with the client explaining each step and ensuring they are able to submit their claim. A common point of confusion is the way PEMS requires a trip to be set up and then each part of the travel to be entered as a separate leg within the dates set by the trip itself.

Revised training approach

9. The majority of the user calls currently received in MaPS relate to general use/awareness rather than particular system issues. MaPS is currently assessing the nature of those calls to inform the content to a revised training approach.

10. MaPS is proposing the following:

    o Face-to-face training at all CPOs. Our trainer would travel to each location at least once.

        ▪ Face-to-face engagement may result in higher attendance.

    o Targeted face-to-face training. A small number of offices are still not using PEMS in any capacity. Our trainer would arrange training session with each office and run those staff through basic PEMS functionality, provide a Q&A session and arrange more detailed training as required.

        ▪ The training would also highlight the benefits of PEMS (e.g. faster claim processing time and the ability to process claims from any device in any location).

    o Re-establish the PEMS User Reference Group (URG). Membership would be open to all parliamentarians and MOP(S) Act employees. We would supplement the current Terms of Reference (a forum for members to discuss PEMS systems requirements, participate in UAT and provide feedback on education materials) to include information sharing on system usability and members would be identified as 'PEMS champions' whose role would be to share their knowledge and enthusiasm with their colleagues.

    o Introduction of PEMS Super User training. We will offer a 'Certificate in PEMS'. In a 'train the trainer' format, our trainer will run a one day workshop aimed at Office Managers. Following a short test of knowledge gained, attendees will be awarded a 'Certificate in PEMS' acknowledging their ability to train their colleagues in the use of PEMS. We expect the certificate will be attractive to MPs when recruiting staff.

    o PEMS 'for dummies' user help guide. We would develop an online guide covering all basic functionality and processing steps and easy to follow checklist to minimise claim errors. The content and approach would be tested with the URG. In the longer term, more detailed Help Guides for more complex functionality would be developed (early 2023).

    o Additional training for new parliamentarians. As part of the follow-up post inductions, new parliamentarians have recently been asked if they would like more information on PEMS. Some have requested training which will be provided in the coming weeks, customised to individual capability.

11. IPEA is publishing a series of animated videos that step through the process e.g. lodging a travel claim. IPEA is also publishing a series of step-by-step IPEA PEMS guides that may be saved or printed. These are being published in early October 2022.

12. IPEA will be offering Education Sessions around Australia during November and these will include a segment dedicated to IPEA related PEMS functionality. Offices will also be able to request electorate office visits to obtain a more tailored education session for their office.

Enhanced communications

13. Awareness raising remains a critical issue. MaPS will develop a new PEMS Communication Plan that incorporates regular PEMS e-news and updates. In addition, the PEMS online presence will be refreshed to:

    o Update the MaPS Website landing page with a static banner relating to PEMS information and access to training

    o Update the PEMS log on page with a link to the MOP(S) Learning – PEMS training

    o Update the MOP(S) Learning landing page with a new static banner to success PEMS training

14. The new IPEA education animations and PEMS Guides will be published on the IPEA website. All parliamentarians and staff will receive an email advising where to find the new products.

Background

15. To assist new and existing users with the Phase 2 PEMS roll out, on 4 July 2022 MaPS and IPEA implemented enhanced client support. This included a dedicated help desk, training sessions, digital learning products, and targeted communications. MaPS published 13 short instructional videos and created promotional material. Regular PEMS news is emailed to users and a new page on the PEMS website provides tips, tricks and fact sheets.

16. For Post Phase 2 MaPS training, the largest session booked was for 30 staff members from independent offices with only 15 staff attending. One Senator undertook face-to-face training using his mobile phone, assisted by our trainer. The most popular states for registrations came from SA, VIC and WA. With NSW having the least amount of external training participants.

17. MaPS Phase 2 training officers were positioned at APH during sitting week which saw only a steady uptake of promotional material. Six people dropped into the on-site MaPS office.

PEMS STEERING COMMITTEE

MEETING DATE: Wednesday, 12 October 2022

AGENDA ITEM	3. Expenditure Reporting update and next steps
ACTION	Item for discussion
RESPONSIBLE OFFICER	Lucelle Veneros, Department of Finance John Sheridan, Department of Finance

Outcome sought

That the Committee:

1.   **Discuss** the status of the outstanding defect items that require further investigation at Attachment A.

2.   **Discuss** the SDO analysis of the residual 90 expenditure reporting test cases at Attachment B.

3.   **Discuss** the fit-gap analysis of the expenditure report for Members and Senators at Attachment C.

4.   **Agree** handling strategies for the outstanding items.

Key Issues

1.   SDO's analysis of the outstanding defect items has been provided to IPEA for input including IPEA's assessment of the risk should these items not be delivered in the expenditure reporting MVP. SDO's analysis is at Attachment A.

2.   The SDO has completed an analysis on the status of the residual 90 expenditure reporting test cases against the scope of the MVP build. Based on SDO's assessment, 80 of the test cases are captured in the defects, change requests and gaps to be delivered by the MVP by 31 October. Further input has been sought from IPEA with respect to the alignment of the use cases to the MVP and further insight on where IPEA consider additional data will be required in other to complete the MVP. SDO's analysis is at Attachment B.

3.   The SDO has performed a fit-gap analysis of the current expenditure report with the PEMS system. Consultation with IPEA will be undertaken with respect to this analysis. SDO's analysis is at Attachment C.

4.   The SDO and IPEA continue to work together on the data requirements for use cases which are currently ready for testing.

Attachments

A: Outstanding defect items

B: SDO analysis of the residual expenditure reporting cases

C: Fit-gap analysis for the expenditure report for Members and Senators.

Attachment A: SDO Analysis outstanding defect items

Type	Defect ID	BL Sequence	Severity	Priority	Status	Summary	Comments
GAP - Defect	6060	12	2-Major	2-Very High	Closed	PEMS - Prod Release 1 - Expenditure Reporting - Parl POWL - Unable to view Employer Details and select Users to assign Authorisations	- Item has passed testing - To be deployed as part of Exp Rep go-live - No data gaps identified for Exp Rep
Defect	5959	19	2-Major	2-Very High	Ready to Test	PEMS - Expenditure Reporting - When a staff member has been authorised to review expenditure reports, they should be able to access all the expense details via the hyperlinks in the expenditure reporting POWL	- Proposed solution accepted by IPEA, no change to existing design - To be deployed as part of Exp Rep go-live - No data gaps identified for Exp Rep
Variation (CR)	5282	29	3-Moderate	3-High	Open	PEMS HUB - Expenditure Report - Adjusting a FCM Claim (eg. change in location) does not display in the Expenditure Reporting	- Development not started as it is a change to Phase 2 apps - Design to be confirmed by SDO and IPEA - Change can be deployed independently from Exp Rep go-live - Data gaps will occur for Exp Rep executed for past periods
Defect	5920	30	2-Major	2-Very High	Open	PEMS - Phase2 - Expenditure Reporting - Where a travel provider B file is loaded into PEMS and this changes data included in expenditure reporting, the updated data should show in the expenditure reporting period in which the B file was loaded into PEMS	- Development not started as it is a change to Phase 2 apps - Design to be confirmed by SDO and IPEA - Change can be deployed independently from Exp Rep go-live - Data gaps will occur for expenditure reports executed for past periods
Defect	5826	34	2-Major	2-Very High	Open	PEMS - Phase2 - Expenditure reporting - When cabcharge transaction is adjusted for claimant and work expense the full amount including Service fee is not adjusted correctly	- Fixed in July 2022 as part of Hypercare - IPEA should test this as part of Exp Rep UAT - Data gaps may occur for Exp Rep executed for past periods (to be confirmed)
Defect	5894	35	2-Major	2-Very High	Investigate	PEMS - Phase2 - Expenditure reporting - Transaction Type showing incorrectly as MaPS when It is a IPEA travel expense	- Dependency on EMS interface to provide information - Change can be deployed independently from Exp Rep go-live - Data gaps will occur for Exp Rep executed for past periods
Defect	5939	38	2-Major	2-Very High	Investigate	PEMS - ER - For international travel where the traveller (either parliamentarian or staffer) is from a different office to the parliamentarian who is responsible for the trip, ensure that this international travel appears in the appropriate Par exp Report	- Development has started as it is a change to Phase 2 apps - Design has been confirmed by SDO and IPEA - Change can be deployed independently from Exp Rep go-live - Data gaps will occur for Exp Rep executed for past periods
Defect	5880	39	2-Major	2-Very High	Investigate	PEMS - Phase2 - Expenditure Reporting - Expense Type details not appearing for historical data	- Dependency on EMS interface to provide information - Change can be deployed independently from Exp Rep go-live - Data gaps will occur for Exp Rep executed for past periods
Defect	5881	40	2-Major	2-Very High	Ready to Test	PEMS - Phase2 - Expenditure Reporting - Office details not appearing for historical data	- Build complete and ready for testing - To be deployed as part of Exp Rep go-live - No data gaps identified
Defect	5887	41	2-Major	2-Very High	Ready to Test	PEMS - Phase2 - Expenditure Reporting - Historical transaction adjusted in EMS Green, negative line showing through correctly, however the adjusted claim is not reporting in PEMS IPEA and Parl POWLS	- Dependency on EMS interface to provide information - Change can be deployed independently from Exp Rep go-live - Data gaps will occur for Exp Rep executed for past periods
Defect	5895	42	2-Major	2-Very High	Ready to Test	PEMS - Phase2 - Expenditure Reporting - Negative adjusted line is missing from IPEA and Parl View when Historical claim that is paid and adjusted in EMS	- Dependency on EMS interface to provide information - Change can be deployed independently from Exp Rep go-live - Data gaps will occur for Exp Rep executed for past periods
Defect	5897	43	2-Major	2-Very High	Ready to Test	PEMS - Phase2 - Expenditure Reporting - Description field is blank in IPEA POWL when historical transaction is adjusted from one office to another	- Dependency on EMS interface to provide information - Change can be deployed independently from Exp Rep go-live - Data gaps will occur for Exp Rep executed for past periods
Defect	5929	44	2-Major	2-Very High	Investigate	PEMS - Expenditure Reporting - How adjustments to historical (in EMS) Staff TA claims should report	- Dependency on EMS interface to provide information - Change can be deployed independently from Exp Rep go-live - Data gaps will occur for Exp Rep executed for past periods
Defect	5933	45	2-Major	2-Very High	Investigate	PEMS - Expenditure Reporting - How Parl TA split claims in EMS (historical data) should report	- Dependency on EMS interface to provide information - Change can be deployed independently from Exp Rep go-live - Data gaps will occur for Exp Rep executed for past periods
Defect	5935	46	2-Major	2-Very High	Investigate	PEMS - Expenditure Reporting - Transaction reference numbers for historical data coming into PEMS from EMS. EMS transactions coming into PEMS are given a new transaction number making them difficult to reference back to the transaction in EMS	- IPEA to confirm design proposed by SDO - To be deployed as part of Exp Rep go-live - No data gaps identified
Defect	6112	101	3-Moderate	3-High	Open	PEMS - Expenditure Reporting - Unable to revoke the Review Expenditure Reports authorisation in QAS	- Development not started as it is a change to Phase 1 app for Parliamentarians - Design to be confirmed by SDO and IPEA/MaPS - Change can be deployed independently from Exp Rep go-live - No data gaps identified for Exp Rep

PEMS STEERING COMMITTEE

MEETING DATE: Wednesday, 12 October 2022

AGENDA ITEM	4. Project delivery update
ACTION	Item for decision
PRESENTING OFFICER	John Sheridan CIO & CISO, Project Executive ICT Division, Department of Finance Contact Number

Outcome sought

That the Committee:

1.   **agree** the project status report for Milestone 7.

2.   **discuss** the project risks and issues.

Key Issues

Project status and Hypercare update

1.   As at 7 October 2022, the overall status of the project for Milestone 7.2 at <u>Attachment 4A</u> is rated amber. This is primarily due to the continuation of heightened post-deployment (Hypercare) support, which has contributed to delays in the project schedule for Release 1 (expenditure reporting).

2.   The PEMS Project Board is considering the implications of concluding the Hypercare period on 14 October 2022. As at 7 October, there were 11 priority issues remaining for remediation during the Hypercare period. Once the PEMS Project Board agrees to close the Hypercare period, all outstanding items will be prioritised on the backlog list.

3.   Two severity-2 issues remain:

    a) Severity-2: Duplicate payments made to suppliers, e.g. CTM, CP Digital. As at 7 October detailed investigations are ongoing with 293 affected claims identified. Remediation actions to be determined and confirmed with SDO, MaPS and IPEA. The PEMS technical team are implementing a number of system updates to prevent further issues, for deployment into production as soon as practicable.

    b) Severity-2: Error message when submitting a transaction with multiple lines.

4.   The above issues as well as the remaining nine priority incidents are progressing with daily business engagement.

5.   The project team resolved four incidents in the week ending 6 October including the

2

following priority issue (<u>Attachment 4B</u> refers):

    a)   Severity-2: Travel being incorrectly deducted from the Electorate Support Budget.

<u>Project risks and issues</u>

6.   Four project risks remain open (<u>Attachment 4C).</u>

7.   There are two open project issues (<u>Attachment 4D</u>).

Attachments

4A: Project Status Report
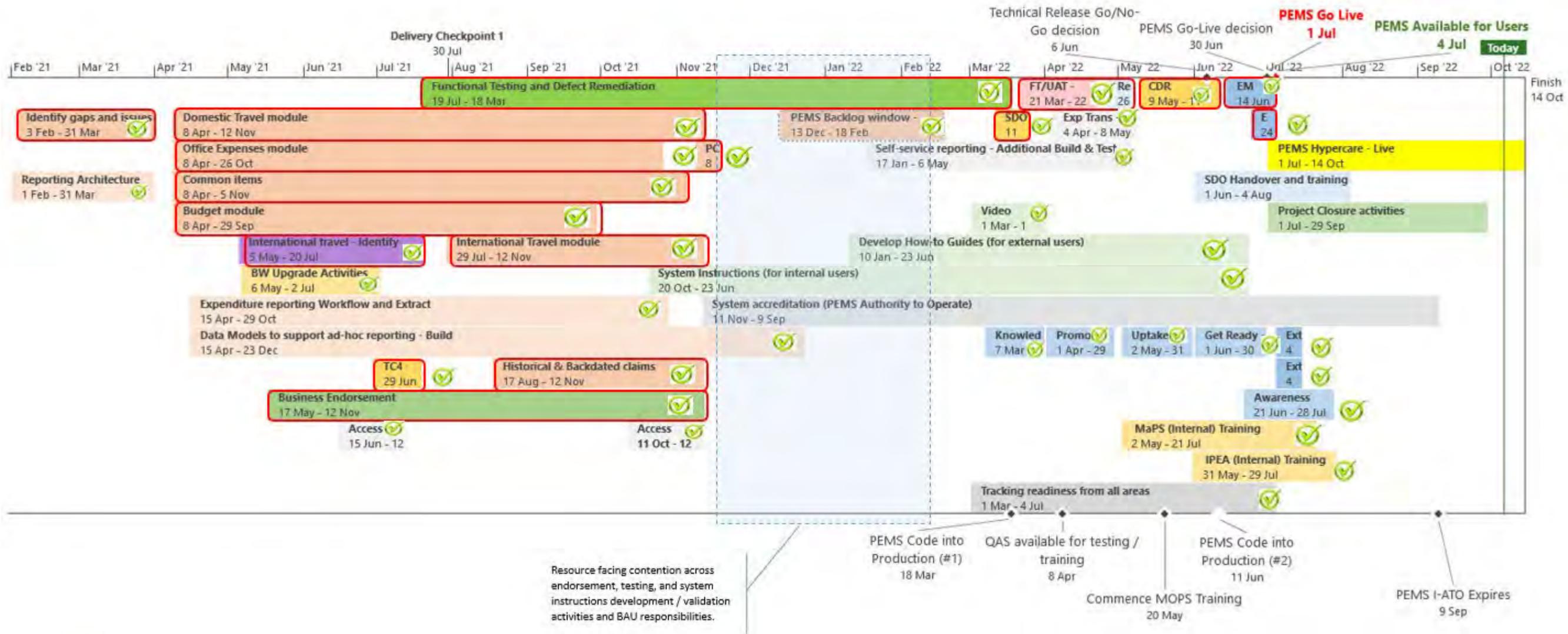
4B: Hypercare Dashboard

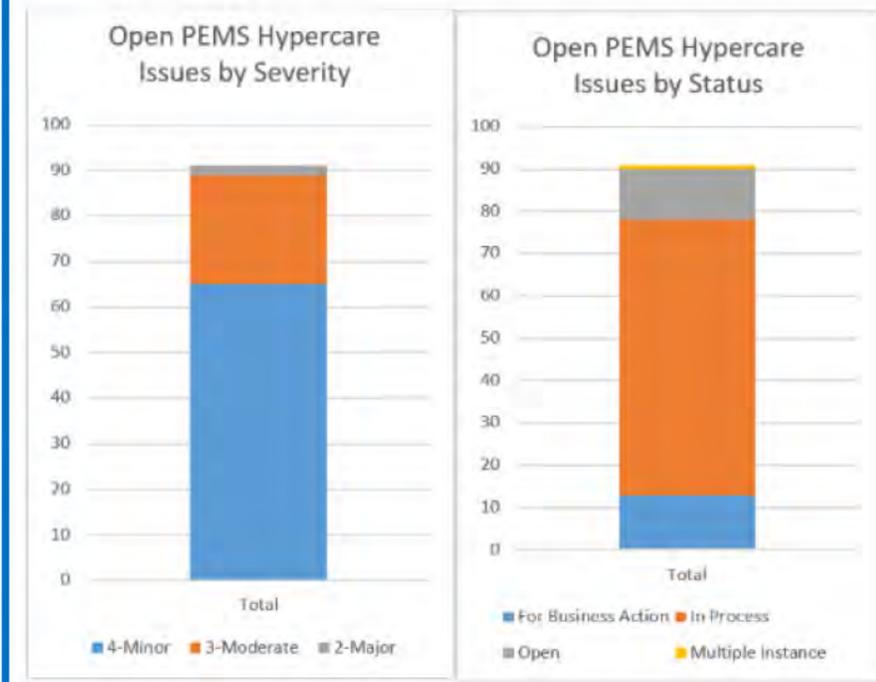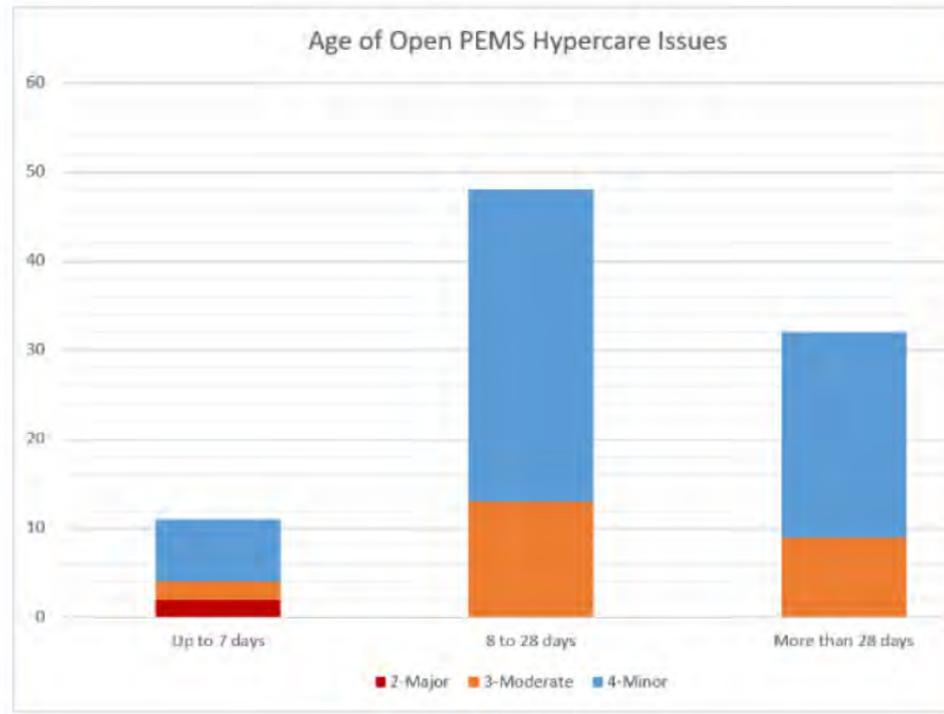4C: Project Risks

4D: Project Issues

1. Project Status Report – Milestone 7

Summary	Previous Status	Current Status	Commentary
Overall Status	→ (amber)	→ (amber)	*Overall* • As at 7 October 2022, the overall status of the project for Milestone 7.2 is rated amber. This is primarily due to the continuation of heightened post-deployment (Hypercare) support, which has contributed to delays in the project schedule for Release 1 (expenditure reporting). • Two severity-2 issues remain for remediation.
Schedule	→ (amber)	→ (amber)	Key dates for critical path activities (refer Attachment 3): **Key Date** — **Description** — **Progress** 18 March onwards — Technical documentation and knowledge transfer to SDO — In Progress 31 October 2022 — Release 1 (Expenditure Reporting) — In Progress
Scope / Requirements	→ (amber)	→ (amber)	**Release 1 (Expenditure Reporting):** • Steering Committee are expected to consider Project Board's preferred option for the delivery of the Expenditure Report for the delivery of a Minimal Viable Product (MVP) by 31 October 202 at its 12 October meeting.

Support Organisation	→ (green)	→ (green)	**Phase 1**
			• There are no issues of concern. A dashboard is distributed to Senior Users weekly.
			
			Phase 2
			• Heightened post-deployment (hypercare) support is due to close 14 October. Its extension is reviewed weekly by Project Board.
			• Project Board is considering the implications of concluding the Hypercare period. Once the PEMS Project Board agrees to close the Hypercare period, all outstanding items will be prioritised on the backlog list.
			• As at 7 October, there were 11 priority issues remaining for remediation, including two severity-2 issues:
			  o Severity-2: Duplicate payments made to suppliers, e.g. CTM, CP Digital. As at 7 October detailed investigations are ongoing with 293 affected claims identified. Remediation actions to be determined and confirmed with SDO, MaPS and IPEA. The PEMS technical team will implement a number of system updates to prevent further issues as soon as practicable.
			  o Severity-2: Error message when submitting a transaction with multiple lines. Estimated date for a fix into production is 13 Oct.
			• The project team resolved four incidents in the week ending 6 October including the following priority issue:
			  o Severity-2: Travel being incorrectly deducted from the Electorate Support Budget.
			• An update on the high severity issues will be tabled at the Committee meeting.

Resources	→ (green)	→ (green)	• Ongoing resourcing will be shared between BAU and remaining project work so will need to manage associated priorities.
Issues	→ (amber)	→ (amber)	• There are two open project issues from 38 issues identified to date (refer Attachment 1).
Risks	→ (green)	→ (green)	• Four project risks remain open from 71 risks raised for the project (refer Attachment 2).

Governance	→ (green)	→ (green)	• Scheduled meetings:
			  o Risk Workshop: Wednesday 19 October 2022.
			  o Project Board: Wednesday 26 October 2022.
			  o Steering Committee: Thursday 17 November 2022.

Legend: On Target	Alert	Escalate	Overall
			Green Light Criterion = All green, or only one amber with no red **Amber Light** Criterion = More than one amber but no red **Red Light** Criterion = One or more red
Identified issues being managed and updated regularly	Issues are likely to affect the implementation effort if action is not taken and managed	Issues will have a significant effect on the implementation effort if action is not taken and managed	

Report Date: 7 October 2022

PEMS MILESTONE 7.2 HIGH LEVEL SCHEDULE

Technical Release Go/No-Go decision
6 Jun

PEMS Go-Live decision
30 Jun

PEMS Go Live
1 Jul

PEMS Available for Users
4 Jul

Today

Delivery Checkpoint 1
30 Jul

| Feb '21 | Mar '21 | Apr '21 | May '21 | Jun '21 | Jul '21 | Aug '21 | Sep '21 | Oct '21 | Nov '21 | Dec '21 | Jan '22 | Feb '22 | Mar '22 | Apr '22 | May '22 | Jun '22 | Jul '22 | Aug '22 | Sep '22 | Oct '22 |

Finish
14 Oct

Functional Testing and Defect Remediation
19 Jul - 18 Mar

FT/UAT -
21 Mar - 22   Re 26

CDR
9 May - 1

EM
14 Jun

Identify gaps and issues
3 Feb - 31 Mar

Domestic Travel module
8 Apr - 12 Nov

PEMS Backlog window -
13 Dec - 18 Feb

SDO
11

Exp Trans
4 Apr - 8 May

E
24

Office Expenses module
8 Apr - 26 Oct

PC
8

Self-service reporting - Additional Build & Test
17 Jan - 6 May

PEMS Hypercare - Live
1 Jul - 14 Oct

Reporting Architecture
1 Feb - 31 Mar

Common items
8 Apr - 5 Nov

SDO Handover and training
1 Jun - 4 Aug

Budget module
8 Apr - 29 Sep

Video
1 Mar - 1

Project Closure activities
1 Jul - 29 Sep

International travel - Identify
5 May - 20 Jul

International Travel module
29 Jul - 12 Nov

Develop How-to Guides (for external users)
10 Jan - 23 Jun

BW Upgrade Activities
6 May - 2 Jul

System Instructions (for internal users)
20 Oct - 23 Jun

Expenditure reporting Workflow and Extract
15 Apr - 29 Oct

System accreditation (PEMS Authority to Operate)
11 Nov - 9 Sep

Data Models to support ad-hoc reporting - Build
15 Apr - 23 Dec

Knowled
7 Mar

Promo
1 Apr - 29

Uptake
2 May - 31

Get Ready
1 Jun - 30

Ext
4

TC4
29 Jun

Historical & Backdated claims
17 Aug - 12 Nov

Ext
4

Business Endorsement
17 May - 12 Nov

Awareness
21 Jun - 28 Jul

Access
15 Jun - 12

Access
11 Oct - 12

MaPS (Internal) Training
2 May - 21 Jul

IPEA (Internal) Training
31 May - 29 Jul

Tracking readiness from all areas
1 Mar - 4 Jul

PEMS Code into Production (#1)
18 Mar

QAS available for testing / training
8 Apr

PEMS Code into Production (#2)
11 Jun

Resource facing contention across endorsement, testing, and system instructions development / validation activities and BAU responsibilities.

Commence MOPS Training
20 May

PEMS I-ATO Expires
9 Sep

Age of Open PEMS Hypercare Issues

Legend: 2-Major, 3-Moderate, 4-Minor
Categories: Up to 7 days, 8 to 28 days, More than 28 days

Open PEMS Hypercare Issues by Severity

Legend: 4-Minor, 3-Moderate, 2-Major

Open PEMS Hypercare Issues by Status

Legend: For Business Action, In Process, Open, Multiple Instance

PEMS Claims

Unpaid Claims - Status by Module

Categories: Cabcharge, Charter / Hire, Dept. Foreign Affairs & Trade, Domestic Travel Allowance, Domestic Travel Expenses, International Trip Claim, MaPS Administered Office Expenses, MOPS Self Service Office Claim, Office Provider transactions, Travel Services Provider

Legend: Draft, Awaiting Submission, Awaiting Certification, Certified, Manually Certified, Awaiting Verification, Returned, Verified, Awaiting Acquittal, Under Adjustment, Error in SAP posting, SAP FI Document Posted

Commentary:

- There are 93 open hypercare incidents.
- Heightened post-deployment (hypercare) support is due to close 7 October.
- Incidents identified as delaying the payment of a claim are reported as a:
  - Severity-2 if it involves a parliamentarian, or
  - Severity-3 if it involves a staffer.

New or upgraded Major Issues (including issues or Change Requests preventing the payment of a claim):

Open issues or Change Requests preventing the payment of a claim:

- Sev-2 Error message when submitting a transaction with multiple lines. This is under investigation. Estimated date for a fix into production is **13 Oct**.
- Sev-3 Claim reassign required for Tim Murray (Office Albanese) due to the retirement of the person the claims are currently assigned to. There is no estimated date for a fix in production as yet.
- Sev-3 Contract dates - Overlapping travel dates between the employment of two offices. This is a requirements change, not a system issue (CR26 - Contract Dates). It will allow the payment of 15 claims. Work commenced 27 Sept. Development is expected to take 5 weeks effort and will preclude other changes being undertaken.
- Sev-3 Error for claims prior to contract commencement. This is a requirements change, not a system issue. It is part of the fix for CR27 Contract Dates.
- Sev-3 International ticket with domestic leg - missing Dominant Purpose option. This issue is preventing payment to a supplier (CTM) and requires a code fix. IPEA advised this is the third priority for a fix. Estimated date for a fix into production is **13 Oct**.
- Sev-3 Unable to reject claim - No dominant purpose for staffers. 2 tickets cannot be paid to CTM. Files can continue to load. This will be worked on after the Contract Dates CR.
- Sev-3 Overseas - Duplicate profile for staffer. There are 3 occurrences of this issue. Estimated date for a fix into production is **13 Oct**.
- Sev-3 Error with invoice - Cannot find unique work expense for staffer. This is preventing the payment of 1 claim. Estimated date for a fix into production is **13 Oct**.
- Sev-3 Claim not able to be verified for staffer (10 night limit). There is no estimated date for a fix in production as yet.
- Sev-3 Staff accommodation adjustment - (i) information - PCR 36 additional request. The CR is not prioritised by IPEA at this stage.
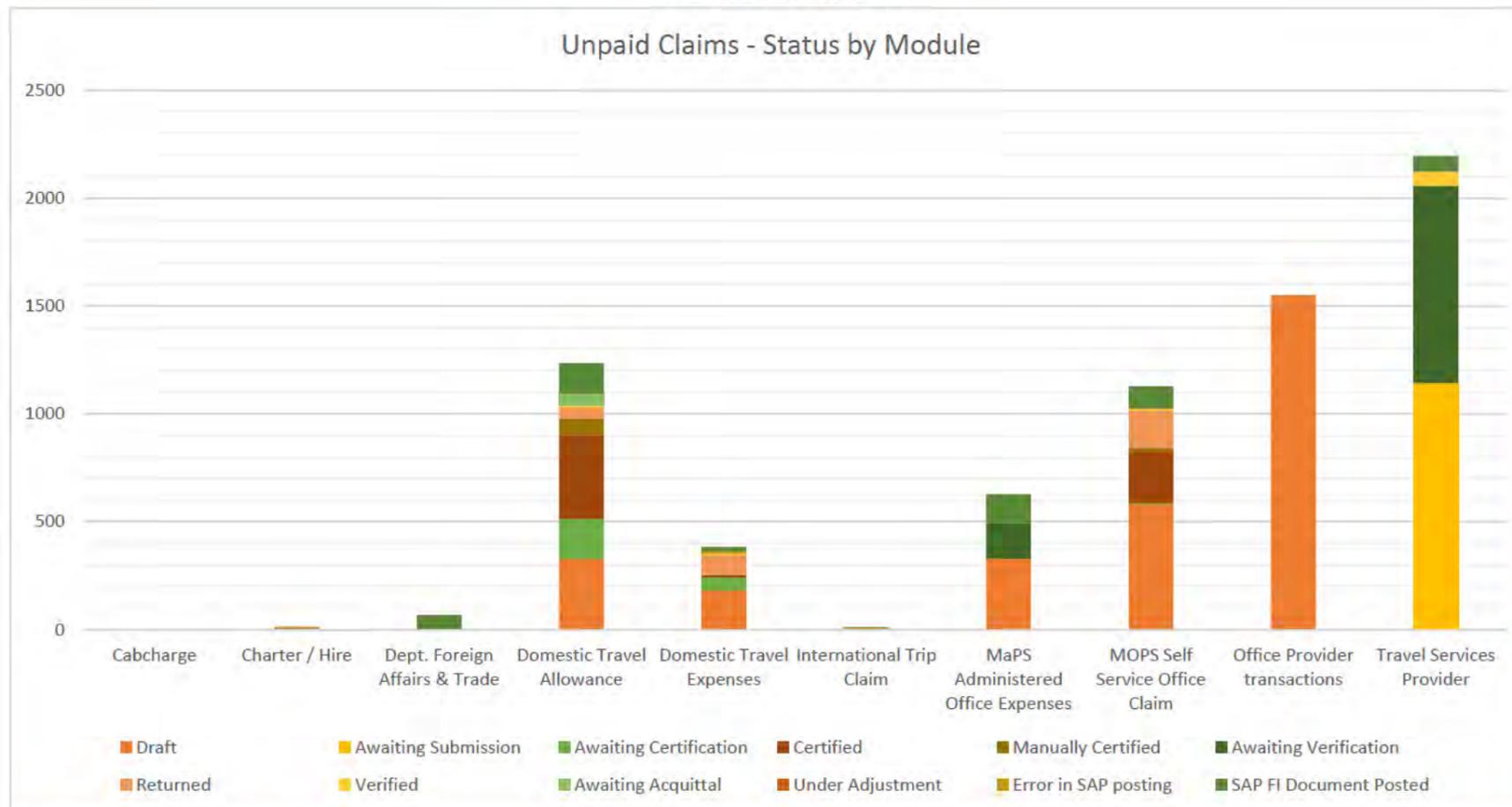
Other Open Major Incidents:

- Sev-2 A vendor (CP Digital) advised two claims have been paid twice. As of 6 October, 293 duplicated payments/credit notes have been identified. Resolution actions are drafted to resolve this incident. The root cause of this issue is that a user was able to click the verify button multiple times, resulting in multiple payments. Resolution of this issue includes disabling the verify button in the UI once clicked and implement additional checks to lock the backend. Business users have been requested not to repeatedly click on buttons where a payment / debt may be triggered. Estimated date for a fix into production is **13 Oct**.

Closed or Resolved Major Incidents: Nil

ATTACHMENT 6B – PROJECT RISKS

ID	Date Raised	Risk Description	Scenario (Examples)	Source / Cause	Current controls	Risk level			Treatments	Residual Risk			Assigned to	Reviewed Date	Status	Close date
						Consequence	Likelihood	Rating		Consequence	Likelihood	Rating				
3	22/03/18	Loss of key (knowledgeable) resources from ICTD, SDO, MaPS and IPEA.	* Project expertise is lost, requiring additional effort to achieve milestone * Highly customised solution with limited resources who have the system knowledge (SPOF). * Resource 'burn out' due to long term high intensity work.	* High percentage of team are contractors * Reduced project team due to remaining responsibilities. * Loss of general project knowledge.	* Expenditure reporting design, decisions and outcomes are documented. * Work with IPEA to have appropriate resourcing allocation for the project. * Review of resourcing requirements in accordance withthe Release 1 work plan. * Contract extensions agreed to support the project through to completion of Release 1. * Business areas and project assess recent or soon to be loss of key resources. * Regular health checks on resources. Ensure resources have sufficient down time at time of reduced work load.	Moderate	Possible	Medium	* Resourcing balance for Release 1 is agreed with the SDO. * Manage resources priorities.	Moderate	Unlikely	Medium	s 22 /Michelle Black/Annwyn Godwin/John Sheridan	21/09/22	Open	
5	22/03/18	Quality of product	* UAT finds critical issues that cannot be addressed within the Release 1 timeframe. * Post implementation issues affects users confidence in the system.	* IPEA finds expenditure reporting product deficient. * PEMS perceived as poor quality due to post implementation issues.		Moderate	Unlikely	Medium	* Clearly articulate issues, their cause and remediation. * Timely resolution of issues.	Moderate	Unlikely	Medium	s 22	21/09/22	Open	

1

ID	Date Raised	Risk Description	Scenario (Examples)	Source / Cause	Current controls	Risk level			Treatments	Residual Risk			Assigned to	Reviewed Date	Status	Close date
						Consequence	Likelihood	Rating		Consequence	Likelihood	Rating				
29	12/09/18	IPEA's legislative requirements for reporting Parliamentary expenses are not addressed by the reporting solution.	* The PEMS reporting solution does not support IPEA in meeting its responsibilities. * The Expenditure reporting solution does not satisfy business' requirements and testing determines that it cannot be made fit for purpose.	• Limited development resources will be supporting hypercare and the same resources will also be required to do development for Backlog items across all functional areas. * Identification of issues during remaining build and testing that are difficult to resolve. * execution of the remaining test cases not passed by 6 May 2022 reveal additional items to resolve. * solution cannot meet all requirements * business rules for the extracts component are unknown and not documented.	* Expenditure reporting workflow solution is developed with ongoing review and input from IPEA. * Agreed requirements and scope of work for Expenditure management report. * Review PEMS system adherence to revised IPEA and PBR Act recommendations. * Planning to implement the remaining expenditure reporting functionality is in progress. * Project oversee implementation and assign a Change and Release Manager * Retain sufficient knowledgeable project resources to implement remaining functionality. * Create the required data prior to commencing testing to reduce testing timeframe. * Exclude non-expenditure reporting changes from Release 1, except where those changes are required for the expenditure report's completeness and accuracy. * IPEA will be able to observe the performance of expenditure reporting in the Production environment post M7.2 go live. * IPEA prioritised top 60 items and their sequence for addressing.	Moderate	Possible	Medium	* Expenditure Reporting remediation plan agreed by the Project Board. * Confirm assumptions to use Production to validate the expenditure reporting product. * Risk 1 regarding schedule flaws has been realised and transferred to Issue #38 as the impact of the higher than expected development effort for M7.2 hypercare has precluded the delivery of expenditure reporting by 30 September 2022.	Moderate	Unlikely	Medium	Michael Frost, s 22/Michelle Black/Nicole Pearson	21/09/22	Open	
42	29/10/19	Cost to deliver the remaining project responsibilities will exceed funds set aside in the 2022-23 support charge and available capital funding. Refer to BAU risk #8 – "Enhancements not affordable").	*Insufficient surplus from 2021-22 to cover finalisation of expenditure reporting.	* Insufficient funds to support implementation of Expenditure Reporting. * hypercare consuming more funding than expected.	* Closely monitor project resource allocations and monthly spend. * Weekly review of forecast and actual cost attribution. * Detailed tracking of effort and cost against funds set aside. * Minimise the costs consistent with achieving required results. * Implement measures to minimise scope increase. * Use resources effectively. * Capital funding confirmed * PB and SC to consider further funding of the PEMS Backlog;	Moderate	Unlikely	Medium	* Need to confirm available funding and source to cover delivery of the post go live release of Expenditure Reporting. * There is a surplus of funds from 2021-22 and CFO agrees to roll the forward to 2022-23. * Project Board and Steering Committee to consider further funding of PEMS.	Moderate	Remote	Low	s 22	21/09/22	Open	

2

ATTACHMENT 6C – PROJECT ISSUES

#	Date Raised	Related to risk	Issue Description	Raised by	Assigned to	Rating	Open Actions	Due Date	Status	Completed Actions Refer to previous version of the Risk and Issues register for detail prior to January 2019.
26	19/11/2020	-	Benefits approved in the second pass business case are not achieved.	PO	s 22	Low	* Commence assessment for Period 3 reporting - expected delivery date - Q122 * Review in the context of the Gateway Review Team's recommendation: Finance attempts to seek agreement that the success of this Project will be measured in line with delivery against the outputs and outcomes articulated in the Second Pass Business Case and the PEMS Benefits Realisation Plan.	1-Nov-22	In progress	* Propose to the Project Board options for Gateway Reviews in Feb 2021 and prior to go-live in July 2021. * Assurance Review occurred 8 to 12 February 2021. Rating of Amber. All recommendations accepted by Finance. * Gate 4d assurance review occurred May 2021. All recommendations accepted by Finance. * IPEA savings benefits 'reversed' through the 2021-22 Budget for FYs 2021-22 and 2023-24. * Benefits Plan and tracker updated by end of May 2021 to reflect revised Milestone 7 Phase 1 and Phase 2 delivery. * Benefits Working Group initiated 20 May 2021. Meetings scheduled for the w/c 24 May 2021 subsequently cancelled to reduce Phase 1 resource contention concerns. * Benefits re-baselining review requested on 21 September. IPEA responses received, MaPS response expected to be received shortly. * IPEA have added a new benefit B06 'improved supplier management' * Recommence review of updated Benefits Plan. * Review and update the benefits tracker in conjunction with the Benefits Working Group from September 2021. * Implement the actions to address Gate 4d recommendation 1: Ensure that the current re-baselining exercise is completed by November 2021: a. Reviews benefits and outcomes in the context of the Second Pass Business Case and available baseline measures; b. Is expressed at the appropriate level to enable assessment of the success of the project; c. Includes any newly identified benefits or dis-benefits, and d. Includes metrics to assist measurement of improved performance * Update the tracker with revised measuring periods. * Prepare a paper for SC consideration of the Review's recommendation.
38	23/08/2022	1	Project schedule - inherent schedule flaws prevent delivery as planned	PO	s 22	High	* Project Board to agree a recommended approach for delivery Expenditure Reporting in PEMS. * Steering Committee agree to the Project Board recommendation. * PM to product an updated Release 1 delivery schedule for agreement by Project Board and Steering Committee. * SDO to provide Project Delivery Office support to PEMS expenditure reporting.	30-Sep-22	In progress	* Paper delivered to Project Board on 25 August 2022 providing an update on the current position of M7.2 Expenditure Reporting, impacts of the M7.2 hypercare period on development effort, and recommending that build work extend until all agreed essential functionality, production issues and input data issues are resolved for the purposes of providing an accurate expenditure report to parliamentarians and the public. * SDO to provide (as available) additional ABAP resourcing to implement expenditure reporting more quickly.