



Unclassified

INTERNAL AUDIT – AUDIT OF STAKEHOLDER ENGAGEMENT IN THE PEOPLESOFT 9.2 UPGRADE – STAKEHOLDER SIGN-OFF PROCESS (PHASE 3)

Final Report

Office of the Chief Audit, Evaluation and Risk Executive



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1. Introduction

Public Services and Procurement Canada (PSPC) has a legal mandate, identified in Sections 12 and 13 of the Department of Public Works and Government Services Canada Act (1996, c.16), to provide payroll services to the employees of the public service of Canada.

The PeopleSoft 9.1 Pay System, also known as Phoenix, has been in operation since its implementation in 2016. Version 9.1 of PeopleSoft is an end of life commercial off-the-shelf product and standard support for the core system functionality has ended. Extended support for version 9.1 of PeopleSoft has been negotiated and agreed to between Government of Canada and Oracle until December 2021. After this date, PSPC is faced with two key operational risks:

- Due to the lack of vendor support, there is a high risk of security vulnerabilities and service degradation impacting PSPC's ability to produce accurate and timely pay.
- Failure to apply current tax updates represents a compliance risk and significantly impacts PSPC's ability to produce accurate pay as it relates to deductions and tax slips.

To address the operational risks, PSPC has developed a plan to upgrade the existing 9.1 PeopleSoft solution to the new 9.2 version by July 2021. Responsibility for performing the system upgrade is under the Pay Solutions Branch at PSPC, and is being completed through the PeopleSoft Pay System 9.2 Upgrade Project (referred to as the Project hereafter in this document).

The Project seeks to contribute to the achievement of Pay System Sustainability and Pay Stabilization Efforts. The scope of the upgrade focuses on a technical upgrade that will result in minimal changes to integration architecture, data entry, and business processes; however, there is a number of additional potential benefits to performing the upgrade, which will be considered post-upgrade as part of PSPC's continuous Pay Stabilization efforts.

2. Background

As a result of the risk assessment of PSPC's Audit Universe, the Office of the Chief Audit, Evaluation and Risk Executive (OCAERE) determined assurance work related to stakeholder engagement within the PeopleSoft Pay System 9.2 Upgrade Project should be undertaken in 2019-2020 and 2020-2021.

Originally, the OCAERE audit plan consisted of multiple engagements related to stakeholder engagement throughout the project with regular reporting at key project milestones. The first report was issued in February 2020. During the completion of the first engagement, the OCAERE noted significant overlap between its findings and recommendations and those issued by an independent third party, Gartner, engaged by the Project team to perform periodic assessments at key project milestones.

As a result, the OCAERE audit approach has been adjusted to conduct assurance work specifically related to the stakeholder sign-off process which is a critical stakeholder engagement activity that is key to the success of the Project. The stakeholder sign-off process is one of several measures included in the project plan that was informed by the Office of Auditor General recommendations, and a series of engagements completed with numerous stakeholders following the initial implementation of the Phoenix system. The development and implementation of the sign-off process is part of PSPC's commitment to stakeholder engagement and represents a key element in the Project's Go/No-go decision process. The stakeholder sign-off is a one-time sign-off based

on evidence that was accumulated over the testing period of the upgrade. Departments and agencies signed-off to confirm:

- Testing of the HR system has been completed, and tested transactions have successfully integrated with the 9.2 system. Technical resources have been, or will be, allocated to ensuring an HR system is available to connect with the Phoenix 9.2 environments during the dry-runs and deployment to production.
- Key HR transactions have been successfully tested and organization is ready and equipped to support the new platform.
- Departmental/Agency variance during the Project’s pay validation testing is within the approved threshold and tolerance level.

3. Focus of the Audit

This internal audit is included in the most recent Office of the Chief Audit, Evaluation and Risk Executive’s approved Risk-Based Audit Plan 2019-2020 and 2020-2023.

3.1. Importance

As outlined in the Project Charter, key stakeholders include departments and agencies that use the Phoenix system, partners who use Phoenix and/or whose systems interface with Phoenix, and internal and external committees that are required for decisions, endorsement, oversight, project gating, and approvals.

Adequate stakeholder engagement is one of a number of measures to support the success of the Project included in the Project Plan. The Project Plan was informed by the Goss Gilroy report, the Office of Auditor General 2018 Report 1 *Building and Implementing the Phoenix Pay System* recommendations and a series of engagements completed with numerous stakeholders, following the initial implementation of the Phoenix system. The performance of independent assessments, along with addressing issues identified as a result of these assessments, is part of PSPC’s strong commitment to stakeholder engagement.

Given the large number of stakeholder groups that may be affected and/or be impacted by the upgrade, stakeholder engagement throughout the Project has been identified as a critical success factor in order to build trust, credibility and strong relationships. This will help facilitate buy-in and successful implementation of this upgrade, as well as future Pay Stabilization projects.

3.2. Objective

The objective of this audit was to assess the adequacy and effectiveness of stakeholder engagement throughout the lifecycle of the Project. The engagement was completed in multiple phases, with results reported in multiple engagement reports to ensure that audit findings and recommendations were provided to the Project team in a timely manner.

This report contains the findings from the third phase of the engagement and assessed the Project team’s execution of the sign-off process. The audit specifically examined whether the sign-off process activities were conducted in accordance with the sign-off process that was approved by Project governance bodies and had been communicated to stakeholders.

3.3. Scope

The period covered in this audit engagement is from March 9, 2021 to June 15, 2021.

This assessment reviewed activities performed by the Project team up to June 15, 2021. The audit assessed the degree to which stakeholder engagement activities have been performed to meet the needs of the stakeholders. More specifically, audit activities assessed whether the Project team engaged stakeholders to the extent required by the approved stakeholder sign-off process and whether escalation procedures were completed as outlined in the Project's escalation process.

The scope excluded an assessment of project activities outside of those directly related to the engagement of stakeholders.

3.4. Audit Criteria and Methodology

The Appendix A provides a summary of the audit criteria assessed in each phase of the audit along with the methodology.

The internal audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing, as supported by the results of the quality assurance and improvement program.

4. Summary Observations and Findings

Overall, we found that the Project team engaged stakeholders in accordance with the approved stakeholder sign-off process. Where escalation procedures were required to obtain sign-off, procedures were performed as designed and documented in the Project escalation process. As all audit criteria were met, we have not issued any recommendations.

Through the completion of interviews with a sample of stakeholders, feedback on the Project's engagement of stakeholders through the sign-off process was generally positive; however, interviewees noted several opportunities for improvement for management's consideration when conducting similar projects in the future. To enable future projects to leverage the experiences of the Project team and the stakeholders that participated in the stakeholder sign-off process, there is an opportunity to solicit broader feedback from the stakeholder community to identify best practices and opportunities for improvement that may be taken into consideration for future projects.

5. Detailed Observations and Findings

5.1. Sign-off Process

During the first and second phases of this multi-phase audit, we completed assessments to confirm whether the Project team:

- completed an assessment to identify stakeholders to whom the sign-off process is relevant;
- consulted with stakeholders on the design of the sign-off process and incorporated stakeholder feedback into the process;
- formalized and communicated the final sign-off process to stakeholders;
- obtained acknowledgements of stakeholders' understanding of the process and their roles and responsibilities; and

- developed escalation procedures to be performed if one or more stakeholders decided not to sign-off.

This phase of the audit focused on the execution of the sign-off process, which commenced on May 7, 2021, as summarized in the table below:

Sign-Off Process Phase	Key Project team Activities
Sign-Off Process Initiation <i>(May 7, 2021)</i>	<ul style="list-style-type: none"> • Communicate all requests for stakeholder sign-off through emails sent directly to stakeholders. • Provide stakeholders with a comprehensive briefing package containing the information required to make their sign-off decision.
Response Tracking and Reminder Communications <i>(May 10, 2021 to May 27, 2021)</i>	<ul style="list-style-type: none"> • Track responses received from stakeholders. • Send reminder emails to stakeholders that have not submitted their sign-off one week and two weeks after initiation of the sign-off process.
Escalation <i>(May 27, 2021 to June 10, 2021)</i>	<ul style="list-style-type: none"> • Initiate the escalation process for stakeholders that have not submitted their sign-off. Activities may include the communication of emails to stakeholders from the PSPC ADMs responsible for the Project or from senior officials within relevant central agencies (e.g. Office of the Comptroller General (OCG), Office of the Chief information Officer (OCIO), or Office of the Chief Human Resources Officer (OCHRO)).
Presentation of Results to Governance Committees <i>(June 10, 2021)</i>	<ul style="list-style-type: none"> • Present the results of the sign-off process to the Upgrade Acceptance Board (UAB) with other readiness criteria and checkpoints to inform the board’s Go-No-go decision.

For each of the key phases in the sign-off process, audit fieldwork was performed to assess whether the key activities were appropriately completed.

5.1.1 Sign-Off Process Initiation

On May 7, 2021, the Project team sent requests for sign-offs by email to 206 executives including Chief Information Officers (CIO), Chief Financial Officers (CFO), and Heads of HR (HHR) for each of the stakeholder organizations. It was noted that stakeholders were requested to submit their sign-off to the Project team through email between May 10, 2021 and May 23, 2021. For stakeholder organizations that host a HR system that is integrated or interfaces with Phoenix, three sign-offs (CIO, CFO, and HHR) were requested. For departments that do not host a HR system and use a system hosted by another organization or are a direct entry department, two sign-offs (CFO and HHR) were requested. Sign-off requests were accompanied by briefing packages which contained documentation to support each stakeholder’s sign-off decision. Through interviews with a sample of stakeholders that participated in the sign-off process, the majority noted that the information provided within the briefing packages was complete, clear, and effectively supported the executives in making their sign-off decision. While some stakeholders indicated that they required clarification of the information provided in the briefing packages, the stakeholders noted that the Project team was responsive and provided the additional information required to complete and submit their sign-off.

5.1.2 Response Tracking and Reminder Communications

Once requests for sign-off were sent to stakeholders, the Project team tracked all sign-offs received along with key sign-off related metrics. Metrics tracked included the total number of sign-offs received, the number of

sign-offs received from each stakeholder organization versus the number of sign-offs required from each organization, and the number of sign-offs received against the minimum stakeholder sign-off threshold that was previously approved by Project governance and communicated to stakeholders.

As required in the escalation process, it was noted that one week after the initial sign-off requests were communicated to stakeholders, an email was sent to stakeholders that had not yet submitted their sign-off to remind them that there were seven calendar days remaining before the escalation process would be initiated. Another reminder email was sent two weeks after the initial sign-off requests notifying the stakeholders that did not submit their sign-off by May 23, 2021 that if a sign-off was not received by the Project team within three (3) calendar days (by May 27, 2021), the escalation process would be initiated.

5.1.3 Escalation

On May 27, 2021, signatures from 13 (out of 96) stakeholder organizations remained outstanding. In accordance with the approved escalation process, it was noted that the executives from these organizations responsible for signing-off were contacted by senior officials within Treasury Board Secretariat (TBS) and PSPC to address any questions or concerns stakeholders may have had that was preventing them from completing and submitting their sign-off. Following the initiation of the escalation process, all remaining outstanding signatures were received by June 11, 2021.

5.1.4 Presentation of Results to Governance Committees

As outlined in the escalation process, the results of the sign-off process would be considered on June 10, 2021 by the Upgrade Acceptance Board (UAB) when making its Go/No-go decision. It was noted that when the UAB met on June 10 to finalize the Go/No-go decision, 205 (out of 206) stakeholder sign-offs had been received (it was noted that the final sign-off was obtained by the Project team on June 11, 2021) and the minimum stakeholder sign-off threshold had been achieved. The results of the sign-off process were considered by the UAB in conjunction with the achievement of numerous other readiness criteria and checkpoints. As all checkpoints and criteria were met, the UAB's approved the move to production between June 18 and June 22, 2021.

5.1.5 Stakeholder Feedback on Sign-Off Process

Between June 9 and June 15, 2021, the audit team conducted interviews with a sample of six (6) executives that were responsible for submitting a sign-off as part of the stakeholder sign-off process. Stakeholder feedback obtained through these interviews confirmed that the stakeholders were engaged to the extent agreed upon to meet the requirements of the sign-off process. The majority of interviewees provided positive feedback on the sign-off process.

Interviewees indicated that the Project team's engagement of the stakeholder community prior to and during the completion of the sign-off process ensured that executives were aware of their responsibilities for signing-off, understood the key sign-off activities and timelines, and had access to the supporting documentation required to make a sign-off decision. Interviewees noted that if stakeholders had questions or concerns related to the project, the Project team was responsive and provided the requested information in a timely manner.

The majority of interviewees also noted that they support the use of stakeholder sign-off processes for future similar projects.

While interviewees' comments were generally positive, several opportunities for improvement were identified for future consideration. Suggestions for changes to the sign-off process included increasing the amount of time that larger stakeholder organizations have to review supporting documentation prior to making a sign-off decision, ensuring greater clarity in communications regarding requirements that are applicable to a sub-set of organizations (e.g. only CIOs from departments that host an HR system that is integrated or interfaces with Phoenix were required to sign-off), and clearly communicating the impact on the project if a stakeholder decides not to complete and submit their sign-off.

5.1.6 Conclusion

Based on the review of audit evidence and interviews with the Project team and with a sample of stakeholder that participated in the sign-off process, it is concluded that stakeholders were engaged to the extent agreed upon in order to meet the requirements of the sign-off process, and no recommendations have been issued.

The audit did note that there is an opportunity, as part of its post go live activities, for the Project to solicit feedback from the broader stakeholder community to identify best practices and opportunities for improvement that may be taken into consideration for future projects.

5.2. Recommendations Issued in the Stakeholder Engagement in the PeopleSoft 9.2 Upgrade – Stakeholder Sign-Off Process Phase 2 Audit Report

In the Stakeholder Engagement in the PeopleSoft 9.2 Upgrade – Stakeholder Sign-Off Process Phase 2 Audit Report (April 2021) which was presented and approved at the May 2021 Departmental Audit Committee, several recommendations were issued to the Project team related to stakeholder acknowledgements of their understanding of the sign-off process and the development and implementation of the escalation process. Action plans were developed by the Project team and documented within the Phase 2 audit report.

As part of the Stakeholder Engagement in the PeopleSoft 9.2 Upgrade – Stakeholder Sign-Off Process Phase 3 Audit Report, testing was performed to confirm that the action plans were appropriately implemented.

5.2.1 Stakeholder Acknowledgement of Understanding of Sign-off Process

In the Stakeholder Engagement in the PeopleSoft 9.2 Upgrade – Stakeholder Sign-Off Process Phase 2 Audit Report (April 2021), the following recommendation related to stakeholder acknowledgements of their understanding of the sign-off process was issued:

The Project team should continue its efforts to collect the formal acknowledgement of the stakeholders' understanding of the process. In performing these follow ups, the Project team should define a date by which acknowledgements are to be received by, and an appropriate response rate.

Through the examination of documentation (e.g. communications to stakeholders, response tracking sheets) and interviews with the Project team, the recommendation was confirmed to have been adequately addressed. Refer to Appendix B for a listing of the procedures that were performed and the documentation that was examined.

5.2.2 Escalation Process

In the Stakeholder Engagement in the PeopleSoft 9.2 Upgrade – Stakeholder Sign-Off Process Phase 2 Audit Report (April 2021), the following recommendations related to the sign-off and escalation process were issued:

Recommendation 1

The Project team should clearly define how the departmental sign-off process will be finalized and evaluated for the purposes of the go/no-go decision. Specifically, it is recommended that the Project team:

- 1. Determine if each of the identified individuals in a department/agency (CFO, CIO and Head of HR) are required to sign-off, in order for an organization to be deemed to have signed-off;*
- 2. Determine if acceptance of the sign-off process by delegates of the CFO, CIO and Head of HR are acceptable responses from each organization;*
- 3. Ensure that mitigation measures are in place to manage the risk associated with acceptance of responses as 'assumed' sign-offs; and,*
- 4. Clear communication to governance bodies with respect to the number of sign-offs received and relevant trends (i.e. sign-off by type of executive (CFO, CIO, Head of HR), number of 'assumed' sign-offs, etc.). This includes communication to individuals that will be performing the go/no-go decision.*

Furthermore, we recommend that any updates to processes as a result of this recommendation be included in Project documentation and be communicated to stakeholders.

Recommendation 2

The Project team should continue refining the escalation procedures or other procedures as necessary, to be followed if the minimum threshold for departmental sign-off is not met and if one or more stakeholders decide not to sign-off. Considerations include:

- 1. Procedures for escalating beyond the executives responsible for signing-off within their respective organizations and/or to central agencies to follow-up with respective departments (e.g. OCHRO, GOC CIO, OCG).*
- 2. Procedures to manage the potential that stakeholders may provide a no-go sign-off on the upgrade.*

Through the examination of documentation (e.g. communications to stakeholders, sign-off tracking sheets) and interviews with the Project team, the recommendations were confirmed to have been adequately addressed. Refer to Appendix B for a listing of the procedures that were performed and the documentation that was examined.

6. Recommendations

As all audit criteria were met, no recommendations have been issued.

7. Conclusion

Through the completion of an assessment, the Project team engaged stakeholders in accordance with the stakeholder sign-off process. Where escalation procedures were required to obtain signatures, procedures were performed as designed and documented in the Project escalation process. All stakeholder sign-offs were obtained by the Project team prior to the deployment of the system upgrade and feedback from a sample of stakeholders was positive, however, there is an opportunity to issue a questionnaire to stakeholders to identify lessons learned and develop best practices to be applied to future projects.

8. Acknowledgement

In closing, we would like to acknowledge, recognize, and thank the Project team for the time dedicated and the information provided during the course of this engagement.

9. Audit Team

Lori-Lee Flanagan	Director
Gilles Trahan	Audit Principal
Jhaal Fergus	Auditor
Carter Wilmsmeyer	Audit intern
Deloitte LLP	Consultant

Appendices

Appendix A: Audit Criteria and Methodology

Audit Criteria

Based on the OCAERE risk assessment, the following lines of enquiry were identified. This tables also includes information on which report each criteria is addressed in:

Lines of enquiry	Criteria	Report Mapping
2. The project team has developed a Departmental Go/No-Go Sign-off Process and ensured stakeholders are involved in and understand the process.	2.1 An assessment has been completed to identify all stakeholders relevant to the sign-off process.	Concluded on criteria 2.1 in Phase 1.
	2.2 Stakeholders have been consulted on the sign-off process and their feedback have been considered prior to finalizing the process.	Concluded on criteria 2.2 in Phase 2.
	2.3 The sign-off process has been formalized and communicated to all relevant stakeholders.	Concluded on criteria 2.3 in Phase 2.
	2.4 Stakeholders, including the executives responsible for completing signoffs, formally acknowledge their understanding of the process.	Concluded on criteria 2.4 in Phase 2. See additional information in section 5.2.1 of this report.
	2.5 Stakeholders are engaged to the extent agreed upon in order to meet the requirements of the sign-off process.	Concluded on criteria 2.5 in Phase 3. See section 5.1 of this report.
	2.6 The process contains guidance on escalation procedures if one or more stakeholders decides not to sign-off.	Concluded on criteria 2.6 in Phase 2. See additional information in section 5.2.2 of this report.

Methodology

As part of the multi-phased audit approach employed by the OCAERE, audit fieldwork for the current audit phase was performed between March 8, 2021 and June 15, 2021. During this period, the audit team continued attending, as an observer, relevant project committee meetings including the Upgrade Steering Committee (USC) and the Integrated Pay Advisory Board (IPAB). In addition to attending project committee meetings, the audit team conducted:

- reviews of audit evidence including meeting minutes, records of decisions, presentation materials, communications, responses and other items (e.g. activity trackers) developed by the Project team; and,

- interviews with key Project team members and a sample of stakeholders that participated in the sign-off process.

While a sample of nine (9) stakeholders were selected for interviews, due to the availability of the executives selected and the timing of the audit examination phase, six (6) interviews were able to be held. When identifying stakeholders with whom to perform interviews, the audit team considered a variety of factors including:

- the systems used by different stakeholders;
- the size of the stakeholder organizations; and
- the pay model in place at each stakeholder organization.

In total, interviews were held with one (1) CIO, two (2) CFOs, and three (3) Heads of HR.

Audit activities were performed concurrently with the Project's activities. The audit team communicated audit findings to the Project team on a real-time basis, through regular status reports (bi-weekly or more regularly), to facilitate timely implementation of corrective actions. The audit team remained independent from the Project team and was not responsible for management decision-making as it relates to the Project's activities and deliverables.

During the examination phases of each assessment area identified above, interviews were conducted with key PSPC departmental personnel from the Pay Solutions Branch and external consultants working with the PSPC Project team (i.e. IBM). In addition, an in-depth review of relevant documentation was performed. At the conclusion of the examination phase key members of the Project team were requested to provide validation of the findings.

During the reporting phase for each individual assessment area, the audit team documented the audit findings, conclusions, and recommendations in a draft audit report. The draft report includes the results of the assessments performed up to the end of the period for which the report relates. The draft report was submitted for acceptance to the Assistant Deputy Minister, Pay Solutions Branch in a timely manner following acceptance by the Chief Audit, Evaluation and Risk Executive. The draft final report will be tabled at the Departmental Audit Committee meeting at their August 2021 meeting.

Appendix B: Procedures Performed to Assess the Implementation of Recommendations Issued in Phase 2 Audit Report

The following table lists the three (3) stakeholder sign-off process recommendations that were issued in the Phase 2 audit report (April 2021), the action plans outlined by the Project team, and the procedures performed to assess whether the recommendations were adequately addressed.

Audit Of Stakeholder Engagement In The Peoplesoft 9.2 Upgrade – Stakeholder Sign-Off Process Report (Phase 2)		
Recommendation (as issued in the Report)	Action Plan (as prepared by Project team)	Summary of Work Conducted to Confirm Recommendations were Addressed
Stakeholder Acknowledgement of Understanding of Sign-off Process		
<p>The Project team should continue its efforts to collect the formal acknowledgement of the stakeholders’ understanding of the process. In performing these follow ups, the Project team should define a date by which acknowledgements are to be received by, and an appropriate response rate.</p>	<p>Acknowledgement and reminder emails have been sent on January 14, February 19, March 30, 2021 and April 12, 2021.</p> <p>Detailed tracking of the departmental acknowledgement response rates are monitored and compared to the approved response thresholds.</p> <p>The cut-off date for acknowledgement is April 12, 2021 and was communicated on March 30, 2021 to all CIO, CFO and Heads of HR. This was also communicated at the Information Sessions on the Departmental Sign-Off Process, April 7 and 8, 2021 and in a follow-up email to the information sessions on April 12, 2021. The project team also continues to have one on one discussions with departments/agencies as requested.</p> <p>The target completion date for this action plan is April 30, 2021.</p>	<ul style="list-style-type: none"> • Inquired with the Project team to determine the status of the action plan. • Reviewed evidence (e.g. emails sent to stakeholders, presentations made to stakeholders, acknowledgement response tracking documents) that acknowledgement collection efforts continued as described in the action plan, that a date by which acknowledgements were to be received was defined, and acknowledgements were sought from all stakeholders until the cut-off date. <p>Conclusion: Sufficient. Through the examination of documentation and interviews with the Project team, the recommendation was adequately addressed.</p>

Audit Of Stakeholder Engagement In The Peoplesoft 9.2 Upgrade – Stakeholder Sign-Off Process Report (Phase 2)		
Recommendation (as issued in the Report)	Action Plan (as prepared by Project team)	Summary of Work Conducted to Confirm Recommendations were Addressed
Escalation Process		
<p>The Project team should clearly define how the departmental sign-off process will be finalized and evaluated for the purposes of the go/no-go decision. Specifically, it is recommended that the Project team:</p> <ol style="list-style-type: none"> 1. Determine if each of the identified individuals in a department/agency (CFO, CIO and Head of HR) are required to sign-off, in order for an organization to be deemed to have signed-off; 2. Determine if acceptance of the sign-off process by delegates of the CFO, CIO and Head of HR are acceptable responses from each organization; 3. Ensure that mitigation measures are in place to manage the risk associated with acceptance of responses as ‘assumed’ sign-offs; and, 4. Clear communication to governance bodies with respect to the number of sign-offs received and relevant trends (i.e. sign-off by type of executive (CFO, CIO, Head of HR), number of ‘assumed’ sign-offs, etc.). This includes 	<p>Departmental sign-off continues to be identified as a project risk and the project team continues to increase the visibility during various engagement and project governance meetings and committees.</p> <p>Information sessions were held on April 7 and 8, 2021 with all the department Chief Information Officer (CIO), Chief Financial Officer (CFO), and Heads of HR to further communicate the departmental sign-off process which includes timelines, roles and responsibilities and expectations leading up to go live. Outreach and education efforts are actively underway.</p> <p>Presentations to various engagement, governance and working group meetings and committees are being scheduled. Communications and reminders to CFOs, CIOs and Heads of HR continue to ensure key stakeholders are familiar with the expectations for departmental sign-off.</p> <p>Additional actions by recommendation number:</p> <ol style="list-style-type: none"> 1. Communicate that all CFO and Heads of HR are required to sign-off. Organizations with HR systems that are hosted by another department will not require the CIO signature as this is delegated to the service provider (host). The CIO for Direct Entry departments will not be required 	<ul style="list-style-type: none"> • Inquired with the Project team to determine the status of the action plan. • Reviewed evidence (e.g. emails sent to stakeholders, presentations made to stakeholders, tracking sheets identifying the required sign-offs from each organization) to confirm that the stakeholders required to sign-off, in order for an organization to be deemed to have signed-off, were identified. • Reviewed evidence (e.g. emails sent to stakeholders, presentations made to stakeholders) that the Project team’s expectation was that sign-offs were to be completed and submitted by stakeholder ADMs. • Reviewed evidence (e.g. sign-off tracking sheets listing completed sign-offs, a sample of submitted sign-offs) to confirm that no sign-offs were assumed and that escalation processes involving ADMs from Pay Solution Branch (PSB), Pay Administration Branch (PAB), and Treasury Board Secretariat (TBS) were

Audit Of Stakeholder Engagement In The Peoplesoft 9.2 Upgrade – Stakeholder Sign-Off Process Report (Phase 2)		
Recommendation (as issued in the Report)	Action Plan (as prepared by Project team)	Summary of Work Conducted to Confirm Recommendations were Addressed
<p>communication to individuals that will be performing the go/no-go decision.</p> <p>Furthermore, we recommend that any updates to processes as a result of this recommendation be included in Project documentation and be communicated to stakeholders.</p>	<p>to sign-off as they are not integrated with Phoenix. The remaining CIOs whose HR systems are integrated with Phoenix will be required to sign-off. A detailed list has been developed that identifies who is required to sign off by department (CFO, CIO or Head of HR) in order for the organization to be deemed to have ‘signed off’.</p> <p>2. Communicate that the expectation is for Assistant Deputy Minister (ADM) to sign-off. Delegates’ approvals will be accepted.</p> <p>3. The escalation process is clear on acceptance of responses as “assumed”. However, the expectation is to achieve all sign-offs and the 9.2 Upgrade project team has engaged ADMs from Pay Solution Branch (PSB), Pay Administration Branch (PAB), Office of the Chief HR Officer (OCHRO), Office of the Chief Information Officer (OCIO) and if required PSPC Deputy Minister (DM) to call departments with no response. Continue to track and follow up with departments / agencies as required leading up to the sign-off.</p> <p>4. Communicate tracked sign-off response rates at the governance bodies and include as evidence in the Go/No Go process.</p>	<p>completed to obtain outstanding responses.</p> <ul style="list-style-type: none"> • Reviewed evidence (e.g. sign-off tracking sheets listing completed sign-offs, a sample of submitted sign-offs, presentations made to Project governance committees) to confirm that tracked response rates were communicated to governance bodies to support the Go/No-go decision. • Reviewed evidence (e.g. emails sent to stakeholders, presentations made to stakeholders and governance committees) to confirm that no updates to the previously approved sign-off processes were made. <p>Conclusion: Sufficient. Through the examination of documentation and interviews with the Project team, the recommendation was adequately addressed.</p>

Audit Of Stakeholder Engagement In The Peoplesoft 9.2 Upgrade – Stakeholder Sign-Off Process Report (Phase 2)		
Recommendation (as issued in the Report)	Action Plan (as prepared by Project team)	Summary of Work Conducted to Confirm Recommendations were Addressed
	<p>The Management Action Plans will be added to the Continuous Improvement Plan and all documents including tracking and contact lists are posted on GCdocs, PSPC’s official repository for corporate information, as part of the project’s official documentation.</p> <p>The target completion date for this action plan is June 3, 2021.</p>	
<p>The Project team should continue refining the escalation procedures or other procedures as necessary, to be followed if the minimum threshold for departmental sign-off is not met and if one or more stakeholders decide not to sign-off. Considerations include:</p> <ol style="list-style-type: none"> 1. Procedures for escalating beyond the executives responsible for signing-off within their respective organizations and/or to central agencies to follow-up with respective departments (e.g. OCHRO, GOC CIO, OCG). 2. Procedures to manage the potential that stakeholders may provide a no-go sign-off on the upgrade. 	<p>The escalation process is clear and the expectation is to achieve sign-off from all departments/agencies.</p> <p>Detailed tracking of the sign-off response rates will be monitored and compared to the approved thresholds.</p> <p>We will continue to track and follow up with departments/agencies as required leading up to the sign-off.</p> <p>Departments will be categorized based on the criteria identified in the Departmental Scorecards. For Departments in red, they will be contacted prior to the sign-off process to resolve any issues that prevents the sign-off.</p> <p>Established PeopleSoft 9.2 Upgrade project-specific governance (i.e. Upgrade Steering Committee (USC) and Upgrade Advisory Board (UAB)) and GC-wide governance (i.e.</p>	<ul style="list-style-type: none"> • Inquired with the Project team to determine the status of the action plan. • Reviewed evidence (e.g. emails sent to stakeholders, presentations made to stakeholders, tracking sheets identifying the required sign-offs from each organization) to confirm that the expectation that all stakeholder were required to sign-off was clearly communicated and that detailed tracking of response rates were monitored and compared to the approved minimum thresholds. • Reviewed evidence (e.g. escalation emails sent to stakeholders ADMs from Pay Solution Branch (PSB), Pay Administration Branch (PAB), and Treasury Board Secretariat (TBS)) to confirm that escalation

Audit Of Stakeholder Engagement In The Peoplesoft 9.2 Upgrade – Stakeholder Sign-Off Process Report (Phase 2)		
Recommendation (as issued in the Report)	Action Plan (as prepared by Project team)	Summary of Work Conducted to Confirm Recommendations were Addressed
	<p>Government Canada Enterprise Architecture Board (GCEARB) and Public Service Management Advisory Committee (PSMAC)) will be utilized in addition to the escalation procedures.</p> <p>Treasury Board Secretariat (TBS) has offered to provide assistance with communications in support of the sign-off process. The project team is working with TBS to have the assistance if/as required.</p> <p>Deputy Ministers were made aware of the departmental sign-off process and expectations on April 16, 2021 at PSMAC and, if needed, in will be briefed again in June.</p> <p>The target completion date for this action plan is June 3, 2021.</p>	<p>procedures if one or more stakeholders had not completed and submitted their sign-off were in place and were followed in accordance with the escalation process.</p> <p>Conclusion: Sufficient. Through the examination of documentation and interviews with the Project team, the recommendation was adequately addressed.</p>