

Table One: Management Response to the recommendations resulting from the Audit of the eBusiness Project.

AUDIT RECOMMENDATIONS	MANAGEMENT RESPONSE	STATUS AND DOCUMENTATION
<p><u>1 Governance Risk</u></p> <p>1.1 Senior Management Control Framework</p> <p>It is recommended that the governance structure be reviewed, with the aim of strengthening the framework, including:</p> <ul style="list-style-type: none"> - project organization - key roles, responsibilities, resources area of concerns: <ul style="list-style-type: none"> - The Operations Committee has no official role and yet they have extensive experience and expertise in the program areas that will be impacted significantly by the implementation of eSolutions; - Director level key to change management and implementation but no official role. - The Project is a business driven project yet the Project Director reports to the Director General, CASD. Sponsor should be from a business area. - Project consists of subprojects. There should be business sponsors and sign-offs identified for each - There will be partnerships with other agencies. This part of the governance structure has yet to be identified - Project governance structure not yet approved by Steering Committee - monitoring - change management, scope management - communications - linkages among initiatives. <ul style="list-style-type: none"> - Not an IT project and must not be perceived that way - Roles and responsibilities need clarification and to be communicated to the entire organization. - There are strong linkages to other projects but formal communications and management are not clear 	<p>Roles and Responsibilities have been defined and presented to Management (October 9th, 2001) and the Operations Committee (OPS) (June 28th, 2001). Refinement to this document is in progress.</p> <p>The Roles and Responsibilities document includes a description for each group involved in the conduct of the project. OPS' role is currently being clarified.</p> <ul style="list-style-type: none"> - Responsibilities for change management are described as a function of each group (Human resources, eBusiness Center, Directors, etc.) - NSERC's President has taken the sponsorship of the project in May 2001. - Business representatives are always part of the sign-off process. - This issue will be addressed in the context of each project done in partnership as the governance will depend on the nature of the project. The Project Director is the main liaison between NSERC and eBusiness Projects in other organizations. - NSERC's President has approved the governance structure in May 2001. <p>This is a responsibility managed on an on-going basis, at the project level, by the project manager and the project director.</p> <ul style="list-style-type: none"> - This key message is included in official and non-official communications. - These are communicated on an on-going basis. <p>A key driver of the eBusiness project is the Lightning the Load initiative. Members of the eBusiness Center participate on each working groups related to this initiative, so that the Lightning the Load</p>	<p>Done</p> <p>Relevant documentation:</p> <ul style="list-style-type: none"> - eBusiness Center Organization Chart - Project Overview - Roles and Responsibilities - Communication Plan.

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	<p>recommendations can be integrated in the eBusiness Project on an on-going basis. So far, the majority of eBusiness-related issues identified by the Lightning the Load initiative have been anticipated and taken into account in the eBusiness Project.</p>	
<p>1.2 Change/Scope Management</p> <p>It is recommended that the Project Director ensure project scope management is in place, and includes:</p> <ul style="list-style-type: none"> - scope definition and approval for the eBusiness project - communication and coordination between the eBusiness project and other key initiatives, and within management. <p>It is recommended that the Management Committee and the Operations Committee establish an integrated process for high-level monitoring of key strategic and tactical initiatives.</p>	<ul style="list-style-type: none"> - Project scope is addressed as part of the requirements definition process and finalized in the official specifications. Functional requirements are defined in terms of “use case” which are prioritized and signed-off by the eBusiness Center. Approved “use case” define the project scope. Scope management may involve re-prioritization of functional requirements during the conduct of projects. This process, depending on its impacts on the overall project direction, may involve the Project Sponsor, the Steering Committee or OPS. - eBusiness representatives are involved in other key initiatives, such as the Lightning the Load initiative, that may impact on the project, to ensure that recommendations are taken into consideration as early as possible. So far, the majority of eBusiness-related issues identified by the Lightning the Load initiative have been anticipated and taken into account in the eBusiness Project. eBusiness representatives will connect officially to other key initiatives if impacts are anticipated or identified in the future. Other key initiatives include the Service Improvement Initiative for which the Project Director is a Steering Committee member, and the Employer of Choice initiative to which connection has been maintained through participation of an HR staff member on eBusiness Projects. - Corporate Projects are reviewed regularly by the OPS committee. NSERC is currently investigating Modern Controlship practices that will improve this process further. 	<p>Done</p> <p>Done</p> <p>In progress</p>
<p>1.3 Investment Management</p> <p>No recommendation at this time. Audit monitoring of business case progression suggested.</p>	<p>Audit monitoring is planned to occur on a yearly basis.</p>	<p>Another audit is planned for May 2002.</p>

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<p>2 Business Risk</p> <p>2.1 Requirements Management</p> <p>It is recommended that the Project Director - in collaboration with the Director, ISD - ensure a formal requirements management process is developed and implemented, and that the Requirements management process be integrated into the development methodology.</p> <p>There will be need to be a cultural change. The requirements management process must be more disciplined and rigorous. Users must take accountability for identifying and signing off requirements. The risk is requirements will continue to grow and this makes it difficult to implement a solution. Requirements are never stagnant but they do have to be frozen so a solution can be implemented. After that the change management process is used to implement new requirements.</p>	<p>- Although at the time of the Audit, there was no formal requirements management process, NSERC has developed such a process for the NAMIS project. This process has recently been adapted to the eBusiness Project. Requirements management is handled by a group of business and technical representatives to ensure appropriate integration of user requirements into the development methodology. The process includes a signoff by the Project Director and ISD Project Manager. Signoff sheets and final requirements are retained online and in hard-copy form. Signoff is a requirement for the continuation of development.</p> <p>- The eBusiness Center has been set-up through the secondment of program staff to ensure appropriate user input. This group has been made accountable for the identification of user requirements, the collection of input from the program divisions and for signing off on requirements. A change management process is being implemented to ensure the proper handling of suggested changes/improvements to eServices in development or in production.</p>	<p>Done</p> <p>Supporting Documentation:</p> <ul style="list-style-type: none"> - eBusiness project management workflow - requirement and change management workflow
<p>2.2 Solution Design</p> <p>It is recommended that the process for selection of the solution delivery mode(s) be independently reviewed at the appropriate time.</p> <ul style="list-style-type: none"> - Security Framework – to be developed. <ul style="list-style-type: none"> - Will be complex with various modes of development and operation. - Necessary to integrate across the eSolutions. - Internal Control Framework – to be developed. <ul style="list-style-type: none"> - Accounting, integrity and management controls. - Management trails, data security and privacy. 	<p>This could be part of the next Audit of the project.</p> <p>In consultation with the NSERC/CASD Security Administrator, the eBusiness Center has recently completed a Security / Treat and Risks Assessment. Issues related to Security and Internal Control have been addressed as part of this assessment.</p>	<p>Planned for Spring 2002.</p> <p>Complete. Certain issues are in follow-up.</p>
<p>2.3 Management of Change</p> <p>It is recommended that the project secure a resource with</p>	<p>A consultant resource is currently working with the</p>	<p>Consulting resource is from Navatar</p>

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<p>extensive expertise and experience in the management of change to develop a change management strategy and plan.</p>	<p>Project Team to address issues related to change management. This resource will develop a change management strategy focussing initially on the “Application and Peer Review Processes” and will be “retained” through an “open” contract until March 31st, 2002.</p>	<p>Consulting. Change Management Strategy is under development.</p>
<p>3 <u>Project Risk</u></p> <p>3.1 Organization & Staffing</p> <p>It is recommended that the DG CASD ensure:</p> <ul style="list-style-type: none"> - ISD project manager is fulltime and reports directly to PD; - Communications resource is assigned fulltime to project; - Project administration role is defined and staffed; - Key roles of configuration management, change management and quality assurance are defined and staffed. 	<ul style="list-style-type: none"> - ISD Project Manager is now full-time on the project and reports to the Project Director for issues related to the project management/direction. A functional relationship is maintained with the Director ISD to provide technical direction and ensure coordination between various ISD activities as they relate to eBusiness deliverables. This arrangement was chosen for a previous project and works well within the organization. Any issue of disagreement which cannot be resolved directly between the technical specialists and the users is brought to the Management Committee (or a sub-group of the Management Committee). - The following resources have been seconded to the eBusiness Center for the duration of the project: <ul style="list-style-type: none"> - Webmaster, fulltime - English editor, halftime - Translator, halftime - Promotions Officer. <p>Project administration role is defined and documented in the procedures for conducting project. At the present time, each project manager is responsible for fulfilling project administration duties in conjunction with the project director.</p> <p>Configuration Management and Change Management roles are currently being defined and implemented. Quality Assurance role is defined and fully staffed.</p>	<p>Done</p> <p>Documentation:</p> <ul style="list-style-type: none"> - eBusiness Center org chart - eBusiness Project Management Workflow - Requirements definition workflow.
<p>3.2 Control Process</p> <p>It is recommended that the PD acquire a “toolkit” to be used to manage the overall project and sub projects. The toolkit should include:</p> <ul style="list-style-type: none"> - Charter format – no project or sub project charters completed yet 	<ul style="list-style-type: none"> - A Project Charter format has been defined and is currently in use. 	<p>Done</p>

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<ul style="list-style-type: none"> - Management information reporting format - Problem tracking and solution process - Risk management/monitoring - Quality assurance plan - Signoff requirements and processes, etc. - Budgeting – financial control. <ul style="list-style-type: none"> - At time of audit a budget was not yet finalized. 	<p>Information Reporting format for Management currently includes Gantt charts, project description and status, free form reports on overall progress.</p> <p>- Problem tracking and solution process, Risk management/monitoring, Quality Assurance and Sign-off processes have been defined and are currently addressed as part of individual projects. These are based on the NAMIS model which was proven to be successful for the organization. Problem/solution tracking & enhancement requests follow the established process. <i>Rational 2001</i>, an automated test & tracking tool, was implemented in the summer of 2001 to assist with and streamline the QA function. Specific QA/test plans are established for each sub-project.</p> <p>A budget has been secured in May 2001 for the project for fiscal year 2001-02.</p>	<p>Documentation:</p> <ul style="list-style-type: none"> - Project Charter template - Defect management flow
<p>3.3 Development Process</p> <p>It is recommended that the Project Director ensure a development methodology is selected and followed.</p>	<p>The standard system development methodology stages are being followed as our guiding principles for development. This includes, but is not limited to the identification of requirements, with mockups (prototypes); project charters; formal signoffs of specifications and/or change requests; development of QA plans and scripts; development of functionality; defined build/release schedules; developer, QA and client testing; and formal authorization for release to production.</p> <p>As new roles and responsibilities are identified (i.e. business transformation of ISD) the tasks and documentation continue to be updated.</p>	<p>Active and ongoing Documentation for specific stages is currently being formalized for release to the ISD segment under the Administration Guide (intranet).</p>
<p>4. <u>Technology Risk</u></p> <p>4.1 Informatics Readiness</p> <p>It is recommended that the Director of ISD implement configuration and release management processes.</p>	<p>Release management, in terms of scheduled builds/releases, is currently being redefined to meet the needs of the eBusiness projects (above what is currently available for web-based forms). Implementation of formal release schedules, notes and processes is in place and includes the input of the</p>	<p>Documentation: build procedure; release scheduling (in progress)</p>

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	<p>development, QA and business teams. In addition, formal maintenance windows, enhanced controls on legacy environment, enhanced intrusion monitoring, and enhanced security architecture is being implemented.</p>	
<p>4.2 Infrastructure No recommendation required.</p>	<p>The ISD Project Managers collaborate with ISD to ensure the overall infrastructure meet the needs of eBusiness as well as the ongoing operations of the Councils. The basis for the decisions and infrastructure designs is based on eBusiness strategy and the overall eBusiness plan, identified foundation building projects (ex. eSubmission), outcomes of Security assessments and an ISD Readiness report. Infrastructure is not limited to eBusiness as it incorporates the current and future requirements of the Councils. Plan includes a formal development architecture with discrete development, QA and Production environments.</p>	<p>In progress / ongoing activity.</p>