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Gatineau, Canada
K1A 0S5

The Honourable Kevin Sorenson, M.P.
Chair
Standing Committee on Public Accounts
House of Commons
Ottawa, Ontario K1A 0A6


Dear Mr. Sorenson:

I am writing further to the June 20, 2018, letter from the Honourable Scott Brison and the Honourable Carla Qualtrough responding to the House of Commons Standing Committee on Public Account's *Report 1—Phoenix Pay Problems of the 2017 Fall Reports of the Auditor General of Canada*.

Please find attached, in response to Recommendation 1, the Interdepartmental Analysis Working Group report titled *Root Cause Analysis on Phoenix Issues*, in both official languages.

I trust the information contained herein is both helpful and satisfactory.

Yours sincerely,



Marie Lemay, P.Eng., ing.
Deputy Minister
Public Services and Procurement Canada

Interdepartmental Analysis Working Group Root Cause Analysis on Phoenix Issues

In May 2017, the Working Group of Ministers on Achieving Steady State for the Pay System requested an interdepartmental working group be formed to perform root cause analysis on Phoenix Issues.

A working group was formed of representatives from a cross-section of organizations, who met from July through October 2017.

We would like to thank organizations who participated, and the participants themselves for the many hours of dedicated work required to produce this report.



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Executive Summary

The Interdepartmental Analysis Working Group (IDAT), composed of working-level representatives from organizations across the HR-Pay community, was formed at the request of the Working Group of Ministers on Achieving Steady State for the Pay System to investigate Phoenix system-related issues, using root cause analysis techniques and provide prioritized recommendations.

The group met from July to October 2017. IDAT distilled 257 issues from source documents and departmental high priority issues. To meet time constraints, a subset of issues was selected for analysis based on prioritization and risk assessment. Root cause analysis of these issues resulted in 29 unique root cause analysis reports.

The specific root cause reports should be taken into consideration by the relevant projects now being implemented under the HR-Pay governance. These root causes may inform project activities by providing key information not already understood. In other cases, the root cause analysis may indicate a reprioritization of activities as appropriate.

In addition to the targeted recommendations to address root causes identified in section 3 of this report, three themes emerged, that summarize the findings of IDAT:

A. System

This report has many examples of design choices that may have made sense from a systems perspective but have failed in usability. A client-centric model should be applied to process and system design that accepts certain requirements within the HR-Pay landscape. The Phoenix system requires a rethink of its design and associated processes to simplify the user experience and minimize potential for error. In addition, there are several important incident reports and change requests that should be implemented to fix outstanding functional and technical issues.

B. Business Process

The integrated HR-Pay function is extremely complex, with multiple systems that are now tightly integrated, with new and critical dependencies on accuracy and timeliness. The new landscape (people, process, system, policy) requires integration of business processes, systems design, testing, user documentation, training and end user supports, from HR through to Pay.

C. Change management

Many issues analyzed involved a lack of communication or training. Consistency, timeliness, and accuracy in communications and delivery of tools and training are key. The need to shift the culture from late processing to on-time processing is critical to issuing timely pay to employees. This is a significant change that will not succeed without a workforce development plan supported by a structured, consistent and sustained change management program.

The structure and discipline of formal root cause analysis was found to be very useful in a complete analysis of the issue and identifying areas needing attention. Moving forward, formal root cause analysis should be embedded into HR-Pay landscape activities.

1 Background

The Interdepartmental Analysis Working Group (IDAT) was formed in July 2017 at the request of the Working Group of Ministers on Achieving Steady State for the Pay System to analyse system issues that are directly related to employee pay, conduct root cause analysis and make prioritized recommendations to improve Phoenix and Government of Canada business processes (refer to [Appendix B.1 Terms of Reference](#)).

The IDAT working group formed consists of representatives from organizations representing the various Phoenix user group communities, central agencies and Public Services and Procurement Canada:

Organization	Core	Extended
The Administrative Tribunals Support Services Canada		✓
Agriculture and Agri-Food Canada	✓	
Canada Revenue Agency	✓	
Employment and Social Development Canada	✓	
Environment and Climate Change Canada	✓	
Fisheries and Oceans Canada / Canadian Coast Guard	✓	
Global Affairs Canada	✓	
Innovation, Science and Economic Development	✓	
National Defence		✓
Royal Canadian Mounted Police		✓
Public Services and Procurement Canada:		
• Compensation Sector / Pay Policy	✓	
• Compensation Sector / Pay Centre	✓	
• Compensation Sector / Systems and Business integration	✓	
• Pension Sector	✓	
• Integrated Services Branch / MyGCHR	✓	
• Chief Information Officer Branch	✓	
Public Service Alliance of Canada		✓
Treasury Board Secretariat / Office of the Chief Human Resources Officer	✓	

Organizations were asked to provide participants on a full-time basis for the four-month duration of the exercise. The full-time participants of the working group formed the core of the working group. Due to holidays and organizational workload, certain representatives were only able to participate at key touchpoints. These working group members formed the extended working group.

The working group met from July to October. A presentation of findings was prepared for the Working Group of Ministers on Achieving Steady State for the Pay System in November 2017.

2 Approach

Based on the request from the Working Group of Ministers on Achieving Steady State for the Pay System, the Interdepartmental Analysis Working Group (IDAT) developed an approach that ensured delivery of a report of the results of formal root cause analysis of a selected number of issues related to employee pay on November 30, 2017.

2.1 Incremental Workplan

IDAT adopted an incremental approach that consisted of four main steps:

1. **Planning and Training:** in this three-week period, IDAT members familiarized themselves with the list of issues to be considered, were trained in root cause analysis, formalized a mandate statement and developed a workplan.
2. **Issue Analysis** in this two-week period, IDAT members reviewed, prioritized and selected the issues that would be analysed for the report. The results of the issue analysis and selection phase were included in a checkpoint status report at the end of September 2017.
3. **Root Cause Analysis:** During this nine-week period, IDAT conducted root cause analysis on the selected issues and formulated recommendations.
4. **Report Finalization:** IDAT reviewed and finalized the report for the November 30 deadline.

During steps 1 through 3, Project team status was reported each Friday. In addition, the working group co-chairs met with the working group each Monday to discuss progress, and to identify and clear issues.

2.2 What is the HR-Pay Landscape?

The scope of the HR-Pay landscape required to issue pay is complex with multiple stakeholder groups.

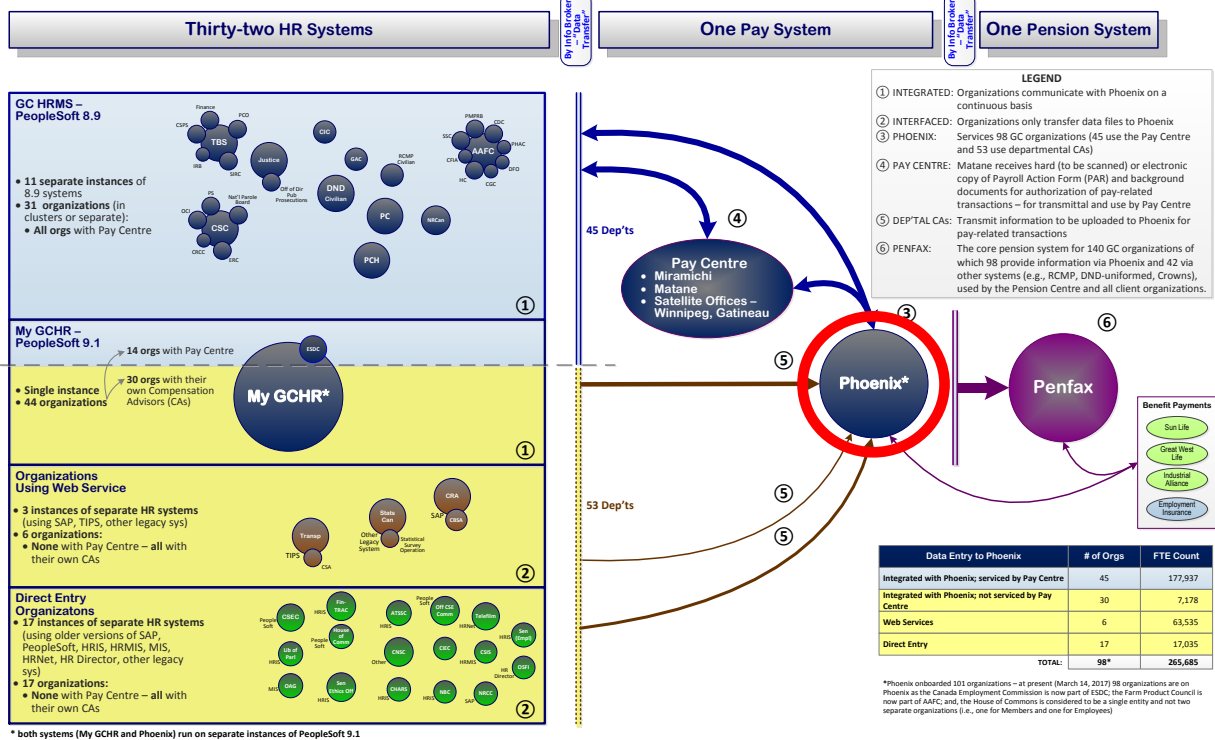
As depicted in the figure on page 3, 15 different Human Resource management systems are used across 81 Government of Canada organizations that integrate or interface directly into Phoenix. For these organizations, information entered into their HR system is messaged automatically to Phoenix. An additional 17 organizations (“direct entry”) manually enter HR information into both their HR system and into Phoenix.

From time to time, Compensation Advisors need to update employee accounts manually in Phoenix. Forty-five of the 98 organizations are serviced by the Pay Centre and satellite offices. The remaining 53 organizations have their own Compensation Advisors.

Phoenix is also integrated with Penfax, which is the core pension system for 140 government of Canada organizations. The two-way interfaces between Phoenix and Penfax update information related to pension eligibility and benefits. Phoenix also interfaces with Receiver General Systems to process payments (Standard Payment System) and to maintain currency of the accounts of Canada. Finally Phoenix integrates with over 100 organizations such as tax authorities, unions, insurance providers and other service providers related to benefits.

This report focuses primarily on the Phoenix system and its interactions within the HR-Pay landscape.

HR – Pay – Pension Landscape



2.3 What is Root Cause Analysis?

Root Cause Analysis (RCA) is a technique founded in total quality management principles, used to identify, document and address the cause of incidents associated with a particular problem. While root cause analysis may have become a generic term for problem identification, true root cause analysis involves a formal, structured, iterative process that consists of six steps:

1. Define the problem
2. Understand business impact
3. “Five whys” (a question-asking technique that explores cause and effect underlying the problem)
4. Identify root causes
5. Identify action plan
6. Communicate lessons learned.

The mandate of IDAT limited work to the first four steps of the full root cause analysis process.

2.4 Methodology

IDAT recognized the need to ensure the perspectives of multiple stakeholder in the HR-Pay landscape. To this end, representatives of each of these stakeholder groups were invited to participate in the working group. Although not all were able to participate full-time, steps were taken such as distribution of draft documents, and directed questions to specific groups to allow for representation where possible.

IDAT was asked to consider issues identified in the following documents:

- PSPC Action Plan to Ceridian Recommendations June 19, 2017 (*contains a listing of Ceridian recommendations*)
- The IBM Payroll Administration Sustainment Assessment October 28, 2016
- My GCHR and GCHRMS / OCHRO Priorities July 11, 2017
- The Phoenix Internal Services Support Calls Issues list
- Compensation Sector (CS) – Pay: Stabilization Plan May 31, 2017
- The PriceWaterhouseCoopers report: Pay Process Improvement Recommendations and Implementation Roadmap June 2017

These reports listed several hundred issues, some duplicated, many stated as multiple symptoms of the same issue. In addition, core participants identified top issues from their organizations.

Due to time constraints, IDAT took the approach that it would select a smaller number of issues of high priority that could be addressed in the allotted time.

A list of 257 issues (refer to [Appendix C: Issue Traceability Matrix](#)) was extracted from source documents and organizational top issues. Each candidate issue was assessed on the following criteria:

- Impact to business: a rated impact to employee, to organization, to the service provider and to government priorities.
- Issue severity: a ranked assessment of size, cost implication, impact on employee, frequency, and complexity.
- Nature of associated risk: reputational, operational, financial, legal and labour
- Mitigation strategy: ability to remediate, prevent and nature of workarounds

These issues were also assessed ranked based on IDAT members' understanding of the issue and stakeholder priorities. IDAT's mandate was further clarified to focus on issues that were perceived to be system issues, leading to a short list of 40 issues selected for root cause analysis. Refer to [Appendix D: Detailed Approach](#) for a detailed description of the issue selection process.

Interrelationships and dependencies were found among these issues, which resulted in 29 root cause analysis reports (refer to [Appendix A: Root Cause Analysis Reports](#)).

2.5 Assumptions and Constraints

Assumptions:

- The extracted list of issues from the provided documents and organizational top issues represents a sufficient set of current items on which prioritization and root cause analysis can be conducted.
- IDAT members provided a representative cross-section of Phoenix stakeholders with access to informed understanding of business practices, impacts and priorities.

Constraints:

- IDAT was given a mandate to investigate Phoenix system-related issues, and therefore, when faced with system and non-system causes, opted to focus on system-related aspects of root causes.
- When and as possible, IDAT members consulted with subject matter experts and resources to gain additional knowledge and inputs as issues were investigated and analyzed.
- A specific time constraint to produce a final report by November 30, 2017.

- IDAT members are new to conducting Root Cause Analysis. In early days, team membership changed, training and re-training on the root cause analysis process was required, which affected productivity.
- The complexity of the HR-Pay landscape (refer to [section 2.2 What is Root Cause Analysis?](#)).

3 Root Cause Analysis Results and Recommendations

The 29 root cause analysis reports spans the end to end pay cycle, from organizational pay-related events through to reporting pay results back to organizations. For a detailed description on steps taken to perform the root cause analysis and for detailed findings, please consult [Appendix A: Root Cause Analysis Reports](#).

The root cause analyses were grouped by topic as follows:

Actings	Time Reporting and Approvals	Leaving Work Permanently or Temporarily
<ul style="list-style-type: none"> 1.1 Acting data entry complexity 1.2 Data entry limitations 1.3 Incorrect tax calculation for acting 1.4 Interruption of allowances while acting 1.5 Late acting payment calculation 1.6 No pay after late acting automation 1.7 Incorrect pension calculation for late acting 1.8 Late extensions of acting not automatically processed by Phoenix 1.9 Limitations on managing overpayment holds for web services 	<ul style="list-style-type: none"> 2.1 Time reporting issues Time and Labour 2.2 Hours data type issues in Phoenix 2.3 Schedule synchronization 2.4 Late transactions on closed records 2.5 Section 34 approvals 2.6 Section 33 approvals 	<ul style="list-style-type: none"> 3.1 Leave without pay ≤ 5 days 3.2 Leave without pay greater than 5 days 3.3 Transfer in/out 3.4 Complicated termination process due to Pending Y
Overpayments	Integration with HR Systems	Pay and Benefits
<ul style="list-style-type: none"> 4.1 Overpayments 	<ul style="list-style-type: none"> 5.1 Assignment/secondment records not recorded in Phoenix 5.2 Data not aligned between the HR system and Phoenix (Job Stack) 	<ul style="list-style-type: none"> 6.1 Auto Salary Calculation not handling salary above minimum or CRA cumulative rules 6.2 Proration of part time allowances 6.3 Manual pension and benefits processes 6.4 Garnishment deductions 6.5 Non-refundable deductions 6.6 Cheques being rejected by Standard Payment System 6.7 T4 and Relevé 1

The following sub-sections summarize the root cause analysis findings:

- **Problem Definition** identifies the problem that was specifically investigated.
- **Root Cause** is the factor or factors that were found to be at the root of the issue. The working group was given a mandate to investigate Phoenix system-related issues and therefore, when appropriate, opted to focus on system-related causes.
- **Selected Contributing Factors** are selected factors identified in the root cause analysis that alone would not have caused the problem but are important enough to need corrective action to improve the quality of process.
- **Recommendations** are suggested actions or next steps the working group believe might contribute to alleviating the problem.

3.1 Root Cause Analyses Related to Actings

Business Impacts: Actings is the largest area of this study, involving nine of the twenty-nine root cause analyses conducted. Business impacts of the issues analysed include overpayments, late, low or no pay for employees, increased workload for Compensation Advisors and Finance, incorrect deductions and hence remittances and incorrect pension deductions which cannot be refunded.

In certain cases, pay issue related to actings are causing hardship for employees, and there are reports that employees are refusing acting assignments out of fear their pay will be disrupted.

1.1 Acting Data Entry Complexity	
Problem Definition	Description
Entering acting transactions is complex and can be error prone, leading to overpayment or no pay situations.	<p>Root Cause: Requiring 4 linked transactions to record the start and stop of an acting has introduced potential for failure at multiple points in the process, leading to error with significant effort required not only to correct the error but to address consequences of the error.</p> <p>Selected Contributing Factors:</p> <ul style="list-style-type: none"> • Lack of visibility for HR users into Phoenix, to see the results of Acting Data Entry. • Unclear roles and responsibilities for entering complex acting transactions (e.g., Acting on Leave with Income Averaging). • Employee having large number employee records. • HR users not consistently checking Phoenix messages.
<p>Recommendations: 1.1.1 A review is required of the design, usage and processing of employment records with respect to actings. Refer to RCA #1.5 Late Acting Payment Calculation.</p>	

1.2 Data Entry Limitations	
Problem Definition	Description
Acting transactions for the current pay period entered on Tuesday, Wednesday, or Thursday of non-pay weeks can potentially create pay issues, such as no pay or double pay.	<p>Root Cause: Timing between job row entries, the cut-off for entries of HR information (Job Lock) and the pay confirm process can create situations where employee pay is affected by the entry of actings.</p> <p>Selected Contributing Factors:</p> <ul style="list-style-type: none"> • Lack of testing entire confirm process to validate data entry process and limitations related to Job Lock. • The order in which the integration broker processes messages isn't currently being controlled.
<p>Recommendations:</p> <p>1.2.1 Confirm and communicate data entry restrictions to organizations. Ensure there is a mechanism to clearly communicate start and end of pay confirm periods.</p> <p>1.2.2 Communicate fixes to the system more clearly and with better timeliness.</p> <p>1.2.3 Organizations need to have greater confidence in fixes. This can be improved by allowing organizations to participate in end-to-end testing within Phoenix or communication of testing process and results.</p> <p>1.2.4 A review is required of the design, usage and processing of employee records, with respect to actings. Refer to RCA #1.5 Late Acting Payment Calculation.</p>	

1.3 Incorrect Tax Calculation for Acting	
Problem Definition	Description
<p>When an employee changes their pay group in the middle of a pay period, Phoenix will under-calculate tax.</p> <p>When a large payment is approved from the rollback tracker¹, Phoenix will over-calculate tax, possibly resulting in low or no pay for the employee.</p> <p>Taxes are being calculated correctly, but Phoenix is only using the tax location code on the active row in Job Data not the tax location of the effective dates of the acting.</p>	<p>Root Causes:</p> <ul style="list-style-type: none"> • Phoenix calculates taxes independently for each pay cycle and each pay sheet. Employee’s annualized salary is understated, and tax withholding is under calculated. • Payments from the rollback tracker also calculate taxes independently, based on the assumption the payment is for one pay period. When the rolled back payment is large, employee annualized salary is overstated and tax withholding is over calculated. • For an acting transaction, on the recovery step, taxes are refunded based on the tax location code on the current job row in the substantive, not the tax location that was active for the dates of the acting.
<p>Recommendations:</p> <p>1.3.1 Investigate potential to change tax calculations to be based on multiple paysheets and multiple pay cheques. (Enable Single Cheque Multi Job Function). See Aggregate taxation of multiple cheques.</p> <p>1.3.2 Take steps to reduce Section 33 authorizer reliance on rollback tracker. Refer to RCA #2.6 Section 33 Approvals.</p>	

¹ The rollback tracker is a utility that allows Section 33 Authorizers to delay actioning a payment to a subsequent pay cycle or pay period.

1.4 Interruption of Allowances While Acting	
Problem Definition	Description
<p>When employees receiving a non-derived allowance (Isolated Post Allowance (IPA), retention allowances, etc.) start an acting, the allowance they may still be entitled to with their acting record is either not allotted in a timely fashion or not allotted at all. Because these allowances can represent a significant portion of the employee’s pay, this can cause severe hardship on the employee.</p> <p>For example, when the acting is entered late, the IPA paid under the substantive record will be recovered, and payment of the isolated post allowance due for the acting will not be issued until a manual process is completed. This results in severe hardship for implicated employees.</p>	<p>Root Cause: Non-derived allowances are started by Compensation Advisors through a manual process. There currently are no triggers for Compensation Advisors to start these payments for employees going on actings. Phoenix does not have all the information to automate it as the source of the required information is with HR, however the HR system was not configured to capture this information and integrate it to Phoenix.</p> <p>Selected Contributing Factors:</p> <ul style="list-style-type: none"> • The non-derived allowance follows the employee record in Phoenix. When an employee commences an acting, the employee is paid on a new employee record so the allowance is not carried over. • HR needs to send the appropriate paperwork to the Compensation Advisor to ensure the allowances are restarted on the acting if applicable. The overall backlog on pay transactions contributes to the delay in Compensation Advisors auctioning these requests.
<p>Recommendations:</p> <p>1.4.1 Investigate the opportunity to automate some of the non-derived allowances by capturing the required information in HR and sending it over to Phoenix through integration.</p> <p>1.4.2 Investigate the opportunity to carry forward the IPA allowance to an acting record automatically. Deductions follow the person, could the IPA have the same functionality?</p> <p>1.4.3 Have a query that monitors acting sent over from integration for which the substantive record has an allowance that may need to be carried over to the acting record.</p> <p>1.4.4 Investigate opportunities to reduce the backlog of pay transactions.</p> <p>1.4.5 Ensure HR has clear procedures for processing acting with allowances.</p> <p>1.4.6 Determine if there is a Phoenix system issue related to allowances not being recovered when acting are entered into Phoenix after they have ended.</p>	

1.5 Late Acting Payment Calculation	
Problem Definition	Description
Phoenix implementation of late acting has significant financial and workload impact for employee and employer.	<p>Root Cause: The use of multiple employee records, and the process of overpayment and recovery of the substantive record in Phoenix has increased the likelihood of an employee in a late acting situation having an overpayment, low pay or no pay situation.</p> <p>Contributing Factor:</p> <ul style="list-style-type: none"> • Potential implications of late actings on employee pay are not well understood.
<p>Recommendations:</p> <p>1.5.1 Investigate different options to redesign Acting end-to-end, including:</p> <ul style="list-style-type: none"> - Pay short term actings like an allowance. - In Phoenix, add acting transactions on the substantive employee record 0. - Another option is to have designated employee records. 0 for Substantive and 1 for Acting and reuse record 1 for each new acting. Having a separate record number for Acting still has the potential impact of no pay or overpay, but it will reduce confusion associated with selecting the acting record. <p>1.5.2 Investigate use of automation to improve timeliness of the end to end acting process, starting with the manager.</p>	

1.6 No Pay After Late Acting Automation	
Problem Definition	Description
<p>E117 (automated processing of late acting) processes late acting transactions successfully. However, subsequent processes may lead to employee low or no payment. Compensation Advisors (CAs) do not have a report of employee net pay to identify these employees.</p>	<p>Root Causes:</p> <ul style="list-style-type: none"> • Time and Labour processing related to rejected transactions may have deleted the acting pay in the employee’s cheque. • Acting and substantive records have different tax locations (different provinces) which may result in \$0 net payment. • Section 33 authorizers may have rejected the transaction because they may not understand and may not see the recovery of the overpayment on the substantive record. • A system defect (raised with Oracle) related to E50 Pension Calculation. <p>Selected Contributing Factors:</p> <ul style="list-style-type: none"> • The E117 query (LATE_ACTING_LOG) does not show the net payment amount. • Pay Centre Compensation Advisors do not have access to run queries.
<p>Recommendations:</p> <p>1.6.1 Develop and/or grant CAs access to a query to report late acting transactions that were successfully processed by E117 but resulting in \$0 payment.</p> <p>1.6.2 Develop and/or grant Compensation Advisors access to a query to report late acting transactions that have different tax locations for acting and substantive records.</p> <p>1.6.3 End-to-end testing is required to validate that all processes work together to create proper pay.</p>	

1.7 Incorrect Pension Calculation for Late Acting	
Problem Definition	Description
<p>Calculation of employee’s contribution to their pension plan is incorrect on late acting that spans multiple calendar years.</p> <p>This results in employee over-contribution to the pension plan, which cannot be refunded.</p>	<p>Root Cause: E50 process is not calculating Pension deductions correctly when the late Acting entered spans two tax years. This is due to an error in Oracle delivered functionality related to pension deduction calculations.</p> <p>Contributing Factor: Late Acting Payment Calculation (refer to RCA #1.5 Late Acting Payment Calculation)</p>
<p>Recommendations:</p> <p>1.7.1 E50 should be revised to ensure that PSSA refunds and contributions are calculated correctly.</p> <p>1.7.2 Raise the Service Requests (SR) severity from level 2 to level 1 with Oracle.</p> <p>1.7.3 User acceptance testing (UAT) should cover all different scenarios of Late Acting.</p> <p>1.7.4 Pension deduction reports should be verified by CAs to catch incorrect pension contributions.</p>	

1.8 Late Extensions of Acting not Automatically Processed by Phoenix	
Problem Definition	Description
<p>Acting extensions entered late into the system (for acting extension periods prior to current pay period but entered after current pay period) are not automatically processed by Phoenix. Compensation Advisors (CAs) have to process acting extensions manually. This results in late pay to employees.</p>	<p>Root Cause: The original assumption underlying Pay Modernization was that HR actions would be entered on or before the effective pay period and therefore that there would be minimal need for late entries of acting and acting extensions. E117 which processes late actings, was added to the project late and in order to meet implementation timelines, did not include processing late extensions of actings.</p> <p>Selected Contributing Factors:</p> <ul style="list-style-type: none"> • Acting extensions are often submitted or processed/entered late. • Notification to managers and follow up on expiring acting may not exist in many organizations.
<p>Recommendations:</p> <p>1.8.1 Develop and implement E118, which processes late extensions of actings. 1.8.2 Proactive reporting to inform managers of upcoming acting end dates with follow up. 1.8.3 Change management is likely required to keep the process within required timeframes. 1.8.4 Implementing Management and HR Performance Standards (Accountability) that specifically include metrics on timeliness of HR requests.</p>	

1.9 Limitations on Managing Overpayment Holds for Web Services

Problem Definition	Description
<p>Web Services organizations end up with overpayments every time there is a late acting with extra duty pay or leave without pay ≤ 5 days that is greater than 10% of employee gross pay.</p>	<p>Root Cause: This is a design issue related to the I134, which does not put transactions with overpayments into the on-cycle, where custom overpayment processing could address Canada Revenue Agency requirements.</p>
<p>Recommendations: 1.9.1 Investigate changing I134 to improve processing of recoveries for web service organizations.</p>	

3.2 Root Cause Analyses Related to Time Reporting and Approvals

Business Impacts: Issues related to Time Reporting and Approvals include overpayments, late and inaccurate pay for employees, increased workload for managers, Compensation Advisors, timekeepers, Finance and employees. There is also a misalignment with collective agreements.

2.1 Time Reporting Issues Time and Labour	
Problem Definition	Description
<p>Employees' transactions appear to be processing but are not being paid out, or are being rejected by Pay for unclear reasons.</p> <p>Statutory holidays and overtime rates are not being applied correctly across provinces, or for certain shift workers claiming overtime.</p> <p>Certain shift workers are unable to accurately record their work and their extra duty activities due to issues with reporting codes and overtime rates.</p>	<p>Root Causes:</p> <ul style="list-style-type: none"> Phoenix applies the same statutory holiday overtime rates to all provinces. Phoenix has adopted an elapsed time model for time entry which does not capture time of day entry. This missed business requirement creates issues for shift workers reporting their time and leads to other issues related to statutory holidays. Time and Labour will reject transactions for a number of reasons at a variety of points in processing. There is no formal process to address TL_ABEND issues in a timely fashion. Time administration will also reject transactions due to inaccurate time reporting data. (Rejected by Payroll error message). <p>Selected Contributing Factors:</p> <ul style="list-style-type: none"> Complex configuration due to the number and complexity of collective agreements. Existing employees lose enrollment to Time and Labour due to certain job changes. Organizations are not notified when the Time Administration process does not run.
<p>Recommendations:</p> <p>2.1.1 Investigate potential to implement a punch time system for shift workers.</p> <p>2.1.2 Communicate to shift workers to resubmit the overtime they submitted on a statutory holiday over the last six months with the new time reporting code (263M).</p> <p>2.1.3 Communicate to Section 34 managers that the Time Administration process is not run on the Tuesday and Wednesday of confirm week and therefore will not see transactions submitted by their employees until the Friday.</p> <p>2.1.4 PSPC should provide real-time information to all organizations on the status of the Time Admin process (Hourglass project).</p> <p>2.1.5 Develop a process to address TL_ABEND issues in a proactive and timely manner.</p> <p>2.1.6 Pay Policy should consider extending or removing the 6 months data entry limitation.</p>	

2.2 Hours Data Type Issues in Phoenix

Problem Definition	Description
<p>Phoenix does not meet collective agreement requirements to collect and calculate time to three decimal places. This is true for hours entered into Phoenix (e.g., Overtime) and leave transactions sent from My GCHR.</p> <p>Voluntary cash-out of more than 99.99 hours from MyGCHR (compliant with requirements) can fail integration to Phoenix due to data mismatches, without notification to employees or managers.</p>	<p>Root Cause: Phoenix is rounding hours in favour of the employee. The requirement for a different hour field format was not identified early enough in the Phoenix build phase. As a result, the Phoenix team did not modify the delivered format of 99.99. This also causes Phoenix integration errors for My GCHR cash out transactions over 99.99 hours.</p>
<p>Recommendations:</p> <p>2.2.1 The following alternative options could be considered:</p> <ul style="list-style-type: none"> - Continue with the workaround of rounding in favor of the employee; or - Investigate a Phoenix system change. An impact assessment was completed by Phoenix to accept 3 decimal precision. Estimates are 994 system development days (plus business UAT effort); or - Investigate renegotiating collective agreements in the future to align with delivered system capability with the objective to minimize system-related issues that can impact employee pay <p>2.2.2 My GCHR should add an edit to ensure that a voluntary cash out transaction over 99.99 hours cannot be submitted and inform the employee to submit two split transactions instead.</p>	

2.3 Schedule Synchronization	
Problem Definition	Description
<p>Schedules between My GCHR and Phoenix can become misaligned. Once schedules are misaligned, any schedules changes in My GCHR will not load to Phoenix. Incorrect schedules in Phoenix could result in pay issues.</p> <p>Some schedule alignment fixes have been implemented but the historical schedules were not updated, are still misaligned and creating issues with employee pay.</p> <p>There are few tools to support manager and employee efforts to fix schedule problems.</p> <p>Further, the Time & Labour Launchpad in Phoenix doesn't always reflect the latest assigned schedule within Phoenix.</p> <p>The schedules available do not always meet employee needs. For example there is no predefined schedule for Muslim work week and there is no schedule based on am/pm.</p>	<p>Root Causes:</p> <ul style="list-style-type: none"> As a result of job stack misalignment, issues with historical schedules (residual work related to fixes applied) and open Incident Reports (IRs), schedules are placed into staging table and not completely / properly transformed to Phoenix system schedule. The Muslim Work Week schedule requirements were captured but not implemented due to resource constraints. <p>Selected Contributing Factors:</p> <ul style="list-style-type: none"> Separate PeopleSoft instances and different business rules for Phoenix and My GCHR. Different predefined schedules IDs between My GCHR and Phoenix
<p>Recommendations:</p> <p>2.3.1 Phoenix and My GCHR continue to work to fix residual schedule synchronization issues.</p> <p>2.3.2 Add the Muslim work week predefined schedule.</p> <p>2.3.3 Review the list of Predefined schedules in both My GCHR and Phoenix. Harmonize using the same IDs in both systems.</p> <p>2.3.4 My GCHR and Phoenix should standardize on business rules (e.g., the multiple of 7 days requirement for the schedule).</p> <p>2.3.5 Do not remove the Timekeeper role in Phoenix for My GCHR organizations until the cleanup of historical and current schedules is completed.</p> <p>2.3.6 Support and implement findings from the OCHRO "Workforce scheduling working group".</p>	

2.4 Late Transactions on Closed Records	
Problem Definition	Description
Once the employment record becomes inactive no further transactions on Time and Labour records are possible.	<p>Root Cause: Time & Labour configuration is too restrictive in not allowing historical time to be input after the employment record has been terminated.</p>
<p>Recommendations: 2.4.1 Implement pending Change Request (CR) to resolve issues with allowing employees to enter historical time after the employment record has closed.</p>	

2.5 Section 34 Approvals	
Problem Definition	Description
<p>Section 34 approvals are not completed in a timely manner, resulting in late payment of extra duty pay.</p> <p>Transactions do not always appear on the Section 34 manager or time keepers' worklist when expected.</p> <p>Employee transactions will appear on the worklists of timekeepers or the PSPC security contact when the employee's Section 34 manager is no longer valid.</p> <p>Section 34 managers working away from their home organization cannot approve employee time.</p>	<p>Root Causes:</p> <ul style="list-style-type: none"> • Due to operational requirements and priorities, the Time Administration process is not always run as scheduled during pay confirm week, therefore Section 34 managers can't retrieve and approve the submitted time entries. • There is no established communication process in place to notify organizations and managers when the Time Administration process does not run. • Section 34 managers will not be able to review and approve time entries if employees have not selected/validated them as their Section 34 manager in Phoenix or if they are working outside of their home organization. • Acting managers are unable to approve pending transactions once their acting has expired. <p>Selected Contributing Factors:</p> <ul style="list-style-type: none"> • Delay in Transfer In/Out process of employee or Section 34 manager. • Section 34 Approvals are delayed due to incorrect Section 34 Manager selections. • Section 34 managers not able to approve employees' outstanding transactions that are over 6 months old. • Seconded-in and Assignment records are not in Phoenix.
<p>Recommendations:</p> <p>2.5.1 Expediting Transfer In/Out process can avoid some of issues for Section 34 approvals.</p> <p>2.5.2 Transactions should not be sent to the PSPC Security Administrator account. For all organizations to identify individuals as point of contact to monitor and follow up on pending transactions.</p> <p>2.5.3 Organizations should only send changes to Section 34 flat file when a change to the end date otherwise it will overwrite the previous entry.</p> <p>2.5.4 For acting Section 34 managers, the Section 34 role should be revisited to include history so past transactions can be approved after the Section 34 manager's acting is completed.</p> <p>2.5.5 Communication required to help understand processing schedule related to Time and Labor (submission and approvals).</p> <p>2.5.6 It should be mandatory for employees to select a Section 34 manager as soon as they login in Phoenix.</p> <p>2.5.7 Organizations may want to review their Section 34 delegation to allow lower level managers to review and approve their employees' transactions.</p> <p>2.5.8 Include additional information when selecting the employee's record number for both Section 34 managers and timekeepers. CR #4354.</p> <p>2.5.9 Data monitoring and strategy to clean up outstanding exceptions. This will improve the Time Admin processing time.</p> <p>2.5.10 Investigate potential to implement the ability to forward transactions from one Section 34 manager to another Section 34 manager for approval.</p> <p>2.5.11 Investigate potential to display the selected Section 34 manager on the Timesheet page.</p>	

2.6 Section 33 Approvals	
Problem Definition	Description
<p>The timelines for Section 33 authorizers to complete approvals is not predictable and may not provide enough time to complete due diligence, resulting in payments that should not be made.</p> <p>The pages used to perform Section 33 approvals can encounter performance issues with Searching and Saving functions.</p>	<p>Root Cause: Pay continues to be calculated through the Section 33 approval window in order to be ready for pay confirm. This causes instability in the Section 33 approval window, leaving Section 33 authorizers a very short window of time to complete authorizations and causing more use of rollback functionality than intended.</p> <p>Contributing Factor: Section 33 approvals are not always performed prior to the final approval window, leaving a larger number of transactions to be actioned at the last minute.</p>
<p>Recommendations:</p> <p>2.6.1 System performance could improve if:</p> <ul style="list-style-type: none"> 2.6.1.1 Users optimized Search by including Business Unit in their criteria 2.6.1.2 Users utilize the entire system availability window, thereby avoiding network traffic congestion particular to their organization or location. 2.6.1.3 System process monitors (scopes) should be utilized to determine if there are performance improvement opportunities within the application. <p>2.6.2 Communication improvements required to:</p> <ul style="list-style-type: none"> 2.6.2.1 Ensure accurate contact lists are maintained. 2.6.2.2 Optimize the approval /communication process for Section 33 Approval Window changes to reduce delays and enable communications to reach impacted user in a way that enables them to respond. 2.6.2.3 Consider use of System Messages to communicate in real time to logged in users the status / availability of functions. <p>2.6.3 Process and Tool Improvements:</p> <ul style="list-style-type: none"> 2.6.3.1 Provide ability to comment on Section 33 rejections to document why the transaction was rejected. 2.6.3.2 Improve query tools for additional scenarios (like % of change in pay) to provide refined selections for Section 33 review. <p>2.6.4 Education and Documentation Improvements:</p> <ul style="list-style-type: none"> 2.6.4.1 Section 33 education in the areas of investigating transaction details and related transaction to support approval. FAQ's are available for this topic. 2.6.4.2 Section 34 Audits and Remedial Training if necessary to ensure Section 34 Approvals are appropriate and reliable. 2.6.4.3 Consider Section 33 User Group to share best practices and techniques. 	

3.3 Root Cause Analyses Related to Leaving Work Permanently or Temporarily

Business impact: Issues related to Leaving Work Permanently or temporarily are leading to overpayments, low pay, overstatement of leave allowances, inaccurate Records of Employment affecting employee eligibility for Employment Insurance, inaccurate deductions of taxes, and increased workload for Compensation Advisors, organizational HR Planning and Finance.

There are reports that employees are refusing transfers out of fear their pay will be disrupted.

3.1 Leave Without Pay ≤ 5 Days	
Problem Definition	Description
<p>My GCHR LWOP ≤ 5 days are processed as late as 2 months after the employee took the time off. LWOP ≤ 5 days does not get deducted from pay when entered ahead of time, and gets deducted twice in late acting situations.</p> <p>In GC HRMS, the HR system cannot correctly calculate the absence 10 day rule, resulting in the employee receiving extra leave entitlements.</p> <p>For all Phoenix client types, LWOP ≤ 5 days is not being deducted from pay and is being placed on an overpayment hold if it is entered late and has a value over 10% of the employee’s gross pay.</p>	<p>Root Causes:</p> <ul style="list-style-type: none"> Phoenix Self-Service (GC HRMS / Direct Entry clients): LWOP ≤5 is deducted from pay via Employee Self-Service but the LWOP leave transaction is not being input in the HR system to re-calculate leave entitlements. My GCHR clients: There is a delay when LWOP ≤5 gets deducted from an employee’s pay as Phoenix must wait until the month end Absence Management finalize process to be run in My GCHR. All Phoenix client types: Most LWOP ≤5 transactions are submitted late and overpayment holds are being applied (when it exceeds 10% of gross pay) instead of being deducted from first available funds. <p>Selected Contributing Factors:</p> <ul style="list-style-type: none"> LWOP being deducted twice (on substantive and acting). LWOP not being deducted on terminated accounts. LWOP are not being deducted for employees on assignment. GC HRMS: Leave entitlements are not being updated by Compensation Advisors.
<p>Recommendations:</p> <p>3.1.1 Investigate the possibility of Phoenix sending LWOP ≤ 5 days transactions back to GC HRMS organizations for accurate calculation of Leave Adjustment (e.g. report, leave administrator role).</p> <p>3.1.2 In the short term, develop procedures and training to tell the CA to check for outstanding LWOP ≤ 5 days transactions within My GCHR prior to termination of an employee.</p> <p>3.1.3 Investigate methods to send LWOP ≤ 5 days transactions from MyGCHR more frequently.</p> <p>3.1.4 Investigate potential to exclude LWOP ≤ 5 days transactions from overpayment hold processing.</p>	

3.2 Leave Without Pay Greater Than 5 days	
Problem Definition	Description
<p>Employees on leave without pay (LWOP) greater than 5 days serviced by the Pay Centre are not being processed in a timely fashion. As a result they are being overpaid, do not receive their Record of Employment within legislated timelines, leading to possible impacts on employment insurance (EI) benefits and pension benefits.</p>	<p>Root Cause: Due to overall backlog of transactions, the Pay Center is not able to process LWOP transactions for more than 5 consecutive days in a timely manner.</p>
<p>Recommendations: 3.2.1 Investigate the opportunity of allowing HR in organizations to enter certain LWOP greater than 5 days transactions to lower Pay Center’s workload.</p>	

3.3 Transfer In/Out	
Problem Definition	Description
<p>What was a previously lengthy process now take longer, resulting in incorrect pay to employees.</p>	<p>Root Cause: The coordination of the transfer in/out process is complex, requires coordination of multiple resources to complete, and is not well understood by organizations.</p> <p>Selected Contributing Factors:</p> <ul style="list-style-type: none"> • Delays in the transfer process which may cause more complexity and confusion. • Process is not followed in optimal fashion. • Existing process documentation are not being utilized to support this process.
<p>Recommendations:</p> <p>3.3.1 Compensation Advisors should process pay based on employee account and not transaction type.</p> <p>3.3.2 Investigate permitting organizations to allow transfer in transactions prior to the transfer out without any impact on employee’s account.</p> <p>3.3.3 Organizations need a search/view access to determine if the employee is active in Phoenix.</p> <p>3.3.4 Finalize the new transfer process (roles and responsibilities) and training material to ensure the process is well understood by organizations, includes improved capture of information about the employee (e.g., if they are active at another organization, their employee status, contact at other organizations) and considers potential for organizations to process transfer in transactions prior to the transfer out.</p> <p>3.3.5 Maintain contact list for transfer process.</p>	

3.4 Complicated Termination Process due to Pending Y	
Problem Definition	Description
<p>Not completing the Pending Y portion of the termination process in the current pay period can lead to inaccurate pay for the employee and additional complexity and workload for the Compensation Advisor and HR.</p> <p>Processing term extensions and rehires before the Pending Y has been processed can create additional employee records, leading to further data entry errors affecting employee pay when further extensions are processed or the Pending Y portion is completed.</p> <p>Incorrectly processing the Pending Y (changing Action/Reason and Effective Date), may cause misalignment in the Job Stack mapping, also leading to errors or delays in employee pay.</p>	<p>Root Causes:</p> <ul style="list-style-type: none"> • Late processing of terminations, which includes removing the Pending Y row, is complex and requires manual processing by Compensation Advisors, therefore contributing to processing delays. • The overall backlog of pay transactions causes delays in processing terminations. <p>Selected Contributing Factors:</p> <ul style="list-style-type: none"> • Not all HR have access to view Job Data in Phoenix to check for existing records or Pending Y rows. • Using correction mode incorrectly in Phoenix to process Termination (e.g., updating Action/Reason and Effective Date) potentially causes Job Stack table misalignment. • Phoenix does not have sufficient edit/warning/error messages to prevent incorrect data entry especially in Correction Mode.
<p>Recommendations:</p> <p>3.4.1 Investigate the possibility of <i>not</i> transforming Termination to Pending Y in Phoenix. CAs could then manually finalize pay actions using extension E23 post Termination date.</p> <p>3.4.2 Review work procedures for terminations and hires to ensure proper emphasis on use of correction mode.</p> <p>3.4.3 Provide training on the importance of Job Stack to CAs.</p> <p>3.4.4 Investigate the opportunity to automate more transactions in Phoenix to reduce overall pay transactions backlog.</p>	

3.4 Root Cause Analyses Related to Overpayments

Issues related to overpayments processing result in employee low/no pay, complex tax issues at year end, increased workload for Compensation Advisors, managers and Finance, inability to forecast salary expenditures, and budget impacts due to high overpayment balances.

4.1 Overpayments	
Problem Definition	Description
<p>The number of accounts with overpayments and the total value of overpayment balances has significantly increased since Phoenix went live, affecting employee pay and management of organizational Finances.</p> <p>Overpayments are being created for situations that did not create overpayments under RPS (e.g., accounting adjustments for late actings, leave without pay ≤ 5 days, extra duty pay reversals).</p> <p>Overpayment holds are being applied and removed in an unpredictable fashion. Sometimes overpayments are being over recovered (e.g., when terminated employees return to work or when employee pays by cheque). Therefore it is difficult to get an accurate estimate of overpayment balances and employees are put at risk due to unpredictability of pay.</p> <p>Organizations are having difficulty recovering employee overpayments when the employee has transferred to a new organization.</p>	<p>Root Causes:</p> <ul style="list-style-type: none"> • The number of accounts with overpayments, and the value of the overpayments has increased as compared to RPS because of timeliness of processing organizational pay-related transactions in combination with the backlog of Compensation Advisor work. Delays in processing are creating more overpayments, and capacity limitations are delaying their recovery. • Phoenix treats certain accounting adjustments in the same way as overpayments. It is difficult to separate accounting adjustments from “true” overpayments. • There was no requirement identified to split overpayments by the type of transaction and only apply the overpayment hold to certain types (i.e. exclude the high-volume types such as LWOP ≤ 5 days and overtime reversals). • There is no mechanism to have the overpayment balance reduced in Phoenix when the recoveries have been made via Penfax. <p>Selected Contributing Factors:</p> <ul style="list-style-type: none"> • Missed business requirement to improve process to recover overpayments for transferred employees.
<p>Recommendations:</p> <p>4.1.1 Review the types of actions that can be entered by HR (i.e. LWOP greater than 5 days, Termination/Pending Y, etc.) this would get transactions in Phoenix more quickly and result in fewer cases of overpayments.</p> <p>4.1.2 Modify Phoenix hold logic so that overpayment holds are applied based on certain entitlement codes. For example, no hold should be applied to overtime reversals and LWOP ≤ 5 days.</p> <p>4.1.3 Determine a method to distinguish overpayments created for accounting reasons (e.g., late actings) from “true” overpayments (e.g., late termination) and remove accounting adjustments from reports to organizations.</p> <p>4.1.4 Review the processes for collecting overpayments and updating repayment amounts in the financial, pay and pension systems to ensure that there are no process gaps remaining.</p> <p>4.1.5 Update process for tracking transferred employees with overpayments so that Finance can more easily determine location of transferred out employees and the source organization for transferred in organizations.</p>	

3.5 Root Cause Analyses Related to Integration with HR Systems

Business Impacts: Issues related to Integration between HR systems and Phoenix lead to incorrect deductions and pay or low/no pay situations, and increased workload for Compensation Advisors, managers, timekeepers, and HR Analysts.

5.1 Assignment / Secondment Records not Recorded in Phoenix	
Problem Definition	Description
<p>Employees on secondments and assignment are not paying the proper deductions, not receiving the correct allowances and are encountering issues with their schedules.</p> <p>Seconded Section 34 managers are not able to approve time for staff in accordance with their delegation.</p>	<p>Root Cause: The decision to have Phoenix not consume assignment/secondment records and process the exception transactions manually with few on-line error or input controls has created greater workloads than anticipated.</p> <p>Selected Contributing Factors:</p> <ul style="list-style-type: none"> • Under policy, the rate of pay for employees on assignment or secondment should not change. However this regularly occurs, for example when employee then goes on an acting. • We have incorrect User Productivity Kit (UPK) in Phoenix and HR, leading to inconsistent processing.
<p>Recommendations:</p> <p>5.1.1 Review available process, UPK and training documentation for consistency (e.g. terminology).</p> <p>5.1.2 Update and clarify work process and instructions for the processing of Assignments and Secondments.</p> <p>5.1.3 Confirm understanding of Policy regarding Acting on Secondment, modify communication, training and if necessary system edits to bring into compliance.</p>	

5.2 Data Not Aligned Between HR System and Phoenix (JobStack)	
Problem Definition	Description
<p>Job stack mapping is key to integration between HR systems and Phoenix. When Job stack is misaligned it can prevent job data and schedule (MyGCHR only) changes from integrating to Phoenix. This can result in issues with Leave without Pay and cash outs.</p>	<p>Root Causes:</p> <ul style="list-style-type: none"> • There are multiple contributing data entry and system factors to jobstack mapping issues and there may not be a root cause. <p>Selected Contributing Factors:</p> <ul style="list-style-type: none"> • Multiple HR systems (8.9, 9.1, web services) feeding one pay system adds to complexity. • Limited historical job data rows prior to conversion contributes to misalignment.
<p>Recommendations:</p> <p>5.2.1 Develop business requirements for edits in HR System and Phoenix to prevent incorrect data entry that could cause job alignment or integration issues.</p> <p>5.2.2 MYGCHR should recommend an efficient approach on how to prioritize and fix job stack issues. Provide better vetted reports (CR3203 MYGCHR linked to CR4656 PHOENIX)</p> <p>5.2.3 Create a nightly process to align job data and job stack in Phoenix</p> <p>5.2.4 Better HR to pay communication and teamwork (integrated training material)</p> <p>5.2.5 Investigate integrated organizations vs web services for understanding how the integration is handled</p>	

3.6 Root Cause Analyses Related to Pay and Benefits

Business Impacts: Issues related to Pay and Benefits result in low/no pay or overpayments, incorrect deductions and remittances for employees, increased workload for Compensation Advisors, delays in employees accessing Phoenix, incorrect garnishment deductions and potential violation of legislation related to garnishments.

Certain issues with allowances are leading to issues with recruitment of employees in specific job categories (e.g., nurses).

6.1 Auto Salary Calculation Not Handling Salary Above Minimum or CRA Cumulative Rules	
Problem Definition	Description
<p>The Auto Salary Calculator in Phoenix cannot provide the correct salary calculation when data that required is for the calculation is missing in Phoenix.</p> <p>When manual salary corrections are required, they are not made quickly resulting in inaccurate pay for employees.</p>	<p>Root Cause: The Phoenix Auto Salary Calculator is not always able to calculate the correct salary due to the lack of required data in Phoenix. When these situations occur, the correct rate is not accepted from HR even when it is known to the HR system, requiring manual processing by a Compensation Advisor that introduces delays.</p>
<p>Recommendations:</p> <p>6.1.1 Allow the option for salaries to be sent from the HR system for integrated organizations and agencies in the following situations where it cannot be calculated accurately by the Phoenix Auto Salary Calculator:</p> <ul style="list-style-type: none"> - For CRA only, on all transactions - For other integrated organizations (PeopleSoft 8.9, 9.1, Web Services other than CRA), on hire and rehire transactions (include these other organizations in the CR being developed for CRA #3955) <p>6.1.2 For PeopleSoft integrated organizations, change the business process for Hires and Rehires where the salary is above the minimum to ensure that the rate from the letter of offer is entered in the HR system</p>	

6.2 Proration of Part Time Allowances

Problem Definition	Description
Part time employees' additional pay is not calculating correctly: it is being continually reduced until it is only pennies.	<p>Root Cause: The E45 had been modified to address this issue under IR 03763187 but the issue has returned. Residual work will be required of Compensation Advisors.</p>
<p>Recommendations: 6.2.1 Any proposed solutions should be more fully tested to ensure the issue has been resolved and will not return. 6.2.2 A new cross functional working group should review the business requirements and proposed solution to resolve this issue. Solution implementation should also include comprehensive acceptance testing.</p>	

6.3 Manual Pension and Benefits Processes

Problem Definition	Description
<p>There are delays in employees being able to access the Phoenix system.</p> <p>These employees cannot use their benefits (i.e., PSHCP, Dental).</p> <p>Positive Time reporters cannot submit time.</p> <p>Numerous Service Desk requests within organizations and at the Pay Center are created as a result.</p>	<p>Root Causes:</p> <ul style="list-style-type: none"> • There are missing data validation edits in Phoenix in Pension and Benefits to support Penfax, which results delays in employee enrolment, which in turn delay user access being granted to Phoenix. • Transactions are sent nightly, however there is no return communication from the Pension system to validate that the transaction was consumed. <p>Selected Contributing Factors:</p> <ul style="list-style-type: none"> • Multi-dependency to gain access (myKey creation, Job Data transaction, Pension enrollment)
<p>Recommendations:</p> <p>6.3.1 Investigate automation of Benefit Enrollment to support a more efficient business process.</p> <p>6.3.2 Perform Root Cause Analysis on the data integrity problems leading to I112 abends (e.g. common error trends, error handling process).</p> <p>6.3.3 Include edits within Phoenix to avoid errors once information is received in Penfax.</p> <p>6.3.4 Review the overall system access provisioning process to better integrate and reduce durations.</p>	

6.4 Garnishment Deductions	
Problem Definition	Description
<p>Garnishments are not being deducted during periods that an employee is acting for a partial pay period.</p> <p>Percentage based garnishment deductions are calculated incorrectly: employee is over deducted and at risk of low-pay/no-pay.</p> <p>Employees with flat rate garnishments are also at risk of low/no pay In the event of partial pay or multiple cheques in a single pay period.</p>	<p>Root Cause: The current solution does not meet business needs due to inaccurate or incomplete business requirements.</p> <p>Selected Contributing Factors:</p> <ul style="list-style-type: none"> • Garnishments require repeated manual intervention by Compensation Advisor to ensure correct amounts are garnished. • Not all Compensation Advisors have access to Query R56, which identifies employees with mid pay period pay group changes.
<p>Recommendations:</p> <p>6.4.1 Raise a CR to adjust the configuration to utilize existing functionality to properly calculate garnishment deductions.</p> <p>6.4.2 Review/Refresh process and training documentation related to garnishments.</p> <p>6.4.3 Investigate potential for automated suppression of multiple deductions in partial pay situations.</p> <p>6.4.4 Create a central role responsible for all garnishments across the GC. This role would have access to all Garnishment records and control the amount that needs to be taken from employee account. Consider centralization within Justice Canada responsibility, as they do the coordination role for the entire Government of Canada. This would improve timeliness of garnishment processing and reduce workload for Pay Center and CAs.</p> <p>6.4.5 Investigate potential to change garnishment calculations to be based on multiple paysheets and multiple pay cheques. (Enable Single Cheque Multi Job Function). See Aggregate taxation of multiple cheques</p>	

6.5 Non-Refundable Deductions	
Problem Definition	Description
When a cheque was reversed, non-refundable deductions (e.g., savings bonds) were refunded to the employee in error. It is not possible to recover erroneous payment from the third party to which the deductions had been sent, leaving the crown with an unauthorized expenditure.	<p>Root Cause: An incorrect system configuration caused non-refundable deductions to be returned to the employee on a pay reversal. This issue has been fixed (IR3781401). Residual work is required.</p> <p>Selected Contributing Factor: The community is not aware that this has been fixed.</p>
<p>Recommendations: 6.5.1 A comprehensive communication and issue list management process is needed to keep organizations informed as to the fact that issues have been fixes (along with changes if any to process and training documentation) and outstanding issue lists are current.</p>	

6.6 Cheques Being Rejected by Standard Payment System (SPS)	
Problem Definition	Description
Transactions that didn't have cheque number were rejected by SPS, generating a discrepancy between Phoenix and General Ledger (GL). Manual intervention was needed to reconcile the discrepancy between Phoenix and Finance.	<p>Root Causes:</p> <ul style="list-style-type: none"> Standard Payment System's (SPS) need for all Phoenix cheques (including net \$0.00) to have cheque numbers to permit processing is not part of the commercially delivered process in PeopleSoft. This business requirement has been fulfilled through IR03683648, implemented to force a cheque number on net \$0.00 cheques. Issue is closed for go forward processing. Remedial action is required to address historical transactions.
<p>Recommendations: 6.6.1 Implemented IR has addressed the issue for go forward but historical data needs to be fixed. There will be a need for queries for historical data to assist in reconciliation. 6.6.2 Full solution walkthrough and user acceptance testing should have caught this issue prior to go live.</p>	

6.7 T4 and Relevé 1	
Problem Definition	Description
<p>Employees believe their T4/Relevé 1 for 2016 are not accurate.</p>	<p>Root Cause: There are no issues with T4/ Relevé 1. The T4/ Relevé 1 are properly recording the sum of earnings in the proper categories as recorded in Phoenix. This includes outstanding errors that are awaiting correction.</p> <p>Selected Contributing Factors:</p> <ul style="list-style-type: none"> • Clarity of Pay Stub • Delays in processing impact the reported income for the purposes on the T4's • Year End Cut-Off Deadlines
<p>Recommendations:</p> <p>6.7.1 Transactions that are impacting the T4/Relevé need to be prioritized during the year end to ensure accurate T4/ Relevé is created.</p> <p>6.7.2 Similar Fiscal year end messages should be repeated at calendar year end regarding pay impacting transactions so as to prioritize work from the backlog.</p> <p>6.7.3 Reminding to access to FAQ to increase knowledge and awareness.</p> <p>http://www.gcpedia.gc.ca/gcwiki/images/4/4e/Employee_QA_on_tax_slips.pdf</p>	

4 Emerging Themes

In addition to the targeted recommendations to address root causes identified in [Section 3](#) of this report, three themes emerged: system, business process and change management - that summarize the findings of IDAT. These themes are integrated and interdependent. They give context for subsequent solution development that ensures proper governance mechanisms are in place, leading to more accurate, complete and timely pay for employees.

Recommendations associated with each root cause analysis can be found in [Section 3](#) of this report. Detailed discussion of the analysis leading to the recommendations can be found in [Appendix A: Root Cause Analysis Reports](#).

A. System

This report has many examples of design choices that may have made sense from a systems perspective but have failed in usability. A client-centric model should be applied to process and system design that accepts certain requirements within the HR-Pay landscape. The Phoenix system requires a rethink of its design and associated processes to simplify the user experience and minimize potential for error. In addition, there are several important incident reports and change requests that should be implemented to fix outstanding functional and technical issues. Recommendations centre on:

A.1 Investigating potential to redesign how certain functions have been automated, such as Acting, Terminations and Leave without Pay less than 5 days.

A.2 Implementing outstanding Incident Reports and Change Requests to address functional and technical issues.

A.3 Increasing on-line edits and other data quality validation to improve data accuracy and prevent incorrect data entry.

A.4 Increasing automation and developing tools to reduce manual work by Compensation Advisors and improve user experience.

A.5 Improving alignment of HR systems and Phoenix by standardizing business rules, better coordinating development and testing, and investigating opportunities to use more information from HR systems.

A.6 Considering adding time-punch functionality to enable shift-worker time processing.

B. Business Process

The integrated HR-Pay function is extremely complex, with multiple systems that are now tightly integrated, with new and critical dependencies on accuracy and timeliness. The new landscape (people, process, system, policy) requires integration of business processes, systems design, testing, user documentation, training and end user supports, from HR through to Pay. Recommendations centre on:

B.1 Adopting a client-centric/generalist model for processing employee pay – compensation advisors would process pay based on an employee account and not transaction type.

B.2 Redesigning or reviewing processes and implementing clear performance standards and accountabilities for processes such as terminations, acting, transfers, secondments and assignments, garnishment processing and overpayments. In many cases further system work will be required.

B.3 Improving testing processes to increase frequency of end user and regression testing, extend use of end-to-end testing and involve departments on a more regular basis.

B.4 Improving processes that notify stakeholders of Phoenix events, including data issues, rejection of transactions, system availability.

B.5 Developing and implementing processes to clean up the residual data issues such as those associated with Time and Labour, including creation of supporting tools.

B.6 Improving alignment of requirements and design decisions between MyGCHR and Phoenix. Integrate issue reporting.

C. Change Management

Many issues analyzed involved a lack of communication or training. Consistency, timeliness, and accuracy in communications and delivery of tools and training are key. The need to shift the culture from late processing to on-time processing is critical to issuing timely pay to employees. This is a significant change that will not succeed without a workforce development plan supported by a structured, consistent and sustained change management program. Recommendations centred on:

C.1 Updating, clarifying and ensuring consistency across HR-Pay for process descriptions, training and instructions related to processing pay-related events in HR and Pay systems.

C.2 Improving communications among users and across user communities, leveraging technology to provide on-demand and real-time information on Phoenix events.

5 Conclusion

The findings of IDAT should be taken into consideration by the relevant projects now being implemented under the HR-Pay governance. These root cause analyses should be used to confirm direction of initiatives underway and may inform project activities by providing key information not already understood. In other cases, the root cause analysis may indicate a reprioritization of activities as appropriate. These root causes will also inform how future initiatives will define solutions to meet business needs.

Through IDAT, root cause analysis expertise was developed in the HR-Pay community. This expertise should be leveraged and extended across the HR-Pay activities.

Appendix A: Root Cause Analysis Reports

Root Cause Analysis	
Issue Name	1.1 Acting Data Entry Complexity
Start Date	16-08-2017
End Date	29-09-2017
RCA Team Description	IDAT Group
Root Cause Summary	
<p>Requiring 4 linked transactions to record the start and stop of an acting has introduced potential for failure at multiple points in the process, leading to error with significant effort required not only to correct the error but to address consequences of the error.</p>	
Definition of the Problem	
<p>Entering acting transactions is complex and can be error prone, leading to overpayment or no pay situations.</p>	
Understanding of the Business Impact	
<p>Employees are aware of the linkage between issues with pay and acting appointments. Some employees are reluctant to accept actings due to the potential impact of this issue (no pay or incorrect pay). Manual processing increases workload for Compensation Advisors (CA) and human resource (HR) analysts, as they need to diagnose the origin of the data error, whether in the HR system, in the integration or in Phoenix. Their ability to diagnose the issue is exacerbated by privacy and security limitations to system access, and lack of a single point of reference for information on fixes across HR-Pay. Additional work involves Finance, who are involved in the issuance of a priority payment or in management of the overpayment, and in the subsequent recovery. The payment of acting transactions (including understanding of how payments are represented on multiple paystubs) is also difficult for employees to understand especially in the case of late actings. This results in many calls to call centres and to CAs. The alignment of employee records between Phoenix and My GCHR/GCHRMS also causes confusion and potential data entry errors for employees, managers and timekeepers. Overlapping actings and acting on assignment compounds complexity as it adds employee records and transactions.</p>	
General RCA Analysis	
<p>In 2013, during the design analysis section of the project definition phase, all PeopleSoft instances used by Government of Canada (GC) tracked an employee's employment types (substantive, acting, dual remuneration, etc.) using employee record numbers. The decision was made to align Phoenix with how HR does business and use employee records similarly. Having employee records has benefits in that you can keep track of changes to substantive, and track changes to acting, assignments, and dual remuneration in a separate record. Other than in dual remuneration situations, in Phoenix, only one record can be active and paid at any given time. In acting situations, non-active records would need to have their pay status set to inactive. It was decided that inactive records would be put on Leave of Absence (LOA) for the duration of the acting. The acting record would be started with an Additional Job row (ADL). At the end of the acting period, the acting record would be terminated (TER), thereby setting the pay status to inactive, and the substantive record would be reactivated by entering a return from leave (RFL) record. This same approach is used in MyGCHR to control which record is active for time absence management processing: four job rows are created for each acting transaction: LOA, RFL on substantive and ADL/TER on the acting record.</p>	

Managing the four entries can be problematic. If the substantive is put on LOA but the acting record is not activated, the employee will neither be able to accumulate leave (in MyGCHR) nor be paid (in Phoenix). Conversely, if the substantive record is not correctly deactivated and yet the acting record is activated, then the employee will accumulate leave and be paid on both their substantive and acting pay. Many GCHRMS organizations (in use since 1996) have designated record numbers for specific purposes, reusing the same record number over time. This has simplified navigation through the different employee records, and has kept the total number of employee records to a manageable level (there is a maximum of 999 employment records per emplid). For example, substantive could be designated as record 0, and first acting from substantive as record 1. Every time the employee goes on an acting from their substantive, their acting is recorded in record 1. When the acting is over, they return to record 0. If acting on acting is designated as record 2, then the employee would leave record 1 to go to record 2. When the second acting is completed, the employee returns to record 1 and then in time, to record 0. This eliminates confusion in mapping record numbers such as in situations where Acting Record #14 in My GCHR is equivalent to Record #2 in Phoenix. Many organizations have a large volume of acting records per employee. For example, Firefighters can act a number of times within a two week pay period. Many firefighters are already in excess of 50 records since February 2016. At some point, they will run out of employment record.

Five Whys: Root Cause (the 5 Why's)

Why #1 (Why did this problem occur?)	Why is an employee's pay prone to pay issues when acting?
	Data entry for actings is complex.
Why #2 (Why did #1 happen?)	Why is the data entry for actings complex?
	a) Acting process requires 4 rows because of the addition of an employee record. b) Entry of these transactions can be error prone
Why #3 (Why did #2a happen?)	Why do we need additional employee records to enter actings?
	Phoenix mirrored the PeopleSoft HR design to use multiple employee records.
Why #4 (Why did #2b happen?)	Why is entry of these transactions error prone?
	Many reasons are possible. Training is always a factor when new systems are introduced.
Why #5 (Why did #4 happen?)	

Root Cause and Contributing Factors

Item or Question	Root Cause?	Contributing Factor?
Lack of visibility for HR users into Phoenix, to see the results of Acting Data Entry (now addressed)		X
Complexity of data entry		X
Phoenix design mirrored the PeopleSoft HR design with respect to multiple employee records and transactions.	X	
HR users not consistently checking Phoenix messages		X
Employee having large number employee records		X

Unclear roles and responsibilities for entering complex acting transactions (e.g., Acting on Leave with Income Averaging).			X
End user training			X
Contributing Factor(s) Comments			
Further training of users entering acting transactions, whether in the HR system or Phoenix that includes up to date information on troubleshooting would be helpful. The number of employee records is a specific limitation that needs to be addressed. In situations where employee records are being used quickly, alternate methods to record the pay are required.			
Description of Work-Around(s) – if applicable			
Planned Solutions or Fixes			
Action	Due Date	Owner	Status
RCA Conclusion Statement			
Requiring 4 linked transactions to record the start and stop of an acting has introduced potential for failure at multiple points in the process, leading to error with significant effort required not only to correct the error but to address consequences of the error.			
Recommendations and Lessons Learned			
1.1.1 A review is required of the design, usage and processing of employment records with respect to actings. Refer to RCA # 1.5 Late Acting Payment Calculation .			

Root Cause Analysis Candidate	
Issue Name	1.2 Data Entry Limitations
Start Date	15-08-2017
End Date	29-09-2017
RCA Team Description	IDAT Group
Root Cause Summary	
Entering acting transactions is complex and can be error prone, leading to overpayment or no pay situations.	
Definition of the Problem	
Acting transactions for the current pay period entered on Tuesday, Wednesday, or Thursday of non-pay weeks can potentially create pay issues, such as no pay or double pay.	
Understanding of the Business Impact	
<p>Employees who begin acting could receive no pay or double pay, causing discontent and resulting in some employees not accepting acting opportunities.</p> <p>Employees who begin acting could receive both their substantive pay and their acting pay, creating large overpayments.</p> <p>Inconsistent communication on this issue is causing mistrust in the system.</p> <p>Complexity of data entry is prone to error, causing extra work to review and/or redo data entry. Also contributing to data misalignment.</p>	
General RCA Analysis	
<p>Acting transactions entered on Tuesday, Wednesday, and possibly Thursday of non-pay weeks can create pay issues, such as no pay or double pay.</p> <p>Actings are unique to the Government of Canada (GC). In 2013, during the design analysis section of the project definition phase, all PeopleSoft instances used by GC tracked an employee's employment types (substantive, acting, dual remuneration, etc.) using employee record numbers. The decision was made to align Phoenix with how HR does business (and with PeopleSoft best practices) and use employee records similarly.</p> <p>Other than in dual remuneration situations, in Phoenix, only one record can be active and paid at any given time. In acting situations, non-active records would need to have their pay status set to inactive. It was decided that inactive records would be put on Leave of Absence (LOA) for the duration of the acting. At the end of the acting period, the acting record would be terminated (TER), thereby setting the pay status to inactive, and the substantive record would be reactivated by entering a return from leave (RFL) record.</p> <p>This same approach is used in MyGCHR to control which record is active for time absence management processing: four job rows are created for each acting transaction (LOA, Return from Leave (RFL) on substantive and Acting Start/End on the acting record).</p> <p>GCHRMS does not have absence management so can have more than one record active at a time. GCHRMS does not therefore need to put its substantive record on leave of absence.</p> <p>Managing the four entries can be problematic. If the substantive is put on LOA but the acting record is not activated, then the employee will neither be able to accumulate leave (in MyGCHR) nor be paid (in Phoenix). Conversely, if the substantive record is not correctly deactivated and yet the acting record is activated, then the employee will accumulate leave and be paid on both their substantive and acting pay.</p> <p>How the rows are created in Phoenix</p>	

For My GCHR organizations, the rows in Phoenix are created when the rows are created in MyGCHR via integration.

Similarly, for GCHRMS organizations, the job rows are created in Phoenix when the rows are created in GCHRMS via messaging, however Phoenix automatically creates the LOA/RFL rows.

For Web Services organizations, a custom automated process sends these 4 rows to Phoenix.

Direct Entry organizations must create all four rows in Phoenix.

The order in which the integration broker processes messages isn't currently being controlled. HR users are directed to enter a row, save, check for success message, then enter another row. If several rows are entered and saved all at once on the same Employee record then there is no control over which XML message is processed first. It is possible that even though the 4 rows are created accurately in MyGCHR, they will not be created correctly in Phoenix. Because the order of the activating and deactivating rows is critical, actings carry higher risk of incorrect pay results than "one off" job transactions.

Job Lock

"Job Lock" is Phoenix functionality that cuts off changes to the job record from pay processing.

The pay confirm process is sensitive to ongoing changes in the employee's job data rows. As a result, every Tuesday of confirm week, after Off-Cycle confirm is completed, the Job Lock process (E84) runs on the Phoenix system. This process disconnects the pay sheet from the Phoenix job record. More specifically, from this moment on, changes made to job rows will not be reflected on the On-Cycle Paysheet. Once the confirm process is completed, the Job Lock is lifted and the paysheets are reconnected to the Phoenix job record.

The only exceptions to the Job Lock known at this time are changes to the Payroll Status. If the Payroll Status changes to inactive for the pay period being calculated, as would be the case on the substantive record for a late acting, then pay could cease. Alternatively, if the payroll status for the pay period begin calculated is changed to active, as is the case the acting record, then the employee could be paid for both records (overpayment).

One solution would be to not process actings during pay confirms. Approximately 500 jobs are run on confirm week, beginning on Sunday, with the first off cycle starting at approximately 6 pm on Tuesday and finishing at 9 am Wednesday. The On Cycle confirm process starts around noon on Wednesday and completes at approximately 9 am on Thursday. The final off cycle starts at approximately noon on Friday and completes early Saturday morning. But salary revisions and other special processing have caused the on cycle and final off cycle confirms to start and finish at varying times from one pay period to the next. It would not be feasible for HR to predict when to start and stop work.

Phoenix has made changes to compress and stabilize the processing schedule (such as running E42 -auto salary calculation prior to the confirm process). Compensation sector has communicated that there are no data entry restrictions for HR. However implementation of fixes were completed without adequate solution review and test across the entire confirm process to validate data entry processing limitations. Phoenix System Business Integration Directorate (SBID) has agreed that there are potential issues with entering actings during parts of the confirm process.

Five Whys: Root Cause (the 5 Why's)	
A: Complex Acting Processing	
Why #1 (Why did this problem occur?)	Why can entering an acting lead to overpayment or no pay?
	The four transactions affect the payroll status of the employee record by activating one record while

	deactivating the other. If all four rows are not created correctly in Phoenix, then it is possible both records will be activated (overpayment) and both will be deactivated (no pay).	
Why #2 (Why did #1 happen?)	Why would the four rows not be created correctly in Phoenix?	
	<ul style="list-style-type: none"> a) The user may not enter them correctly (direct entry, MyGCHR); or b) They may have been entered correctly but did not transfer correctly to Phoenix (MyGCHR, GCHRMS) 	
Why #3a (Why did #2a happen?)	Why wouldn't the user enter the transactions correctly?	
	Many reasons are possible. Training is always a factor when new systems are introduced.	
Why #3b (Why did #2b happen?)	Why would the transactions not transfer correctly to Phoenix?	
	Assuming the user follows all procedures including checking for the success message, the rows may have been entered out of order by the integration broker.	
Why #5 (Why did #4 happen?)		
Five Whys: Root Cause (the 5 Why's)		
B: Limitations to Data Entry		
Why #1 (Why did this problem occur?)	Why are Acting transactions entered on Tuesday, Wednesday, or Thursday of non-pay weeks creating pay issues?	
	There is an issue with the timing between entering job rows, the job lock and the confirm processes.	
Why #2 (Why did #1 happen?)	Why is there an issue with timing between those processes?	
	There is a risk that the acting transactions may transmit to Phoenix out of order and a change to payroll status for the pay period being calculated may "leak" through to the paysheet, which would affect current calculations.	
Why #3 (Why did #2 happen?)	How can a change in job status "leak" onto the paysheet?	
	We aren't sure. Changes to the job lock have not been exhaustively tested from this perspective.	
Why #4 (Why did #3 happen?)		
Why #5 (Why did #4 happen?)		
Root Cause and Contributing Factors		
Item or Question	Root Cause?	Contributing Factor?

Lack of testing entire confirm process to validate data entry process/limitation related to job lock.			X
The order in which the integration broker processes messages isn't currently being controlled			X
Complexity of data entry for actings			X
Timing between job rows entries, the job lock and the confirm processes.	X		
End user training			X
Contributing Factor(s) Comments			
<p>Thorough testing of job lock functionality through the pay confirm cycle is needed to identify and eliminate potential for interference from entry of new acting transactions.</p> <p>An updated communication should be sent to organizations to confirm data entry limitations. In addition, it is unclear if this restriction should be a workaround or a long term resolution.</p> <p>Further training of users entering acting transactions, whether in the HR system or Phoenix that includes up to date information on data entry limitations is always a good idea.</p> <p>From a technical perspective, an examination of the integration broker (IB) could be made to investigate the possibility of partitioning the IB Queue.</p>			
Description of Work-Around(s) – if applicable			
Some Organizations choose not to do certain types of transactions during Tuesday, Wednesday, Thursday during the confirm week.			
Planned Solutions or Fixes			
Action	Due Date	Owner	Status
System fix for E70, "vanilla" retro and E38 were implemented.			Completed.
Checklist implemented to address some issues between business and technical.			Completed.
RCA Conclusion Statement			
<p>Entering acting transactions is complex and can be error prone, leading to overpayment or no pay situations.</p> <p>Timing between job rows entries, the job lock and the pay confirm processes can create situations where employee pay is affected by entry of actings.</p>			
Recommendations and Lessons Learned			
<p>1.2.1 Confirm and communicate data entry restrictions to organizations. Ensure there is a mechanism to clearly communicate start and end of pay confirm periods.</p> <p>1.2.2 Communicate fixes to the system more clearly and with better timeliness.</p> <p>1.2.3 Organizations need to have greater confidence in fixes. This can be improved by allowing organizations to participate in end-to-end testing within Phoenix or communication of testing process and results.</p>			

1.2.4 A review is required of the design, usage and processing of employee records, with respect to actings. Refer to RCA #[1.5 Late Acting Payment Calculation](#).

Root Cause Analysis Candidate	
Issue Name	1.3 Incorrect Tax Calculation for Acting
Start Date	16-08-2017
End Date	11-10-2017
RCA Team Description	IDAT Group
Root Cause Summary	
<p>Phoenix calculates taxes independently for each pay cycle and each pay sheet. Employee’s annualized salary is understated, and tax withholding is under calculated.</p> <p>Payments from the rollback tracker also calculate taxes independently, based on the assumption the payment is for one pay period. When the rolled back payment is large, employee annualized salary is overstated and tax withholding is over calculated.</p> <p>For an acting transaction, on the recovery step, taxes are refunded based on the tax location code on the current job row in the substantive, not the tax location that was active for the dates of the acting.</p>	
Definition of the Problem	
<p>When an employee changes their pay group in the middle of a pay period, Phoenix will under-calculate tax. When a large payment is approved from the rollback tracker, Phoenix will over-calculate tax, possibly resulting in low or no pay for the employee.</p> <p>Taxes are being calculated correctly, but Phoenix is only using the tax location code on the active row in Job Data not the tax location of the effective dates of the acting assignment.</p>	
Understanding of the Business Impact	
<ul style="list-style-type: none"> • Employee is not paid correctly due to incorrect tax calculation • It has high impact on Pay Center workload due to employee enquiries about their tax calculations. • It decreases confidence in the system among employees and service providers. • It causes tax filing complications for employees 	
General RCA Analysis	
<ul style="list-style-type: none"> • If the employee has a start or end of acting in the middle of the pay period, they will be under taxed as the employee will have multiple paysheets in the pay period. Phoenix calculates the taxes as if each paysheet is what the employee receives for the pay period. Phoenix will not add the amounts together and calculate taxes based on this amount. The employee is undertaxed for the pay period. • For example: If one paysheet is for 52.5 hours (7 days), Phoenix will calculate the taxes as if this amount is what the employee receives for the pay period. Phoenix would then tax the remaining 22.5 hours (3 days) as if this amount is what is received for the pay period. Because both amounts are likely at a lower tax bracket than the combined amount, the employee’s taxes are under calculated. • It is common practice for Section 33 authorizers to leave large payments pending at the end of off cycle 3 or the on-cycle. The payment is sent to a rollback status, which is processed in off-cycle 4. This allows Finance extra time to review the payment. • When the large payment is approved in the rollback tracker, the tax period field defaults to one pay period, which means Phoenix will calculate taxes as if the full amount is what is received by the client each pay period. This overstates the employee’s annualized salary and causes the employee to be overtaxed on the payment. In cases when there are other deductions offsetting the large payment (e.g., overpayment recoveries), this can result in low or no payment. • Taxes are being calculated correctly – it is based on the tax location code on the current row in Job Data. If the acting is completed late, Phoenix does not use the effective date of the acting to determine the tax location code. If the tax location code is different on the substantive EMPL RD than the tax location on the acting EMPL RD, Phoenix will use different tax rules to calculate the refund and 	

deduction of taxes. This causes the employee to either be overtaxed, resulting in a reduced or \$0 payment, or it may cause the employee to be undertaxed and will be required to pay additional taxes once the employee files their taxes.	
Five Whys: Root Cause (the 5 Why's)	
A: Employees with multiple paysheets and have taxes withheld at a lower rate	
Why #1 (Why did this problem occur?)	Why does an employee have multiple paysheets in a pay period?
	An employee will receive a paysheet for each pay group that they are active in during a pay period. When an employee commences or ends an acting mid pay period, or changes pay group for any other reason (e.g., change of job) the employee will have more than one paysheet. This will result in a lower rate of taxes being withheld.
Why #2 (Why did #1 happen?)	Why will the taxes be calculated at a lower rate?
	Phoenix calculates taxes based on each paysheet, not based on total payment for the cycle (or for the pay period). Taxes are calculated as if each paysheet is what the employee receives per pay period for the entire tax year.
Why #3 (Why did #2 happen?)	
Why #4 (Why did #3 happen?)	
Why #5 (Why did #4 happen?)	
Five Whys: Root Cause (the 5 Why's)	
B: Payment is in Section 33 rollback status – change to tax period field	
Why #1 (Why did this problem occur?)	Why would the payment go to Section 33 rollback status?
	If the payment is left pending at the end of the on or off cycle, the payment will be placed in rollback tracker for further action by the Section 33 authorizer
Why #2 (Why did #1 happen?)	What happens to the acting payment once in Section 33 rollback status?
	The Section 33 authorizer can approve or reject the payment. If the payment is approved, the tax period field will default to one period (1), which means Phoenix will calculate taxes as if the full amount is what is received by the client each pay period. This overstates the employee's annualized salary, likely pushing the employee into a higher tax bracket, causing more taxes to be withheld from the payment that should be withheld.
Why #3 (Why did #2 happen?)	Why does the tax period field change to one period (1)?
	This is how the rollback tracker was designed.
Why #4 (Why did #3 happen?)	

Why #5 (Why did #4 happen?)	
Five Whys: Root Cause (the 5 Why's)	
C: Employees are taxed according to Position/Location.	
Why #1 (Why did this problem occur?)	How are taxes calculated in Phoenix for an acting assignment?
	Phoenix will calculate taxes independently based on the tax location code on the current row in Job Data for that EMPL RD. Each EMPL RD is looked at by Phoenix as an independent job.
Why #2 (Why did #1 happen?)	Why can the tax location code be different for the acting EMPL RD compared to the substantive EMPL RD?
	The tax location code is based on the location of the position number in the HR system
Why #3 (Why did #2 happen?)	Why would the acting position have a different tax location code than the substantive?
	The location of the position number may no longer be correct
Why #4 (Why did #3 happen?)	Why would the position number no longer correct?
	Over the years, position numbers have been "borrowed" and may no longer be for the same location as before.
Why #5 (Why did #4 happen?)	
Five Whys: Root Cause (the 5 Why's)	
D: Phoenix uses the current job row to calculate taxes	
Why #1 (Why did this problem occur?)	How are taxes calculated in Phoenix for an acting assignment?
	Phoenix will calculate taxes independently based on the tax location code on the current row in Job Data for the substantive employee record. Each employee record is looked at by Phoenix as an independent job.
Why #2 (Why did #1 happen?)	Why can the tax location code be different for the acting employee record compared to the substantive employee record?
	If the employee has a change in province (deployment or transfer) prior to the acting transaction being processed, the substantive will have a different Tax Location Code than the acting record. Also, the position number may be assigned to a position in a different province than the substantive position
Why #3 (Why did #2 happen?)	

Why #4 (Why did #3 happen?)			
Why #5 (Why did #4 happen?)			
Root Cause and Contributing Factors			
Item or Question	Root Cause?	Contributing Factor?	
Phoenix taxes based on the tax location code of the current (active) job row. Not based on the effective dates of the transaction	X		
Phoenix calculates taxes for payments from the rollback tracker as if the payment was received by the employee each pay period of the tax year.		X	
Changing a pay group creates a new pay sheet for the pay period.	X		
Large payments are often moved to the rollback tracker to allow Section 33 more time to review the payment.	X		
Contributing Factor(s) Comments			
Phoenix calculation of taxes independently for each pay sheet is core functionality. Setting rollback tracker payments tax period to one period (1) is a design decision.			
Description of Work-Around(s) – if applicable			
Planned Solutions or Fixes			
Action	Due Date	Owner	Status
Managers/Employees should be trained on Impact of Position/Location Tax.			
RCA Conclusion Statement			
<ul style="list-style-type: none"> Phoenix calculates taxes independently, each employee record is treated as a separate job. Multiple paysheets in a pay period causes the client to be undertaxed. Phoenix will calculate the taxes on each paysheet independently. Because these paysheets represent partial pay for the period, annualized pay is understated and tax is therefore under calculated. When a payment is sent to the rollback tracker, the tax period field will default to the value of one period (1). When this situation occurs, the payment will withhold taxes as if the full value is what the client receives each pay period. When this is a large payment, annualized pay will be overstated and tax can therefore be over calculated. 			
Recommendations and Lessons Learned			
<p>1.3.1 Investigate potential to change tax calculations to be based on multiple paysheets and multiple pay cheques. (Enable Single Cheque Multi Job Function). See Aggregate taxation of multiple cheques.</p> <p>1.3.2 Take steps to reduce Section 33 authorizer reliance on rollback tracker. Refer to RCA #2.6 Section 33 Approvals.</p>			

Root Cause Analysis Candidate	
Issue Name	1.4 Interruption of Allowances While Acting
Start Date	05-09-2017
End Date	13-10-2017
RCA Team Description	IDAT Group
Root Cause Summary	
<p>Non-derived allowances are started by Compensation Advisors through a manual process. There currently are no triggers for Compensation Advisors to start these payments for employees going on actings. Phoenix does not have all the information to automate it as the source of the required information is with HR, however the HR system was not configured to capture this information and integrate it to Phoenix.</p>	
Definition of the Problem	
<p>When employees receiving a non-derived allowance (isolated post allowance (IPA), retention allowances, etc.) start an acting, the allowance they may still be entitled to with their acting record is either not allotted in a timely fashion or not allotted at all. Because these allowances can represent a significant portion of the employee's pay, this can cause severe hardship on the employee.</p> <p>When the acting is entered late, the isolated post allowance paid under the substantive record will be recovered, and payment of the isolated post allowance due for the acting will not be issued until a manual process is completed. This results in severe hardship for affected employees.</p>	
Understanding of the Business Impact	
<p>Non-derived allowances that stop while the employee is acting underpay the employee. Some non-derived allowances such as IPA are as large as an employee's regular pay and therefore represents a significant deficiency on an employee's pay cheque and creates hardship for the employee. In addition, an overpayment is created when the acting is entered late and the allowance is automatically recovered from the substantive before the manual payment of the allowance on the acting record is processed. This compounds the hardship on the employee.</p>	
General RCA Analysis	
<p>Definitions</p> <p>Non-derived Allowance: For the purpose of this root cause analysis, a non-derived allowance is an allowance that is based on factors other than the employee's position and therefore tends to follow the employee regardless of job events. Examples are isolated post allowance and certain retention allowances.</p> <p>Discussion</p> <p>Non-derived allowances are currently added to an employee's pay manually. The employees should generally – but do not always - receive a non-derived allowance on their acting record as well. When an employee receiving such an allowance goes on an acting, the CA will not add the allowance to the employee's acting unless the paperwork is sent by HR.</p> <p>In Phoenix, allowances paid under Create Additional Pay (IPA, retention bonuses, Integrated Border Services Allowance (for CBSA only) etc.), follow the employee record not the employee. When an employee commences an acting, a new employee record is created and any applicable allowances need to be started. Due to this, once the new employee record is active, any non-derived allowance that the employee may be entitled to does not start with the acting and require manual intervention from a Compensation Advisor.</p>	

When an acting is sent through integration from HR, there is nothing to identify that the case on the worklist that this employee has an allowance. The CA can only manually start the allowance on the acting record once they receive the paperwork from HR. The paperwork may not include the allowance because HR may not know the employee is entitled. There may also be a lack of understanding with HR on the procedures for processing acting with allowances and thus they may not be sending the paperwork to the CA/Pay Center.

This issue particularly affects employees in remote locations that are in receipt of Isolated Post Allowances. The IPA is often as large as an employee’s regular pay and therefore represents a significant deficiency in pay, creating hardship for the employee.

Additional hardship is created for these employees when IPA is not started immediately if the acting is a late acting, because part of late acting processing recovers any allowances paid on the substantive pay during the acting period.

If there is no robust ground to extract the Automation Logic, then it will be difficult to address this issue, particularly while the backlog persists. Canada Revenue Agency was not able to automate non-derived allowances in their HR instance for Canada Border Service Agency (CBSA) because there are different rules for Acting positions (FB1 may have different rate than FB2). To partially automate it, HR could perhaps send the rate through their HR system.

In essence, these deductions have an automation step followed by a manual step, which is then followed by automation. Because the manual process lacks reliable triggers and is susceptible to backlog volumes, any benefits of automation are severely compromised.

In addition, it appears that when an acting is entered after it has ended (late closed acting), allowances are not recovered from the substantive. This gap is currently being used by the Pay Centre as a method to process short actings for employees with Isolated Post Allowance.

Five Whys: Root Cause (the 5 Why's)

Why #1 (Why did this problem occur?)	Why aren't the non-derived allowances continuing for employees starting an acting?
	Acting is automated through integration but adding the non-derived allowances is a manual process.
Why #2 (Why did #1 happen?)	Why is adding a non-derived allowance a manual process?
	Phoenix does not have all the required information to automate it as some allowances should not carry over.
Why #3 (Why did #2 happen?)	Why does Phoenix not have all the required information?
	The source of the required information for the non-derived allowance is with HR, however the HR system was not configured to capture this information and integrate it to Phoenix.
Why #4 (Why did #3 happen?)	
Why #5 (Why did #4 happen?)	

Root Cause and Contributing Factors

Item or Question	Root Cause?	Contributing Factor?
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The data for non-derived allowance was not captured from the source of information (HR).	X		
Then non-derived allowance follows the employee record in Phoenix. When an employee commences an acting, the employee is paid on a new employee record so the allowance is not carried over.		X	
Entering the acting is automated but adding the allowance is manual.		X	
HR needs to send the appropriate paperwork to the CA to ensure the allowances are restarted on the acting if applicable.		X	
Overall backlog on pay transactions contributes to the delay of entering the non-derived allowances.		X	
Contributing Factor(s) Comments			
Description of Work-Around(s) – if applicable			
<p>For non-derived IPA allowances, the Pay Centre has a workaround for their client organizations that have employees in remote locations. For short term acting, the acting is entered into the HR system after the acting has ended. The late acting will be paid via the E117, but the Isolated post allowance will not be recovered (see RCA #1.3 Incorrect Tax Calculations for Acting). For long term acting, the organization notifies the relevant Department Liaison Officer (DLO) that the employee is to commence an acting and the organization also sends the acting document to the Pay Centre as an exception. This identifies the account to the team that completes Isolated Post Allowance transactions as a priority item</p>			
Planned Solutions or Fixes			
Action	Due Date	Owner	Status
CS-SP 2.3.3.5.3 Automate application of Isolated Post Allowances (IPA) to Actings for employees in the North who IPAs			
RCA Conclusion Statement			
<ul style="list-style-type: none"> Non-derived allowances are started by Compensation Advisors through a manual process. There currently are no triggers for Compensation Advisors to start these payments for employees going on actings. Phoenix does not have all the information to automate it as the source of the required information is with HR, however the HR system was not configured to capture this information and integrate it to Phoenix. 			
Recommendations and Lessons Learned			
1.4.1 Investigate the opportunity to automate some of the non-derived allowances by capturing the required information in HR and sending it over to Phoenix through integration.			

- 1.4.2 Investigate the opportunity to carry forward the IPA allowance to an acting record automatically. Deductions follow the person, could the IPA have the same functionality.
- 1.4.3 Have a query that monitors acting sent over from integration for which the substantive record has an allowance that may need to be carried over to the acting record.
- 1.4.4 Investigate opportunities to reduce the backlog of pay transactions.
- 1.4.5 Ensure HR has clear procedures for processing acting with allowances.
- 1.4.6 Determine if there is a Phoenix system issue related to allowances not being recovered when acting are entered into Phoenix after they have ended.

Root Cause Analysis Candidate	
Issue Name	1.5 Late Acting Payment Calculation
Start Date	16-08-2017
End Date	19-10-2017
RCA Team Description	IDAT Group
Root Cause Summary	
<p>The use of multiple employee records, and the process of overpayment and recovery of the substantive record in Phoenix has increased the likelihood of an employee in a late acting situation having an overpayment, low pay or no pay situation.</p>	
Definition of the Problem	
<p>Phoenix implementation of late acting has significant financial and workload impact for employee and employer.</p>	
Understanding of the Business Impact	
<ul style="list-style-type: none"> • Employees pay could be significantly impacted • Increased Workload for: HR, CA, Timekeepers • Time constraints for Section 33 approvers. • These complex calculation and multiple pay stubs (one per Employment record) leaves Employees unable to understand if they were paid properly. Employee inquiry increases organizational workload. 	
General RCA Analysis	
<p>In 2013, during the design analysis section of the project definition phase, all PeopleSoft instances used by GC tracked an employee’s employment types (substantive, acting, dual remuneration, etc.) using employee record numbers. The decision was made to align Phoenix with how HR does Business and use employee records similarly.</p> <p>Having employee records has benefits in that you can keep track of changes to substantive, and track changes to acting, assignments, and dual remuneration in a separate record.</p> <p>When a late acting occurs, instead of paying the difference between an employee’s substantive pay and acting pay (how the process was completed in the legacy system);</p> <p>Step 1: Phoenix recovers the entire substantive pay for the acting period and generates an overpayment in the same amount. Recovery of this overpayment is not put on hold.</p> <p>Step 2: In the next pay period, the employee will receive their acting pay for that period less the recovery for the overpayment. (This will result in the difference between the two pay rates with associated adjustments to allowances and deductions.)</p> <p>The 2 step process will pay the employee incorrectly when either the recovery of substantive pay or when paying the acting fails. Employees may receive low or no pay as the result (refer to RCA#1.3 Incorrect Tax Calculations for Acting and RCA #1.7 Incorrect Pension Calculation for Late Acting).</p> <p>Phoenix was designed on the assumption if processes were automated, then working in the current pay period would be the norm, and working late would be the exception. However there are various reasons why actings are added late into the system (for example, acting to replace a sudden sickness). In reality the majority of actings are processed late.</p> <p>Employees remain in acting positions before approval is received, based on the word of the manager rather than following procedure/policy.</p> <p>Managers do not understand the implications of late actings on employee’s pay, however employees are refusing actings for fear their pay will be disrupted. There is currently no accountability to ensure timely processing.</p>	

Five Whys: Root Cause (the 5 Why's) B: Volume of Late Acting	
Why #1 (Why did this problem occur?)	Why are actings processed late so often?
	Because managers tend to delay advising HR of acting situations.
Why #2 (Why did #1 happen?)	Why do manager delay advising HR of acting situations?
	Because managers have many competing demands on their time and have no incentive to report acting situations to HR. (See RCA #36 Late Extensions of Acting not automatically processed by Phoenix)
Why #3 (Why did #2 happen?)	Is correct employee pay not an incentive for managers?
	Yes, but managers are not aware of the connection between late acting and risk to employee pay.
Why #4 (Why did #3 happen?)	
Why #5 (Why did #4 happen?)	
Five Whys: Root Cause (the 5 Why's) C: Multiple Records	
Why #1 (Why did this problem occur?)	Why did PeopleSoft HR decide to use multiple employment record numbers?
	They wanted to track the employees' substantive and additional record numbers over time.
Why #2 (Why did #1 happen?)	
Why #3 (Why did #2 happen?)	
Why #4 (Why did #3 happen?)	
Why #5 (Why did #4 happen?)	
Five Whys: Root Cause (the 5 Why's) D: Two Step Process	
Why #1 (Why did this problem occur?)	Why are we using the 2 step (overpayment/recovery) to process Late actings?
	Using multiple employee records requires this 2 step process.
Why #2 (Why did #1 happen?)	Why are Employee records used to Pay Acting?
	The PeopleSoft HR system was designed based on using Employee records, in Project definition phase of Phoenix, it was decided by the Business to use Employee Records to pay out Actings
Why #3 (Why did #2 happen?)	

Why #4 (Why did #3 happen?)			
Why #5 (Why did #4 happen?)			
Root Cause and Contributing Factors			
Item or Question	Root Cause?	Contributing Factor?	
Business decision to use multiple employee records to process acting	X		
Managers do not understand the implications of late actings on employee pay		X	
Contributing Factor(s) Comments			
Administration process contributes to delay on entering Acting records to Phoenix. Managers do not understand the potential impact of late actings on employees pay and continue to not meet required timelines for actings.			
Description of Work-Around(s) – if applicable			
There is no work around.			
Planned Solutions or Fixes			
Action	Due Date	Owner	Status
RCA Conclusion Statement			
The use of multiple employee records, and the process of overpayment and recovery of the substantive record in Phoenix has increased the likelihood of an employee in a late acting situation having an overpayment, low pay or no pay situation.			
Recommendations and Lessons Learned			
<p>1.5.1 Investigate different options to redesign Acting end-to-end, including:</p> <ul style="list-style-type: none"> - Pay short term actings like an allowance. - In Phoenix, add acting transactions on the substantive employee record 0. - Another option is to have designated employee records. 0 for Substantive and 1 for Acting and reuse record 1 for each new acting. Having a separate record number for Acting still has the potential impact of no pay or overpay, but it will reduce confusion associated with selecting the acting record. <p>1.5.2 Investigate use of automation to improve timeliness of the end to end acting process, starting with the manager.</p>			

Root Cause Analysis Candidate	
Issue Name	1.6 No Pay After Late Acting Automation
Start Date	15-08-2017
End Date	13-10-2017
RCA Team Description	IDAT Group
Root Cause Summary	
<p>Section 33 authorizers may have rejected the transactions because they may not understand and may not see the recovery of the overpayment on substantive record.</p> <p>Acting and substantive records have different tax locations (different provinces) which may result in \$0 net payment.</p> <p>Time and Labour processing related to rejected transactions may have deleted the acting pay in the employee's cheque.</p> <p>A system defect (raised with Oracle) related to E50 Pension Calculation.</p>	
Definition of the Problem	
<p>E117 (automated processing of late acting) processes late acting transactions successfully. However, subsequent processes may lead to employee low or no payment. Compensation Advisors (CAs) do not have a report of employee net pay to identify these employees.</p>	
Understanding of the Business Impact	
<p>Certain employees are not paid correctly for their late acting, because the system reported that the late acting transactions were successfully processed, yet a combination of processing (manual and automated) led to low or no pay.</p> <p>Because there is no way for CAs to identify low/no pay situations, It is time consuming for CAs to validate and correct these transactions.</p> <p>Some employees are refusing to accept acting assignments due to concerns they will not be paid correctly.</p>	
General RCA Analysis	
<p>Staffing enters late acting transaction into HR system which integrates to Phoenix. The E117 process is run during the final off cycle period to create an overpayment equal to substantive pay issued during the late acting period. In the next pay period on-cycle, the system pays out full salary for the late acting period. In theory the overpayment from the prior pay period will set against the full salary for the late acting period, and the employee's pay will net out to the difference in pay. However, in certain cases, the employee ends up with a low or \$0 pay.</p> <p>The query (LATE_ACTING_LOG) that Compensation Advisors (CAs) use reports that the late acting transactions were successful processed. However, subsequent processes (automated and manual) can cause low or no payment.</p> <p>There is another query (LATE_ACTING_SUM) to extract E117 processed transactions and the net pay out amount on checks but it is not available to all CAs. It is used only to analyze low payments.</p> <p>A fix was put in place in late August to resolve the issue where Time & Labor deleted 001 and/or 002 entitlement codes (basic and acting pay) when the late acting automation was done. This may fix certain situations where the substantive pay was recovered but the acting pay generated \$0 pay. (See RCA #56.2 Late Acting Pension Calculation).</p> <p>Section 33 authorizers are not always aware of the UPK or job aides that deal with analyzing large payments (see http://www.gcpeia.gc.ca/gcwiki/images/6/65/Analyzing_Large_Payments_EN.pdf)</p>	
Five Whys: Root Cause (the 5 Why's)	

Why #1 (Why did this problem occur?)	Why are certain employees not paid for their late acting even though E117 processed the transaction successfully?	
	There is possibly more than one reason: a) Section 33 authorizers may have rejected the acting pay transaction, or b) Acting and substantive records have different tax locations (different provinces) which may result in \$0 net payment, or c) Time and Labour processing related to rejected transactions may have deleted the acting pay in the employee's cheque, or d) E50 Pension Calculation failed.	
Why #2b (Why did #1b happen?)	Why did Section 33 authorizers rejected the processed transactions?	
	Section 33 authorizers may reject the large payment on the acting record due to misunderstanding and/or not seeing the offsetting recovery of the substantive pay (available on employee pay cheque).	
Why #2c (Why did #1c happen?)	Why can different tax locations on acting and substantive records resulting in net \$0 payment?	
	Acting and substantive records are separate and Phoenix calculates the recovery and payment independently, including for taxes. When acting and substantive records have different tax locations, Phoenix may over recover the tax which may result in net \$0 payment (see RCA #56.1 Tax Calculation for late acting).	
Why #2d (Why did #1d happen?)	Why are transactions "Rejected by payroll"?	
	There are issues with employee account resulting in "Rejected by payroll". For example, Time and Labor deletes certain entitlement codes such as basic and acting pay when net pay is \$0.	
Why #2e (Why did #1e happen?)	Why does the E50 Pension Calculation fail?	
	There is a system defect (see RCA# 56.2 Late Acting Pension Calculation).	
Root Cause and Contributing Factors		
Item or Question	Root Cause?	Contributing Factor?
Section 33 authorizers rejected transactions because they may not understand and may not see the associated recovery of the overpayment on substantive record	X	
Time and Labour processing related to rejected transactions may have deleted the acting pay in the employee's cheque	X	
E50 Pension Calculation failed	X	

The E117 query (LATE_ACTING_LOG) does not show the net payment amount			X
Pay Centre Compensation Advisors do not have access to run queries			X
Contributing Factor(s) Comments			
There are follow up steps that CAs need to take to validate the successful completion of the late acting transactions before closing the acting cases. Otherwise problems would persist, across multiple pay periods, until the affected employee complains.			
Description of Work-Around(s) – if applicable			
Compensation Advisors process the late acting payment manually when affected employees escalated the issue. In addition to the E117 post processing report, Compensation Advisors need to review the Phoenix critical report (R38) and the Paysheet Load Holding Record (PSHUP) to determine if the payment was processed correctly.			
Planned Solutions or Fixes			
Action	Due Date	Owner	Status
RCA Conclusion Statement			
<ul style="list-style-type: none"> • Section 33 authorizers may have rejected the transactions because they may not understand and may not see the recovery of the overpayment on substantive record. • Acting and substantive records have different tax locations (different provinces) which may result in \$0 net payment. • Time and Labour processing related to rejected transactions may have deleted the acting pay in the employee's cheque. • A system defect (raised with Oracle) in E50 Pension Calculation. 			
Recommendations and Lessons Learned			
1.6.1 Develop and/or grant CAs access to a query to report late acting transactions that were successfully processed by E117 but resulting in \$0 payment.			
1.6.2 Develop and/or grant Compensation Advisors access to a query to report late acting transactions that have different tax locations for acting and substantive records.			
1.6.3 End-to-end testing is required to validate that all processes work together to create proper pay.			

Root Cause Analysis Candidate	
Issue Name	1.7 Incorrect Pension Calculation for Late Acting
Start Date	16-08-2017
End Date	29-09-2017
RCA Team Description	IDAT Group
Root Cause Summary	
E50 process is not calculating Pension deductions correctly when the late acting entered spans two tax years. This is due to an error in Oracle delivered functionality related to pension deduction calculations.	
Definition of the Problem	
Calculation of employee's contribution to their pension plan is incorrect on late acting that spans multiple calendar years. This results in employee over-contribution to the pension plan, which cannot be refunded.	
Understanding of the Business Impact	
<ul style="list-style-type: none"> • When an acting for one tax year is entered in a subsequent tax year (late acting spanning tax years), the adjustment to pension deductions will over deduct from the employee. • Extra PSSA contributions cannot be refunded to employees at this time. • The extent of this issue is unknown. It may require significant audit effort. 	
General RCA Analysis	
<p>Pension deductions are calculated following a step progression, based on the employee's Yearly Maximum Pensionable Earnings (YMPE) as of that pay period. There are three (3) rates of contribution. The low rate is from zero \$ to the Yearly Maximum Pensionable Earnings (YMPE), (\$55,300 for 2017). The high rate is from YMPE + \$1 (\$55,301) to the RCA Annual Threshold (\$163,100). Pension deductions related to earnings in excess of the Annual Threshold are collected at the RCA rate.</p> <p>The issue with pension calculation on late acting occurs when the effective dates span over two tax years. The acting process is completed via the E117 and salary amounts are adjusted correctly.</p> <p>In the case of a late acting assignment, because pension deductions are non-refundable, employees should contribute based on net incremental money earned.</p> <p>Phoenix does not calculate pension deductions in this way. Instead, in parallel to the acting 2-step process (refer to RCA #1.5 Late Acting Payment Calculation), it credits for payments made on substantive and recalculates based on the acting pay rate.</p> <p>The E50, which calculates pension deductions will reimburse the pension deduction for the recovery of the substantive salary and collect pension deductions on the full amount of the payment of the acting salary. Both associated calculations appear to be incorrect.</p> <ul style="list-style-type: none"> • On the reversal of the substantive payments made, E50 will reverse pension deductions that are close to, but do not match what was actually originally deducted. • On the payment of the acting salary, the E50 deducts considerably more than is required. <p>This causes the employee to contribute more pension than necessary.</p> <p>Pension deductions are 'non-refundable' meaning that the Crown cannot go to the pension provider for reimbursement for over contributions. Unlike taxes, these amounts are not refunded as part of income tax filing either. The employee is out of pocket.</p> <p>An additional issue is that at times, Phoenix erroneously refunded the over deduction to the employee. Without a mechanism to recover these amounts from the pension provider, the crown will need to recover these erroneous refunds. This issue has been fixed, but there remains residual work to recover erroneous pension reimbursements from employees. Refer to RCA #6.5 Non-Refundable Deductions.</p>	

Five Whys: Root Cause (the 5 Why's)			
Why #1 (Why did this problem occur?)	Why was the acting payment reduced?		
	The amount was reduced because Phoenix deducted more than it refunded in Public Service Superannuation Act (PSSA) contributions.		
Why #2 (Why did #1 happen?)	Why did Phoenix deduct more in PSSA contributions?		
	The E50 process doesn't calculate pension contributions properly. The E50 is the Auto calculation of Pensionable Contributions process.		
Why #3 (Why did #2 happen?)	Why doesn't the E50 process doesn't calculate pension contributions properly?		
	There is COBOL Programming issue with Oracle PeopleSoft.		
Why #4 (Why did #3 happen?)			
Why #5 (Why did #4 happen?)			
Root Cause and Contributing Factors			
Item or Question	Root Cause?	Contributing Factor?	
The E50 does not calculate the correct refund and deductions for PSSA	X		
Late Acting Payment calculation (refer to RCA #1.5 Late Acting Payment Calculation)		X	
Contributing Factor(s) Comments			
Description of Work-Around(s) – if applicable			
Every pay period the pension team manually intervenes and corrects issues related to pension calculations. Requires substantive manual effort.			
Planned Solutions or Fixes			
Action	Due Date	Owner	Status
CR raised by PSPC April 2017.			There is no progress report.
SR 3-15652973671 : Pension deductions and the YMPE cross overs - post tax update B + Pension Patch		Oracle	Pending
SR 3-15770327211 : Invalid CIT Refunds for Payments when Bonus + Non Bonus Earnings on Same Cheque		Oracle	Pending
SR #3-14888092191: Pension calculation incorrect where earnings have different tax methods - patch 20916424 incorrect		Oracle	Pending
RCA Conclusion Statement			
System problem with the E50 process which relies on oracle calculation of pension deduction.			
Recommendations and Lessons Learned			

- 1.7.1 E50 should be revised to ensure that PSSA refunds and contributions are calculated correctly.
- 1.7.2 Raise the Service Requests (SR) severity from level 2 to level 1 with Oracle.
- 1.7.3 User acceptance testing (UAT) should cover all different scenarios of Late Acting.
- 1.7.4 Pension deduction reports should be verified by CAs to catch incorrect pension contributions.

Root Cause Analysis Candidate	
Issue Name	1.8 Late Extensions of Acting not Automatically Processed by Phoenix
Start Date	11-08-2017
End Date	11-10-2017
RCA Team Description	IDAT Group
Root Cause Summary	
<p>The original assumption underlying Pay Modernization was that HR actions would be entered on or before the effective pay period and therefore that there would be minimal need for late entries of acting and acting extensions. E117 which processes late actings, was added to the project late and in order to meet implementation timelines, did not include processing late extensions of actings.</p>	
Definition of the Problem	
<p>Acting extensions entered late into the system (for acting extension periods prior to current pay period but entered after current pay period) are not automatically processed by Phoenix. Compensation Advisors (CAs) have to process acting extensions manually. This results in late pay to employees.</p>	
Understanding of the Business Impact	
<p>When late acting extensions are not processed automatically, employees are not getting the acting pay for their acting extension period until a Compensation Advisor (CA) processes them manually. This delays acting pay for employees. This contributes to the workload and backlog for CAs and adds to the employees' waiting period to get the acting pay. Some employees are refusing to accept acting assignments due to concerns they will not be paid correctly.</p>	
General RCA Analysis	
<p>The Pay Modernization project (Pay Centre and Phoenix) were based on the assumption that organizations would process HR transactions in a timely manner (i.e., on or before the pay period the change took effect). Managers rarely submit requests for acting extensions to HR on time. Therefore the extensions are entered late into the HR system. As a result, late acting extensions are typically entered late into the Phoenix. E117, which processes late actings, was not designed to address extensions of actings. The need to create an extension to process late acting extensions (E118) has been recognized but this work has not yet been scheduled. Therefore any retroactive pay related to late acting extensions must be manually processed by Compensation Advisors, Managers have no incentive to extend acting on time and there are disincentives to be proactive: additional approvals are needed for actings over 4 months in duration. Managers are taking path of least resistance to stay within policies, and may even be consciously skirting around policy. Managers do not understand the 'late' implications on acting extension submissions on employee's pay. Employees remain in acting positions before approval is received, based on the word of the manager rather than following procedure/policy. Notification and follow up on expiring acting does not exist in many organizations.</p>	
Five Whys: Root Cause (the 5 Why's)	
Why #1 (Why did this problem occur?)	Why are employees not paid for the extended acting periods when they were entered late in the system?

Answer # 1	Phoenix is not designed to automatically process late acting extensions. E117 (processing of late acting) is not designed to automate late acting extensions.	
Why #2 (Why did #1 happen?)	Why were Phoenix & E117 designed that way?	
Answer # 2	Phoenix was also designed with the assumption that all data entries including actings and acting extensions would be entered on-time and during current pay period. Due to time constraints, the E117 scope was limited so it could be developed and implemented quickly. The E117 does not address when there is a change of date to the acting.	
Why #3 (Why did #2 happen?)	Why was there an assumption that these would be entered on time and during the current pay period?	
Answer # 3	Because this was a core assumption for the entire pay modernization project. The Phoenix implementation did not encompass changes to the external business work flows necessary to process acting and acting extension in a timely manner.	
Why #4 (Why did #3 happen?)		
Answer # 4		
Why #5 (Why did #4 happen?)		
Answer # 5		
Root Cause and Contributing Factors		
Item or Question	Root Cause?	Contributing Factor?
Due to time constraints, the E117 scope was limited so it could be developed and implemented quickly.	X	
Managers are taking path of least resistance to stay within policies -- managers are asking and authorizing employees to act or continue to act before submitting request to HR to process.		X
Employees start or continue to act in a position before the official processing is completed (work at word of the manger rather than process/policy)		X
Acting extensions are often submitted or processed/entered late by HR		X
Notification and follow up with managers on expiring acting may not exist in many organizations		X
Contributing Factor(s) Comments		
<ul style="list-style-type: none"> Several Organizations have operational requirements that inhibit following the official process of completing the process before the employee starts acting (DND: Firefighters, CCG: Ships Crew) 		
Description of Work-Around(s) – if applicable		

HR enters a new acting record instead of an acting extension on the original record so that it can be automatically processed by Phoenix. This work around would impact data integrity for management reporting and impacts the automation of the employee’s increment increase if the sum of the acting period is greater than the increment period.

Planned Solutions or Fixes

Action	Due Date	Owner	Status
Implementing a process for late acting extensions based on the assumption that on-time is an exception and not the norm.	TBD	Phoenix	Automation for late acting extensions is planned for Phase 2 of Late Acting Automation – E118.
Implement training for managers on business/system process requirements.	Mid-October 2017	TBS/OCHRO	Planned

RCA Conclusion Statement

Original assumption was that minimal business need for late entries of acting and acting extensions because system and business processes assumed to be real time. Due to time constraints, the E117 scope was limited so it could be developed and implemented quickly.

Recommendations and Lessons Learned

- 1.8.1 Develop and implement E118, which processes late extensions of actings.
- 1.8.2 Proactive reporting to inform managers of upcoming acting end dates with follow up.
- 1.8.3 Change management is likely required to keep the process within required timeframes.
- 1.8.4 Implementing Management and HR Performance Standards (Accountability) that specifically include metrics on timeliness of HR requests.

Root Cause Analysis Candidate	
Issue Name	1.9 Limitations on Managing Overpayment Holds for Web Services
Start Date	17-08-2017
End Date	13-10-2017
RCA Team Description	IDAT Group
Root Cause Summary	
This is a design issue related to the I134, which does not put transactions with overpayments into the on-cycle, where custom overpayment processing could address CRA requirements.	
Definition of the Problem	
Web Services organizations end up with overpayments every time there is a late acting with extra duty pay or leave without pay ≤ 5 days greater than 10% of employee gross pay.	
Understanding of the Business Impact	
<ul style="list-style-type: none"> • CRA/CBSA relies heavily on employees entering their overtime for forecasting/planning purposes. • Web services organizations, through the I134 interface, upload extra duty pay and LWOP ≤ 5 days transactions into off cycle 3 of the pay calendar each pay period. The result is an overpayment is always created for LWOP and reversals of EDP. • This creates extra work for CAs and for Finance. 	
General RCA Analysis	
<p>Via I134, Web services organizations upload extra duty pay and LWOP ≤ 5 days transactions into off cycle 3 of the pay calendar each pay period.</p> <p>Because E75, which moves negative cheques to off cycle 4 for hold processing does not look at this off-cycle, negative cheques are not “moved” to off cycle 4, There is no option to remove holds on these payments. Instead these amounts are processed immediately.</p> <p>The result is an overpayment is always created.</p> <p>CRA had the option of having all holds removed, but the senior management has not yet given approval for this option.</p> <p>The other option would be to modify the I134 to adding the hold selectively rather than automatically.</p>	
Five Whys: Root Cause (the 5 Why's)	
Why #1 (Why did this problem occur?)	Why can CRA not remove the holds on recovery of these overpayments?
	As a web services organizations, pay transactions are loaded directly to the payline via I134. Extra duty pay and LWOP ≤ 5 days are loaded into off-cycle 3. This does not allow time to lift the hold on the recovery in late acting situations.
Why #2 (Why did #1 happen?)	Why isn't there time to lift the hold?
	Phoenix out of the box retro processing automatically applies a hold on any amount greater than 10% of employee gross pay. Any specialized processing must occur via E75 through 78, but this specialized processing does not touch off cycle 3.
Why #3 (Why did #2 happen?)	Why does specialized hold processing miss off cycle 3?
	Because it starts with E75, which looks at the on cycle only.
Why #4 (Why did #3 happen?)	
Why #5 (Why did #4 happen?)	

Root Cause and Contributing Factors			
Item or Question		Root Cause?	Contributing Factor?
E75, which is the first step in special overpayment processing, only looks at the on-cycle		X	
Web services interface design			X
Contributing Factor(s) Comments			
<ul style="list-style-type: none"> Design of the I134 perhaps did not take into account overpayments processing. 			
Description of Work-Around(s) – if applicable			
<ul style="list-style-type: none"> There is no workaround 			
Planned Solutions or Fixes			
Action	Due Date	Owner	Status
RCA Conclusion Statement			
This is a design issue related to the I134, which does not put transactions with overpayments into the on-cycle, where custom overpayment processing could address CRA requirements.			
Recommendations and Lessons Learned			
1.9.1 Investigate changing I134 to improve processing of recoveries for web service organizations.			

Root Cause Analysis Candidate	
Issue Name	2.1 Time Reporting Issues Time and Labour
Start Date	23-08-2017
End Date	11-10-2017
RCA Team Description	IDAT Group
Root Cause Summary	
<p>Time and Labour will reject transactions for a number of reasons at a variety of points in processing. There is no formal process to address TL_ABEND issues in a timely fashion. Time administration will also reject transactions due to inaccurate time reporting data. (Rejected by Payroll error message). Phoenix applies the same statutory holiday overtime rates to <u>all</u> provinces. Phoenix has adopted an elapsed time model for time entry which does not capture time of day entry. This creates issues for shift workers reporting their time and leads to other issues related to statutory holidays.</p>	
Definition of the Problem	
<p>Employee's transactions appear to be processing but are not being paid out, or are being rejected by Pay for unclear reasons. Statutory holidays and overtime rates are not being applied correctly across Provinces and for some shift workers claiming overtime. Certain shift workers are unable to accurately record their work and their extra duty activities due to issues with reporting codes and overtime rates.</p>	
Understanding of the Business Impact	
<ul style="list-style-type: none"> • Employees are not always paid timely and accurately. • Substantial effort by Management for investigation and remediation actions. • Misalignment of applicable business rules and rate associated with Coast Guards. 	
General RCA Analysis	
<p>The Statutory Holiday and time reporting code is not set properly for some shift workers (ex: HP, EG) A change request (CR 3850) was recently implemented in Phoenix to properly identify the Statutory holiday for shift workers in all groups. This change provides the required time reporting code and performs the appropriate calculations and was released in Production on June 30, 2017. CR-3850: Addition of Time Reporting Code (TRC) 072M (Travel) and 263M (Work on a Statutory Holiday) in the Rule programs for Collective agreements with Shift workers. This change allows the Time Administration process to accurately calculate the hours worked by a Shift Worker on a Statutory Holiday when this Holiday is a non-scheduled day for the employee. The recommendation from the Time and Labor team is for the employee to resubmit their time with the new time reporting code for time already submitted on a Statutory Holiday over the last six months.</p> <p>Statutory Holiday overtime rate applied in the wrong provinces Phoenix applies the Statutory holiday overtime rates for <u>all</u> Statutory Holidays across the country when employees submitting overtime using code 260. As an example, overtime calculation for Regatta day was incorrectly applied to employees even though Regatta Day is not a Federal Statutory Holiday. It impacts the employees pay as the overtime rate is different if working on a Statutory Holiday. Employees choose standard overtime code 260 in the Timesheet and then Submit their time to their Section 34 manager. Once the transaction goes to the Section 34 Manager, he/she will see the wrong rate and description of the overtime code. Phoenix T&L is aware of this issue. IR created for this issue. Pending resolution.</p> <p>Time Admin Process is not scheduled to run on Tuesday and Wednesday of the Pay confirm week. The Time Admin process is a lengthy process and is not schedule to run on Tuesday and Wednesday of the Pay confirm week because processing cycles are needed for the pay confirm process. If there are serious delays with the pay confirm process, Time Admin may also be cancelled on Thursday or Friday of the confirm week. If the process is not ran as scheduled, the Operation Center is responsible for notifying</p>	

organization's change agents of the delay. The impact to employees is that any time submitted during that period will not be sent to their Section 34 manager until the Time Admin process is run. This increases the risk that Section 34 managers will not action the extra duty and timesheets in time for the next pay period.

Firefighters have multiple issues with time entry

Phoenix is configured to pay acting pay on a "daily" basis. Firefighters at DND work two shifts in a 24 hour period. A 10 hour "day" shift and a 14 hour "night" shift. Sometimes they will act for the entire 24 hour period, or one of the two shifts. Every acting pay sent in for a firefighter must be also submitted on a PAR as an "acting exception". Firefighters act independently from their own shifts. This is considered "acting for overtime purposes only". No regular hours are to be paid for this acting – it is only overtime, but at the acting rate. This "acting overtime" is also not pensionable, so we don't want the pay system to register the acting rate for those days for pension purposes. We are still struggling with how to pay this overtime.

Elapsed Time VS Punch Time

PeopleSoft offers both Elapsed Time and/or Punch Time for scheduling. The Government of Canada made a decision to only implement Elapsed Time which is not well suited for shift workers, but fitting for the large majority of regular workers. As a result, Time & Labor doesn't support task based schedules. (Task based schedules are activities that have a beginning and end time.)

As an example, Canadian Coast Guard (CCG) fleet can have different pay rate in the morning comparing to the afternoon, this is because their shifts start at 12:00pm, meaning they can work their substantive in the morning then go on acting in the afternoon. This causes a problem of recovery of payment.

Coast Guard time reporting codes are inaccurate.

Canadian Coast Guard Fleet employees on ships have Time reporting codes (TRC) that have the wrong rates:

072 – Travel – Day of Rest @2x

072 – Travel - Day of rest in 46.6 (rates should alternate between x1.5 and x2)

089 – Travel on working day (rates should alternate between x1 and x1.5)

260 – 260F in Phoenix On-call hours in 46.6 in Premium situation

263 – 263M in Phoenix Stat in off-cycle for 46.6. Moved to first regular workday

Phoenix T&L team met with the DFO team to discuss these issues. T&L is working on CR #4792 to fix these issues.

Existing employees lost enrollment to Time and Labor because of job change

When employees return from leave to their substantive position, the auto enrollment process does not activate Time and Labour. There was a recent fix for this issue. A script was ran to fix historical data. Auto enrollment now triggers on both Leave of Absence (LOA) and Return From Leave (RFL) job rows.

If this issue re-occurs, a request must be sent to Phoenix Operations to enroll employees in Time & Labor.

CR 2920: Time and Labor Workgroup auto-enrollment. Completed.

CR 3923: Changes to auto-enrollment for acting records. In Development.

Employees transactions not processed by T&L (TL_ABEND)

In some instances, the Time Admin process will fail due to issues with an employee's account. In this case, Phoenix T&L will assign the flag "TL_ABEND" which will skip this employee's account when running the Time Admin process. Only the Phoenix team can fix the employee's account and remove the TL_ABEND flag. If there is an urgent pay issue, organizations can send an email to Phoenix Operations to review and fix the file, but identification of the issue by Phoenix Operations can take months. During this time, the employee's pay will be affected if they are positive time reporters or submitting Extra Duty Pay (EDP).

The main reasons why an employee's account can impact the Time Admin process are issues with:

1. Schedule
2. System configuration
3. Enrollment

The affected employees will be able to submit time via the Timesheet, but they are unaware that their submitted time will not be sent to their Section 34 managers for approval.

Consecutive punches of this type are not allowed

While updating schedules, some timekeepers receiving the error message ‘Consecutive punches of this type are not allowed’ even though neither Phoenix nor My GCHR are configured for Punch Time. Phoenix is aware of this issue and is currently working on identifying the source - IR# 03640663.

Rejected by Payroll

From time to time, transactions will generate a “rejected by payroll” error message. This message is mostly generated by Time & Labor load process.

T&L processing is a twofold process:

1. Time admin generates transactions based on input and rules
2. T&L loads successful transactions to pay_oth_earns which forms part of the payline.

If data validation is unsuccessful, it will reject the transaction and will generate the Rejected by Payroll error message. If it does fail, the Time Administration process will try to process all the transactions every time since that date until the issue is fixed, which affects the performance of the Time Admin process.

The most common reasons for data validation to fail are:

1. **Employee submits time on the wrong record #** - If you have an acting from May 1 to 15 and as of May 16 the record is still active. If submitting on May 16 and the manager approves it. When the system tries to upload the transaction it is going to say it’s not going to work so it doesn’t accept the message by TL. They are working on CR4080 to move transactions to the proper record. This is a large initiative and is currently the biggest item worked on by the T&L Team.
2. **Time deleted in the payline either manually or by a process.**

Human Resources (My GCHR, 9.1 and direct entry) cannot enter HR transactions on the employee accounts with rejected by payroll greater than 6 months. Further, Employees and Section 34 managers cannot access time and labour transactions that are over 6 months old. Only the Operations centre can update transactions that are older than 6 months.

Five Whys: Root Cause (the 5 Why's)	
A: Shift Workers and Statutory Holidays	
Why #1 (Why did this problem occur?)	Why is the Statutory Holiday overtime rate not correct for shift workers?
	At Phoenix go-live not all overtime rules were configured for shift workers.
Why #2 (Why did #1 happen?)	Why were some shift workers not configured for the proper overtime rate on Statutory Holidays?
	Solution configuration was not matching business requirements. CR #3850 resolved this issue.
Why #3 (Why did #2 happen?)	
Why #4 (Why did #3 happen?)	
Why #5 (Why did #4 happen?)	
Five Whys: Root Cause (the 5 Why's)	
B: Incorrect Statutory Holidays When Submitting Overtime	
Why #1 (Why did this problem occur?)	Why does Phoenix apply the provincial Statutory holiday overtime rates to all provinces when employees are only eligible for the Stat Holiday in their province?

	A system bug was recently identified that needs to be fixed – IR# 03808191.
Why #2 (Why did #1 happen?)	
Why #3 (Why did #2 happen?)	
Why #4 (Why did #3 happen?)	
Why #5 (Why did #4 happen?)	
Five Whys: Root Cause (the 5 Why's) C: Elapsed Time Doesn't Allow Capture of Time of Day Entry	
Why #1 (Why did this problem occur?)	Why doesn't Phoenix allow employees to track hours of work by time of day?
	Phoenix implemented Elapsed Time. Scheduling and time reporting is based on total hours worked in a day, but not the time of day.
Why #2 (Why did #1 happen?)	Why did Phoenix implement Elapsed Time?
	Elapsed time met the requirements of the large majority of employees who are regular work week workers, but did not meet the requirements of shift workers.
Why #3 (Why did #2 happen?)	
Why #4 (Why did #3 happen?)	
Why #5 (Why did #4 happen?)	
Five Whys: Root Cause (the 5 Why's) D: Employee Transactions Not Processed in Time and Labour	
Why #1 (Why did this problem occur?)	Why do some employees transactions are not processed in Time & Labor?
	Issues with the employee's account will fail the Time Admin process. The employee's account must be excluded by the Time Admin process for it to run successfully.
Why #2 (Why did #1 happen?)	Why are employee's account failing the Time Admin process?
	The main reasons why an employee's account can impact the Time Admin process are issues with schedule, enrollment or T&L system configuration.
Why #3 (Why did #2 happen?)	Why does the employee's account continue to be excluded from the Time Admin process?
	The T&L team will manually assign the flag TL_ABEND on the employee's account and it will exclude the employee's transactions to be processed. The T&L team must investigate the cause, fix the account and remove the TL_ABEND flag.

Why #4 (Why did #3 happen?)	Why is this manual intervention taking months to be resolved?	
	There is no formal process to address TL_ABEND issues in a timely manner.	
Why #5 (Why did #4 happen?)		
Five Whys: Root Cause (the 5 Why's) E: Time reporting process fails due to inaccurate time reporting data. (Rejected by Payroll error message)		
Why #1 (Why did this problem occur?)	Why are some transactions generating a Rejected by Payroll error message?	
	At some point in the Time & Labor process a transaction fails.	
Why #2 (Why did #1 happen?)	Why are transactions failing?	
	Common causes are employee submitting time on wrong record number, time deleted in T&L (either manually or by a process) or terminated payroll status on the job record.	
Why #3A (Why did #2 happen?)	Why are employees submitting time on the wrong employee record?	
	Employees should only see one active record. If employees sees multiple records, it is caused by Auto enrollment failing. If they are entering time against a late or terminated acting, they will not be able to enter time against that record. (CR2920 T&L workgroup auto enrollment Completed, CR3923 Changes to Auto enrollment for acting records In Dev)	
Why #3B (Why did #2 happen?)	Why is time deleted in the T&L either manually or by a process?	
	Employees could make a correction to their time entry. A process may delete time due to a data integrity issue.	
Why #3C (Why did #2 happen?)	Why are terminated payroll status on the job record rejected by payroll?	
	No paysheet is created for a terminated employee therefore T&L cannot load the time data.	
Root Cause and Contributing Factors		
Item or Question	Root Cause?	Contributing Factor?
Elapsed time doesn't allow to capture time of day entry for shift workers	X	
The Statutory Holiday and time reporting code is not set properly for some shift workers	X	
Phoenix applies the provincial Statutory holiday overtime rates to <u>all</u> provinces when employees are only eligible for the Stat Holiday in their province	X	

TL_ABEND issues not addressed in a timely fashion.	X	
Time reporting process fails due to inaccurate time reporting data. (Rejected by Payroll error message)	X	
Complex configuration due to the number of complexity of collective agreement		X
Organizations are not notified when the Time Administration process does not run.		X

Contributing Factor(s) Comments

- Testing needs to be more comprehensive to validate these configurations
- Phoenix is not configured with Punch Time which limits its ability to deal with shift workers time reporting and schedules.
- Organizations are not aware that the Time Admin process doesn't run on Tuesday and Wednesday of confirm week and on scheduled days.

Description of Work-Around(s) – if applicable

- Phoenix Feedback form can be used to activate Time & Labor for employee who lost their enrollment in Time & Labor.
- Convert overtime to compensatory time and submit to Pay Center via PAR.
- Submit EDP via PAR to Pay Center.

Planned Solutions or Fixes

Action	Due Date	Owner	Status
CR-3850 has fixed this issue, Organizations should verify this fix and confirm.		Phoenix T&L	Completed
Auto enrollment issues with RFL. There is an App Engine program to fix same issue for RFL, this program can be used with different programs to fix Acting issue. IR #03752949		PSPC	Completed
A business requirement was presented to OCHRO group to investigate the solution for Scheduling and Shift Workers.		OCHRO	Draft report provided to TBS.
CR4080 – This change request will automatically move "Rejected by Payroll" entries to the proper Empl Record.		Phoenix T&L	Impact Analysis

CR 3923: Changes to auto-enrollment for acting records		Phoenix T&L	Open
RCA Conclusion Statement			
<p>Time and Labour will reject transactions for a number of reasons at a variety of points in processing. There is no formal process to address TL_ABEND issues in a timely fashion. Time administration will also reject transactions due to inaccurate time reporting data. (Rejected by Payroll error message). Phoenix applies the same statutory holiday overtime rates for <u>all</u> provinces. Phoenix has adopted an elapsed time model for time entry which does not capture time of day entry. This creates issues shift workers reporting their time and leads to other issues related to statutory holidays.</p>			
Recommendations and Lessons Learned			
<p>2.1.1 Investigate potential to implement a punch time system for shift workers. 2.1.2 Communicate to shift workers to resubmit the overtime they submitted on a statutory holiday over the last six months with the new time reporting code (263M). 2.1.3 Communicate to Section 34 managers that the Time Administration process is not run on the Tuesday and Wednesday of confirm week and therefore will not see transactions submitted by their employees until the Friday. 2.1.4 PSPC should provide real-time information to all organizations on the status of the Time Admin process (Hourglass project). 2.1.5 Develop a process to address TL_ABEND issues in a proactive and timely manner. 2.1.6 Pay Policy should consider extending or removing the 6 months data entry limitation.</p>			

Root Cause Analysis Candidate	
Issue Name	2.2 Hours Data Type Issues in Phoenix
Start Date	29-08-2017
End Date	29-09-2017
RCA Team Description	IDAT Group
Root Cause Summary	
Phoenix is rounding hours in favour of the employee. The requirement for a different hour field format was not identified early enough in the Phoenix build phase. As a result, the Phoenix team did not modify the delivered format of 99.99. This also causes Phoenix integration errors for My GCHR cash out transactions over 99.99 hours.	
Definition of the Problem	
Phoenix does not meet collective agreement requirements to collect and calculate time to three decimal places. This is true for hours entered into Phoenix (e.g., Overtime) and leave transactions sent from My GCHR. Voluntary cash-out of more than 99.99 hours from MyGCHR (compliant with requirements) can fail integration to Phoenix due to data mismatches, without notification to employees or managers.	
Understanding of the Business Impact	
<ul style="list-style-type: none"> • Phoenix limits time entries such as Extra Duty Pay (EDP), and Leave Without Pay (LWOP) to 2 decimal points. • Collective agreements, terms and conditions of employment, and directives all state that sick and vacation are earned in the format of 3 decimal points. Instead, Phoenix rounds up or truncates the 3rd decimal in the favor of the employee (i.e., round-up for cash-outs and round down for LWOP ≤ 5 days). • Current processing of rounding up or truncating is always to the employee's benefit therefore government is incurring unnecessary expenses. One example department (CCG-Coast guard) described \$8,000 for 2,000 employees per year. This issue impacts all organizations. • As per collective agreements, employees are allowed to request voluntary cash-out of more than 99.99 hours but Phoenix does not accept and does not process request beyond this amount: <ul style="list-style-type: none"> ○ Employees can request this amount in My GCHR and the manager can approve it, but upon integration an error is raised within the Phoenix integration broker. ○ My GCHR employees and managers do not have the ability to see integration error messages – as far as the employee is concerned the transaction was successful, yet they will not receive their cash-out payment. ○ There is now a manual workaround in place to address this issue. 	
General RCA Analysis	
<p>Extra duty, cash-out and leave without pay less than 5 days are measured in hours. The PeopleSoft commercial product delivers fields to track hours with a format of 2 integers and 2 decimals with a maximum of 99.99.</p> <p>Phoenix chose to keep the commercial format. Rather than complying exactly with collective agreements it would calculate to the benefit of the employee.</p> <p>MyGCHR has an hour format of 999999.999: the six (6) integers is intended to support large numbers for transfer in balances and the three (3) decimal places supports collective bargaining agreement requirements.</p> <p>Phoenix and My GCHR use integration for leave events yet the fields that hold this information have different formatting in these two systems.</p> <p>Phoenix generates a hard stop when a transaction over 99.99 is submitted causing the queues to stop and requiring a manual restart</p>	
Five Whys: Root Cause (the 5 Why's)	

A: Phoenix Rounding Hours		
Why #1 (Why did this problem occur?)	Why does Phoenix round in the favour of the employee for extra duty, cash-out and leave without pay? Phoenix uses commercially delivered field types.	
Why #2 (Why did #1 happen?)	Why didn't Phoenix customize it? Phoenix uses commercially delivered field types. To change the hour field properties is a highly complex customization. Estimate to customize these fields in Phoenix now is 994 days of development. The workaround is also to the benefit of the employee. Therefore changing the time format is not considered a priority.	
Why #3 (Why did #2 happen?)		
Why #4 (Why did #3 happen?)		
Why #5 (Why did #4 happen?)		
Five Whys: Root Cause (the 5 Why's) B: Phoenix cannot accept over 99.99 hours		
Why #1 (Why did this problem occur?)	Why does integration fail when cash out amounts over 99.99 hours are entered in My GCHR? The field format does not match between My GCHR and Phoenix. My GCHR customized these fields and Phoenix did not.	
Why #2 (Why did #1 happen?)	Why didn't Phoenix customize it? Phoenix uses commercially delivered field types. To change the hour field properties is a highly complex customization. Estimate to customize these fields in Phoenix now is 994 days of development. The workaround is also to the benefit of the employee. Therefore changing the time format is not considered a priority.	
Why #3 (Why did #2 happen?)		
Why #4 (Why did #3 happen?)		
Why #5 (Why did #4 happen?)		
Root Cause and Contributing Factors		
Item or Question	Root Cause?	Contributing Factor?
The decision was made by Phoenix team to use delivered field and not to modify it.	X	
This requirement was not raised early enough in the Phoenix build phase.		X
Contributing Factor(s) Comments		
At the time it was decided that it was too close to Phoenix go-live to change the hour field property.		
Description of Work-Around(s) – if applicable		

Voluntary cash out requests should be split to as many as records to keep it under 100 hours for My GCHR organizations. Phoenix operations receives a query from My GCHR to identify transactions over 99.99 and manually process the payment in Phoenix. This workaround does not have any negative impacts on the employee or My GCHR.
Rounding logic is used in favor of employees.

Planned Solutions or Fixes			
Action	Due Date	Owner	Status
ICMS 2164 - Phoenix Modification -- Decimal Places for Absence Management	Unknown	Evangeline Archer	Classification

RCA Conclusion Statement

Phoenix is rounding hours in favour of the employee. The requirement for a different hour field format was not identified early enough in the Phoenix build phase. As a result, the Phoenix team did not modify the delivered format of 99.99. This also causes Phoenix integration errors for My GCHR cash out transactions over 99.99 hours.

Recommendations and Lessons Learned

2.2.1 The following alternative options could be considered:

- Continue with the workaround of rounding in favor of the employee; or
- Investigate a Phoenix system change. An impact assessment was completed by Phoenix to accept 3 decimal precision. Estimates are 994 system development days (plus business UAT effort); or
- Investigate renegotiating collective agreements in the future to align with delivered system capability with the objective to minimize system-related issues that can impact employee pay

2.2.2 My GCHR should add an edit to ensure that a voluntary cash out transaction over 99.99 hours cannot be submitted and inform the employee to submit two split transactions instead.

Root Cause Analysis Candidate	
Issue Name	2.3 Schedule Synchronization
Start Date	23-08-2017
End Date	25-09-2017
RCA Team Description	IDAT Group
Root Cause Summary	
<p>As a result of job stack misalignment, issues with historical schedules (residual work related to fixes applied) and open IRs, schedules are placed into staging table and not completely / properly transformed to Phoenix system schedule.</p> <p>The Muslim Work Week schedule requirements were captured but not implemented due to resource constraints.</p>	
Definition of the Problem	
<p>Schedules between My GCHR and Phoenix can become misaligned. Once schedules are misaligned, any schedules changes in My GCHR will not load to Phoenix. Incorrect schedules in Phoenix could result in pay issues.</p> <p>Some schedule alignment fixes have been implemented but the historical schedules were not updated, are still misaligned and creating issues with employee pay.</p> <p>There are few tools to support manager and employee efforts to fix schedule problems.</p> <p>Further, the Time & Labor Launchpad in Phoenix doesn't always reflect the latest assigned schedule within Phoenix.</p> <p>The schedules available do not always meet employee needs. For example there is no predefined schedule for Muslim workweek and there is no schedule based on am/pm.</p>	
Understanding of the Business Impact	
<p>Affected employees not getting paid correctly (e.g., Extra Duty Pay, Part time employees submitting Leave Without Pay)</p> <p>It requires a considerable effort and resources in client organizations to fix and synchronize schedules in both My GCHR and Phoenix. Some organizations have up to 50 full-time Timekeepers to maintain schedules in both systems.</p> <p>Schedule and Time & Labor Launchpad issues are causing confusion for both managers and employees.</p>	
General RCA Analysis	
<p>Schedules are required by Phoenix Time and Labor for time reporting. The time sheet is based on schedules.</p> <p>Schedules are not aligned</p> <p>Keeping schedule synchronized between My GCHR and Phoenix is problematic.</p> <p>Separate PeopleSoft instances for Phoenix and My GCHR is a primary cause for schedule misalignment. These products were not designed to have time and labour and pay operating on separate schedules. Schedules are sent from My GCHR to Phoenix through integration and then are uploaded to a staging table. From the staging table, Phoenix references a mapping table and maps the schedule to the appropriate Time & Labor schedule in Phoenix. Schedules are only sent from My GCHR to Phoenix. Job Stack mapping is key for synchronizing schedules. If the Job Stack is wrong, then the schedule/schedule change will not go to the proper record in Phoenix.</p> <p>In the past, Adding, modifying or deleting certain schedules in MyGCHR would not upload to Phoenix. A fix was implemented in May 2017 to address some of the schedule synchronization issues related to deletion and modification (correct history) of both predefined and historical schedules. Before this fix was implemented, schedule deletion and modification (correct history) were not updated in Phoenix. While any changes post implementation of the fix are now being updated in Phoenix, historical changes schedules were not adjusted and remain a source of errors to employee pay. Residual work is required.</p>	

Some schedule definitions (e.g., compressed schedules), were initially incorrectly mapped between My GCHR and Phoenix. Although the mapping has been corrected, historical schedules are still misaligned. Residual work is required.

Schedules can also be misaligned due to system requirements: There is no requirement in Phoenix for schedules to be a multiple of 7 days, yet MyGCHR requires schedules to be multiples of 7 days for the Absence Management module. (PeopleSoft recommends schedules based on 7 days to avoid issues related to functionality linked to a specific day of the week, such as days of rest).

Troubleshooting issues with schedules is difficult. Predefined Schedule IDs are different in My GCHR and Phoenix. The Time & Labor Launchpad in Phoenix does not always reflect the latest assigned schedule within Phoenix. Organizations are not currently provided with a report of their employees' schedules in Phoenix.

This causes confusion for managers and employees and affects the ability to make the appropriate schedule corrections.

For organizations using My GCHR, there is a CR created that would give Access to managers to view schedules in Phoenix (*CR to be confirmed*). At this time there is not an IR for the Launchpad issue.

Some of the schedule issues were identified during user acceptance testing but were not addressed prior to go live.

In "Include History" mode in Phoenix, clicking on show schedule, the system displays message "Calendar details not found". Any time submitted will be reversed. Schedule is also out of synch with My GCHR and no time can be submitted thereafter.

Muslim Week Predefined schedule

Global Affairs Canada (GAC) requires a predefined Muslim work week – Sunday to Thursday). This schedule is currently not part of Phoenix Predefined Schedules.

There are over 3000 employees in 10 countries that are working using a Muslim work week. It is part of the collective agreement and Foreign Service Directive (FSD) and there are many grievances for this issue. Collective agreement says they have to follow Canadian holidays.

OCHRO Workforce Scheduling workgroup

OCHRO established a Workforce Scheduling workgroup a few years ago to address shift worker scheduling requirements. Requirements gathering has been completed with all affected organizations. A draft report and recommendation was recently submitted to OCHRO management for review.

Closed IR

- IR 03791045 - Schedule – Change PSELP_NONE to SSELAPSED
- IR03753593: To fix the issue where if you have one record in MYGCHR and multiple records in Phoenix the schedule is posted on record 0 in Phoenix
- IR 03763848: This is the new IR to address the problem where when a delete is received on an employee that has multiple Phoenix records we rejected it with an error message "Schedule already in Phoenix".
- IR 03737687: Republish schedule messages that went to error due to a security issue
- IR 03749341 – System does not generate save successful
- IR 03736614 - Updated logic in pw_l143_pers_sch to p6process a change like we do for IR03679353. When we already have the schedule then just update the details of the schedule.

Open IR

IR 03737615 – Schedules not Enrolled

IR 03824442 – Additional data in SCH_DEFN_TBL / Multiple Punch

Five Whys: Root Cause (the 5 Why's)

A: Schedule misalignment between My GCHR and Phoenix

Why #1 (Why did this problem occur?)	Why are schedules misaligned between My GCHR and Phoenix?	
	My GCHR sends the schedules to Phoenix. Schedules are placed into staging table and not completely / properly transformed to Phoenix schedule. Therefore this creates misaligned schedules between both systems.	
Why #2 (Why did #1 happen?)	Why are not all schedules transformed properly to Phoenix?	
	Schedules can be misaligned due to job stack issues (see RCA 4&13: Job Stack and Job Data Alignment), or due to residual schedule issues that need to be cleaned up. There remain other alignment issues that need to be resolved.	
Five Whys: Root Cause (the 5 Why's) B: Muslim Workweek Predefined Schedule		
Why #1 (Why did this problem occur?)	Why wasn't a Predefined schedule for Muslim workweek not included in Phoenix?	
	Business requirements were captured but were not included in the configuration.	
Why #2 (Why did #1 happen?)	Why wasn't not configured?	
	Lack of resources at time of implementation. Other priorities took precedence.	
Why #3 (Why did #2 happen?)		
Why #4 (Why did #3 happen?)		
Why #5 (Why did #4 happen?)		
Five Whys: Root Cause (the 5 Why's) C: Time & Labor Launchpad not displaying latest schedule		
Why #1 (Why did this problem occur?)	Why doesn't the Time & Labor Launchpad always display the latest schedule?	
	This is a system issue that needs to be investigated and resolved.	
Why #2 (Why did #1 happen?)		
Why #3 (Why did #2 happen?)		
Why #4 (Why did #3 happen?)		
Why #5 (Why did #4 happen?)		
Root Cause and Contributing Factors		
Item or Question	Root Cause?	Contributing Factor?
System issues causing current schedules to not load correctly in Phoenix.	X	
Issues with historical schedules may prevent current schedules to be uploaded to Phoenix.	X	

Separate PeopleSoft instances and different business rules for Phoenix and My GCHR.		X	
Lack of resources at time of implementation	X		
Time & Labor Launchpad not displaying the latest schedule		X	
Job Stack issues causes schedule misalignment.	X		
Lack of system integration testing.		X	
Different Predefined Schedules IDs between My GCHR and Phoenix		X	
Contributing Factor(s) Comments			
<p>We had historical references that there was mismatch between Phoenix and My GCHR systems. There have been some fixes to address some issues. Schedule definition mapping was addressed. Predefined schedules fixes for deleting and modifying schedules have been implemented but there are outstanding issues for Personal schedules. Modified/Deleted schedules were sent to Phoenix but not uploaded to Phoenix schedules. If there are job-stack issues, this can impact schedule alignment between My GCHR and Phoenix. On April 7, 2016 Phoenix go live date for My GCHR organizations at the time, My GCHR sent schedules with the wrong schedule effective date of April 4, 2016. This did cause some schedule alignment issues.</p>			
Description of Work-Around(s) – if applicable			
<p>Timekeeper role in Phoenix assigned to some of the My GCHR organizations. This role allows some of the My GCHR organizations to manually adjust the schedules in Phoenix to match the schedules in My GCHR.</p> <p>ISED Workaround</p> <p>Only employees that have Schedule view access in Phoenix can do this workaround: View employees scheduled hours in Phoenix - one week at a time and work backward until when employee was first hired or when organization integrate with Phoenix. Note in Phoenix when employees start to have scheduled hours or when the scheduled hours start changing and compare them with employees work Schedules in My GCHR. If My GCHR does not have the same scheduled hours as in Phoenix, use correct history mode to add in My GCHR the missing schedule with the effective date when the hours start appearing or starting changing in Phoenix. This will effectively map the schedules so when manager insert a new schedule it will be mapped and will be sent to Phoenix correctly. Note that this is a long manual process.</p>			
Planned Solutions or Fixes			
Action	Due Date	Owner	Status
There is an intention to fix Historical data since go live by My GCHR.		My GCHR	My GCHR is waiting for a copy of the schedules from Phoenix to compare the data.
IR/CR planned by Phoenix T&L to fix schedule misalignment issues.			IR/CR # to be confirmed by Francis Lafleche.
Send examples of T&L Launchpad issues to Phoenix Operations.			Completed. Waiting for Phoenix Operations to analyze.
RCA Conclusion Statement			

Schedule synchronization is problematic for a number of reasons including job stack misalignments, residual issues from implemented fixes not being addressed and outstanding Phoenix System Configuration issues.

The Muslim Work Week schedule requirements were captured but not implemented due to resource constraints.

Recommendations and Lessons Learned

- 2.3.1 Phoenix and My GCHR continue to work to fix residual schedule synchronization issues.
- 2.3.2 Add the Muslim work week Predefined schedule.
- 2.3.3 Review the list of Predefined schedules in both My GCHR and Phoenix. Harmonize using the same IDs in both systems.
- 2.3.4 My GCHR and Phoenix should standardize on business rules (e.g., the multiple of 7 days requirement for the schedule).
- 2.3.5 Do not remove the Timekeeper role in Phoenix for My GCHR organizations until the cleanup of historical and current schedules is completed.
- 2.3.6 Support and implement findings from the OCHRO “Workforce scheduling working group”.

Root Cause Analysis Candidate	
Issue Name	2.4 Late Transactions on Closed Records
Start Date	16-08-2017
End Date	03-10-2017
RCA Team Description	IDAT Group
Root Cause Summary	
Time & Labor configuration is too restrictive in not allowing historical time to be input after the employment record has been terminated.	
Definition of the Problem	
Once the employment record becomes inactive no further transactions on Time and Labour records are possible.	
Understanding of the Business Impact	
This adds to Compensation Advisors' workload and delays employee payment (e.g., EDP, Positive Time).	
General RCA Analysis	
<ul style="list-style-type: none"> • By default, Time and Labor accepts transactions for active records only. Once the employment record is terminated, transactions go into "Rejected By Payroll" status. • For employees whose employment has ended, the process to pay their final pay is to submit a PAR to the Pay Centre. • For acting records, there is currently a manual process to load these transactions on terminated records once per pay period. • On late actings that have been closed prior to entry in Phoenix, there is no way to enter Extra Duty Pay or Leave Without Pay for the acting period. • On acting extensions, the new end date is sometimes not being picked up by the Auto Enroll process to update the end date of the employment record. This prevents entry of time transactions for employees whose actings have been extended. • Acting extensions entered late into the system (for acting extension periods prior to current pay period but entered after current pay period) are not automatically processed by Phoenix. Compensation Advisors (CAs) have to process acting extensions manually. This results in late pay to employees. Refer to RCA #1.8 Late Extensions of Acting not Automatically Processed by Phoenix. • For end of acting, managers and timekeepers can enter late time entries on acting record. These transactions would be rejected initially. However once a process is executed on Monday of confirm week, these transactions will be taken by payroll. • There is a CR (#3923) to grant 6 months grace period to enter the overtime/modify the data on Terminated records. These transactions will be available for the employee to modify and submit for up to 6 months. • There is another CR (#4354) to display more detailed information to employees on the ESS (Employee Self Service) screen. It will display the employment period for each employment record in Time and Labor for the previous 6 months. It will display the dates and classifications of each employment record. 	
Five Whys: Root Cause (the 5 Why's)	
Why #1 (Why did this problem occur?)	Why does the time & labor record become inactive?
	The time & labor record dates match the job data dates for the applicable employment record.
Why #2 (Why did #1 happen?)	Why can't employees enter historical time for closed employment records?
	Time and Labor has a time reporting end date which prevents data entry from the employee after the end date.

Why #3 (Why did #2 happen?)	Why does Time and Labor has an end date?		
	Time and Labor end dates match the Job Data end date. The current setup is too restrictive and prevents the employee from enter historical time after the end date has passed.		
Why #4 (Why did #3 happen?)			
Why #5 (Why did #4 happen?)			
Root Cause and Contributing Factors			
Item or Question	Root Cause?	Contributing Factor?	
Late Acting process versus on-time system design.		X	
Time and Labor does not allow historical time to be input after the employment end date has passed.	X		
Employment records in Phoenix		X	
Contributing Factor(s) Comments			
The business culture for processing Actings is almost always in the past.			
Description of Work-Around(s) – if applicable			
Some Compensation Advisors manually adjust Time Report Data to open and close employment records. Compensation Advisor to use E23 if time to be paid after a termination of employment.			
Planned Solutions or Fixes			
Action	Due Date	Owner	Status
CR #3923 – To fix outstanding auto enrollment issues. Allows the enrollment to remain active for up to 6 months.			
CR # 4354 – to display more details for each employment record in Time and Labor			
CR #4080 – rejected by payroll phase 2, automation of submission on proper record			Phase 2 - planning
CR #4080 – phase 1 was implemented on Sept long weekend.			
RCA Conclusion Statement			
Time & Labor configuration is too restrictive in not allowing historical time to be input after the employment record has been terminated.			
Recommendations and Lessons Learned			

- 2.4.1 Implement pending Change Requests (CRs) to resolve issues with allowing employees to enter historical time after the employment record has closed.
- 2.4.2 A review is required of different options to redesign Acting. Refer to RCA #[1.5 Late Acting Payment Calculation](#).

Root Cause Analysis Candidate	
Issue Name	2.5 Section 34 Approvals
Start Date	21-08-2017
End Date	02-10-2017
RCA Team Description	IDAT Group
Root Cause Summary	
<p>Due to operational requirements and priorities, the Time Administration process is not always run as scheduled during pay confirm week, therefore Section 34 managers can't retrieve and approve the submitted time entries.</p> <p>There is no established communication process in place to notify organizations and managers when the Time Administration process does not run.</p> <p>Section 34 managers will not be able to review and approve time entries if employees have not selected/validated them as their Section 34 manager in Phoenix or if they are working outside of their home organization.</p> <p>Acting managers are unable to approve pending transactions once their acting has terminated.</p>	
Definition of the Problem	
<p>Section 34 approvals are not completed in a timely manner.</p> <p>Transactions do not always appear on the Section 34 manager or timekeepers' worklist when expected; Section 34 managers are not notified when the Time Administration Process is not run.</p> <p>Employee transactions can appear on the worklists of timekeepers or the PSPC security contact when employee's Section 34 manager selection is no longer valid.</p> <p>Section 34 managers working away from their home organization cannot approve employee time.</p>	
Understanding of the Business Impact	
<ul style="list-style-type: none"> • If transactions such as Extra Duty Pay (EDP) are not approved by the Section 34 manager, then the employees will not receive their EDP in that pay period. • If a Leave without pay (LWOP) ≤ 5 days is not approved by a Section 34 manager in Phoenix within the current pay period, the employee will be overpaid. If the LWOP amount is greater than 10% of gross a hold will be applied to the employee in the paygroup of the substantive record. This statement applies to late entries as well. • Transactions that are older than 6 months are not available for the manager to approve and there is currently no process to flag, review and approve these pending transaction. • Positive time employees may not be paid their substantive pay on time. • Transactions generated by Phoenix for employees who did not select a Section 34 manager (ex: LWOP on Stat Holidays) are sent to Timekeepers or a PSPC Security employee that cannot approve these transactions. 	
General RCA Analysis	
<p>Workflow of Section 34</p> <p>Employee driven</p> <ul style="list-style-type: none"> • Employee must select a Section 34 manager in Phoenix. If an employee doesn't select a Section 34 manager in Phoenix, the employee will not be able to submit time. (This does not mean a timekeeper cannot enter time on the employee's behalf.) • Employee enters their transaction on the timesheet (can save and submit later) • Employee submits their transactions if they have a valid Section 34 manager. • Otherwise, they receive an error message and cannot proceed with submitting the transaction until a Section 34 manager is selected. <p>Phoenix auto-generated transactions. For example: Part time statutory holiday recovery</p> <ul style="list-style-type: none"> • Transaction is sent to Section 34. If employee did not select their Section 34 manager then; 	

- Transaction is sent to all Timekeepers in this Business Unit (organization). If there are no Timekeepers;
 - Transaction is sent to a “random” account (assigned to a PSPC security individual from test data) who does not have the Section 34 approvals. Those transactions are pending approval S34 until the employee selects Section 34 or a timekeeper reclaims the transaction by resetting the flag (workaround).

My GCHR Absence Management transactions sent to Phoenix

- Transactions approved within My GCHR are sent to Phoenix and require an additional Section 34 approval. If employee did not select their Section 34 manager then;
 - Transaction is sent to all Timekeepers in the Business Unit (organization). If there are no organizational Timekeepers then;
 - Transactions are sent to a PSPC Security Administrator who is not responsible to approve them. Those transactions are pending Section 34 approval until the employee selects a Section 34 manager or a timekeeper reclaims the transaction by resetting the flag (workaround).

Issues

Employees may not be aware that the LWOP transaction requires another Section 34 approval in Phoenix. Transaction could be with a different Section 34 Manager

- In Phoenix, employees are not forced to select a Section 34 Manager.
- Employees that do not have an assigned Section 34 Manager are not aware that the transaction is still pending for approval, assigned to a random account.
- Phoenix generated transactions are “forwarded” to all organizational timekeepers (who can only approve the transactions they entered). If there are no organizational Timekeepers assigned, the transaction is sent to the account of a PSPC security officer that doesn’t review or approve transactions.
- If the employee is TERMINATED substantively then the manager or employee loses access to approve transaction.

As an example, one of the highly impacted departments (DFO with 10,000 employees) still has over 1,100 pending transactions to approve, with some as high as 550 hours in the last 6 months that are showing under the timekeepers worklist. There is no process in place to approve these transactions.

Section 34 Approvals duplicated in both systems. Required in both My GCHR and Phoenix (LWOP less than 5 days)

- LWOP needs to be captured in My GCHR in order to calculate monthly leave credits in Absence Management based on the 10 days of work per month rule. LWOP always needs to be Section 34 approved in My GCHR.
- LWOP sent from My GCHR to Phoenix and requires Section 34 Approval again in Phoenix to support payroll.
- There is an open Change Request ICMS# 2730 – LWOP <5 days. Phoenix has indicated they would like to receive the LWOP transactions on a more frequent basis than monthly, ideally on a daily basis. The Change Request does not address removing one of the Section 34 approvals.

Section 34 Managers cannot approve transactions because of delays in interdepartmental transfers (Transfer-out & Transfer-in).

Employee transfer

If an employee started in a new job in a different organization and the transfer in/out process is not completed, the Manager cannot see the employee in My GCHR and the employee cannot select their Section 34 manager of the new organization in Phoenix. Employees cannot submit any time for the new organization in Phoenix until the transfer in/out is completed.

Section 34 Manager transfer

If a Section 34 manager is transferred to another organization, until the transfer is completed, the manager will not be able to see his employee schedules in MyGCHR and won't be able to see and approve transactions submitted in Phoenix by his employees.

Requests sent but not available on Section 34 manager's list.

- Employee submits their transactions in their timesheet
- Time Admin process needs to run. Scheduled nightly except Tuesday and Wednesday of confirm week.
- A change on certain fields in Job Data triggers a flag that triggers the Time admin to run on the employee's account.
- Particular situations like mass retro payments generate a trigger for all employees, slowing down the Time Admin process by increasing amounts of accounts to process (Workaround: splitting the process to run in more groups)

Multiple approvals by the Section 34 Manager required for the same transaction.

Not all employees are aware that approval submission is not done in "real time". Employees need to be informed that the "Time Administration" process is run nightly before managers can see and approve transactions.

Employees can be updating their timesheet multiple times. Until Section 33 approves the changes, Section 34 managers are sometimes receiving multiple approval requests from employees. Employee can 'save and submit later' instead of submitting each time to avoid multiple Section 34 Approval request, but employees do need to submit their timesheet at least once for it to get forwarded to their Section 34 manager.

Only employees can select their Section 34 manager.

Phoenix does not have an organizational structure, therefore employees must select their Section 34 manager in Phoenix.

Outstanding approval

- Manager does not receive a workflow email when they have new transactions to approve
- A manual process is in place to send weekly emails to managers with outstanding transactions to approve (Not a sustainable process)
- ICMS# 4438 Maintain address for S34 manager – email notification (Initiate state).
- Even though Section 34 Manager has outstanding transactions to approve, they may not receive them all due to:
 - Employee not selecting the appropriate Section 34 manager
 - Job change (acting start/stop)
 - Employee leaves the organization
 - Transactions are older than 6 months than the current calendar date (transaction date). Transactions older than 6 months must be submitted via Pay Action Request (PAR).
 - Phoenix generated transaction where the employee hasn't selected a Section 34 manager in Phoenix

If Timekeepers receive the transactions, they are only allowed to approve the transactions for which they received the signed form approved by the Section 34 manager. Otherwise Timekeepers are not allowed to approve the transactions.

Acting Section 34 Manager unable to approve transactions

Acting Managers are unable to approve transactions for the time period when they were acting after the end of their acting.

Phoenix will not give the Section 34 and Section 33 role to the same employee.

Five Whys: Root Cause (the 5 Why's) A: Section 34 manager don't see submitted transactions by their employees	
Why #1 (Why did this problem occur?)	Why don't the Section 34 managers see all transactions submitted by their employees?
	The Time Admin process was not run or triggered.
Why #2 (Why did #1 happen?)	Why did Time Admin process did not run/triggered?
	The Time Admin process is scheduled to run on a daily basis, but it's not always the case.
Why #3 (Why did #2 happen?)	Why isn't the Time Admin process run as scheduled?
	Due to operational requirements and priorities, the Time Admin process is not always ran as scheduled during pay confirm week. Organizations are not informed when the Time Admin process is not ran.
Why #4 (Why did #3 happen?)	Why aren't organizations informed when the Time Admin process is not ran?
	There isn't a process in place to notify organizations when the Time Admin process hasn't run.
Why #5 (Why did #4 happen?)	
Five Whys: Root Cause (the 5 Why's) B: Section 34 manager approval after acting	
Why #1 (Why did this problem occur?)	Why are acting Section 34 managers not able to approve employees' outstanding transactions after their acting period?
	Phoenix does not allow acting Section 34 managers to approve time transactions after their acting period has ended.
Why #2 (Why did #1 happen?)	Why doesn't Phoenix allow acting Section 34 managers to approve time transactions after their acting period?
	Time Reporting on their acting record expires when their acting ended.
Why #3 (Why did #2 happen?)	
Five Whys: Root Cause (the 5 Why's) C: Employees not selecting their Section 34 manager	
Why #1 (Why did this problem occur?)	Why are some system generated transactions not being approved by the Section 34 Manager?
	There is no employee –Section 34 manager relationship.
Why #2 (Why did #1 happen?)	Why isn't there an employee – Section manager relationship in Phoenix?
	Employees may not have access to Phoenix. For the employees that do have access to Phoenix, they did not select their Section 34 manager.
Why #3 (Why did #2 happen?)	Why didn't employees select their Section 34 Manager in Phoenix?
	Phoenix will not force an employee to select a Section 34 manager until they submit time. There are no pay impacts

	to regular full-time employees that do not select their Section 34 manager until the employee submits EDP or LWOP.
Why #4 (Why did #3 happen?)	
Why #5 (Why did #4 happen?)	
Five Whys: Root Cause (the 5 Why's)	
D: Section 34 Manager cannot approve transactions	
Why #1 (Why did this problem occur?)	Why are certain Section 34 managers unable to approve employees' transactions?
	Section 34 manager not enrolled in Phoenix: Interchange Canada employees do not have access to Phoenix. Section 34 manager seconded-in or not yet transferred-in, will not be able to see and approve transactions. Timekeepers are used for this purpose.
Why #2 (Why did #1 happen?)	Why don't Interchange Canada employees have access to Phoenix?
	They are not paid by Phoenix and therefore their employment/pay record is not recorded in Phoenix. Phoenix user access profiles are created only for employees with pay records.
Why #3 (Why did #2 happen?)	Why don't Section 34 manager seconded-in or not yet transferred have access to view and approve employees' transactions?
	Security setup by Business Unit limits the access to the home organization.
Why #4 (Why did #3 happen?)	
Why #5 (Why did #4 happen?)	
Five Whys: Root Cause (the 5 Why's)	
E: Transactions forwarded to all timekeepers or PSPC security account.	
Why #1 (Why did this problem occur?)	Why are system generated transactions for employees who did not select a Section 34 manager sent to all the organization's Timekeepers or a PSPC Security employee?
	The system requires that all transactions must be associated with an approver. Note transactions will only be sent to the PSPC security employee if the organization does not have any timekeepers.
Why #2 (Why did #1 happen?)	Why is it an issue that Phoenix sends these transactions to all Timekeepers or a PSPC Security employee for pending approvals?
	Timekeepers and PSPC Security employee do not have authority and hence are not able to action the transactions.

Why #3 (Why did #2 happen?)			
Root Cause and Contributing Factors			
Item or Question	Root Cause?	Contributing Factor?	
Time Admin is not triggered or did not run successfully as scheduled	X		
Employees have not yet selected their Section 34 manager	X		
Delay in Transfer In/Out process of employee or Section 34 manager.		X	
Section 34 Approvals are delayed due to incorrect Section 34 Manager selections.		X	
Phoenix is dependent on organizations providing an updated Section 34 manager list.		X	
Section 34 managers not able to approve employees' outstanding transactions.		X	
Seconded-in and Assignment records are not in Phoenix.		X	
Section 34 managers not approving transactions in a timely manner.		X	
Employee has not validated their Section 34 manager before submitting time.		X	
Contributing Factor(s) Comments			
<ul style="list-style-type: none"> Delay in Transfer In/Out process may cause delays in the approval process. 			
Description of Work-Around(s) – if applicable			
<ul style="list-style-type: none"> Manager can request Phoenix to manually set-up Section 34 manager to employee relationship. Timekeepers can enter and approve time on behalf of Employees/Section 34 managers that are not yet in Phoenix providing that the appropriate paperwork is submitted. In cases where a Section 34 manager is not available in Phoenix, the employee can select another Section 34 manager. 			
Planned Solutions or Fixes			
Action	Due Date	Owner	Status
Related CR #4355 – copy S34 relationship-acting		Phoenix T&L	Impact analysis phase. Requirement to copy Section 34 manager relationship from substantive position to acting.
ICMS# 3864 Manager – Select employees		Phoenix T&L	Impact analysis phase. Requirement to provide ability for Section 34 manager to select employees.

PSPC Hour glass project under development to provide an update to organizations on the status of batch jobs including Time Admin.		PSPC	
ICMS# 4438 Maintain email address for S34 manager – email notification:			Planned for December 2017.
CR 4354 To modify timesheet pages to provide more information such as Action/Reason.			
CR 3923 Allows the enrollment to remain active for up to 6 months after the acting Termination date.			
RCA Conclusion Statement			
<ul style="list-style-type: none"> • The Time Admin process isn't scheduled to run on Tuesday or Wednesday during pay confirm period. Organizations are not aware when the Time Admin process does not run. • When a Section 34 manager is not selected, <u>system generated</u> transactions are forwarded either to all timekeepers in the organization or a PSPC security resource that cannot approve the pending requests. • There is no defined process to deal with transactions submitted by an employee that is terminated in their substantive position. • Employees are not required to select a Section 34 Manager in Phoenix until they need to submit time on the Timesheet. • Acting Managers are unable to approve transactions once their acting is terminated. 			
Recommendations and Lessons Learned			
<p>2.5.1 Expediting Transfer In/Out process can avoid some of issues for Section 34 approvals.</p> <p>2.5.2 Transactions should not be sent to the PSPC Security Administrator account. For all organizations to identify individuals as point of contact to monitor and follow up on pending transactions.</p> <p>2.5.3 Organizations should only send changes to Section 34 flat file when a change to the end date otherwise it will overwrite the previous entry.</p> <p>2.5.4 For acting Section 34 managers, the Section 34 role should be revisited to include history so past transactions can be approved after the Section 34 manager's acting is completed.</p> <p>2.5.5 Communication required to help understand processing schedule related to Time and Labor (submission and approvals).</p> <p>2.5.6 It should be mandatory for employees to select a Section 34 manager as soon as they login in Phoenix.</p> <p>2.5.7 Organizations may want to review their Section 34 delegation to allow lower level managers to review and approve their employees' transactions.</p> <p>2.5.8 Include additional information when selecting the employee's record number for both Section 34 managers and timekeepers. CR #4354.</p> <p>2.5.9 Data monitoring and strategy to clean up outstanding exceptions. This will improve the Time Admin processing time.</p>			

- 2.5.10 Investigate potential to implement the ability to forward transactions from one Section 34 manager to another Section 34 manager for approval.
- 2.5.11 Investigate potential to display the selected Section 34 manager on the Timesheet page.

Root Cause Analysis Candidate	
Issue Name	2.6 Section 33 Approvals
Start Date	22-08-2017
End Date	05-10-2017
RCA Team Description	IDAT Group
Root Cause Summary	
Pay continues to be calculated through the Section 33 approval window in order to be ready for pay confirm. This causes instability in the Section 33 approval window, and forces Section 33 authorizers to wait for the last minute to complete authorizations and to use rollback functionality more than intended.	
Definition of the Problem	
The timelines for Section 33 authorizers to complete approvals is not predictable and may not provide enough time to complete due diligence, resulting in payments that should not be made. The pages used to perform Section 33 approvals can encounter performance issues with Searching and Saving functions.	
Understanding of the Business Impact	
<ul style="list-style-type: none"> • Section 33 business requirements were not fully enabled in the legacy process. The Phoenix implementation enabled these business requirements without a full impact analysis for staffing needs to use the system. • Missed Section 33 approvals result in inaccurate pay for the current pay period. Acting 2 step process (recoveries / additional pay) can be separated and delayed to future pay periods resulting in an overpayment or no pay from a large recovery. • If full due diligence is not completed, payments may have been made incorrectly. 	
General RCA Analysis	
<p>There are many scenarios which impede the ability of Section 33 approvals to be completed before the processing window closes.</p> <p>Length of time it takes to Save an approval</p> <p>There are varying user experiences with respect to system performance. During various workshops, a few examples were discussed:</p> <ul style="list-style-type: none"> • There were system performance issues that have been technically addressed. • Organizations experiencing delays may consider having a network traffic analysis completed to identify capacity / constraint conflicts in their network (WAN / LAN). • There are some organizations that have specific firewall configurations (by design) that may impact performance. • There are examples where specific transactions “hang”, possibly due to corrupt / incorrect data in the save request. • There is believed no overall impact driven by the number of users / transactions occurring during the limited time period prior to the Section 33 Approval Window closing. <p>It is possible to do Section 33 Approvals at any time, except during pay confirm. Further investigation is also required into application performance to determine if there are looping processes, high input/output calls to determine if optimization opportunities exist.</p> <p>Length of time it takes to Search for Records</p> <p>Section 33 approvers should add search criteria to improve their search, such as entering the Business Unit to avoid performance issue. This is a training issue.</p> <p>Section 33 Approval Delays</p> <p>Some Section 33 Approvals are delayed because it is not clear to the approver that there are other transactions linked to a specific transactions. The following is an example:</p>	

- A recovery has been previously processed for a large payment, e.g. Approval for a \$200,000 payment without seeing that a \$198,000 recovery has already gone through.

Rollback process is available to Section 33 managers if they are unable to validate prior to normal window closing. The Rollback process provides approximately 48 hours to investigate and approve without delaying payment on the upcoming pay cheque. Training improvements and shared best practices would help Section 33 Managers to investigate transactions.

Payments approved by Section 34 are not properly validated

Delegated Selection 34 managers are approving transactions that employees are not entitled to. Because delegated Section 34 managers have the accountability to approve the transactions, Section 33 Managers are not provided with detail behind the transactions to approve.

Section 33 approvers are not expected to repeat or review the controls exercised by individuals in prior steps of the process unless the transaction is considered to be high risk:

- Section 34 Managers must be assumed to have exercised review and approvals consistent with pay policy and collective agreements.
- Post Payment Verification, Quality assurance, other Audits, training and ultimately revocation of Section 34 delegations can be used to address the Section 34 issue.

Note: There was an issue in LWOP processing, Section 33 was skipped completely and went to payroll. It has recently been fixed.

Window for authorization does not allow enough time for due diligence

Any gross pay that is identical to the prior pay period is defaulted to approved, all other cheques are defaulted to “pending”. It is the responsibility of Section 33 to action the pending payments prior to the end of the pay period.

It is best practice that Section 33 approvals are performed every day. Section 33 approvals can be performed at any point in the pay week and at specified periods during the confirm week. Because pay is being recalculated almost every day, it is possible that a payment actioned early in the pay period will see a change in the gross amount, and the status reset to “pending”. Further, pay continues to be calculated through the Section 33 approval window.

As a result, there is a common work habit in some organizations where Section 33 approvals reviewed just before the Section 33 approval window closes. However, Section 33 approvals left to the last minute, do not allow time for due diligence. When Section 33 authorizers need extra time to validate a payment, they leave the payment in pending status, which moves the transaction to the rollback tracker. This increases the volume of transactions processed through off-cycle 4.

Windows for Section 33 approval will frequently change, with no advance notice to the organizations.

- The communication approval process is inefficient, needing to go through four levels of approval before release to the community, resulting in delays in issuing the change communications.
- A list of Finance contacts is maintained by Payroll operations specifically to communicate information such as changes in approval windows. It is the organizations’ responsibility to ensure the contact information is up to date.
- Recipients in the organizations may not disseminate the information in a timely fashion.
- Email lists need to be validated and organizations need to ensure those responsible are active and available to forward the information.
- Current pilot project in place: website that organizations can go to choose notifications that they would like to receive (such as the Section 33 window). System status messaging could also be improved to communicate when windows are about to close or certain processes are not available.

An additional impact to lack of communication and inconsistent processing schedule is that production window delays results in users starting to do transactions thinking they are now in the next period window, but in fact the current period is still open.

Finance organizations received orientation / training (very basic) on the new system one month prior to go live. At the same time there were also several webcasts, presentations at varying levels of the community and job aides produced in the first year of operations.

UPK has recently been updated to link processes to job aides.

With this said, the organizational Finance community was not able to fully appreciate / anticipate the change impact to the organization.

Five Whys: Root Cause (the 5 Why's)

Why #1 (Why did this problem occur?)	Why are users experiencing delays with the approval of Section 33 transactions?
	They are waiting to action the transactions at the end of the approval window, when they may encounter network congestion for their site or organization. System performance monitoring should be considered.
Why #2 (Why did #1 happen?)	Why are approvals left to the last minute?
	Because changes to pay continue to occur up to the end of the approval window.
Why #3 (Why did #2 happen?)	Why do changes continue to occur up to the end of the approval window?
	The time is needed to be ready for pay confirm.
Why #4 (Why did #3 happen?)	
Why #5 (Why did #4 happen?)	

Root Cause and Contributing Factors

Item or Question	Root Cause?	Contributing Factor?
Section 33 approvals are left for the last minute not allowing time for due diligence.		X
Communications / training focused on deadline versus fact that Section 33 approvals can be done any time.		X
Pay continues to be calculated through the Section 33 approval window in order to be ready for pay confirm	X	

Contributing Factor(s) Comments

Users are not using Business Unit in the search criteria which causes system to search for all existing records which led to long search performance issue.

Communication about Approval window changes are sent late due to the number of approvers required. Section 33 approvals may misunderstand certain transactions (example the 2 step process acting), lack of details, resulting in reticence to approve transactions. Early and daily approvals would allow for due-diligence. The training material does not adequately document the methods to do investigations and validations.

Description of Work-Around(s) – if applicable

Perform Section 33 approvals daily, as per training documentation.

Planned Solutions or Fixes

Action	Due Date	Owner	Status
Communicate that Section 33 can be done anytime and should not be left to the last minutes.			
Training on how to do the search			
Improve approval / communication management for Section 33 schedule changes.			
RCA Conclusion Statement			
Pay continues to be calculated through the Section 33 approval window. This causes instability in the Section 33 approval window, and forces Section 33 authorizers to wait for the last minute to complete authorizations and to use rollback functionality more than intended.			
Recommendations and Lessons Learned			
<p>2.6.1 System performance could improve if:</p> <ul style="list-style-type: none"> 2.6.1.1 Users optimized Search by including Business Unit in their criteria 2.6.1.2 Users utilize the entire system availability window, thereby avoiding network traffic congestion particular to their organization or location. 2.6.1.3 System process monitors (scopes) should be utilized to determine if there are performance improvement opportunities within the application. <p>2.6.2 Communication improvements required to:</p> <ul style="list-style-type: none"> 2.6.2.1 Ensure accurate contact lists are maintained. 2.6.2.2 Optimize the approval /communication process for Section 33 Approval Window changes to reduce delays and enable communications to reach impacted user in a way that enables them to respond. 2.6.2.3 Consider use of System Messages to communicate in real time to logged in users the status / availability of functions. <p>2.6.3 Process and Tool Improvements:</p> <ul style="list-style-type: none"> 2.6.3.1 Provide ability to comment on Section 33 rejections to document why the transaction was rejected. 2.6.3.2 Improve query tools for additional scenarios (like % of change in pay) to provide refined selections for Section 33 review. <p>2.6.4 Education and Documentation Improvements:</p> <ul style="list-style-type: none"> 2.6.4.1 Section 33 education in the areas of investigating transaction details and related transaction to support approval. FAQ's are available for this topic. 2.6.4.2 Section 34 Audits and Remedial Training if necessary to ensure Section 34 Approvals are appropriate and reliable. 2.6.4.3 Consider Section 33 User Group to share best practices and techniques. 			

Root Cause Analysis Candidate	
Issue Name	3.1 Leave without Pay ≤ 5 Days
Start Date	30-08-2017
End Date	03-10-2017
RCA Team Description	IDAT Group
Root Cause Summary	
<p>My GCHR clients: LWOP ≤5 is not processed in real time. There is a delay of when LWOP ≤5 gets deducted from an employee's pay as Phoenix must wait until the month end Absence Management finalize process to be run in My GCHR.</p> <p>Phoenix Self-Service (GC HRMS / Direct Entry clients): LWOP ≤ 5 days is deducted from pay via Employee Self-Service but the LWOP leave transaction is not being input in the HR system to re-calculate leave entitlements.</p> <p>All Phoenix client types: Most LWOP ≤5 transactions are submitted late and overpayment holds are being applied (when it exceeds 10% of gross pay) instead of being deducted from first available funds.</p>	
Definition of the Problem	
<p>My GCHR LWOP ≤ 5 days are processed as late as 2 months after the employee took the time off. Future dated LWOP ≤ 5 days does not get deducted from pay and gets deducted twice in late acting situations. In GC HRMS, the HR system cannot correctly calculate the absence 10 day rule, resulting in the employee receiving extra leave entitlements.</p> <p>For all Phoenix client types, LWOP ≤ 5 days is not being deducted from pay and is being placed on an overpayment hold if it is entered late and has a value over 10% of the employee's gross pay.</p>	
Understanding of the Business Impact	
<ul style="list-style-type: none"> • Potential of individuals to not have their LWOP deducted in a timely fashion. • In the case of terminations, the finalization of the account must include the reconciliation of all entitlement and recoveries, such as LWOP. After the termination of an employee, there is a possibility of an inaccurate of Record of Employment (ROE) being issued. • If the recovery is larger than 10% of their gross pay, it would then trigger the overpayment hold process. • For GCHRMS organizations, the employee may receive extra leave credits if the LWOP was input into Phoenix but not input in the HR system. • If an individual's employment ends in a My GCHR organization with outstanding LWOP transactions (monthly procedure is not run in Phoenix), the need for a final adjustment to their pay and Record of Employment may be missed. 	
General RCA Analysis	
<p>An employee on leave without pay for 5 days or less will be entered manually either in the HR system and sent by integration (My GCHR and Web Services organizations) or directly in Phoenix (GC HRMS) via Employee Self-Service. If the employee does not work 10 days in a month (75 hours), then they are not entitled to their monthly leave credits.</p> <p>In My GCHR, employees enter transactions of LWOP ≤5 days, which is then sent to the Section 34 manager for approval. Upon approval the transaction is sent to Phoenix via integration, however due to delivered PeopleSoft functionality, Phoenix requires the transaction to be in a finalized state (month end processes have run) prior to processing the transaction. Part of this processing is to have the Section 34 manager within Phoenix reapprove the transaction. This end-to-end process takes weeks to complete, creating overpayments, recoveries and issues with transfers and terminations.</p> <p>Phoenix is capable of receiving LWOP requests more frequently. Phoenix and My GCHR are looking into solutions under GCHR CR1118.</p> <p>Several options have been discussed:</p>	

- Change the My GCHR process to run more often than monthly (daily is the current suggestion). Bi-weekly would also be an acceptable suggestion.
- Input LWOP ≤ 5 days transactions both in Phoenix and My GCHR (double data entry input, same as GC HRMS).
- Customize Phoenix to process the original approved transaction, instead of waiting for the finalize process.

My GCHR is designed (customized) so that if there is a change in job data that pre-dates leave entered in the system, these leave transactions will need to be re-approved by the “new” manager. Upon approval, these will get re-sent to Phoenix (reversal of LWOP and re-submitted LWOP).

Currently, the reversal of the LWOP is not properly working in Phoenix so the LWOP ends up being deducted twice. There is a query written to identify these accounts as a workaround.

GCHRMS (v8.9) employees enter LWOP directly in Phoenix using Self Service and they will see the proper deduction of pay when entered in the current pay period. A Compensation Advisor should then enter the related leave transaction manually into GC HRMS.

Web Services organizations send their LWOP data weekly and does not have this issue.

Future dated LWOP can be entered in My GCHR and will be sent to Phoenix in the month in which the LWOP takes place through the monthly batch process. There are situations where Phoenix receives the data but does not process it for the month it’s applicable for.

GC HRMS (v8.9) organizations cannot enter future-dated LWOP directly in Phoenix.

My GCHR: LWOP ≤ 5 days transactions are not being sent over to Phoenix when an employee is on an assignment.

LWOP ≤ 5 days cannot be processed on terminated accounts as no payroll is created for terminated accounts, these have to be input manually into Phoenix by a Compensation Advisor.

Phoenix processes LWOP ≤ 5 days as an overpayment. If the LWOP is entered late and has a value greater than 10% of employee gross, the amount will be automatically put on hold and will require Compensation Advisor intervention to remove the hold and process recovery (see RCA #123-42 Overpayments). These amounts should be deducted from first available funds.

Five Whys: Root Cause (the 5 Why's)

A: Timeliness of LWOP ≤ 5 days (MyGCHR)

Why #1 (Why did this problem occur?)	Why are LWOP ≤ 5 days transactions sent from My GCHR not consumed by Phoenix in real time?
	They are not converted to time reporting codes in Phoenix until monthly finalization batch cycle runs in My GCHR.
Why #2 (Why did #1 happen?)	Why does My GCHR only process this on a monthly cycle?
	Phoenix must wait until the month end Absence Management finalize process has been run in My GCHR.
Why #3 (Why did #2 happen?)	Why are we waiting for the month end finalize process to run in order to deduct LWOP ≤ 5 days off the employee’s pay?
	It was delivered PeopleSoft functionality and Phoenix requires the month end event to match the absence event.
Why #4 (Why did #3 happen?)	Why are we using delivered PeopleSoft functionality with no customization?
	Customization to PeopleSoft required additional costs and development time.
Why #5 (Why did #4 happen?)	

Five Whys: Root Cause (the 5 Why's) B: Timeliness of LWOP ≤ 5 days (GCHRMS)		
Why #1 (Why did this problem occur?)	Why are LWOP ≤ 5 days entries not made in GC HRMS?	
	Employees input LWOP directly into Phoenix and may not be aware of the process to send that request on a PAR to the Pay Centre for manual inputs into the HR system by a Compensation Advisor.	
Why #2 (Why did #1 happen?)	Why are employees not sending a PAR to the Pay Centre for Compensation Advisors to input the LWOP into the HR system	
	The business process to submit a leave transaction to reflect LWOP in Phoenix via a PAR to the Pay Centre is new and not understood by employees.	
Why #3 (Why did #2 happen?)	Why are the LWOP entries not being entered into the HR system by Compensation Advisors?	
	Since the LWOP has already been deducted from Pay, the work to input the entry into the HR system is an administrative function and is not considered high priority by Compensation Advisors to input.	
Why #4 (Why did #3 happen?)		
Why #5 (Why did #4 happen?)		
Five Whys: Root Cause (the 5 Why's) C: LWOP ≤ 5 Days Recovery Being Put on Hold		
Why #1 (Why did this problem occur?)	Why are LWOP ≤ 5 days transactions not being deducted from pay?	
	Phoenix processes LWOP ≤ 5 days as an overpayment.	
Why #2 (Why did #1 happen?)	Why is this overpayment not being deducted from pay?	
	There is currently an indefinite hold being applied to all overpayments greater than 10% of the gross pay.	
Why #3 (Why did #2 happen?)	Why are all overpayments being placed on an indefinite hold?	
	To help stabilize and avoid negative impacts on employee's pay. This allows an employee to claim hardship.	
Why #4 (Why did #3 happen?)		
Why #5 (Why did #4 happen?)		
Root Cause and Contributing Factors		
Item or Question	Root Cause?	Contributing Factor?
My GCHR: LWOP ≤ 5 days must be processed through month end Absence Management process before it can be sent to Phoenix.	X	
GC HRMS: Leave entitlements are not being updated by Compensation Advisors		X

Overpayment holds being applied to LWOP ≤ 5 days	X	
LWOP not being deducted on terminated accounts		X
LWOP being deducted twice (on substantive and acting)		X
Future dated LWOP not being deducted.		X
LWOP are not being deducted for employees on assignment.		X

Contributing Factor(s) Comments

When LWOP is input directly into Phoenix, there may be a business process and/or knowledge gap for the LWOP leave credit to be updated in the HR system manually.

LWOP ≤ 5 days is processed as a general overpayment. Currently there is a business requirement to put all overpayments (including LWOP ≤ 5) on an overpayment hold. LWOP ≤ 5 days ideally should be deducted from first available funds.

LWOP ≤ 5 days cannot be processed on terminated accounts as no payline is created for terminated accounts, these have to be input manually into Phoenix by a Compensation Advisor.

There is a known bug where LWOP ≤ 5 days ends up being deducted twice if it was input during a period where the acting record comes in late.

There are business process gaps on how to handle LWOP ≤ 5 days for terminated accounts.

When employees are on an assignment, an Employment Record is not created in Phoenix and no LWOP ≤ 5 days gets deducted from pay.

Description of Work-Around(s) – if applicable

There is a query written to identify these accounts where LWOP ≤ 5 days ends up being deducted twice (substantive and acting records).

Planned Solutions or Fixes

Action	Due Date	Owner	Status
CR #1118 – Daily Transmission of LWOP ≤ 5 (linked to CR #2730)		My GCHR	
CR # 2730 – Daily Transmission of LWOP ≤ 5		Phoenix	Proof of Concept

RCA Conclusion Statement

My GCHR clients: LWOP ≤ 5 days is not processed in real time. There is a delay of when LWOP ≤ 5 days gets deducted from an employee’s pay as Phoenix must wait until the month end Absence Management finalize process to be run in My GCHR.

Phoenix Self-Service (GC HRMS / Direct Entry clients): LWOP ≤ 5 days is deducted from pay via Employee Self-Service but the LWOP leave transaction is not being input in the HR system to re-calculate leave entitlements.

All Phoenix client types: Most LWOP ≤ 5 days transactions are submitted late and overpayment holds are being applied (when it exceeds 10% of gross pay) instead of being deducted from first available funds.

Recommendations and Lessons Learned

- 3.1.1 Investigate the possibility of Phoenix sending LWOP ≤ 5 days transactions back to GC HRMS organizations for accurate calculation of Leave Adjustment (e.g. report, leave administrator role).
- 3.1.2 In the short term, develop procedures and training to tell the CA to check for outstanding LWOP ≤ 5 days transactions within My GCHR prior to termination of an employee.

3.1.3 Investigate methods to send LWOP \leq 5 days transactions from MyGCHR more frequently.

3.1.4 Investigate potential to exclude LWOP \leq 5 days transactions from overpayment hold processing.

Root Cause Analysis Candidate	
Issue Name	3.2 Leave Without Pay Greater Than 5 Days
Start Date	30-08-2017
End Date	10-10-2017
RCA Team Description	IDAT Group
Root Cause Summary	
Due to overall backlog of transactions, the Pay Center is not able to process LWOP transactions for more than 5 consecutive days in a timely manner.	
Definition of the Problem	
Employees on leave without pay (LWOP) greater than 5 days serviced by the Pay Centre are not being processed in a timely fashion. As a result they are being overpaid, do not receive their Record of Employment within legislated timelines, leading to possible impacts on employment insurance (EI) benefits and pension benefits.	
Understanding of the Business Impact	
Employees will have an overpayment plus inaccurate or no Record of Employment (ROE) thus impacting Employment Insurance (EI) benefits. If the overpayment carries to the next tax year, the employee will be greater impacted as the recovery will be for the gross amount, as per CRA rules.	
General RCA Analysis	
<p>This issue appears to only affect Pay Center organizations.</p> <p>The manager manually fills out a form that is sent to the organizational Trusted Source. A Pay Action Request (PAR) is sent to the Pay Center to enter the LOA (Leave of Absence) job row in the organizational HR system which integrates to Phoenix. When the transaction is successfully received in Phoenix, the employee's pay is stopped. The overpayment is generated and a case is created to start recovery. The ROE becomes available.</p> <p>Leave without Pay greater than 5 days are not acted on in a timely fashion due to established priorities and backlog.</p> <p>Certain LWOP transactions are complex and require Compensation Advisors (CA) intervention (e.g., Maternity, parental and education), however some do not (e.g. Illness).</p> <p>There is a pilot project to allow HR to enter certain LWOP transactions into the HR system which will stop and start the pay (LOA and RFL). A PAR is still sent to the Pay Center to complete the process.</p> <p>Pension has identified that employees are submitting consecutive LWOP ≤5 days requests instead of processing a termination/rehire when reaching 6 months of employment. Section 34 managers should not approve these requests.</p> <p>In addition, both My GCHR and Phoenix have validation edit to prevent employees from submitting consecutive LWOP ≤ 5 days requests adding up to more than 6 full consecutive LWOP days.</p>	
Five Whys: Root Cause (the 5 Why's)	
Why #1 (Why did this problem occur?)	Why are there delays in entry of LWOP greater than 5 days?
	The Pay Center has a large backlog of transactions delaying the entry of LWOP greater than 5 days.
Why #2 (Why did #1 happen?)	
Why #3 (Why did #2 happen?)	
Why #4 (Why did #3 happen?)	

Why #5 (Why did #4 happen?)			
Root Cause and Contributing Factors			
Item or Question	Root Cause?	Contributing Factor?	
Overall backlog of transactions at Pay Center	X		
Manual processing		X	
Contributing Factor(s) Comments			
This process is largely manual, with manager filling out forms, and PARs being sent to the Pay Center which can contribute to the delays.			
Description of Work-Around(s) – if applicable			
Organizational HR enter certain LWOP greater than 5 days transactions particularly those that do not require additional Compensation Advisors intervention.			
Planned Solutions or Fixes			
Action	Due Date	Owner	Status
Pilot project to allow HR to enter certain LWOP transactions in HR systems		OCHRO	On-going
CR1118 to align LWOP ≤ 5 days that have been sent to Phoenix but are no longer valid in HR.		PSPC	
RCA Conclusion Statement			
Due to overall backlog of transactions, the Pay Center is not able to process LWOP transactions for more than 5 consecutive days in a timely manner, resulting in overpayment and delays for certain benefits such as Employment Insurance (EI).			
Recommendations and Lessons Learned			
3.2.1 Investigate the opportunity of allowing HR in organizations to enter certain LWOP greater than 5 days transactions to lower Pay Center’s workload.			

Root Cause Analysis Candidate	
Issue Name	3.3 Transfer In/Out
Start Date	29-08-2017
End Date	06-10-2017
RCA Team Description	IDAT Group
Root Cause Summary	
The coordination of the transfer in/out process is complex, not well understood by organizations	
Definition of the Problem	
<p>What was a previously lengthy process now requires coordination of multiple resources to complete. Due to the integration and dependency of multiple systems (HR, Pay, Pension) the transfer process is now taking longer to complete than under RPS and has greater impact.</p>	
Understanding of the Business Impact	
<p>Transfers not being completed prevents employees from being paid accurately (double pay / no pay). For example, if the employee gets an acting or promotion within the new organization it cannot take effect until the transfer is completed.</p> <p>If transfers are delayed, then employees and managers accounts are not in the new organizations systems (Pay/HR) to process their own or their employees' transactions. Employees will not have access to their accurate leave balances.</p> <p>Delay in transfer process has an impact on operational requirements, incomplete workforce analytics, HR planning and other areas.</p> <p>Potential tax implications when transferring to a new organization (tax location), if the employee's tax location changes.</p> <p>Current longer delays in transfer impacts the Financial community, especially if the delay of the transfer overlaps fiscal year.</p> <p>Managers are having recruitment issues. Employees are refusing deployments because of fear of impact with their pay (although in a lateral movement, employee still gets paid).</p>	
General RCA Analysis	
<p>Transfers are not considered a priority and require coordination between different roles within organizations. The data entry process and coordination of a transfer is dependent on the organizational relationships with Phoenix (Integrated, Web or Direct entry) and the Pay Centre.</p> <p>Many employees' accounts are multiple transfers behind which aggravates the delay and increases the workload.</p> <p>Delays in the transfer process, may cause more residual work to be completed to bring the account up-to-date.</p> <p>Business Process for Transfer In/Out (Pay Centre organizations)</p> <p>The transfer out organization will receive the letter of offer from the new organization. The transfer out organization serviced by the Pay Centre will send a Pay Action Request form and the Letter of Offer to the Pay Centre.</p> <p>Once the Compensation Advisor confirms that there is no residual work left on the account, the CA will action the Transfer Out for the employee. The Compensation Advisor will then contact Human Resources of the Transfer In organization, who will add a hire job row in the organizational Human Resources system which will integrate to the Phoenix pay system.</p>	

The transfer in and out rows must have the same effective dates and the transfer company field must have the correct value.

The Transfer company field is now a mandatory field. However, Phoenix does not have an edit that warns that an employee has a current active substantive record with another organization. This may create a double pay if a transfer transaction is sent by HR through integration incorrectly (e.g., the transfer company code entered is the organisation’s own code). A new record will be created in Phoenix creating a double pay (i.e., dual remuneration). This issue can occur as well if the organization is not aware the employee is transferring from another organization (entering as new hire).

There are 2 different streams depending where the employee is transferring to :

If the transfer in and transfer out are within organizations that are serviced by the Pay Centre, it is more straight forward as all tasks can be handled by the same Pay Centre Compensation Advisor. Pay Centre is to complete steps in a chronological order.

If the Transfer In organization is not among organizations that Pay Center services, then all the residual work must be completed before processing the Hire/Rehire (Transfer In) (i.e., all pay actions yet to be processed such as an late acting, promotion, overtime etc.) with the Transfer Out. When residual work is not addressed prior to completing the Hire/Rehire (TIN) then additional coordination is required to transfer amounts between organizations.

There is no procedure to support late residual work that comes after the transfer was completed. For example if the residual work (such as an acting) was not completed in the HR system, and employee has already been transferred into the new organization then there are issues with HR entering an acting with a terminated status.

Some organizations have implemented unsupported workarounds to provide employees’ access to the HR system, while waiting for the transfer process to be completed.

The business process to handle transfers during Revisions is that the new organization will take responsibility to pay the revision for the period that the employee was in the previous organization, provided both organizations are in the core public service. When one organization is not core public service, an interdepartmental settlement (IS) is created by the new organization to transfer funds back to the previous organization.

Section 33 approval for revision payments in the previous organization is difficult for Finance in the new organization to approve as they are unable to reconcile the period of time that the employee worked in the previous organization. It tends to create more work in processing revisions for Finance.

Currently, with the mass retro revision rows, the business unit is not accurate, organizations do not always have access to the account, employee may be in the wrong class/level, and impact the employee’s pay.

The automation sequencing in Phoenix for transfers does not consider additional rows with the same effective date, other than the transfer in row.

The Transfer process needs review and clarification.

Five Whys: Root Cause (the 5 Why's)	
Why #1 (Why did this problem occur?)	Why is TIN/TOU process a problem?
	What was a previously lengthy process now requires coordination of multiple resources to complete.
Why #2 (Why did #1 happen?)	Why is the TIN/TOU process lengthy?
	All residual work must be completed prior to the transfer out to action the transfer in.

	This process requires a lot of coordination with other resources. This process was selected to avoid overpayment or no payment for the employees. The complexity of the process and the residual work are contributing to the delay of the transfer process.		
Why #3 (Why did #2 happen?)	Why is coordinating the transfer process so complex?		
	Organizational practices do not prioritize the TIN/TOU process. Organizations do not prioritize submitting documentation to staffing. Contact lists are not properly maintained by the organization. There are multiple business processes for staffing (generic emails, dedicated teams, trusted source) Organization/management do not understand the impact of delay of paperwork, preparation of letter of offers, actings, or approving leave. Employees are not notifying the current organization that they are in fact transferring to a new organization.		
Why #4 (Why did #3 happen?)			
Why #5 (Why did #4 happen?)			
Root Cause and Contributing Factors			
Item or Question	Root Cause?	Contributing Factor?	
The coordination of the transfer in/out process is complex, not well understood by organizations.	X		
Overall backlog in HR and pay transactions.		X	
Transfers are not considered a priority, as the employee's pay continues.		X	
Contributing Factor(s) Comments			
<ul style="list-style-type: none"> • Delays in the transfer process which may cause complexity and confusion. • Process that is not followed in optimal fashion. • Managers may not be aware of the transfer in/out process. • Existing process documentation and contact lists are not being utilized to support this process. 			
Description of Work-Around(s) – if applicable			
Some organizations have implemented unsupported workarounds to provide employees' access to the HR system, while waiting for the transfer process to be completed.			
Planned Solutions or Fixes			
Action	Due Date	Owner	Status
New process and Training Materials	Unknown	PPTSD	In testing
IR 03770592 Sequencing on Transfers	Unknown	Phoenix	In testing
RCA Conclusion Statement			
The coordination of the transfer in/out process is complex, not well understood by organizations.			

Organizational practices do not prioritize the TIN/TOU process, and particularly do not prioritize completion of residual work. Contact lists are not properly maintained by the organization. Employees not notifying the current organization that they are in fact transferring to a new organization.

Recommendations and Lessons Learned

- 3.3.1 Compensation Advisors should process pay based on employee account and not transaction type.
- 3.3.2 Investigate permitting organizations to allow transfer in transactions prior to the transfer out without any impact on employee's account.
- 3.3.3 Organizations need a search/view access to determine if the employee is active in Phoenix.
- 3.3.4 Finalize the new transfer process (roles and responsibilities) and training material to ensure the process is well understood by organizations, includes improved capture of information about the employee (e.g., if they are active at another organization, their employee status, contact at other organizations) and considers potential for organizations to process transfer in transactions prior to the transfer out.
- 3.3.5 Maintain contact list for transfer process.

Root Cause Analysis Candidate	
Issue Name	3.4 Complicated Termination Process due to Pending Y
Start Date	21-08-2017
End Date	13-10-2017
RCA Team Description	IDAT Group
Root Cause Summary	
<p>The late processing of Termination is complex and requires manual processing by Compensation Advisors (CA) and therefore contributes to processing delays. Overall backlog of pay transactions causes delays of processing of final Termination.</p>	
Definition of the Problem	
<p>Pending Y process is complicated, requires manual intervention and contributes to processing delays by Compensation Advisors (CA). Phoenix also unnecessarily creates new substantive record when HR extends term before the Pending Y is processed. This increases complexity and confusion that may lead to data entry errors impacting employees pay when the term is further extended or when the Pending Y is processed. When CAs use correction mode to process Pending Y (changing Action/Reason and Effective Date), it may cause misalignment in Job Stack table and related issues.</p>	
Understanding of the Business Impact	
<p>Processing delays of Pending Y row by CA results in delays of Termination finalization and Record of Employment (ROE) generation. These delays financially impact the affected employees and the employer (no final payment or overpayment). The extensive manual processing created by the Pending Y process adds to compensation workload.</p>	
General RCA Analysis	
<ul style="list-style-type: none"> • Pending Y is used to suspend pay for termination such as end of term, resignation, retirement, etc. For integrated organizations Phoenix transforms the HR systems' Termination row to a Pending Y row and changes the effective date to the start of last pay period that the Termination date falls in. In case of late entry, the Pending Y will be set to the start of current pay period. CAs of Direct Entry organizations enter the Pending Y directly in Phoenix. • The purpose of Pending Y is to give the CAs the time to process final pay actions. It holds the employee's last pay to recover for overpayment, transition payment or other debts to the Crown. • Phoenix continues to create paysheets for the employee for each pay period when Termination is not processed. The paysheets continue accumulate premiums and deductions. When Termination is finally processed, Phoenix incorrectly assumes that it has to pay these, which causes overpayment. CAs have work around procedure for late processing of Termination to avoid overpayment. • The following are scenarios that could happen to Pending Y: <ul style="list-style-type: none"> ○ Employee departs as planned and CAs will finalize the Termination according to their priority and workload. As per Phoenix instructions in UPK, CAs are supposed to delete Pending Y row and immediately insert a new Termination row with the real termination date. ○ There are situations where determinate (term) employees will have extensions on their employment and this will require HR to make some modifications on the account. HR will delete the original termination row that was sent to Phoenix and this will delete the Pending Y in Phoenix. HR will then submit a Data extension row, save and this will be posted in Phoenix, HR will then send a revised termination row and this will post a new Pending Y in Phoenix. There are times when the extension may still fall within the same current pay period as the Pending Y date, 	

and therefore causes the data extension row to sit in front of the Pending Y, this may cause overpayment. (CR# 4321)

- For cases where an employee may change their retirement or resignation date, HR will still need to delete the original termination, this will delete the Pending Y in Phoenix, and then HR will send a revised termination row which will post to Phoenix, this will create a future dated Pending Y row. There was a request to wait overnight (24hours), when HR was deleting the Pending Y, and inserting a new future dated Pending Y.
- CAs in Direct Entry organizations manually enter and finalize Termination directly in Phoenix following the same procedures as the automated process.
- When HR rehires a determinate employment and the Termination has not yet been processed in Phoenix, it creates another substantive employment record. Similarly, this happens when HR proactively rehires students with a future rehire date and the initial Termination has not been processed.
- Currently not all HR coordinators (staffing) can view Job Data in Phoenix, therefore they do not know if Termination has not yet been processed when rehiring employees.
- When term employees have acting ending on the same date as the ending of the term, Phoenix copies the Pending Y to the Acting record but this row is not being inserted into the Job Stack table. This causes no pay when the Term is extended and the Pending Y on Acting record is not updated due to Job Stack misalignment. However this issue has been resolved in April 2017 with IR# 03720774.
- Pending Y is a Government of Canada customization to replicate the feature that was in the legacy Regional Pay System (RPS). However it is no longer necessary because CAs can process final pay actions in Phoenix using E23 process when the employee's record is terminated.
- There is a pilot project at Pay Center to manually remove Pending Y for students and insert future dated Termination row in Phoenix so that termination mirrors the same Termination date in HR system.

Five Whys: Root Cause (the 5 Why's)

A. Jobstack Misalignment

Why #1 (Why did this problem occur?)	Why can Pending Y cause Job Stack misalignment?
	Any changes to Pending Y's Effective Date and/or Effective Sequence using correction mode may cause Job Stack misalignment.
Why #2 (Why did #1 happen?)	Why can changing these fields using correction mode cause misalignment?
	Changing these fields impede the system from updating the corresponding row in Job Stack table and therefore causing misalignment.
Why #3 (Why did #2 happen?)	Why can't the system update the corresponding row in Job Stack table in this situation?
	Effective Date and Effective Sequence are among the primary keys linking Job data with associated tables including Job Stack table. Changing these fields breaks the link and therefore the system would not know which row to update in the Job Stack table.
Why #4 (Why did #3 happen?)	
Why #5 (Why did #4 happen?)	

Five Whys: Root Cause (the 5 Why's)	
B. Employee Overpayment	
Why #1 (Why did this problem occur?)	Why can Pending Y cause over payment?
	There are times when the extension of determinate employment may still fall within the same current pay period as the Pending Y date, and therefore causes the Data Extension to sit in front of the Pending Y row which may cause overpayment.
Why #2 (Why did #1 happen?)	
Why #3 (Why did #2 happen?)	
Why #4 (Why did #3 happen?)	
Why #5 (Why did #4 happen?)	

Five Whys: Root Cause (the 5 Why's)	
C: Employee Underpayment	
Why #1 (Why did this problem occur?)	Why can Pending Y cause under payment?
	If Pending Y record is not processed on time, employee does not get their final pay and ROE is not generated.
Why #2 (Why did #1 happen?)	Why are Pending Y not processed on time?
	Overall backlog of pay transactions.
Why #3 (Why did #2 happen?)	
Why #4 (Why did #3 happen?)	
Why #5 (Why did #4 happen?)	

Root Cause and Contributing Factors		
Item or Question	Root Cause?	Contributing Factor?
The late processing of Termination is complex and requires manual intervention by Compensation Advisors (CA) and therefore contributes to processing delays	X	
Using correction mode incorrectly in Phoenix (i.e. updating primary keys such as Action/Reason and Effective Date) to process Termination potentially causes Job Stack table misalignment.		X
Ineffectual change management (inadequate communication and ineffective user training)		X

Phoenix does not have sufficient edit/warning/Error messages to prevent incorrect data entry especially in Correction Mode		X	
Business culture to process transactions in past versus on time		X	
Not all HR have access to view Job Data in Phoenix to check for existing records or Pending Y rows		X	
Overall backlog of pay transactions causes delays of processing of final Termination	X		
Contributing Factor(s) Comments			
<ul style="list-style-type: none"> It was anticipated that Termination process will be done in real time. CAs do not understand the importance of Job Stack, and particularly how use of correction mode can “break” the link between the HR system and Phoenix. Not following correct data entry procedure to process Pending Y will cause job stack mapping misalignment – When CAs change key fields in correction mode such as Action/Reason and Effective Date, it causes Job Stack misalignment. 			
Description of Work-Around(s) – if applicable			
CAs has work around procedure for late processing of Pending Y to avoid overpayment of premiums withheld in paysheets post termination date.			
Planned Solutions or Fixes			
Action	Due Date	Owner	Status
CR# 3752 to grant HR view access to Job records in Phoenix		PSPC	Analysis
CR# 4321 to avoid entering a record on top of Pending Y		PSPC	Analysis
IR# 03720774 - Extend acting on Pending Y			Implemented April 1, 2017
IR# 03631146 – Unexpected salaries under Pending Y (Penfax I112)		PSPC	Analysis
IR# 03753127 – E38 Future dated Pending Y and Y01 (final payment)		PSPC	Analysis
IR# 03753155 – Pending Y and Final Pay (PRTL)		PSPC	Analysis
IR# 03756449 – Y01 not generated on Pending Y		PSPC	Analysis

IR# 03755090 – E38 Pending Y staging record cleanup		PSPC	Analysis
RCA Conclusion Statement			
<p>The late processing of Termination is complex and requires manual processing by Compensation Advisors (CA) and therefore contributes to processing delays. Overall backlog of pay transactions causes delays of processing of final Termination.</p>			
Recommendations and Lessons Learned			
<p>3.4.1 Investigate the possibility of <i>not</i> transforming Termination to Pending Y in Phoenix. CAs could then manually finalize pay actions using extension E23 post Termination date.</p> <p>3.4.2 Review work procedures for terminations and hires to ensure proper emphasis on use of correction mode.</p> <p>3.4.3 Provide training on the importance of Job Stack to CAs.</p> <p>3.4.4 Investigate the opportunity to automate more transactions in Phoenix to reduce overall pay transactions backlog.</p>			

Root Cause Analysis Candidate	
Issue Name	4.1 Overpayments
Start Date	01-09-2017
End Date	13-10-2017
RCA Team Description	IDAT Group
Root Cause Summary	
<p>The number of accounts with overpayments, and the value of the overpayments has increased as compared to RPS because of timeliness of processing departmental pay-related transactions in combination with the backlog of Compensation Advisor work. Delays in processing are creating more overpayments, and capacity limitations are delaying their recovery.</p> <p>Further, Phoenix treats certain accounting adjustments in the same way as overpayments. It is difficult to separate accounting adjustments from “true” overpayments.</p> <p>There was no requirement identified to split overpayments by the type of transaction and only apply the overpayment hold to certain types (i.e. exclude the high-volume types like LWOP < 5 days and overtime reversals).</p> <p>The process for tracking overpayments on a transfer under RPS was designed for low volume low value amounts. This is making it more difficult for Finance to determine the original source of the overpayment. There is no mechanism to have the overpayment balance reduced in Phoenix when the recoveries have been made via Penfax.</p>	
Definition of the Problem	
<p>The number of accounts with overpayments and the total value of overpayment balances has significantly increased since Phoenix went live.</p> <p>Overpayments are being created for situations that did not create overpayments under RPS (e.g., accounting adjustments for late actings, leave without pay ≤ 5 days, extra duty pay reversals).</p> <p>Overpayment holds are being applied and removed in an unpredictable fashion. Sometimes overpayments are being over recovered (e.g., when terminated employees return to work or when employee pays by cheque). Therefore it is difficult to get an accurate estimates of overpayment balances.</p> <p>Organizations are having difficulty recovering employee payments when the employee has transferred to a new organization</p>	
Understanding of the Business Impact	
<p>For employees:</p> <ul style="list-style-type: none"> • Are receiving more pay than they are entitled to receive • Must make repayment arrangements • Can impact tax slips (T4/Releve 1) when overpayment recoveries are not created in the same calendar year as the extra earnings are received • Can get in a No Pay / Low Pay situation due to overpayment hold coming off unintentionally or without authorization by the employee to setup proper repayment plan. <p>For Finance/managers:</p> <ul style="list-style-type: none"> • Unable to do salary forecasting due to uncertain overpayment balances. Large administrative overpayment balances are tying up funds so they can't be spent elsewhere • When recoveries are made in a subsequent fiscal year there is an impact on budgets • When recoveries are made following a transfer between organizations there are issues tracking the recoveries <p>For the Pay Centre/CAs:</p>	

- There is a lot of extra work and resources involved in doing analysis of all the overpayments that come in during each pay period.
- There are significantly more overpayments that require manual processing in Phoenix compared to the old pay system
- Due to the large quantity of overpayments, there will be difficulties in attempting to recover all the overpayments.

Furthermore there appear to have been an impact on external stakeholders, such as Finance, pension, and pension centre. There appear to be gaps in the process that is making tracking recoveries more complicated than in the past.

General RCA Analysis

Definitions

- True Overpayment: An arrears balance created for an employee equal to payment issued that the employee is not entitled to. This overpayment is subject to hold and hardship.
- Accounting Adjustment (“Administrative Overpayment”): An arrears balance created for an employee as the first part of a salary adjustment process (reversal). This overpayment is intended to be netted out against a large payment in the next pay period, and is not subject to holds or hardship. It is very difficult to separate these accounting entries from the “true” overpayments.

Compared to RPS, there are more accounts with overpayments with higher values. More employees have overpayment balances due to backlog: more employees’ pay is not being stopped in a timely manner.

Overpayment values are higher because

- CAs have not been focusing on recoveries of overpayments, which is a manual process.
- They include amounts created by Phoenix to reverse out substantive pay in late acting situations. These are supposed to be netted out in the next pay period when the employee is paid their late acting pay, but in the meantime

Issues:

When an overpayment occurs for an employee that has transferred between organizations, the overpayment is recorded by the employee’s former department while the recoveries received are recorded in the employee’s new department. Organizations have no way of finding out which department is involved to initiate an Interdepartmental Settlement transaction to move the funds to the correct department. This issue existed prior to Phoenix however due to the increased volumes of overpayments in Phoenix, this process has become much more time consuming. PSPC has issued a report to organizations near fiscal year end identifying where transferred employees are now employed. PSPC is working on a CR that will make it easier for Finance to determine the current and former organizations for employees who transferred.

Organizations have noticed that some overpayments have been over-recovered, when the recovery was not entered correctly by the Compensation Advisor or when the employee sends a payment by cheque. When this occurs, there is no way for Finance to contact the pay centre directly to have the discrepancy confirmed or corrected.

All overpayments in Phoenix over 10% of the employee’s gross pay are supposed to be automatically placed on a permanent “hold”, meaning that manual action is required from a CA is required to initiate recovery. However, there have been cases where the hold doesn’t work and overpayment is recovered from employee without notification. This can result in no/low pay situations, which then leads to a priority payment and yet another recovery action.

Overpayments in Phoenix require manual intervention by a Compensation Advisor (CA) to begin the recovery process. The recovery process is made more difficult because the source of each overpayment is not easily available to the CA—this results in the recovery process taking longer than in the past. When the overpayment recovery is created in the following tax year after tax slips have been generated, taxes are not refunded to the employee by Phoenix. Employees are required to repay the gross amount of overpayment vs the net amount of overpayment that was received. For this reason, employees are anxious to repay overpayments before tax year end. The pay centre backlog is preventing this from happening due to delays in processing the actions that create the overpayment and secondly, the action to recover the overpayment.

Overpayments on Terminations – On retirement, the Pension Centre is notified of the overpayment. It is then recovered from the employee’s pension, the Pension Centre reports this recovery FPAD but this information is not shared with the Pay Centre, so the overpayment balance is not removed from Phoenix. Nor is there an automated method for Penfax to update the employee’s overpayment balance in Phoenix. If the employee returns to work, e.g., as a Casual after retirement, or is entitled to a revision payment, the full overpayment will be taken from first available funds despite amounts already being recovered from the pension.

Examples of sources of overpayments:

- Timesheets (LWOP < 5, OT reversal) for previous pay periods. Note that in RPS these were recovered from first available funds.
- Late Pay Actions (LOA, PLA, Termination, Change of Hours, Demotion, Acting)
- E23 (one-time payment file)
- Additional Pay (Allowances)
- Invalid Data (Retro triggers, revisions, etc. caused by a CA/HR entering data for a previous transaction incorrectly)
- Re-hires (Creates new record due to existing Pending Y on previous record)
- Transition Payment (final payment on termination for employees on strength prior to May 21, 2014)

Overpayments previously were held on a 10-day hold, now there is no time limit due to system and pay issues. Compared with RPS, many more overpayments require manual intervention from a Compensation Advisor due to the permanent hold. For example in RPS any overpayment resulting from a timesheet entry (LWOP, OT reversal) would have been recovered from first available funds.

How Overpayments are processed by the CAs:

1. Overpayments are automatically put on hold in Phoenix when they are generated.
2. They are reported on using the R19 query (query unable to differentiate from the different types of overpayments, only runs on current year by default)
3. CA contacts Employee to give options on how overpayment will be repaid
4. Employee has 20 days to respond with their recovery options (default is 10% of gross recovered per paycheque)
5. Overpayment is collected from employee.
6. If no response, recovery is made from first available funds

When overpayments are created for a prior tax year (i.e. 2016 overpayment created in 2017) there is currently no process for reversing these overpayments and the associated T4 adjustments. PSPC is currently working on a fix for this issue, and it is expected to be ready in late 2017.

Five Whys: Root Cause (the 5 Why's)

A. Volume of Overpayments – increase in \$ value

Why #1 (Why did this problem occur?)	Why are there many more overpayments than with RPS?
	a) Phoenix creates overpayments when we the employee has been paid and should not have received the payment as well as when dealing with retroactive corrections, e.g., late acting, to an employee’s record. b) Overpayment holds (when amount is greater than 10%) are now automated by Phoenix for all overpayment scenarios except for As and When Required and terminated employees.
Why #2a (Why did #1a happen?)	Why does Phoenix create overpayments for late acting transactions?
	This is how Phoenix is designed. Phoenix is based on accounting principles and therefore reverses payments issued, identifies them as overpayments (accounts receivable), then reissues correct payment and nets out against the overpayment.
Why #2 (Why did #1b happen?)	Why are holds applied for all overpayment scenarios?
	Because Phoenix cannot differentiate between different overpayment types.
Why #3 (Why did #2b happen?)	Why can’t we differentiate between different overpayment types?
	There is an overpayment generated when there is a negative gross amount. Phoenix does not consider the source of the overpayment.
Why #4 (Why did #3 happen?)	
Why #5 (Why did #4 happen?)	
Five Whys: Root Cause (the 5 Why's)	
B. Volume of Overpayments – increase in accounts	
Why #1 (Why did this problem occur?)	Why are there many more accounts with overpayments as compared to with RPS?
	Transactions to stop pay (e.g., Pending Y, maternity, etc.) are not being processed on time.
Why #2 (Why did #1 happen?)	Why are these transactions not being processed on time?
	Due to delays in departmental processing of pay-related transactions coupled with the backlog.
Why #3 (Why did #2 happen?)	
Why #4 (Why did #3 happen?)	
Why #5 (Why did #4 happen?)	

Five Whys: Root Cause (the 5 Why's) C. Removal of Holds	
Why #1 (Why did this problem occur?)	Why is the hold removed unexpectedly?
	The hold is removed when in a different record number, an employee changes their Pay Group
Why #2 (Why did #1 happen?)	Why would a hold be removed when an employee changes their pay group?
	The hold is applied against the Employee in the pay group. If the pay group changes a new hold needs to be manually applied.
Why #3 (Why did #2 happen?)	Why can the hold not be automatically applied when an acting has commenced?
	It will conflict with the late acting process (E117)
Why #4 (Why did #3 happen?)	
Why #5 (Why did #4 happen?)	
Five Whys: Root Cause (the 5 Why's) D. Over-Recovery of Overpayments	
Why #1 (Why did this problem occur?)	Why are overpayments being over-recovered?
	<ul style="list-style-type: none"> a) Because the employee has paid by cheque and it is not processed correctly; or b) Because the employee's overpayment recoveries to pension have not been reported back to Phoenix.
Why #2a (Why did #1a happen?)	Why is a manual cheque payment not being processed correctly?
	Because UPK instructions for processing cash payments were incorrect. This has been corrected
Why #2b (Why did #1b happen?)	(see 5 whys for terminated employees)
Why #4 (Why did #3 happen?)	
Why #5 (Why did #4 happen?)	
Five Whys: Root Cause (the 5 Why's) E. Overpayment Recoveries – Transferred Employees	
Why #1 (Why did this problem occur?)	Why has it become more difficult to track overpayment recoveries between organizations on a transfer?
	The old process was designed for low volume and low value.
Why #2 (Why did #1 happen?)	Why wasn't a new process to track recoveries for transferred employees put in place?

	Issue in timeliness of departmental processing of pay-related transactions and the pay centre backlog were not anticipated. Therefore the increase in overpayments was not anticipated, so the need for a more robust process was not put in place.	
Why #3 (Why did #2 happen?)		
Why #4 (Why did #3 happen?)		
Why #5 (Why did #4 happen?)		
Five Whys: Root Cause (the 5 Why's)		
F. Overpayment Recoveries – Terminated Employees who Return to work		
Why #1 (Why did this problem occur?)	Why do employees have an overpayment collected twice when they return to work following resignation/retirement?	
	The collect occurs because the full overpayment amount transferred to pension is still in Balance Arrears.	
Why #2 (Why did #1 happen?)	Why is the amount still in Balance Arrears after it has been collected by Pension?	
	It is still in Balance Arrears because there is no mechanism to reduce or remove the overpayment from Phoenix if it is collected via Penfax.	
Why #3 (Why did #2 happen?)	Why is there not a mechanism in place to have the amount reduced or removed in Phoenix?	
	This was a missed business requirement for the implementation of Phoenix. Note this process was not present under RPS.	
Why #4 (Why did #3 happen?)		
Why #5 (Why did #4 happen?)		
Root Cause and Contributing Factors		
Item or Question	Root Cause?	Contributing Factor?
Backlog of work/	X	
Delays in departmental processing of pay-related transactions	X	
Overpayment types (only one code, does not consider whether the overpayment is true or an accounting adjustment)	X	
Overpayment detail (unable to determine details of overpayment for reconciliation)		X
Incorrect UPK Instructions		X

Overpayment holds removing unexpectedly	X		
No control on how to apply overpayment recoveries (currently applies to all payments)		X	
Missed business requirement for the notification of the recovery of overpayments for terminated employees who return to work following a resignation/retirement	X		
Missed business requirement to improve process to recover overpayments for transferred employees.		X	
Contributing Factor(s) Comments			
<p>The decision to place all overpayments over 10% of gross pay on hold, while avoiding impacts to employee's pay, has resulted in a large increase in overpayments that require intervention from a Compensation Advisor when compared with RPS. Under the old pay system, some of the most high volume recoveries were automatically recovered from first available funds with no intervention required. Because overpayments are generated based on a negative gross cheque, at this point Phoenix cannot apply holds to specific overpayment types (e.g., LWOP ≤ 5 days, reversals of extra duty pay) Finally, when employees repaid their overpayment by cheque, UPK gave incorrect instructions that led to the recovery not being recorded correctly. This has been corrected.</p>			
Description of Work-Around(s) – if applicable			
Planned Solutions or Fixes			
Action	Due Date	Owner	Status
Allow reversal of prior year overpayments created in error	Fall 2017	Phoenix Finance team (Jane Findlay)	Testing
Phoenix report to assist organizations and agencies in accounting for recoveries of overpayments. CR4739		PSPC	Classification
Reports to identify accounts with tax slip errors due to overpayment issues. CR 4294		PSPC	Analysis
Reintroduction of email employee's notification of overpayments. CR 2315		PSPC	Classification
RCA Conclusion Statement			
<p>The number of accounts with overpayments, and the value of the overpayments has increased as compared to RPS because of timeliness in processing of departmental pay-related transactions in</p>			

combination with the backlog of Compensation Advisor work. Delays in processing are creating more overpayments, and capacity limitations are delaying their recovery.

There was no requirement identified to split overpayments by the type of transaction and only apply the overpayment hold to certain types (i.e. exclude the high-volume types like LWOP < 5 days and overtime reversals).

Furthermore, the old process for tracking overpayments on a transfer was designed for low volume low value amounts. This is making it more difficult for Finance to determine the original source of the overpayment.

There is no mechanism to have the overpayment balance reduced in Phoenix when the recoveries have been made via Penfax.

Recommendations and Lessons Learned

- 4.1.1 Review the types of actions that can be entered by HR (i.e. LWOP greater than 5 days, Termination/Pending Y, etc.) this would get transactions in Phoenix more quickly and result in fewer cases of overpayments.
- 4.1.2 Modify Phoenix hold logic so that overpayment holds are applied based on certain entitlement codes. For example, no hold should be applied to overtime reversals and LWOP ≤ 5 days.
- 4.1.3 Determine a method to distinguish overpayments created for accounting reasons (e.g., late actings) from “true” overpayments (e.g., late termination) and remove accounting adjustments from reports to organizations.
- 4.1.4 Review the processes for collecting overpayments and updating repayment amounts in the financial, pay and pension systems to ensure that there are no process gaps remaining.
- 4.1.5 Update process for tracking transferred employees with overpayments so that Finance can more easily determine location of transferred out employees and the source organization for transferred in organizations.

Root Cause Analysis Candidate	
Issue Name	5.1 Assignment / Secondment Records not recorded in Phoenix
Start Date	28-08-2017
End Date	05-10-2017
RCA Team Description	IDAT Group
Root Cause Summary	
<p>The decision to have Phoenix not consume Assignment / Secondment Records and process the exception transactions manually with few on-line error or input controls has created greater workloads than anticipated.</p>	
Definition of the Problem	
<p>Employees on secondments and assignment are not paying the proper deductions or receiving the correct allowances.</p> <p>Employees on secondment and assignment are also encountering issues with their schedules.</p> <p>Seconded Section 34 managers, are not able to approve time for staff in accordance with their delegation.</p>	
Understanding of the Business Impact	
<ul style="list-style-type: none"> • Employees on assignment / secondment may not be: <ul style="list-style-type: none"> ○ Paying the proper deductions (e.g. Union dues, income tax) ○ Receiving the proper allowances (e.g. bilingual bonus). • Organizations have a potential liability for union dues should dues deductions not reflect the actual work (bargaining unit) that the employee is undertaking. • As a manual process, CAs need to process the deductions and allowances as exceptions, creating extra work for the department and CA / Pay Center. The manual process is also needed to revert once the assignment ends. • Due to the misalignment of schedules for assignments, overtime and LWOP will not be reported / processed correctly. 	
General RCA Analysis	
<p>Background / Definitions:</p> <ul style="list-style-type: none"> • Assignment: A temporary role that is not an acting, assumed within same department (local or international) • Secondment: A temporary role assumed in another department • Home department of the employee (their substantive role) has fiscal responsibility for the secondment. • Host department for the employee: the employee's secondments role) • Group and level should be equivalent or same but the tax location, union, and bilingual bonus could change. <p>In general, employees are to pay deductions and receive allowances based on what they are doing. However for core public service, secondments are not supposed to be for a higher level position (ref TBS Secondments and Assignments)</p> <p>In the HR system, a new employee record is created for assignments and secondments. A decision was made to have Phoenix not consume Assignment / Secondment Records and process the exception transactions manually. This creates a synchronization issue in that Phoenix does not retain the record, yet there is a record in the HR PeopleSoft system.</p> <p>The CA adjusts the account in Phoenix for the appropriate tax, deductions and entitlement codes.</p> <p>In the Pay Centre and Phoenix, there are multiple levels of data validation/extraction during these steps. PARs are sent to the pay center for a change in union dues and Province. If the new Union Code is rejected</p>	

by a system edit, a CA can manually go and enter union code in General Deductions, without any edit/validation. This can lead to a data integrity issue.

For CBSA and potentially other organizations, there is an issue for acting while on secondment. If the classification group of the acting does not exist in the home department, the acting cannot be input. The record must now be handled manually and will fail integration for the duration of the acting.

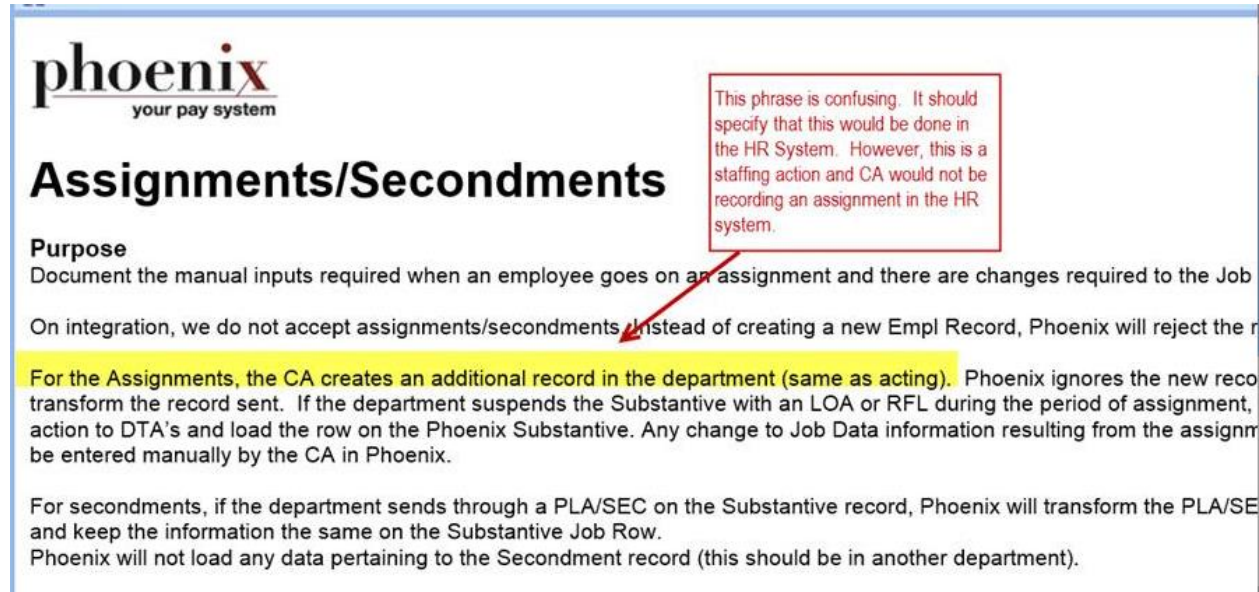
For MyGCHR organizations, schedules recorded for use during an assignment are not recorded in Phoenix resulting in time and labour synchronization issues. When a manager needs to update a schedule due to an assignment, they must enter the schedule both on the substantive (for Phoenix) and the assignment record (for leave purposes). When an employee on assignment enters a LWOP leave transaction, they can only add it on the assignment employee record, and this will never be sent to Phoenix.

Seconded Section 34 managers are not able to approve time for employees of the host organization. Refer to [RCA#2.5 Section 34 Approvals](#).

Five Whys: Root Cause (the 5 Why's)		
A: Manual Processing Deductions and Allowances		
Why #1 (Why did this problem occur?)	Why are Union dues, tax location and bilingual bonus not automatically processed by Phoenix when employees are on assignments or secondments?	
	Assignment / secondment rows are ignored by Phoenix.	
Why #2 (Why did #1 happen?)	Why are assignment / secondment rows ignored by Phoenix?	
	Assignments and Secondments are at level, and should not affect salary.	
Why #3 (Why did #2 happen?)	Why is the workaround not sufficient?	
	The volume of transactions is greater than anticipated, increasing CA manual workload in department / Pay Center. There is inconsistency in HR process transaction practices for recording the transaction and increase in data quality issues.	
Why #5 (Why did #4 happen?)		
Root Cause and Contributing Factors		
Item or Question	Root Cause?	Contributing Factor?
Employee rate of pay should not change based on assignment / secondment, while in this current situation, there is no guarantee pay rate is not changed.		X
Confusing terminology for 'assignments'.		X
We have incorrect UPK in Phoenix and HR, leading to inconsistent processing.		X
A decision was made to have Phoenix not consume Assignment / Secondment Records and process the exception transactions manually.	X	

Contributing Factor(s) Comments

The following Phoenix UPK topic is incorrect:



phoenix
your pay system

Assignments/Secondments

Purpose
Document the manual inputs required when an employee goes on an assignment and there are changes required to the Job

On integration, we do not accept assignments/secondments. Instead of creating a new Empl Record, Phoenix will reject the r

For the Assignments, the CA creates an additional record in the department (same as acting). Phoenix ignores the new reco transform the record sent. If the department suspends the Substantive with an LOA or RFL during the period of assignment, action to DTA's and load the row on the Phoenix Substantive. Any change to Job Data information resulting from the assignm be entered manually by the CA in Phoenix.

For secondments, if the department sends through a PLA/SEC on the Substantive record, Phoenix will transform the PLA/SE and keep the information the same on the Substantive Job Row.
Phoenix will not load any data pertaining to the Secondment record (this should be in another department).

Callout box text: This phrase is confusing. It should specify that this would be done in the HR System. However, this is a staffing action and CA would not be recording an assignment in the HR system.

Description of Work-Around(s) – if applicable

Using a PAR, CAs add a job row to current substantive to calculate the union Dues and location of the job to calculate the Income Tax, Supervisory allowances, bilingual allowances if applicable.

For cases where there is a secondment with acting, some organizations are doing direct entry into the Phoenix system when their HR system does not have all the classification. This must still be verified as an allowable transactions.

Schedules must be created on the assignment and substantive to reflect the assignment work schedule.

Planned Solutions or Fixes

Action	Due Date	Owner	Status
They have a working group for this issue since Feb 2017.		OCHRO	
HR to Pay Training		OCHRO	

RCA Conclusion Statement

The decision to have Phoenix not consume Assignment / Secondment Records and process the exception transactions manually, with few on-line error or input controls has created greater workloads for Compensation Advisors than anticipated.

Recommendations and Lessons Learned

- 5.1.1 Review available process, UPK and training documentation for consistency (e.g. terminology).
- 5.1.2 Update and clarify work process and instructions for the processing of Assignments and Secondments.
- 5.1.3 Confirm understanding of Policy regarding Acting on Secondment, modify communication, training and if necessary system edits to bring into compliance.

Root Cause Analysis Candidate	
Issue Name	5.2 Data Not Aligned Between the HR System and Phoenix (Job Stack)
Start Date	24-08-2017
End Date	04-10-2017
RCA Team Description	IDAT Group
Root Cause Summary	
There are multiple contributing data entry and system factors to jobstack mapping issues and there may not be a root cause.	
Definition of the Problem	
Job stack mapping is key to integration between HR systems and Phoenix. When Job stack is misaligned it can prevent job data and schedule (MyGCHR only) changes from integrating to Phoenix. This can result in issues with Leave without Pay and cash outs.	
Understanding of the Business Impact	
<p>A misaligned job stack and/or job data row may prevent Human Resources (HR) from sending transactions correctly to Phoenix (unable to send or transmit to incorrect record/row). Employees' pay may stop or they may receive incorrect pay as the result. The HR Analyst role allows organizations to manage the jobstack record. Client organizations need to dedicate considerable efforts to fix mapping problems mostly for job data and schedules. Compensation Advisors are sometimes required to correct job records (job data) on Phoenix to align the job records or job stack.</p>	
General RCA Analysis	
<p>Job stack mapping is key to integration as it provides the information necessary to be linked between GCHRMS/MyGCHR/Web Service systems and Phoenix. When this linking information is corrupted, information can no longer flow from one system to the other. While this may not have an immediate impact, as soon as pay related data is entered into the HR system, the job stack misalignment will affect employees pay.</p> <p>Given the emphasis on timeliness of pay, and knowing that many pay actions originate from HR, failure of the jobstack mapping is a key impediment to stabilization of HR-Pay.</p> <p>Communication between HR systems and Phoenix is bi-directional. From Human Resources Systems to Phoenix is using messaging (near real time). From Phoenix to Human Resources Systems is nightly via I049 file.</p> <p>Inbound to Phoenix uses messaging. The user will receive a success message once the message has been successfully received by the integration broker. Otherwise the user will receive an Error message (or a Warning). When an error or warning message is received, the user should investigate why the message failed, fix it and resend. It is a known issue that HR users are not checking messages.</p> <p>Phoenix return file (I049) sends the salary information and any rows created or updated in Phoenix. The HR systems then assesses and loads the information where applicable and produces an error report for the information not loaded.</p> <p>Impact on Pay Examples of how pay is affected are:</p> <ul style="list-style-type: none"> • When there are multiple employee records with varying payroll status values (some active some not active) the job stack ensures changes to status goes to the correct record. Failures mean either overpayment or no payment. 	

- Leave of absences transactions entered in HR and not integrating to Phoenix, resulting in overpayments.
- If a termination row is not deleted or posted because of misalignment when trying to enter an extension/remove pending Y. (IR#3812803), resulting in overpayment.
- Unable to insert job rows between pre-conversion pay revision rows. (IR#3817047 to address this), resulting in improper salary revision related to collective agreements row from Phoenix.

Jobstack Misaligned

The following scenarios are known to cause misalignment in the jobstack mapping:

- Trying to delete a “Phoenix owned” row from an HR system or deleting an “HR owned”
- Making changes to an additional row could be processed as a new “add job” and therefore create another record in Phoenix meaning 1 record in HR would point to two records in Phoenix.
- When an acting ends on the same day as the substantive (term or retirement), the Pending Y is copied on both records job data but not in job stack so it will not be possible to delete the Pending Y by integration or create the final Termination row.
- Using correction mode to change key fields on existing rows
- Manually updating/modifying the information incorrectly in the job stack table
- MyGCHR users incorrectly using Resend XML button can create job alignment issues by creating new records in Phoenix. (The only time Resend XML button should be used is when Job Data is rejected as a result of Personal Data not being sent first i.e., employee is hired, job date is sent but rejected, because personal data was not sent to Phoenix. After fixing and submitting personal data, then resend the XML (button) on the hire record in job data. If the personal data exists, then just save the record to trigger messaging.

Other issues with the Jobstack Mapping

Correction mode is a feature that can cause data integrity issues if misused.

Action/reasons are not displayed on the job stack mapping page. This makes it more difficult for the analysts to diagnose and clean-up errors.

There was an IR created (#3723512) to address situations where the Job record was not created when Additional job (acting) and Leave of Absence record should have been created where the account had multiple records. This was released in production on September 19th 2017

There are issues when the HR user is not validating Phoenix Error Messages between transactions. Each row should be saved then the messages should be verified before proceeding to add another row. By not validating the message in between actions, Phoenix can process in a different order or not process at all than what was intended. This could potentially create multiple records thus affecting pay.

During onboarding of GCHRMS to MyGCHR, the GCHRMS mapping is wiped and re-established. The number of records displayed could be different and this could affect the new mapping in Phoenix.

Five Whys: Root Cause (the 5 Why's)	
A: Conversion Issues	
Why #1 (Why did this problem occur?)	Why did the conversion from RPS to Phoenix cause misalignment?
	<ul style="list-style-type: none"> • Data cleansing project not completed so the systems were not aligned in the first place. • HR Systems were not integrated at all, or had a one-way integration from HR to RPS. This caused data gaps within Phoenix. • Records were entered in HR but were not yet entered in RPS.

	<ul style="list-style-type: none"> The “blackout” period was not respected for entering actions 	
Why #2 (Why did #1 happen?)		
Why #3 (Why did #2 happen?)		
Five Whys: Root Cause (the 5 Why's)		
B: Misalignment Issues		
Why #1 (Why did this problem occur?)	Why do misalignments happen?	
	<p>Data entry causes:</p> <ul style="list-style-type: none"> Trying to delete a “Phoenix owned” row from a HR system or deleting an HR row from Phoenix. Misuse of Resend XML Using correct history to change key fields on existing rows instead of deleting the row Manually updating/modifying the information incorrectly in the job stack table itself <p>System causes:</p> <ul style="list-style-type: none"> Manually mapping Phoenix to MYGCHR and GC HRMS (PeopleSoft) Having multiple unsynchronized employee records (i.e., record 22 in the HR system vs record 3 in Phoenix) Making changes to an the initial acting “ADL” row in the HR system could be processed as a new “add job” and therefore create another record in Phoenix meaning 1 record in HR would point to two records in Phoenix. certain rows such as termination are inexplicably not being posted in Job Stack 	
Why #2 (Why did #1 happen?)	Why are there data entry causes?	
	We have integrated systems but no integrated training material	
Why #3 (Why did #2 happen?)	Why are there system causes?	
	Having multiple HR systems (8.9, 9.1, web services) feeding one pay system requires complex integration mapping and adds to the overall complexity of design of the jobstack.	
Why #4 (Why did #3 happen?)		
Why #5 (Why did #4 happen?)		
Root Cause and Contributing Factors		
Item or Question	Root Cause?	Contributing Factor?

We have integrated systems but not integrated training material		x	
Having multiple HR systems (8.9, 9.1, web services) feeding one pay system which requires integration mapping and adds to the complexity		x	
Having no historical job data rows prior to conversion contributes to misalignment.		x	
Contributing Factor(s) Comments			
There are multiple contributing factors and there might not be a root cause.			
Description of Work-Around(s) – if applicable			
An HR Business Analyst has to look at the HR system job data the Phoenix Job data and the Phoenix job stack mapping pages in order to find and manually fix the issues. This process is time consuming especially when help from a CA is required to modify/delete job rows in Phoenix.			
Planned Solutions or Fixes			
Action	Due Date	Owner	Status
There is a CR to improve the job stack alignment report – CR3203 MYGCHR linked to CR4656 PHOENIX		MYGCHR/ PHOENIX	Impact analysis
IR#3817047 to fix posting rows pre-conversion		Phoenix	In testing
IR#3812803 to fix Termination Rows not posted in Job Stack		Phoenix	In Testing
IR #3723512 to address situations where the Job record was not created when Additional job (acting) and Leave of Absence record should have been created where the account had multiple records.	Sept 19th	Phoenix	Released Sept 19th
IR# 03777679 HR Sequence issue in Jobstack Map		Phoenix	In Testing
IR # 03753116 I118 integration unable to modify TER row.		Phoenix	Closed
RCA Conclusion Statement			

There are multiple contributing data entry and system factors to jobstack mapping issues and there may not be a root cause.

Recommendations and Lessons Learned

- 5.2.1 Develop business requirements for edits in HR System and Phoenix to prevent incorrect data entry that could cause job alignment or integration issues.
- 5.2.2 MYGCHR should recommend an efficient approach on how to prioritize and fix job stack issues. Provide better vetted reports (CR3203 MYGCHR linked to CR4656 PHOENIX)
- 5.2.3 Create a nightly process to align job data and job stack in Phoenix
- 5.2.4 Better HR to pay communication and teamwork (integrated training material)
- 5.2.5 Investigate integrated organizations vs web services for understanding how the integration is handled

Root Cause Analysis Candidate	
Issue Name	6.1 Auto Salary Calculation Not Handling Salary Above Minimum or CRA Cumulative Rules
Start Date	28-08-2017
End Date	03-10-2017
RCA Team Description	IDAT Group
Root Cause Summary	
<p>The Phoenix Auto Salary Calculator is not always able to calculate the correct salary due to the lack of required data in Phoenix. When these situations occur, the correct rate is not accepted from HR even when it is known to the HR system, requiring manual processing by a Compensation Advisor that introduces delays.</p>	
Definition of the Problem	
<p>The Auto Salary Calculator in Phoenix cannot provide the correct salary calculation when data that is required for the calculation is missing in Phoenix.</p> <p>When manual salary corrections are required, they are not made quickly resulting in inaccurate pay for employees.</p>	
Understanding of the Business Impact	
<ul style="list-style-type: none"> For all integrated organizations (Web services, PeopleSoft 8.9, and PeopleSoft 9.1) this impacts all hire and rehire transactions where the employee is to be paid a rate above the minimum for the classification. Phoenix will default the salary to the minimum for the classification which will require manual intervention from a Compensation Advisor to correct the rate in Phoenix. This issue impacts students in particular as they are often hired at a rate above the minimum as their rate of pay is determined by the student's education level. The precise salary on appointment is known at the time that the letter of offer is generated so it could be entered in to the HR system and sent to Phoenix, however Phoenix ignores any salary information that is sent via Integration. As a result, the student's pay would be too low until their salary is corrected by a CA. The impact is much more significant for CRA (a Web services department and separate employer), due to unique provisions of CRA's collective agreements. Due to ongoing issues with the Phoenix Auto Salary Calculator it was turned off for CRA. As a result, all changes in salary for CRA employees have required manual entry by Compensation Advisors in Phoenix, which has become the primary workload for over 25 FTEs. 	
General RCA Analysis	
<p>E14 is the extension in Phoenix that sets the rate of pay on Hire and Rehire It applies all terms & conditions of employment and salary-related provisions of Collective Agreements for Treasury Board as well as Separate Employers. By default it sets the rate to the minimum but it will adjust for prior service where cumulative service rules apply (provided that the correct historical data is present in Phoenix).</p> <p>Issue applying to all integrated Organizations & Agencies – Salary on hire</p> <p>There are two scenarios under which a new hire will start at a rate above the minimum:</p> <ul style="list-style-type: none"> Rates of pay for students are determined by their level of progress in their educational program. Many students start at a rate of pay above the minimum Managers have discretion to hire employees from outside the Public Service at a rate higher than the minimum when certain criteria are satisfied 	

For integrated organizations, when the hire action is entered in the HR system, it updates in Phoenix with the minimum salary.

In PeopleSoft HR systems, it is possible for HR to key the correct starting salary (as noted on the letter of offer), however Phoenix has been configured to discard this information when it is sent via integration, which results in the minimum salary being set. This then requires action from a Compensation Advisor to set the correct salary (for Pay Centre organizations, this requires a PAR to be sent to the Pay Centre) which creates a significant delay before the employee is paid correctly.

In addition, any subsequent actions (i.e. Acting, Promotion, etc.) that are sent via integration may also get an incorrect rate as the calculations done by the Phoenix Auto Salary Calculator will be based off the incorrect substantive salary. This increases the workload for Compensation Advisors (both in the Pay Centre and departmental CAs for non-Pay Centre organizations).

Issue specific to Canada Revenue Agency

The amount of data that was converted into Phoenix was limited to the most recent period of employment. As a result of these data limitations, certain CRA pay rules cannot be applied correctly. The most significant example is the cumulative service rules for term employees and acting appointments at CRA, which have been in force as far back as 2002.

Term employees being hired into Phoenix for the first time may begin at the maximum salary step for their classification due to prior terms at CRA paid via RPS, yet the Phoenix Auto Salary Calculator would set the salary at the minimum rate given the lack of historical data in the system.

The same issue occurs for most acting appointments at CRA since cumulative service was introduced in all CRA collective agreements prior to the implementation of Phoenix.

When the Phoenix Auto Salary Calculator was turned on, it was constantly resetting rates for CRA employees to the minimum causing pay to be inaccurate and requiring significant work for Compensation Advisors. This led CRA to ask PSPC to disable the Phoenix Auto Salary Calculator for CRA.

With the salary calculator disabled, CRA Compensation Advisors must manually key all changes in rate directly in Phoenix. The process is as follows:

- 1) CRA CA enters pay action in CAS (CRA HR system)
- 2) CAS Salary Calculator calculates new salaries, updates CAS and writes out new rates for manual CA entry
- 3) CAS sends job messages via integration to Phoenix. With Phoenix Auto Salary Calculator turned off for CRA, the salary is not changed or step 1 is used
- 4) CRA CA must go into Phoenix and manually enter the new rate for the employee to see their rate of pay change

CRA’s HR system has a similar salary calculator that is able to correctly calculate rates for terms and actings since the system has all HR data going back to 1999. However, all of the rates that are calculated must be manually keyed into Phoenix.

While the process is working better with the Phoenix Auto Salary Calculator turned off (since it was constantly resetting rates to the minimum when it was enabled), this process is costing CRA nearly \$2M per year in extra compensation resources to key the rates in Phoenix. This process also results in additional pay issues when keying errors are made with salaries.

Five Whys: Root Cause (the 5 Why's)	
A: Salary Above Minimum All Organizations	
Why #1 (Why did this problem occur?)	Why can't the Phoenix Auto Salary Calculator apply the rates for employees hired above the minimum rate?

	There is no data available to Phoenix that would indicate that the hire should be paid above the minimum.
Why #2 (Why did #1 happen?)	Why is Phoenix unaware when employees are to be paid above the minimum?
	Pay above the minimum is only indicated on the letter of offer.
Why #3 (Why did #2 happen?)	Why can't rates of pay be sent via integration when they are known to the Human Resources advisor or HR system?
	A business decision was made to have Phoenix own the salary information in all cases. The impact of the exception scenarios where the Phoenix Auto Salary Calculator would not have sufficient data to make an accurate calculation were not understood.
Why #4 (Why did #3 happen?)	
Why #5 (Why did #4 happen?)	
Five Whys: Root Cause (the 5 Why's)	
B: CRA Specific Impacts	
Why #1 (Why did this problem occur?)	Why can't the Phoenix Auto Salary Calculator determine rates for CRA employees?
	CRA has cumulative service provisions for term employees as well as for acting appointments that date back as far as 2002, and data was not converted from RPS to Phoenix earlier than 2016
Why #2 (Why did #1 happen?)	Why did we not load historical data to Phoenix?
	Due to the completely different structure of the data in RPS compared with Phoenix, conversion between the two systems was challenging. Converting all data back to 2002 for CRA employees would have been extremely complicated.
Why #3 (Why did #2 happen?)	Why can't rates of pay be sent via integration when they are known to the Human Resources advisor or HR system?
	A business decision was made to have Phoenix own the salary information in all cases. The impact of the exception scenarios where the Phoenix Auto Salary Calculator would not have sufficient data to make an accurate calculation were not understood.
Why #4 (Why did #3 happen?)	
Why #5 (Why did #4 happen?)	

Root Cause and Contributing Factors			
Item or Question		Root Cause?	Contributing Factor?
Lack of Historical data		X	
Salaries cannot be sent from the HR system via integration			X
Contributing Factor(s) Comments			
<ul style="list-style-type: none"> In the situations where the Phoenix Auto Salary Calculator cannot determine the correct salary, the correct rate is known to HR. In the case of CRA, the HR system has its own auto salary calculator that, due to the presence of HR data dating back to 1999, is able to apply the Terms & Conditions that the Phoenix auto salary calculator can't. For other integrated organizations, when a hire is processed at a rate above the minimum this is known to the HR advisor who enters the transaction in HR as the correct rate is noted on the letter of offer. With the rates known to HR in these cases, the impact of this issue could be avoided if Phoenix were configured to accept the rates from the HR system in these cases. 			
Description of Work-Around(s) – if applicable			
When salaries are not calculated accurately by the Phoenix Auto Salary Calculator, a Compensation Advisor must go directly into Phoenix and key the correct salaries. This is a time consuming process for CAs and results in significant delays for employees as they are not paid correctly until this manual step is completed.			
Planned Solutions or Fixes			
Action	Due Date	Owner	Status
CR #3955 CRA salary rates provided through interface to Phoenix	Unknown	SBID	In Analysis phase
RCA Conclusion Statement			
The Phoenix Auto Salary Calculator is not always able to calculate the correct salary due to the lack of historical data in Phoenix. When these situations occur, the correct rate is not accepted from HR even when it is known to the HR system, requiring manual processing by a Compensation Advisor that introduces delays.			
Recommendations and Lessons Learned			
<p>6.1.1 Allow the option for salaries to be sent from the HR system for integrated organizations and agencies in the following situations where it cannot be calculated accurately by the Phoenix Auto Salary Calculator:</p> <ul style="list-style-type: none"> - For CRA only, on all transactions - For other integrated organizations (PeopleSoft 8.9, 9.1, Web Services other than CRA), on hire and rehire transactions (include these other organizations in the CR being developed for CRA #3955) <p>6.1.2 For PeopleSoft integrated organizations, change the business process for Hires and Rehires where the salary is above the minimum to ensure that the rate from the letter of offer is entered in the HR system</p>			

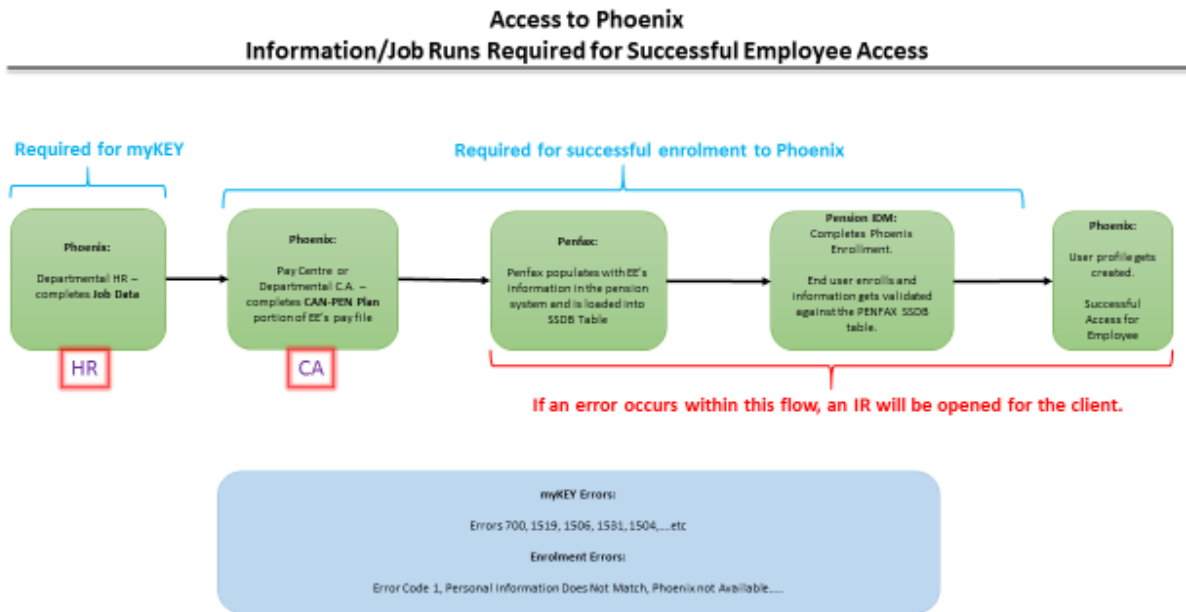
Root Cause Analysis Candidate	
Issue Name	6.2 Proration of Part Time Allowances
Start Date	05-09-2017
End Date	11-10-2017
RCA Team Description	IDAT Group
Root Cause Summary	
<p>The E45, which prorates additional pay for part time employees was not working correctly: it should adjust the pay once and not continuously readjust additional pay amounts each pay calculation until the allowance value is reduced to pennies. This had been resolved under IR 03763187 but has returned. Residual work is required by Compensation Advisors.</p>	
Definition of the Problem	
<p>Part time employees' additional pay is not calculating correctly: it is being continually reduced until it is only pennies.</p>	
Understanding of the Business Impact	
<ul style="list-style-type: none"> • Part time employees are not getting paid the allowances that they are entitled to. • Their allowances are being reduced each pay calculation until the amounts received are pennies. • For some organizations, this issue is becoming an impediment to recruiting and retaining employees (Health Canada – rotational nurses). 	
General RCA Analysis	
<p>This issue applies to all allowances for all part time employees. Create additional pay are continuously pro-rating calculations. This issue affects the rotational nurses, especially in remote locations When the allowance is created, the full amount of the allowance is entered in Phoenix and following the nightly calculation, the amount of the allowance will be prorated based on the assigned work week in Phoenix. Each time the E45 extension is run, the allowance amount would be pro-rated again. This would continue until the amount of the allowance was down to 0. This is a recurring issue: IR 3638919 – Opened June 2016, closed July 2016 IR 03763187 – Opened May 2017, was released to production on Aug 24, status is closed, however the issue has returned. IR 3772617 – Opened June 2017, closed as duplicate of IR3763187 The proration issue reappeared for rotational nurses in April 2017. The initial IR for this issue was closed in July 2016. The issue has returned as of April 2017 and has been resolved. The E45 is the extension used for the proration of Create Additional Pay. This extension should only look at accounts where the values (amount of the allowance and the assigned work week) have been changed. Once the amount of the allowance is prorated initially, the E45 should not continuously prorate the amount of the allowance. This extension is run during the nightly batch. This issue has been resolved under IR 03763187. Residual work is required by Compensation Advisors to prompt a retro trigger for any monies due.</p>	
Five Whys: Root Cause (the 5 Why's)	
A: Allowances continue to prorate for part time employees	
Why #1 (Why did this problem occur?)	Why are part time employees not receiving the correct amount for their allowances?

	The amount of the allowance would continue to prorate following each nightly calculation		
Why #2 (Why did #1 happen?)	Why did the allowance continue to prorate following each nightly calculation?		
	The E45 would calculate a new prorated amount for the allowance during each nightly calculation.		
Why #3 (Why did #2 happen?)	Why did the E45 calculate the new amount of the allowance following each nightly calculation?		
	This is not how the E45 is designed to work. The E45 should only review accounts that had a change to one of the values in create additional pay. This is an identified system defect.		
Why #4 (Why did #3 happen?)			
Why #5 (Why did #4 happen?)			
Root Cause and Contributing Factors			
Item or Question	Root Cause?	Contributing Factor?	
The E45 is continuously prorating the amount of the allowance for the part time employee	X		
Contributing Factor(s) Comments			
Description of Work-Around(s) – if applicable			
For the proration of allowances, it has been discovered that by changing the <i>Reason</i> drop down menu from Not Specified to LIA (leave with income averaging), this stops the proration. According to UPK, the only time the <i>Reason</i> drop down menu should be changed to LIA is when the client is going on LIA.			
Planned Solutions or Fixes			
Action	Due Date	Owner	Status
IR 03763187 implemented on Aug 24, 2017.			Closed, but issue has reappeared
RCA Conclusion Statement			
E45, proration of allowances, is a system issue. It has been understood that this issue has been resolved, twice, but the issue continues to return.			
Recommendations and Lessons Learned			
6.2.1 Any proposed solutions should be more fully tested to ensure the issue has been resolved and will not return.			
6.2.2 A new cross functional working group should review the business requirements and proposed solution to resolve this issue. Solution implementation should also include comprehensive acceptance testing.			

Root Cause Analysis Candidate	
Issue Name	6.3 Manual Pension and Benefits Processes
Start Date	31-08-2017
End Date	10-10-2017
RCA Team Description	IDAT Group
Root Cause Summary	
<p>There are missing data validation edits in Phoenix in Pension and Benefits to support Penfax, which results delays in employee enrolment, which in turn delay user access being granted to Phoenix. Transactions are sent nightly, however there is no return communication from the Pension system to validate that the transaction was consumed.</p>	
Definition of the Problem	
<p>There are delays in employees being able to access the Phoenix system resulting from the dependency of the manual process for enrollment in pension. Positive Time reporters cannot submit time until they have access to Phoenix. Employees cannot access information meaning they cannot use their Benefits (i.e. PSHCP, Dental claims). Numerous Service Desk requests within organizations and at the Pay Center are created as a result.</p>	
Understanding of the Business Impact	
<ul style="list-style-type: none"> • Enrollment to benefits is not automated, therefore requires a Compensation Advisor to manually enroll benefits. • Employees that are time reporters are not able to submit time until they have access to Phoenix. Access to Phoenix is dependent on both obtaining a MyKey and being enrolled in Penfax. • The delay in this process impacts employees accessing their benefits in a timely fashion. • The lack of communication surrounding this process generates confusion, leading to multiple questions to various help desks and Compensation Advisors. 	
General RCA Analysis	
<p>Benefits are not started in timely manner for eligible employees (PSHCP, DCP, etc.) Benefit enrollment is a manual process that contributes to the increase of the workload. CA must select the “waive” option for PSHCP to allow an employee to enroll through Employee Self-Service for this specific benefit only. All other benefit entitlements are then enrolled by a Compensation Advisor based on the employee’s employment status.</p> <p>Business Process</p> <p>HR inputs the employee in HR system, transaction integrates to Phoenix to add the information to job data. During a nightly update the information from Job Data is sent to Penfax (I112). The Penfax validation is dependent on both the hire transaction as well as the pension enrollment in Phoenix. These transactions are initiated by two different roles and are not synchronized in timing: Job Data in the HR system is initiated by Human Resources and the Pension enrollment is initiated by a Compensation Advisor. The Compensation Advisor, using Phoenix, must manually enroll the new employee in Standard Pension code 80. This enrollment initializes the process to send data to Penfax. When Penfax completes the employee enrollment, the User Profile is created and the employee can then access Phoenix.</p> <p>The service standard for CWA enrollment may take up to 6 weeks.</p> <p>It is not widely understood that having a MyKey is not sufficient to have access to Phoenix. Within the department, IT will create a MyKey, however this does not provide access to Phoenix unless the employee is also enrolled in Penfax.</p>	

Integration to Penfax

There is a current process gap where if there are data integrity issues in Phoenix that prevents data from going to Penfax, pension is never made aware that the employee was hired. The only way these situations are discovered are when the employee notifies the Compensation Web Application team. Phoenix is scheduled to communicate with the Pension system on a nightly basis via the I112, however this process is known to abend due to data integrity issues. The I112 is only critical during the pay confirm period and can be cancelled outside that period.



Five Whys: Root Cause (the 5 Why's)
A: Employee Access to Phoenix

Why #1 (Why did this problem occur?)	Why do employees experience a delay accessing Phoenix?
	<p>There are three conditions that need to be met in order for employees to access Phoenix.</p> <ul style="list-style-type: none"> My Key creation Job Data transaction Pension enrollment <p>The most common delay is the Pension enrollment.</p>
Why #2 (Why did #1 happen?)	Why is there a delay in the Pension enrollment process?
	<p>The pension enrollment is a manual process by a Compensation Advisor.</p> <p>AND</p> <p>Penfax cannot enroll if there is a data integrity issue with the transaction in Phoenix.</p>
Why #3a (Why did #2 happen?)	Why are there data integrity issues in Phoenix with relation to information sent to Penfax?

	There are missing edits in Phoenix to support information being sent to Penfax in the same way information was sent from the Legacy pay system		
Why #3b (Why did #2 happen?)	Why is the benefit/pension enrollment manual?		
	A decision was made to not automate this process at Go-Live.		
Root Cause and Contributing Factors			
Item or Question	Root Cause?	Contributing Factor?	
Missing data validation edits in Phoenix to support Penfax.	X		
Benefits (Pension) enrollment is a manual process.		X	
Multi-dependency to gain access: <ul style="list-style-type: none"> • My Key creation • Job Data transaction • Pension enrollment 		X	
Contributing Factor(s) Comments			
<ul style="list-style-type: none"> • Benefit enrollment is a manual process that contributes to the increase of the workload. • This process is dependent on many stakeholders completing their tasks in a timely fashion. 			
Description of Work-Around(s) – if applicable			
Pay Centre (CRCD) has a team to help enroll new hires in Pension upon receipt of the Letter of Offer. This allows for a quicker turnaround time for an employee to access Phoenix.			
Planned Solutions or Fixes			
Action	Due Date	Owner	Status
It was identified in PWC 6.3 as Automation of Pension Enrolment.			Recommendation to be reviewed and decision to be made.
CR4702 – Front End User Edits		PSPC	Analysis
CR4695 – Automated Benefit Enrollment		PSCP	Analysis
RCA Conclusion Statement			
<p>There are missing data validation edits in Phoenix in Pension and Benefits to support Penfax, which results delays in employee enrolment, which in turn delay user access being granted to Phoenix.</p> <p>Transactions are sent nightly, however there is no return communication from the Pension system to validate that the transaction was consumed.</p>			
Recommendations and Lessons Learned			
<p>6.3.1 Investigate automation of Benefit enrollment to support a more efficient business process.</p> <p>6.3.2 Perform Root Cause Analysis on the data integrity problems leading to I112 abends (e.g. common error trends, error handling process).</p> <p>6.3.3 Include edits within Phoenix to avoid errors once information is received in Penfax.</p> <p>6.3.4 Review the overall system access provisioning process to better integrate and reduce durations.</p>			

Root Cause Analysis Candidate	
Issue Name	6.4 Garnishment Deductions
Start Date	06-09-2017
End Date	13-10-2017
RCA Team Description	IDAT Group
Root Cause Summary	
<p>The current solution does not meet business needs due to Inaccurate / Incomplete business requirements. A CR is required for % Garnishment business rules.</p> <p>A CR is also required for summing of multiple cheques for a pay period to properly deduct flat garnishments to remove manual work.</p>	
Definition of the Problem	
<p>Garnishments are not being deducted during periods that an employee is acting for a partial pay period. Percentage based are calculated incorrectly for Gross pay. Once other deductions are taken (pension, union dues, DI, etc.), employee is over deducted and at risk of low-pay/no-pay. The employee is also at risk of low/no pay In the event of partial pay or multiple cheques in a single pay period.</p>	
Understanding of the Business Impact	
<ul style="list-style-type: none"> • CAs are required to manually calculate Percentage Based Garnishments. • Manual work is also required to intervene in the system when two or more cheques are issued for a pay period. • Manual calculations must be re-visited every time the employee's pay changes. • Manual processing creates the risk of missing taking a percentage-based garnishment, when it should be taken. • There is potential to take too much in garnishments and there is no means to recover it as the payment has gone to the court with no recovery mechanism. • There is a risk of being in violation of garnishment legislation. 	
General RCA Analysis	
<p>Garnishments are not being deducted from employees pay during periods that an employee is acting for a partial pay period.</p> <p>Different Garnishments have different rules in how they are deducted from an employee's pay. Percentage calculations are not calculated correctly in Phoenix. The reason for this is that percentage based garnishments are normally taken off gross pay, but in the Government of Canada it is calculated after certain deductions are taken (pension, union dues, DI, etc.) which is close to the employee's net pay. Currently if a percentage based garnishment is entered, it calculates the garnishment deduction based on the Gross pay, then all other deductions are taken. This places the employee at risk for a low pay or no pay situation. The current solution does not deal with Government of Canada percentage based garnishments. There is currently no IR or CR identified for this situation.</p> <p>If the Garnishment deduction is percentage based, then a CA must calculate it manually within the pay period, to calculate the deduction and input it into Phoenix. Salary revisions also effect percentage based deductions, when a revision occurs, the Garnishment needs to be recalculated again.</p> <p>Partial Pay deductions are also an issue. When there are situations where an employee gets multiple cheques, the Garnishment may be deducted multiple times (if there are enough funds in the paycheque to</p>	

do so). This is because garnishments are record based. The CA must intercept the additional deduction to prevent it.

OCHRO has not yet submitted business requirements for proper configuration.

There is a query available that identifies multiple payments (to permit cancellation) but not all CA's are able to run it.

R56 (Identify Accounts with Mid-Pay Pay Group Transfers), shows if the employee has multiple cheques with the different pay group in the same Pay Period but there are situations where it may not show all accounts (such as Acting on Acting within the same pay group and pay period).

The work around to prevent multiple garnishment deductions is for CAs to manually track this account.

CAs can make a note to track the Account at the end of Acting, but if there is Acting extension, then tracking this account would be difficult.

Five Whys: Root Cause (the 5 Why's) A: Incorrect Automatic Calculation of Percentage-Based Garnishment	
Why #1 (Why did this problem occur?)	Why is a percentage-based garnishment not calculated correctly?
	The current configuration is incorrect in determining earnings subject to garnishment.
Why #2 (Why did #1 happen?)	Why is the configuration incorrect?
	Business needs were clarified just prior to go-live. As a result the implemented solution is not accurate and requires repeated manual intervention. Need to identify if there is a CR record for this item.
Why #3 (Why did #2 happen?)	
Why #1 (Why did this problem occur?)	
Why #2 (Why did #1 happen?)	
Five Whys: Root Cause (the 5 Why's) B: Incorrect Automatic Calculation of Flat Rate Garnishment	
Why #1 (Why did this problem occur?)	Why are Partial Period Flat Garnishment not calculated correctly?
	When there are multiple cheques, if each cheque is greater than garnishment amount, it tries to take money from each cheque. Repeated manual intervention is required to ensure correct amounts are garnished.
Why #2 (Why did #1 happen?)	Why is it doing this?
	Deductions are tied to person not employee record.
Why #3 (Why did #2 happen?)	
Why #1 (Why did this problem occur?)	

Why #2 (Why did #1 happen?)			
Root Cause and Contributing Factors			
Item or Question		Root Cause?	Contributing Factor?
Business requirements were clarified just prior to go-live. Implemented solution could not be adjusted prior to go live. CR needs to be raised with proper Business Requirements.		X	
Garnishments require repeated manual intervention by CA to ensure correct amounts are garnished			X
Not all Compensation Advisors have access to Query R56, which identifies employees with mid pay period pay group changes			X
Contributing Factor(s) Comments			
<ul style="list-style-type: none"> • There is no CR to fix Percentage based Garnishment configuration. • Government of Canada has unique employer rules as to that should be included in the calculation of pay for garnishment purposes. 			
Description of Work-Around(s) – if applicable			
CA's manually calculate the percent deductions recorded as a flat amount and then input it to the system. Further manual intervention and revision required in the system at each change in pay.			
Planned Solutions or Fixes			
Action	Due Date	Owner	Status
CR to be raised to properly apply % rules.	TBD		
CR to be raised to provide functionality to sum multiple cheques and apply flat garnishment amounts in total.	TBD		
RCA Conclusion Statement			
Business requirements for garnishments were clarified just prior to go-live. Implemented solution could not be adjusted prior to go live. Further clarification is required.			
Recommendations and Lessons Learned			
6.4.1 Raise a CR to adjust the configuration to utilize existing functionality to properly calculate garnishment deductions.			
6.4.2 Review/Refresh process and training documentation related to garnishments.			
6.4.3 Investigate potential for automated suppression of multiple deductions in partial pay situations.			
6.4.4 Create a central role responsible for all garnishments across the GC. This role would have access to all Garnishment records and control the amount that needs to be taken from employee account. Consider centralization within Justice Canada responsibility, as they do the coordination role for the			

entire Government of Canada. This would improve timeliness of garnishment processing and reduce workload for Pay Center and CAs.

- 6.4.5 Investigate potential to change garnishment calculations to be based on multiple paysheets and multiple pay cheques. (Enable Single Cheque Multi Job Function). See [Aggregate taxation of multiple cheques](#)

Root Cause Analysis Candidate	
Issue Name	6.5 Non-Refundable Deductions
Start Date	06-09-2017
End Date	13-10-2017
RCA Team Description	IDAT Group
Root Cause Summary	
An incorrect system configuration caused Non-Refundable Deductions to be returned to the employee on a pay reversal. This issue has been fixed (IR3781401).	
Definition of the Problem	
Upon a pay cheque being reversed, Non-Refundable deductions were refunded to the employee in error. There was no recovery from the third party that the deduction was originally sent to.	
Understanding of the Business Impact	
When non-refundable deductions were being reversed and refunded to the employee, but were not refunded by the third party, this resulted in the deduction going back to the employee and no recovery from the third party. This results in double paying the deduction. Residual work is required of CAs, who will need to recover the refunds made to employees.	
General RCA Analysis	
<p>Funds are collected from the employee and remitted to the appropriate institution. If the pay cheque is reversed, the deduction would also be reversed despite already being sent to the applicable institution (such as the bank) with no mechanism to recover the amount. It results in the employee getting both their deduction refunded and funds still staying in the institution.</p> <p>Deduction Types are:</p> <ul style="list-style-type: none"> 597 - Federal Tax Arrears 544 - Recovery of Student Loan 545 - Recovery of EI Benefits 797 - Funds De Solidarity 793 - Public Service Credit Union Limited 795 - Alterna Savings 786 - Credit Union Coop 788 - Canada Savings Bonds. <p>A common occurrence was having Canada Saving Bonds deducted multiple times in error. Since the money was already sent to Canada Saving Bonds, the Crown was not able to recover it.</p> <p>Non-refundable deduction should be non-reversible. Was the Automated process (R14) not working properly?</p> <p>R14 is a Deduction Subset ID which groups deductions with similar/common attributes.</p> <p>If that deduction code falls with a certain subset id, when check reversal goes to its logic, and processes accordingly.</p> <p>If that deduction code is in this subset ID, it will not be reversed on a pay reversal. This one was not working on go-live, but it is working unless it proves otherwise.</p> <p>Residual work is required of CAs, who will need to recover the refunds made to employees.</p>	
Five Whys: Root Cause (the 5 Why's)	
Why #1 (Why did this problem occur?)	Why were non-refundable deductions still refunded back to the employee?

	R14 Deduction Subset ID was not working properly to indicate that associated deduction codes would not be reversed on a pay reversal. Issue is fixed now. (IR3781401)		
Why #2 (Why did #1 happen?)			
Why #3 (Why did #2 happen?)			
Root Cause and Contributing Factors			
Item or Question	Root Cause?	Contributing Factor?	
Bug in the system for R14 process.	X		
Communication issue, Business is not aware that this has been fixed.		X	
Contributing Factor(s) Comments			
The implementation of the solution should have been communicated across organizations. Residual work is required.			
Description of Work-Around(s) – if applicable			
Planned Solutions or Fixes			
Action	Due Date	Owner	Status
Training and documentation around this solution		OCHRO	
RCA Conclusion Statement			
The system issue has been resolved. When a pay cheque is reversed, the non-refundable deduction is not refunded back to the employee but it stays in the institution it went to.			
Recommendations and Lessons Learned			
6.5.1 A comprehensive communication and issue list management process is needed to keep organizations informed as to the fact that issues have been fixed (along with changes if any to process and training documentation) and outstanding issue lists are current.			

Root Cause Analysis Candidate	
Issue Name	6.6 Cheques Being Rejected By Standard Payment System (SPS)
Start Date	07-09-2017
End Date	13-10-2017
RCA Team Description	IDAT Group
Root Cause Summary	
<p>Standard Payment System's (SPS') need for all Phoenix cheques (including net \$0.00) to have cheque numbers to permit processing is not part of the commercially delivered process in PeopleSoft. This business requirement has been fulfilled through IR03683648, implemented to force a cheque number on net \$0.00 cheques. Issue is closed for go forward processing. Remedial action required to address historical transactions.</p>	
Definition of the Problem	
<p>Transactions that didn't have cheque number were rejected by SPS, generating a discrepancy between Phoenix and General Ledger (GL). Manual intervention was needed to reconcile the discrepancy between Phoenix and Finance.</p>	
Understanding of the Business Impact	
<ul style="list-style-type: none"> • There is significant manual effort to reconcile financial details between the various systems involved in the "HR to Pay Process". • SPS will ignore / discard any financial transaction from Phoenix where there is no cheque number. • It was impacting all organizations (around 1200 employees), and it was happening each pay period since go-live. • Since we did not know the correct amount to remit, we may have paid to the wrong vendor / receiver, causing manual adjustments. • The IR that was implemented results in an additional job to be run, and adds to the length of time before the system becomes available. The IR has addressed this issue on a go forward basis but remedial work exists for the business to address historical transactions. 	
General RCA Analysis	
<p>Remittance Report (I033) in Phoenix is inaccurate. Ledger and reports don't balance and manual manipulation to the reports is required. At the end of the year this cannot be reconciled.</p> <p>Interfaces involved:</p> <p>I027 - Standard payment system client action returned (PAG09)</p> <p>I031 - SPS Payment Input File, sends banking information to SPS for deposit, includes net pay and direct deposit info.</p> <p>I032 - GL extract to PenFax.</p> <p>I033 - Payroll System General Ledger File, reports earnings, deductions, taxes back to department 079.</p> <p>I050 - Reports expenditures back to the department, to be loaded into their salary management system.</p> <p>I033 is an extract file that contains all payroll deductions (e.g. pension, union dues, benefits, and taxes) coming off employee's pay cheque, transmitted through that file to payroll accounting.</p> <p>All payments by government go through the SPS (Standard Payment System). When Phoenix creates transactions, it goes through SPS which assigns PRN (Payment Reference Number), then sends it back to Phoenix, which updates the transaction with PRN and sends the cheque detail to GL / Accounts Payable. There were cheques that Phoenix generated without a cheque number and these were ignored by SPS. They were valid transactions in Phoenix, but when you don't have a cheque number, then there will be no PRN created by SPS and passed back to Phoenix.</p>	

The logic in I033 is to check for cheque number / PRN in order to send it to SPS. Balances for remittances in Phoenix don't match with balances in GL in that some accounts were overpaid and some underpaid. Employees were deducted money, but because the transactions were not in the I033, they didn't send the money to the third party or GL, nor was the accumulator updated with the amount, causing a discrepancy.

The process in delivered PeopleSoft will not generate a cheque number when the pay cheque has a net amount of \$0.00. When taxes are refunded and deductions are taken (this is one possible scenario) and the Net pay is \$0.00 with no earnings being present – PeopleSoft does not impose a cheque number. IR03683648 implemented to force a cheque number on these transactions to permit processing by SPS.

Five Whys: Root Cause (the 5 Why's)

Why #1 (Why did this problem occur?)	Why is Remittance Report (I033) inaccurate?
	There were cheques that Phoenix generated without a cheque number
Why #2 (Why did #1 happen?)	Why was I033 missing cheque number?
	This is the delivered functionality of PeopleSoft, when there is a \$0.00 cheque create for the employee, no cheque number will be generated.
Why #3 (Why did #2 happen?)	Why do we need cheque #'s on \$0.00 cheques?
	Cheque numbers are needed by SPS
Why #4 (Why did #3 happen?)	

Root Cause and Contributing Factors

Item or Question	Root Cause?	Contributing Factor?
Missing Cheque Number	X	
Refund adjustments		X
Lack of End to End User Acceptance Testing		X

Contributing Factor(s) Comments

It is unknown if end to end testing of this process, with appropriate test cases were executed to discover this gap before production.

Description of Work-Around(s) – if applicable

No Manual Work-Around available. Additional reconciliation effort required to explain system differences.

Planned Solutions or Fixes

Action	Due Date	Owner	Status
Checks without PRNs nor cheque numbers (IR03683648)	April 2017		Implemented and closed
Historical reconciliation required.	TBD	PSPC	

RCA Conclusion Statement

IR03683648 (Cheques without #'s or PRNs) implemented and represents the go forward solution for this issue. Historical reconciliation required.

Recommendations and Lessons Learned

- 6.6.1 Implement IR has addressed the issue for go forward but historical data needs to be fixed. There will be a need for queries for historical data to assist in reconciliation.
- 6.6.2 Full solution walkthrough and user acceptance testing should have caught this issue prior to go live.

Root Cause Analysis Candidate	
Issue Name	6.7 T4 and Relevé 1
Start Date	06-09-2017
End Date	13-10-2017
RCA Team Description	IDAT Group
Root Cause Summary	
There are no issues with T4/ Relevé. The T4/ Relevé are properly recording the sum of earnings in the proper categories as recorded in Phoenix. This includes outstanding errors that are awaiting correction.	
Definition of the Problem	
Employees receive T4/ Relevé that record the value of pay and benefits received during the year, including the value (positive and negative) of any errors in their pay as currently recorded in Phoenix at the time of T4/ Relevé Production (February).	
Understanding of the Business Impact	
Employees believe their T4/ Relevé is inaccurate because it is reflecting the total of errors in their pay for which they are expecting resolution. As corrections are processed employees may receive amended tax documents.	
General RCA Analysis	
<p>Producing the T4s and Relevé 1s will be impacted by current employee over-payments, underpayments. Report on situations which will impact year-end tax reporting</p> <ul style="list-style-type: none"> • Transaction that were not done on time. • Membership fee classified in Phoenix under wrong category • Revenue Canada works as a Cash Accounting bases. If employee missing pay in 2016, and retro has happened in 2017, then employee will be taxed in 2017. • Tax is based on payment date. In Phoenix, T4 Amendments happen often, because they are doing back dated transactions. • Some earning codes adjustment triggering T4 amendment automatically. • Canada Government is the only employer that allows somebody go to prior year and change the time& labor. This will generate T4 amendment. • There is no policy to hard stop changes to prior year information. • Phoenix is doing thing correctly but processes should align with that, usually amendment is to reduce your income. • If you change your Province, you get 2 T4/ Relevé. You need to add them up to do your taxes. • Incorrect Location code sent from HR system. • There is no point of contact for the employee to query about T4 accuracy. • CA creates an overpayment in prior year and then they find out they generate it in wrong year, there is no way to cancel it. There is a CR for cancellation of cheques for overpayment in prior Tax year. • Backlog, Bad data (Position/Location) cause employee Overpayment/Underpayment which are reflected on the T4/ Relevé. <p>NOTE: Process for employees who want to pay overpayments should be reinforced - this was not clearly understood for prior tax year.</p>	
Five Whys: Root Cause (the 5 Why's)	
Why #1 (Why did this problem occur?)	Why are employees reporting that their T4/ Relevé are wrong?

	Employee overpayment/underpayment manifest itself in T4/ Relevé. e.g., combination of Actings, bugs in the system, delay in process of job change data, and Position Location this manifests itself as an inaccurate T4/ Relevé. There is no issue.		
Why #2 (Why did #1 happen?)			
Root Cause and Contributing Factors			
Item or Question	Root Cause?	Contributing Factor?	
Employee overpayment/Underpayment contribute to Inaccurate T4		X	
Delays in processing impact the reported income for the purposes on the T4's		X	
Clarity of Pay Stub		X	
Year End Cut-Off Deadlines		X	
Contributing Factor(s) Comments			
<ul style="list-style-type: none"> Pay Stub is not user friendly Backlog in processing job changes, employee overpayment/underpayment, and frequent amendments impact T4/ Relevé process. Not having a clearly defined cut-off date for prior year changes No clear point of contact for employee in case they have questions regarding T4 			
Description of Work-Around(s) – if applicable			
Planned Solutions or Fixes			
Action	Due Date	Owner	Status
Policy to input a cut-off date for prior year changes		OCHRO	
RCA Conclusion Statement			
There are no system / process changes required for this issue.			
Recommendations and Lessons Learned			
<p>6.7.1 Transactions that are impacting the T4/Relevé need to be prioritized during the year end to ensure accurate T4/ Relevé is created.</p> <p>6.7.2 Similar Fiscal year end messages should be repeated at calendar year end regarding pay impacting transactions so as to prioritize work from the backlog.</p> <p>6.7.3 Reminding to access to FAQ to increase knowledge and awareness. http://www.gcpedia.gc.ca/gcwiki/images/4/4e/Employee_QA_on_tax_slips.pdf</p>			

Appendix B: Foundational Documents and Working Group Participants

B.1 Terms of Reference

1. Background

In 2016, the Government of Canada completed its Transformation of Pay Administration Initiative, consolidating pay services in Miramichi and rolling-out a new pay and benefits solution (called Phoenix) to 98 organizations. Some employees have been experiencing delays in receiving complete, accurate and timely pay since the rollout of Phoenix in early 2016.

PSPC and OCHRO are jointly leading a number of initiatives that take an end-to-end view of the Human Resources to Pay process to resolve related data quality and timeliness issues. A number of reports have been completed (IBM Report, Ceridian Report, and PricewaterhouseCoopers (PwC) Report), which identify issues as well as recommendations for process improvements. Using these reports for context and drawing from initiatives currently underway as a foundation, there is an opportunity to focus on technical and system issues, in order to holistically understand how technical issues are currently impacting our ability to deliver complete, accurate and timely pay to Government of Canada employees.

2. Purpose

The purpose of the Interdepartmental Analysis Working Group (IDAT) is to **analyze technical and systems issues** that are directly related to issues with employee pay. This activity will take the form of a **root cause analysis on systemic and recurring issues** stemming primarily from the following resources: i) the IBM report; ii) the Ceridian report; and iii) Phoenix critical error reports. This work will also be informed by organization's own issue inventory/reports and firsthand experience with the system.

IDAT will prioritize the aforementioned technical and systems issues and provide recommendations as to where Phoenix system or business process improvements could be made. The main deliverable of this group will be a Final Report by November 30, 2017 that contains prioritized recommendations. This report will be supported by a checkpoint presentation highlighting key observations expected by September 30, 2017.

3. Membership

In order to obtain a successful outcome, the IDAT requires a full-time organizational presence. Co-chairs may also encourage participation from other functional areas or organizations if and when required, on an ad-hoc basis (e.g., Office of the Comptroller General).

The IDAT membership will be as follows:

- **Ten (10)** organizational representatives: Administrative Tribunals Support Service of Canada (ATSSC); Agriculture and Agri-Food Canada (AAFC); Canada Revenue Agency (CRA); Employment and Social Development Canada (ESDC); Environment and Climate Change Canada (ECCC), Fisheries and Oceans Canada (DFO); Global Affairs Canada (GAC); Innovation, Science and Economic Development (ISED); National Defence (DND); and a Compensation Advisor from an organization that is not a pay centre client. Efforts also continue to secure a direct entry organization.
- **Two (2)** representatives from IBM
- **Seven (7)** representatives from PSPC: IT (CIOB), Phoenix Operations (ABCB), Pension Operations (ABCB), Pay Centre (ABCB), Pay Operations (ABCB), and MyGCHR (ISB)
- **Two (2)** representatives from TBS (OCHRO)
- **One(1)** representatives from bargaining agents (PIPSC; PSAC) on an ad hoc basis

4. Co-Chairs

IDAT will be co-chaired by:

- Director General, Compensation Sector – Pay, Public Services and Procurement Canada; and
- Director General, Human Resources Business Transformation, Environment and Climate Change Canada

5. Meetings and Work Location

The members of IDAT will be expected to work full time at the Library and Archives building on 395 Wellington St., Ottawa, in accordance with the established and agreed up on work plan up to delivery of the Final Report. Progress meetings will be held with the IDAT Co-Chairs on a weekly basis. IDAT members may request additional meetings with the Co-Chairs as and when required.

6. Governance and Secretariat

IDAT will report findings to the Co-Chairs, who will present the report for final approvals to the new Pay Stabilization governance that is currently being put in place.

Secretariat services to IDAT will be provided by the office of the Director General, Compensation Sector – Pay, Public Services and Procurement Canada.

B.2 Project Team Charter

The working group formulated the following charter to guide their approach to the Root Cause Analysis:

Context:

To enable the end to end “Human Resources to Pay Process” for the accurate, complete and timely payment of allowances to employees utilizing reliable and manageable administrative process and effort.

Mission:

The Interdepartmental Analysis Working Group’s mission is to conduct root cause analysis (& contributing factors) on a defensible, prioritized selection of “Human Resources to Pay” issues, curated from available data reports and documented issue inventories,

In a way that:

- Allows assessment of current resolution action plans for solution alignment / completeness and appropriate prioritization / sequencing
- Identifies / documents problems adequately for solution assessment / development
- Provides prioritized recommendations for next steps and improvement opportunities
- Provides retained, transferable and repeatable Root Cause Analysis skills

So that:

- Pay stabilization activities are effective and sustainable
- Efforts and resources are applied to pay stabilization in an optimized manner
- Key performance metrics should improve, as root causes are resolved
- Root Cause Analysis skills and capability are re-deployable where needed

B.3 Working Group Members

Organization	Name
Agriculture and Agri-Food Canada	Robert Griffith
Canada Revenue Agency	Jordan Whyte
Employment and Social Development Canada	Kiet Quach
Environment and Climate Change Canada	Jocelyn Roy
Innovation, Science and Economic Development Canada	Minh-Tam Nguyen
Global Affairs Canada	Nathalie Godin
Fisheries and Oceans Canada / Coast Guard	Ian Gillis
Public Services and Procurement Canada / CIOB	Nicole Facette
Public Services and Procurement Canada / Pension	Line Turcotte
Public Services and Procurement Canada / MyGCHR	Natalie Martin
Public Services and Procurement Canada / Pay Center	Alfie Nielsen
Public Services and Procurement Canada / Pay Policy and Training Services	Angela Benedict
Public Services and Procurement Canada / Systems and Business Integration	Teresa Kingsbury
Office of the Chief Human Officer	Julie Leclerc

B.4 Subject Matter Experts and Workshop Attendees

Name	Name
Benjamin MacLellan	Lucia Arruda
Blair Kennedy	Luminita Costea
Cassie Kirwan	Lise Bolduc
Catherine Boulianne	Lyne DesRosiers
Christie Mazzuca	Marlene Cunha
Christine Thibodeau	Mathieu Carrière
Christopher Natuik	Matthew Zahalan
Colleen Grum	Melanie Rusenstrom
Crystal Martineau	Mireille Seguin
Danielle Belisle	Monette Robichaud
Danielle Coutu	Monique Daigle
Delise Morris	Nathalie Blanchette
Erika Labelle	Nina Grimes
Fatima Askari	Patrice Aubriot
Francis Lafleche	Patrick Rivard
Ginette Cardinal	Rahine Farzadfar
Heather Graham	Roxanne De Varennes
Helen Wagle	Sophie Cimon-Kingsley
Jane Findlay	Stefan Déry
Julie Bergeron -Tymchuk	Stephanie Belzile
Julie Durocher	Stephanie Simard
Lee-Ann Dorion	Veronique Lepage
Lisa Sullivan	William Parent

Appendix C: Issue Traceability Matrix

The purpose of this appendix is to provide a single reference demonstrating the linkages between 257 issues identified, source documents, issues selected for analysis and applicable root cause analysis reports.

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	Punch is not available in MyGCHR and Phoenix	Other			
10 Day Rule	Phoenix doesn't calculate the 10 day rule	Other			
ABBR	Issue with ABBR for Benefits not updating when employee receives promotion.	Other			
Access in the department to Phoenix and CMT	<p>Departments would be able to help manage cases and avoid employees going to PSPC for answers. All Staffing coordinators need limited view access (Job and Personal Info) to ensure correct data entry. Departments need to have multiple roles (i.e. HR Analyst role and Timekeeper, etc.). Current policy of segregation of duties limits their ability to troubleshoot and assist employees.</p> <p>Refer to PwC-3 (Lack of End-to-End Business Processes)</p>	Other	CCG-1		
Access to Audit Records in My GCHR	Access to Audit Records in My GCHR	OCHRO	OCHRO-99		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
Acting and Acting Extensions (Pre-Conversion)	There are transactions which were entered into My GCHR but did not transfer to Phoenix on conversion or were added or extended during the blackout/conversion time period. Refer to PWC-9 (Acting)				
Acting Calculations	Acting calculations: pension and taxes (EXT/IMC specifically)	Other		Yes	Incorrect Pension Calculation for Late Acting
Acting Data Entry limitations	Causing no pay, double pay. Actings entered on Tuesday, Wednesday, Thursday of non-pay weeks can create pay issues.	Other		Yes	Data Entry Limitations
Acting Entry Process in HR Time consuming	Acting Entry Process in HR Time consuming Refer to (Acting)	OCHRO	OCHRO-101	Yes	Acting Data Entry Complexity
Acting Extension	Acting extensions aren't picked up by E117 process (so Department are being told to add a new record)				No Pay After Late Acting Automation
Allowances (BB, Border Services Allowance for CBSA) do not pay correctly	Allowances paid as "Additional Pays" in Phoenix, including the Bilingual Bonus, and Integrated Border Services Allowance (for CBSA only) are not paying correctly when certain other pay actions are processed on the account. The allowances are recovered when they should be	OCHRO	OCHRO-64		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	<p>paying and in other cases they start paying while employees are on leave.</p>				
<p>AM and PM Indicator in PeopleSoft (8.9 and 9.1)</p>	<p>PeopleSoft only allow one pay rate a day. CCG fleet can have different rate in the morning comparing to the afternoon -- this cause problem of recovery of payment.</p> <p>Refer to OCHRO-53 (Time and Labour)</p>			<p>Yes</p>	<p>Time Reporting Issues Time and Labour</p>
<p>Annual Pensionable Payroll Reports</p>	<p>Require generation of annual pensionable payroll figures for 2016-2017 which is required by March 31, 2017. These figures have a significant impact on the liabilities of the government.</p>	<p>OCHRO</p>	<p>OCHRO-95</p>		
<p>Annualized Salary not shown on Employee Pay Stub</p>	<p>Employees are requesting annualized salary be shown on their Pay Stubs.</p> <p>Lack information and information not relevant. It should have acting rate in addition to hourly rate of pay. Employees do not understand their pay stub.</p> <p><i>NOTE: System Process Issue</i></p>				

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
Applications for DI/LTD and Leave Without Pay	Applications for DI/LTD and Leave Without Pay	OCHRO	OCHRO-117		
As and When	As and When process isn't working (need a full review) for example, isolated post allowance should be based hours reported	Other			
Assignment records not recorded in Phoenix	<p>Schedules recorded for use during an assignment are not recorded in Phoenix resulting in issues.</p> <p>International assignments are not being recorded.</p> <p>Not recording income tax.</p> <p><i>NOTE: System Process Issue</i></p>			Yes	Assignment/Secondment Records not recorded in Phoenix
Auto salary calculations not working correctly at CRA	The Phoenix salary calculator is not able to apply certain terms & conditions, in particular cumulative service for Term employees, which would require conversion of all job data back to 2002 when that provision was introduced. This resulted in the Phoenix salary calculator continuously choosing the incorrect rates for CRA employees so the calculator was turned off in August 2016. As a result, for all changes in rate,	Web Services	CRA 899	Yes	Auto Salary Calculation not Handling Salary Above Minimum or CRA Cumulative Rules

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	CRA Compensation Advisors must key the new salary information directly in Phoenix.				
Auto-enrollment in Phoenix	Some issues with Auto enrollment in Phoenix assigning the wrong workgroup and effective dates for active/inactive not populating correctly. Correct Workgroup reverts to incorrect Workgroup after Phoenix Operations has previously corrected it.	Other			
Automate Calculation of Retroactive Acting Payments	<p>Automate Calculation of Retroactive Acting Payments when Acting Effective Dates are reported after the time period has passed</p> <p>Refer to PWC-9 (Acting)</p> <p><i>NOTE: System Process Issue</i></p>	Other	PWC	Yes	Late extension of acting not automatically processed by Phoenix
BC Medical Payments	Employees who live in BC are not having their co-pay amounts for BC Health coverage submitted. As a result, they are being billed individually for these amounts.	OCHRO	OCHRO-89		
Benefit Deductions and Remittances	<p>Insurers are not receiving the monthly Remittance report beginning in April 2016</p> <p><i>NOTE: System Process Issue</i></p>	OCHRO	OCHRO-71		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
Bilingual Bonus	BB stops paying on some acting	Other			(Late extensions of acting not automatically processed by Phoenix)
Cancelled Payments Remaining open as Overpayments	Cancelled Payments Remaining open as Overpayments	OCHRO	OCHRO-112	No	
Cash out	Leave cash out not producing a payout for mandatory and voluntary cash out				
Casual Hires	Casual employees are not being paid at the rate quoted in their offer letter. If there are delays in Casual's Pay when they are hired, the retroactive payment made to them is done using the incorrect pay rate.	OCHRO	OCHRO-87		
Changes to Union Dues Deductions and Membership not Consistently Communicated to the Unions	Changes to Union Dues Deductions and Membership not Consistently Communicated to the Unions	OCHRO	OCHRO-110		
Clarification of the Emergency Salary Advance (ESA) and Priority Pay Processes	Departments have asked for clarification on when ESA policy can be applied in non-standard situations such as for a Student who has not been paid but is no longer employed by GoC Priority Pay process must be clear and cover all employee	OCHRO	OCHRO-61		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	<p>situations such as those on leave, retirees, employees on disability</p> <p>NOTE: Issue 50 Process for Priority Payments Combined with Issue 61</p>				
Closed employment record	<p>Cannot enter acting, when substantive record is inactive (i.e. terminated), especially for CCG fleet.</p> <p>Refer to PWC-9 (Acting)</p>	Other			
Closed Period Acting	<p>When the Acting time period is in the past, overtime cannot be entered for the acting time period.</p> <p>Refer to PWC-9 (Acting)</p>	Other		Yes	Late Transactions on Closed Records
Collection of Salary Overpayments by the Pension Centre	Collection of Salary Overpayments by the Pension Centre	OCHRO	OCHRO-127	Yes	Overpayments
Common Defect / Change / Release Management	<p>Integrate UPK, communications and Training</p> <p>Working group required to develop strategies for integrated defect tracking, change management and release management systems and processes</p> <p>Refer to PWC-2 (Communication)</p>	OCHRO	OCHRO-27		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
Communication	No integrated communication to Departments. (HR and PH)	Ceridian	11 - Technology and systems		
Communication	Lack of communication with Departments when PHOENIX is experiencing technical issues	OCHRO	28, 29, 62		
Compensation Web Application (CWA) Help Line	Recorded Message refers callers to Departmental Timekeeper when not all departments have Timekeepers	OCHRO	OCHRO-80		
Control Framework	Provide new end to end Control Frameworks to Departments (includes Satellite Pay Centres)		ISS-9006		
Create Additional Pay	Create additional pay are continuously pro-rating calculations.	Other	IR03772617	Yes	Proration of Part Time Allowances
Critical Issues	Critical issues take too long to resolve.	Other	83 of ISS Log		
CWA for Public Service Health Care Enrollment and Changes in Coverage	CWA for Public Service Health Care Enrollment and Changes in coverage <i>NOTE: System Process Issue</i>	Ceridian	#70 page 15		
CWA for Public Service Health Care Enrollment and Changes in Coverage	Process requires clarification and additional instructions (maybe UPK updates) to ensure employees can apply for health plan coverage in a timely manner and Compensation Advisors can authorize them for access in a timely manner.	OCHRO	OCHRO-90		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
Data entered in PHOENIX instead of HR	Transaction are entered in PHOENIX when they should have gone into HR - CA (pay office) do not have access to HR				
Data Entry and Control not at Source	Data is often not entered at source resulting in increased workload and reduction in the quality and timeliness of multiple HR/Pay transactions.	PwC	PWC-7		
Data Entry of Acting Records is Complex and Time Consuming	Data Entry of Acting Records is Complex and Time Consuming Refer to PWC-9 (Acting)	OCHRO	OCHRO-113	Yes	(Acting Data Entry Complexity)
Data Extracts	Should receive schedules, job stack and job data regularly	Other			
Decimal point difference	Decimals point fields for leave payouts are different in MyGCHR and Phoenix	OCHRO	OCHRO-19	Yes	Hours Data Type Issue in Phoenix
Decimal Point Difference between My GCHR and Phoenix - My GCHR	Fields used to process leave payouts have been configured with different decimal places in My GCHR and Phoenix. My GCHR has a customization to round up the transactions to 2 decimal places from 3 which will need to be removed. <i>NOTE: System Process Issue</i>		ISS-210	Yes	Hours Data Type Issue in Phoenix
Decimal Point Difference between	Fields used to process leave payouts, schedule, leave, etc. have been configured with			Yes	Hours Data Type Issue in Phoenix

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
My GCHR/8.9 and Phoenix	<p>different decimal places in My GCHR/8.9 and Phoenix. This is causing an issue when the amounts submitted to Phoenix by My GCHR are processed.</p> <p>Phoenix may generate a very high number of Phoenix error messages potentially causing performance issues.</p> <p>Insufficient decimal point in Phoenix.</p> <p><i>NOTE: System Process Issue</i></p>				
Deductions deducted more than once	Deductions being deducted more than once if there are more than one paysheet on the pay cycle	OCHRO	OCHRO-6		
Delays employees access to Phoenix	<p>Delays (up to 6 weeks) of employees access to Phoenix</p> <p>Refer to OCHRO-72 (MyKey)</p>	Other		YES	Manual Pension and Benefits Processes
Delete Absence Management Event in Phoenix	<p>There is no way to delete a Leave Without Pay Transaction in Phoenix</p> <p>Note: System Process Issue (NOTE: Related to other LWOP Issue)</p>	OCHRO	OCHRO-28		
Dental Plan Eligibility Files	<p>Eligibility files come at different times from Phoenix</p> <p>These files must be loaded at the</p>				

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	<p>same time into the Great West Live (GWL) system. If the two files are not received together the insurer cannot load them.</p> <p><i>NOTE: System Process Issue</i></p>				
Departments inconsistent	Departments serviced by the pay center do not behave consistently	Web Services	CRA 480		
Disability and Gradual Return to Work	<p>Information is not being provided to the Insurer to allow for insurance payments to be made for the hours not worked. Delays in changing the employee status or activating the employee in Time and Labour may also occur. Disability claim forms are backlogged 90% due to incomplete information. Long term solution - report being developed</p> <p>OCHRO-115 New Applications for Employee Disability/LTD Claims Delayed due to Delay in Receipt of Required Forms</p> <p>Sunlife not getting to form on time.</p>				

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
Disability/LTD and Return to Work (no Rehab)	Disability/LTD and Return to Work (no Rehab)	OCHRO	OCHRO-118		
Documenting Non-Standard Processes	Non Standard processes should be documented in UPK not just the "Happy Path" Relates to GRID Issue 26 above Refer to PWC-2 (Communication)	Other			
Double Deduction	Employees being deducted double the benefits on cheques	Other			
Employee Leave, Leave Comp Time and Leave Balance Corrections	(Corrections required as a result of payroll transaction issues to be completed before Leave Year End and Leave Cash Out processing) (NOTE - Roles should be defined to provide clarifications and another issue is required for direction ahead - Both require a short term solution)	OCHRO	OCHRO-33		
Employee Pension and Insurance Benefit Statements (PIBS)	Data extracts required to produce the PIBS for 2016 have not been successful	OCHRO	OCHRO-98		
Employees Having Pay Reduced upon Transfer	Employees Having Pay Reduced upon Transfer	OCHRO	OCHRO-102		
Employees not enrolled to Time and Labour	New employees are not enrolled to Time and Labour of existing employees lost enrollment to Time and Labour because of job	Other			Time Reporting Issues Time and Labour

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	change Refer to OCHRO-53 (Time and Labour)				
Employees on Disability Begin Receiving Insurance Benefits Still Carrying an Arrears Balance	Employees on Disability Begin Receiving Insurance Benefits Still Carrying an Arrears Balance	OCHRO	OCHRO-114		
Employees on LWOP still receiving Bilingual Bonus	Employees on LWOP still receiving Bilingual Bonus	OCHRO	OCHRO-115		
End to End Testing	Provide dedicated testing databases so testing can be done from My GCHR to Phoenix to Penfax to identify all impacts and issues. <i>NOTE: System Process Issue</i>	Other			
ePost Issues for Retirees - cannot sign up due to delays in processing retirement	ePost Issues for Retirees - cannot sign up due to delays in processing retirement	OCHRO	OCHRO-107		
Error Messages	PHOENIX messages are unclear	OCHRO			
Establish a Means of Communicating to All Users	A process for communicating system outages to all users of My GCHR, GC HRMS and Phoenix. (NOTE: Planned Phoenix Outages will be posted on CWA)	OCHRO	OCHRO-34		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	Refer to (Communication) <i>NOTE: System Process Issue</i>				
EX Acting	EX employees are being paid acting from the beginning of their assignment rather than after 90 days. Investigate a Policy Reset to pay EX Acting from beginning of assignment. Refer to (Acting)	OCHRO	5&6	No	
EX Acting - Paid at the lowest level from the salary scale	EX Acting - Paid at the lowest level from the salary scale Refer to PWC-9 (Acting)	OCHRO	OCHRO-111		
Complicated Acting Calculation and Process	The complexity and volume of Acting scenarios creates excessive manual processing and increases the potential for errors and delays. The payment (including understanding of how payments are represented on paystubs) of Acting transactions is also difficult for employees and managers to understand. OCHRO-68 Acting Managers are unable to approve transactions for the time period when they were acting if they are submitted	PwC	PWC-9	Yes	Acting Data Entry Complexity Data Entry Limitations Process Late Acting Payment Calculation Overpayments Limitations on Managing Overpayment Holds for Web Services

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	<p>after the end of the acting</p> <p>OCHRO-19 There are transactions which were entered into My GCHR but did not transfer to Phoenix on conversion or were added or extended during the blackout/conversion time period.</p> <p>OCHRO-10 Automate Calculation of Retroactive Acting Payments when Acting Effective Dates are reported after the time period has passed</p> <p>OCHRO-43 When the Acting time period is in the past, overtime cannot be entered for the acting time period.</p> <p>EX Acting - Paid at the lowest level from the salary scale</p> <p>Data Entry of Acting Records is Complex and Time Consuming</p> <p>Processing of 2016 acting payments in 2017 resulting in a net zero pay and in other cases resulting in significant overpayment</p>				

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	<p>Cannot enter acting, when substantive record is inactive (i.e. terminated), especially for CCG fleet.</p> <ul style="list-style-type: none"> • Firefighters can act a number of times within a two week pay period – full 24 hour shifts, a 10 hour here, a 14 hour there, and they will also work overtime while acting. Many firefighters are already in excess of 50 records since Phoenix began, and all of these records are entered as closed periods in the past. As a result they have many timecards in T&L, and they never have an open and valid timecard on which to enter their overtime. • Firefighters will also act independently from their own shifts. This is considered “acting for overtime purposes only”. No regular hours are to be paid for this acting – it is only overtime, but at the acting rate. This “acting overtime” is also not pensionable, so we don’t want the pay system to register the acting rate for those days for 				

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	pension purposes. We are still struggling with how to pay this overtime.				
Feedback on Questions and Issues	<p>Departments indicate they have outstanding cases which have been escalated and still there is no feedback provided (NOTE: Meeting will be once a week and questions will be tracked and posted to GC Connex)</p> <p>Escalation for Phoenix and Pay Centre Issues</p>	OCHRO	OCHRO-60		
Fire Fighters	<p>The only time firefighters have huge issues in Phoenix is when they act. They act a LOT! There are issues with pay, but also (and even more so) in Time and Labour. Phoenix doesn't handle FR acting well for a number of reasons:</p> <p>Refer to OCHRO-53 (Time and Labour)</p> <ul style="list-style-type: none"> Phoenix is configured to pay acting pay on a "daily" basis. Firefighters at DND work two shifts in a 24 hour period. A 10 hour "day" shift and a 14 hour "night" shift. Sometimes they 	Other		Yes	Time Reporting Issues Time and Labour

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	<p>will act for the entire 24 hour period, or one of the two shifts. Because they have a 42 hour work week, Phoenix automatically pays 8.4 hours of acting per day. Every acting pay sent in for a firefighter must be also submitted on a PAR as an “acting exception”.</p> <p>Refer to PWC-9 (Acting)</p> <ul style="list-style-type: none"> • Firefighters can act a number of times within a two week pay period – full 24 hour shifts, a 10 hour here, a 14 hour there, and they will also work overtime while acting. Many firefighters are already in excess of 50 records since Phoenix began, and all of these records are entered as closed periods in the past. As a result they have many timecards in T&L, and they never have an open and valid timecard on which to enter their overtime. • Firefighters will also act independently from their own shifts. This is considered “acting for overtime purposes only”. No regular hours are to be paid for 				

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	<p>this acting – it is only overtime, but at the acting rate. This “acting overtime” is also not pensionable, so we don’t want the pay system to register the acting rate for those days for pension purposes. We are still struggling with how to pay this overtime.</p>				
Garnishment Deductions	<p>Court ordered garnishments (may be all garnishments?) are not being removed from an employees pay during periods that an employee is acting for a partial pay period.</p> <p>Garnishments are not remitted on time.</p> <p><i>NOTE: System Process Issue</i></p>			Yes	Garnishment Deductions
GWGCC deductions	<p>e-pledge only exists in the NCR region, no method for employees of outside the region to easily start GWGCC deductions</p>	OCHRO	OCHRO-82		
Historical Cleanup of Data Required by Penfax	<p>Phoenix is to supply pre-1990 employee data to Penfax</p>	Other			
HR - 8.9 vs 9.1 Data entry	<p>HR systems are different and 8.9 data entry for acting are more onerous.</p>				

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
In some cases, Pension is receiving prorated allowances (e.g. bilingual bonuses) when member is allowed to receive full amount.	Penfax could understate or overstate a member's pension.	OCHRO	OCHRO-40		
Inadequate Stakeholder Engagement and Governance	The governance model and the level of stakeholder engagement are inadequate to ensure HR/Pay solutions effectively meet operational and business requirements.	PwC	PWC-1		
Integrated Communications with Clients	Multiple service desks for similar issues, should have single point of contact. More communications to departments regarding Phoenix outages and updates	OCHRO			
Integrated Communications with Clients	(for Phoenix, My GCHR and GCHRMS) Establish an integrated protocol so clients receive seamless communications Clients are concerned they do not receive advance notice of releases, fixes, changes to the systems Communication should be written to target employees (less	OCHRO	OCHRO-45		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	<p>compensation jargon).</p> <p>(OCHRO-34) A process for communicating system outages to all users of My GCHR, GC HRMS and Phoenix. (NOTE: Planned Phoenix Outages will be posted on CWA)</p> <p><i>NOTE: System Process Issue</i></p>				
Integrated end to end testing environment (Phoenix, Integration, HR systems, Penfax)	Inability to test changes or updates in an integrated environment for Departments.	Other			
Integrated Workload Management Strategy and Approach	The volume and distribution of workload across the HR/Pay communities is not currently resourced, prioritized and organized to achieve all standards of timeliness in the Terms and Conditions of Employment.	PwC	PWC-4		
Integration	Messages take minutes, hours or days	Other			
Interchange Section 34 managers	<p>Section 34 managers who are managers are not in Phoenix to approve transactions</p> <p>Refer to OCHRO-29 (Sec. 34)</p>	Other			

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
IS process for Salary Recovery between departments	IS process for Salary Recovery between departments	OCHRO	OCHRO-92		
Isolated Post Allowances (IPA) and Vacation Travel Assistance (VTA) Allowances Not Being Paid	Isolated Post Allowances (IPA) and Vacation Travel Assistance (VTA) Allowances Not Being Paid	OCHRO	OCHRO-88		
Job stack issue	TIN/TOU process causes job stack issues			Yes	Transfer In/Out
Job Stack mapping	Job stack mapping is key to integration. The map contains key fields which links records between Phoenix and My GCHR/8.9. Integration issues impacts the job stack and any future transactions in Phoenix.	OCHRO	21	Yes	Data Not Aligning Between HR Systems and Phoenix (Job Stack)
Job Stack mapping	To analyse and recommend cleanup for Job Data records between My GCHR and Phoenix When a Job row is deleted in the HR System it is not automatically deleted in Phoenix. Deletion in Phoenix requires manual intervention by a Compensation Advisor	OCHRO	OCHRO-14	Yes	Data Not Aligning Between HR Systems and Phoenix (Job Stack)
Job Stack mapping	Pay rate change causes misalignment with job stack.			Yes	Data Not Aligning Between HR Systems and Phoenix (Job Stack)

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
Lack of End-to-End Control Framework and Business Processes	<p>HR, Compensation and Finance end-users do not have confidence in the solution because they are unable to effectively validate and understand the results of actions completed by employees, managers, HR, Compensation, Finance or Phoenix.</p> <p>CCG-1 Departments would be able to help manage cases and avoid employees going to PSPC for answers. All Staffing coordinators need limited view access (Job and Personal Info) to ensure correct data entry. Departments need to have multiple roles (i.e. HR Analyst role and Timekeeper, etc.). Current policy of segregation of duties limit their ability to troubleshoot and assist employees.</p>	PwC	PWC-3		
Lack of End-to-End HR/Pay Performance Standards and Metrics	The GC does not have a corporate approach to track and evaluate its ability to meet all standards of timeliness in the Terms and Conditions of Employment.	PwC	PWC-5		
Lack of Integrated HR and Pay In-	The GC does not have a corporate HR/Pay accountability	PwC	PWC-2		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
Service Support (ISS)	<p>and delivery framework to integrate communications, knowledge management, training, in-service support and release management process (incl. planning, solution design, requirements gathering, alternative assessments, development, testing, training, procedures and release).</p> <p>OCHRO-21 Integrated responses provided to clients of My GCHR and Phoenix Support/Client Services</p> <p>OCHRO-26 Updates to training materials, UPK and Web sites as a result of issue resolution</p> <p>OCHRO-36 Non Standard processes should be documented in UPK not just the "Happy Path" Relates to GRID Issue 26 above</p> <p>OCHRO-27 Integrate UPK, communications and Training Working group required to develop strategies for integrated defect tracking, change management and release</p>				

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	<p>management systems and processes</p> <p>OCHRO-83 UPK Working Group could determine common language for error messages. Validation will be required by Phoenix)</p>				
Lack of payline access	There are many times during pay processing where Payline access is removed. This limits the types of actions that can be processed during these windows	OCHRO	OCHRO-12		
Late Acting	Two step processing failing when either recovering substantive or paying acting. Acting not being paid, paying wrong amounts, deductions double deducted, taxes and pension deducted too much. Also errors when other actions overlap the late acting period (i.e. TSOS)	OCHRO	54 & CRA 860	Yes	(Acting Data Entry Complexity)
Late Acting	E117 (automation of late acting process) process doesn't pay out at times, though it appears in the system that it has.	Web Services	CRA 826	Yes	No Pay After Late Acting Automation
Leave and Comp cash out	Leave and Compensatory cash outs are not paying correctly	OCHRO	33		
Leave of Absence Entries	Departments would like to enter the return from leave of absence entries in My GCHR for their employees.	OCHRO	OCHRO-56		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
Leave with Income Averaging	HR unable input actings or job changes when employee is on LIA as it requires coordination with Pay Centre	Other			
Leave with Income Averaging	<p>Employee deductions are not starting when they return from leave</p> <p>Strategic Compensation CPA Management is unlikely to revise the Directive on Leave and Special Working Arrangements since these are statutory deductions such as EI.</p> <p>Phoenix working with ESDC to come to a solution re EI deductions.</p>				
Leave Without Pay Transactions	Leave without pay transactions (from Absence Management for less than or equal to 5 days) must be sent from My GCHR to Phoenix on a daily basis to ensure employees are paid correctly	OCHRO	OCHRO-3	Yes	
Leave Year End Excess Leave Payouts	Employees leave credits beyond carryover limits must be paid out before leave year end based on contractual provisions and timing. The system processes required to automatically identify and send these	OCHRO	OCHRO-97		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	transactions for payment through My GCHR and Phoenix are not operating correctly				
Letter	Hire and Termination Letter	Web Services	CRA 811		
LWOP	Stop Pensionable entitlement on LWOP	Other		Yes	LWOP greater than 5 days
LWOP < 5	LWOP < 5 days only transferring to Phoenix once a month causing a buildup of LWOP to be deducted all at once. In addition, issues with reversing LWOP	OCHRO	35	Yes	LWOP ≤ 5 days
LWOP ≤ 5 days	LWOP ≤ 5 days is monthly			Yes	LWOP ≤ 5 days
LWOP greater than 5	LWOP greater than 5 not input on time by Pay Centre	OCHRO	18	Yes	LWOP greater than 5 days
LWOP affecting Pension	LWOP ≤ 5 days used to when it should be 6 days or more. Issues with pensioners returning to work split their LWOP days instead of TSOS to avoid getting off pay.	OCHRO	29		LWOP greater than 5 days
Manager Email Notification Long Term Solution	Managers do not receive email notifications from Phoenix when they have pending items to address	OCHRO	OCHRO-2		
Mandatory Leave Payouts	Compensatory Leave which must be paid out according to contractual deadlines throughout the year and provisions cannot be processed	OCHRO	OCHRO-96		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	automatically through My GCHR and Phoenix				
Manual Pension and Benefits Processes	Benefits not started in timely matter when employee is eligible for benefits (PSHCP, DCP, etc.)	Other		Yes	Manual Pension and Benefits Processes
Manual Pension and Benefits Processes	<p>Manual processing of pension and benefits actions is often processed in arrears, resulting in errors, delays and/or defaults to employee's benefits coverage. This also limits the complete automation of upstream HR/Pay actions and could impact employee's access to Phoenix.</p> <p>OCHRO-72 Are new hires getting their packages and are they being setup for access to CWA so they can enrol</p> <p>May take up to six weeks.</p> <p>NOTE: System/Business Process Issue</p> <p>OCHRO-17 Provide documented end to end process for acquiring MyKey Access</p>	PwC	PWC-6		
Multiple HR systems feeding one pay system	Phoenix have reduced capacity to take data from multiple sources.	<i>OCHRO</i>	<i>OCHRO-20</i>		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
myKey access	Delays in getting CWA / myKey access due to data going from Phoenix to Penfax not as frequently	OCHRO	8		
MyKey Access Identity Authentication - Short Term Solution	Provide documented end to end process for acquiring MyKey Access Refer to OCHRO-72 (MyKey)	OCHRO	OCHRO-17		
New Applications for Employee Disability/LTD Claims Delayed due to Delay in Receipt of Required Forms	New Applications for Employee Disability/LTD Claims Delayed due to Delay in Receipt of Required Forms Sunlife not getting to form on time. Refer OCHRO-64 (Delays of disability)	OCHRO	OCHRO-116		
New hires/rehires as well as student	New hires are taking too long to process residual pay actions such as pay above the minimum, benefits and entitlements. Hire at first increment requires a PAR exception to Pay Center to pay above minimum.	Other		Yes	Auto Salary Calculation not Handling Salary Above Minimum or CRA Cumulative Rules
Nightly run of Time Admin program	Nightly run of Time Admin program is not consistent causing delays in approvals and processing, affecting EDP and pay for positive time reporters.	OCHRO	OCHRO-79		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	No Pay impact for some employees.				
No Automation of Production of Letters, Forms & Email	Compensation Advisor efficiency is negatively impacted by the administrative burden associated with manually generating outputs required by multiple HR/Pay transactions.	PwC	PWC-8		
Non-derived Allowance	Allowances are stopped and not-restarted on Actings or job change. Allowances paid as "Additional Pays" in Phoenix, including the Bilingual Bonus, and Integrated Border Services Allowance (for CBSA only) are not paying correctly when certain other pay actions are processed on the account. The allowances are recovered when they should be paying and in other cases they start paying while employees are on leave	Other	CRA 480	Yes	Interruption of Allowances While Acting
Non-derived Allowance	Isolation post allowance (IP) - timing issue, allowances should follow the employee and not the job	Other	Reference exists, must confirm source	Yes	Interruption of Allowances While Acting
Non-Refundable deductions	Non-refundable deduction should be non-reversible. Automated process (R14) not working properly?	Other		Yes	Non-Refundable Deductions

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
Nurse Allowances	Nurse allowances stopped and not-restarted on Actings or job change	OCHRO	OCHRO-81		
OCHRO Oversight	OCHRO needs to have a faster interdepartmental response time.	Other	PWC		
On and Off cycle confirm taking too long	On and Off cycle confirms take long to process (over the weekend) and prone to system issues	OCHRO	OCHRO-38		
On boarding Packages for New Hires	<p>Are new hires getting their packages and are they being setup for access to CWA so they can enrol</p> <p>May take up to six weeks.</p> <p>NOTE: System/Business Process Issue</p> <p>Refer to PwC-6 (Manual Process)</p> <p>OCHRO-17 Provide documented end to end process for acquiring MyKey Access</p>	Ceridian	PWC		
Open Issues	Pay professionals need access to IRs and CRs				
Over recoveries	<p>Departments have noticed that some overpayments have been over recovered.</p> <p>There is no way for Finance to contact the pay centre to have</p>	OCHRO	OCHRO-94	Yes	Overpayments

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	<p>the discrepancy confirmed or corrected.</p> <p>Refer to DND-Escalation-1</p>				
Overpayment hold	Phoenix puts all overpayments above 10% of gross pay on permanent hold, which results in steadily increasing overpayment balances. In many cases, overpayments are generated along with a corresponding payment, and these do not net out due to the permanent overpayment hold	OCHRO	OCHRO-10	Yes	Overpayments
Overpayments	<p>A lot of issues with collection of overpayments. Either not happening or happening without notification</p> <p>OCHRO-92 Overpayments are recorded in one department while the recoveries received are recorded in the employee's new department. Departments have no way of finding out which department is involved to initiate an IS transaction.</p> <p>OCHRO-93 Departments have noticed that some overpayments have been over recovered. There is no way for Finance to</p>	Other	DND-Escalation-1	Yes	Overpayments

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	<p>contact the pay centre to have the discrepancy confirmed or corrected.</p> <p>OCHRO-102 Overpayments recovered from employees without notification</p> <p>Requirement to pay gross amount of overpayment vs the net amount of overpayment that was received.</p> <p>Require a resolution that is not punitive to employees and communication directly to employees from PSPC.</p>				
Overpayments recovered from employees without notification	<p>Overpayments recovered from employees without notification</p> <p>Refer to DND-Escalation-1</p>	OCHRO	OCHRO-103	Yes	Overpayments
Overpayments recovered from other departments	<p>Overpayments are recorded in one department while the recoveries received are recorded in the employee's new department. Departments have no way of finding out which department is involved to initiate an IS transaction.</p> <p>Refer to DND-Escalation-1</p>	OCHRO	OCHRO-93	Yes	Overpayments

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
Overtime Cash Out Transactions	OT Cash out transactions from My GCHR not reaching Phoenix <i>NOTE: System Process Issue</i>	OCHRO	OCHRO-49		
Overtime for Remittances	Pay processing schedule is one day later now, causing FPAD (accounting) to need to work every second weekend			No	
PAR rejections	department seeing a lot of rejects for PARS stating that they should have submitted a feedback form Refer to communication	Other			
Part Time Employees	Part time employee's first and last pay is calculated incorrectly				
Pay Accounts Reconciliation - for Employees Retiring from the Public Service	Pay Accounts Reconciliation - for Employees Retiring from the Public Service	Other			
Pay Action Request Form (PAR)	Effective date of the transaction is placed close to the manager's approval and is confusing for users. Will require modifications to the Case Management Tool to match changes in form. Allow for additional lines in Comments box.	Ceridian	3		
Pay does not always resume	When Pending Y rows are removed (i.e. term extension,	OCHRO	OCHRO-89		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
when Pending Y is removed	term to perm) in some cases pay does not resume				
Pay Processing Delays	Delays in processing payments including EDP, Hire, Terminations, Transfers etc.	OCHRO	35		
Pay Processing Issues/Delays	Number of issues with payments including: Overtime, Extra Duty Pay, Compensatory time off not available for use. Delays in LWOP on or off, Hire, Terminations, Retirements, Transfers in, etc. (NOTE: Back-Log, Pay Centre BPs both contribute to these issues)	OCHRO	OCHRO-52		
Payline access	Payline access is needed	Ceridian	13		
Paystub	Paystubs are unclear to employees	Web Services			
Pending pay transaction due to Section 34 managers left department/agency	Pending pay transactions for Section 34 managers who have left departments but not yet transfer out. Refer to OCHRO-29 (Sec. 34)				
Pending Y	Delays in deleting Pending Y row impacting employees pay, causing new Employee Record to be created. Pending Y causes Job stack misalignments where rehire are done as well as causing issues integrating a Termination row in Phoenix.	OCHRO	58	Yes	Complicated Termination Process

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
Pending Y	Pending Y causes job stack misalignment (termination should just be a termination)			Yes	Complicated Termination Process
Pending Y	Termination transactions are complicated creating processing delays, overpayments and errors. Potential solution is to remove Pending Y and entered TER row.	PwC	PWC-10	Yes	Complicated Termination Process
Pending Y Process	Wait for Overnight Phoenix Processing (if on Tuesday = 2 days if pay week)	Web Services			
Pension is not receiving some salary transactions from Phoenix that correspond with revisions.	Penfax is unable to reflect the salary changes and the members account will not reflect the true salary (understated) which may impact calculations.	OCHRO	OCHRO-29		
Pension is not receiving transactions from Phoenix when changes are made to the employment status (e.g. casual converts to an indeterminate position).	Penfax will result in corruption of data and not being in synchronization with Phoenix. Could also lead to posting errors.	OCHRO	OCHRO-58		
Pension is receiving a very high volume of unexpected and	Penfax could understate or overstate a member's pension and in some instance would	OCHRO	OCHRO-54		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
additional transactions during Mass salary revisions.	result in corruption of data and posting errors.				
Pension Processing Impacts from Phoenix and Pay Centre Issues	Pension Processing Impacts from Phoenix and Pay Centre Issues	OCHRO	OCHRO-104		
Pension Service Date / Continuous Service Date Not Entered into HR Systems	<p>Pension Service Date / Continuous Service Date Not Entered into HR Systems</p> <p>Delays (weeks and sometime months) in entries of service dates and transfer leave credits in HR System once the employees have been transferred.</p>	OCHRO	OCHRO-85		
Phoenix support model	Phoenix doesn't provide technical or functional support to Departments serviced by Pay Center. Lack of integration in support model for service providers (My GCHR, Phoenix). Lack of resources/SME available to troubleshoot complex issues.	OCHRO	27, 61		
Phoenix amends Tax slips for prior year adjustments when not required	All recoveries in 2016 sent through the I134 time interface are processed by the prior-year off cycle which updates tax slips. In many cases this is not the	OCHRO	OCHRO-72		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	intent of the recoveries which results in errors on Tax slips				
Phoenix Change Management process	Often web services departments are not informed of changes that are made to Phoenix until after the fact. There is not an opportunity to test system changes in advance to ensure that changes to Phoenix do not impact HR systems	OCHRO	OCHRO-13		
Phoenix Error Messages Slow and/or Delayed Receipt	Phoenix Error Messages Slow and/or Delayed Receipt	OCHRO	OCHRO-86		
Phoenix Group Memberships	Some employees are missing the T&L group membership. The can submit their EDP in Phoenix, but it never gets to their Sec 34 manager for approval.	OCHRO	OCHRO-63		
Phoenix messages	Phoenix messages return cryptic error messages that are hard for the user to determine actual error	OCHRO	OCHRO-53		
Phoenix overpayments instead of paying difference between rates	Phoenix decision to create overpayments and do complete payments for retroactive periods often results in no pay/low pay situations.			Yes	Overpayments
Phoenix overpays employees when EDP is moved from	When a late acting is processed for a period where EDP had been reported Web Services departments must send reversals	OCHRO	OCHRO-69	Yes	Limitations on Managing Overpayment Holds for Web Services

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
one Employee Record to another	for the EDP via the I134 time interface and repay it on the new Empl Record. When this occurs Phoenix puts the recoveries on hold and pays the overtime a 2nd time resulting in overpayments				
Phoenix reporting	Unable to get reports from Phoenix (Job Data, Job Stack, Schedules)	OCHRO	62		
Phoenix Roles Assignment	Restrictions in assigning roles in Phoenix limiting the ability of Departments to support employees. Ex: HR Analyst and Timekeeper	Other		No	
Positive time / EDP rejected by payroll	EDP and positive time gets rejected by payroll due to Employee Record either closing or on incorrect Employee Record (where proper Employee Record is not available)	Other	PWC		
Pre-conversion Acting	past acting (prior to conversion) in HR system but not paid				
PRE-Phoenix	Overpayments for Terminations	Web Services	CRA 487	Yes	Overpayments
Pre-Retirement Transition Leave	Cannot reflect a 30 standard hour week in Job Data which conflicts with the Schedule and causes pay issues. <i>NOTE: System Process Issue</i>	Ceridian	#69 page 15		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
PRI	Central index is not being checked	Other	PWC End to End		
Process Documentation	HR business process are not properly documented	Other	PWC		
Process Documentation	End to End business processes need to be documented	Other	PWC		
Process Documentation	Pay Processes need to be properly documented.	Other	PWC		
Processing of Retro Acting	Processing of 2016 acting payments in 2017 resulting in a net zero pay and in other cases resulting in significant overpayment Refer to PWC-9 (Acting)	-	-	Yes	(Acting Data Entry Complexity)
PRTL (Pre-retirement Transition Leave)	PRTL Absence not recorded in PeopleSoft due to system issues and resources. Causes cascaded effects such as when employee works on their day off (it is neither OT or additional hours)	OCHRO	43		
Public Service Dental Care Plan (PSDCP) Coverage Start Date	Public Service Dental Care Plan (PSDCP) Coverage Start Date	OCHRO	OCHRO-125		
Public Service Dental Care Plan (PSDCP) LWOP	Public Service Dental Care Plan (PSDCP) LWOP	OCHRO	OCHRO-126	Yes	

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
Public Service Health Care Plan (PSHCP) Amending Coverage	Public Service Health Care Plan (PSHCP) Amending Coverage	OCHRO	OCHRO-123		
Public Service Health Care Plan (PSHCP) Coverage Start Date	Public Service Health Care Plan (PSHCP) Coverage Start Date (See also OCHRO-73)	OCHRO	OCHRO-122		
Public Service Health Care Plan (PSHCP) Foreign Posting Coverage	Public Service Health Care Plan (PSHCP) Foreign Posting Coverage	OCHRO	OCHRO-124		
Public Service Management Insurance Plan (PSMIP) Premium Calculations	Public Service Management Insurance Plan (PSMIP) Premium Calculations	OCHRO	OCHRO-121		
Public Service Management Insurance Plan (PSMIP) Employees on LWOP	Public Service Management Insurance Plan (PSMIP) Employees on LWOP	OCHRO	OCHRO-120	Yes	LWOP >5 days
Public Service Management Insurance Plan (PSMIP) New Hires	Public Service Management Insurance Plan (PSMIP) New Hires	OCHRO	OCHRO-119		
Public Service Management Insurance Plan	Are premiums based on employee insurable annual salary and deducted monthly?	OCHRO	OCHRO-70		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
(PSMIP) Premium Deductions	Formerly titled: LTD Premium Deductions <i>NOTE: System Process Issue</i>				
Quality Assurance Reports	Quality Assurance reports are not available to departments.	OCHRO	OCHRO-91		
Query Access	CA need query access	Web Services	CRA 600		
Record of Employment (ROE)	Issues with timing and without complete data. This impacts ability of employees to apply for EI, QPP, or Maternity Leave Top-Ups. (Can result in Under or Over Payments) (1. Phoenix is changing the process to run before the end of the week which will allow for earlier ROE. 2. Backlog is also contributing to this issue, especially for LWOP.) <i>NOTE: System Process Issue</i>				
Redesign of Post Payment Verification (PPV)	Departments are now receiving multiple files which they use in the PPV process (PeopleSoft, SAP, Phoenix, and HR Portal). This complicates the PPV process and requires departments to redesign this work				

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	Because Pre-Payment Verification is not being done.				
refunds of union due and pension	pay centre seems to be unable to refund employees when they have overpaid pension and union dues Refer to DND-Escalation-1	Other			
Remittance Reports	Remittance Reports i33 and i30 in PHOENIX are inaccurate.	Other		Yes	Cheques Being Rejected by Standard Payment System
Repayment of Gross Pay vs Net Pay	Requirement to pay gross amount of overpayment vs the net amount of overpayment that was received. Require a resolution that is not punitive to employees and communication directly to employees from PSPC. Refer to DND-Escalation-1			Yes	Overpayments
Reporting (Was formerly titled Stabilization Period Issues)	Departments have difficulty due to lack of reports (NOTE: Need to capture all operational reporting requirements for Departments -) Working group is required	OCHRO			
Reporting of DI hours	DI hours being reported to Sun Life not done in a timely matter				

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
Resources	Lack of resources - attract and inability to retain resources	Web Services			
Retroactive Acting Automation Impacts PAYE at year end	Retroactive Acting Automation Impacts PAYE at year end	OCHRO	OCHRO-105	Yes	(Acting Data Entry Complexity)
Retroactive Payments taking Deductions which should not be Taken	When retroactive payments are made deductions which should not be taken are deducted e.g. disability, ltd. <i>NOTE: System Process Issue</i>	OCHRO	OCHRO-44		
Retroactive Transactions in My GCHR Send Messages to Phoenix	Users do not understand that their entries are sent to Phoenix - develop UPK topics to cover this area Relates to GRID Issue 26 above				
Return from Leave	Return from Leave not input on time by Pay Centre	OCHRO	18		
Review Phoenix Custom Pending "Y" Functionality	Pending "Y" functionality has been cited as creating a number of no pay situations. Departments have requested a review of this process (NOTE - Training will be addressed in the 2nd set of SWAT Topics - Short Term) (Phoenix design change analysis - Long Term) Pay Center is not processing Pending Y timely.			Yes	Complicated Termination Process

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	Refer to PWC-10 (Termination) <i>NOTE: System Process Issue</i>				
Review triage at PSPC Pay Center	No pay should always be priority one regardless of pay period that occurs. At which point priority 3 should be escalated to priority 1. For example, an employee should not go 10 months without benefits.	Other	CCG-2		
Revise Phoenix Error and Broadcast Messages to Improve Understanding -	UPK Working Group could determine common language for error messages. Validation will be required by Phoenix) (NOTE: Invite departmental members of the DG committee) (NOTE: Message definitions could be changed in Phoenix) Refer to PWC-2 (Communication)	OCHRO	OCHRO-84		
Roles and Responsibility	Partner roles need to be clarified (OCHRO, service providers, Pay)				
Schedule synchronization	Schedules synchronization between My GCHR and Phoenix is highly problematic. Adding, modifying or deleting schedules doesn't flow to Phoenix	OCHRO	7, 50,51	Yes	Schedule Synchronization

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	impacting employee's pay and schedules.				
Schedule synchronization	Schedules are not aligned			Yes	Schedule Synchronization
Schedule synchronization	Ongoing synchronization of the schedules between My GCHR and Phoenix is required (to ensure the standard and personal schedules available are the same in both systems)	OCHRO	OCHRO-15		
Section 33	Payments not being verified by Section 34 before they come to Section 33, therefore we see a lot of mistakes coming through. Window for authorization does not give us enough time to do our due diligence Refer to OCHRO-22	Other		Yes	Section 33 Approvals
Section 33 approval	Issues with approval and timeliness of approvals for Finance	OCHRO	1,2,3	Yes	Section 33 Approvals
Section 33 approvals	Length of time it takes to Save an approval OCHRO-51 Some Section 33 approvals have not appeared in Phoenix OCHRO-67 Complex schedules for conducting Section 33 approvals impact ability to	OCHRO	OCHRO-22	Yes	Section 33 Approvals

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	<p>perform Pre-Payment Verification</p> <p>Payments not being verified by Section 34 before they come to Section 33, therefore we see a lot of mistakes coming through. Window for authorization does not give us enough time to do our due diligence</p>				
Section 33 Approvals Not Appearing in Phoenix (from self-service)	<p>Some Section 33 approvals have not appeared in Phoenix</p> <p>Refer to OCHRO-22</p>	OCHRO	OCHRO-51	Yes	Section 33 approvals
Section 33 Issues - Pre-Payment Verification Process	<p>Complex schedules for conducting Section 33 approvals impact ability to perform Pre-Payment Verification</p> <p>Refer to OCHRO-22</p>	OCHRO	OCHRO-67	Yes	Section 33 Approvals
Section 34 approval	<p>Issues with Sec 34 approvals while acting after the acting has ended, or approvals sent to a Timekeeper instead of Section 34 manager.</p>	OCHRO	68	Yes	Section 34 Approvals
Section 34 Approvals	<p>Managers not approving transactions.</p> <p>Requests sent but no available on Section 34 manager list.</p>	OCHRO	46		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
Section 34 Approvals	<p>Section 34 Approvals duplicated in both systems. Required in both My GCHR and Phoenix (LWOP less than 5 days)</p> <p>Question if My GCHR has Section 34 approval</p> <p>Section 34 Mangers cannot approve transactions because of delays in transfer (months).</p> <p>Section 34 managers who are managers are not in Phoenix to approve transactions</p> <p>Pending pay transactions for Section 34 managers who have left departments but not yet transfer out.</p>				
Section 34 Approvals while Acting	<p>Acting Managers are unable to approve transactions for the time period when they were acting if they are submitted after the end of the acting</p> <p>Refer to PWC-9 (Acting)</p>	OCHRO	OCHRO-68	Yes	Data Entry Limitations
Section 34 Certification Delays	Delays in certification of pay transactions result in Managers not being able to conclude the approval	OCHRO	OCHRO-65		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
Section 34 managers not transferred in	<p>Section 34 Mangers cannot approve transactions because of delays in transfer (months).</p> <p>Refer to OCHRO-29 (Sec. 34)</p>	Other			
Service dates and transfer leave credits	<p>Delays (weeks and sometime months) in entries of service dates and transfer leave credits in HR System once the employees have been transferred.</p> <p>Refer to OCHRO-84 (Service Dates)</p>	Other			
Service Provider Capacity	Multiple service providers are working in silos towards the same goal. All teams are short on capacity.	Web Services	CRA 836		
Some entries from One Time Payment file are dropped with no notification	When One Time Payment files (E23) are loaded by web services departments, a small percentage of the entries are not processed by Phoenix. When this occurs no notification is sent back to the department. We don't find out about these until the employee complains	OCHRO	OCHRO-78		
Some job rows do not return in I049	When a CA modifies an existing job row in Phoenix instead of adding a new row (to change the pay rate for example), these rows do not always return in the	OCHRO	OCHRO-76		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	I049 resulting in impacts on the departmental HR system				
Special Deployment	Special Deployment have Pending Y	Web Services	CRA 526		
Students Paid at \$1	Students Paid at \$1	OCHRO	OCHRO-100		
Students/Hires Above Minimum	HR unable to directly send updated salary to Phoenix if student or employee is hired above minimum salary	Other		Yes	Auto Salary Calculation not Handling Salary Above Minimum or CRA Cumulative Rules
synchronized Help Desk Support	Integrated responses provided to clients of My GCHR and Phoenix Support/Client Services Refer to PwC-2 (Integrated Support)	OCHRO	OCHRO-21		
System access	Staffing should have view access to job data in PH				
System Input Processes	Departments would like documentation to outline the order in which transactions should be entered into My GCHR and GC HRMS to align accurately with Phoenix Relates to GRID Issue 26 above. Phoenix has constraints that does not allow departments to enter transactions in their HR system without causing Pay issues.	Other			

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	Require a resolution that allows for data-entry to take place on all work-days without limitation, and clarification and communication to departmental HR teams.				
<p>System/Data Issue</p> <p>Pension is receiving an error code from Phoenix for members who have a "future dated" leave (leave is scheduled at a future date).</p> <p>No Service buyback or Leave without pay deductions are being taken even if they are still in receipt of a pay.</p> <p>Raised to Pay in September 2016</p>	<p>Pension Data Integrity</p> <p>Members service buyback plan will default for the missing deduction. Member would also be penalized with extra mortality and interest charges.</p>	OCHRO	OCHRO-26		
<p>System/Data Issue</p> <p>Pension is receiving an error code from Phoenix for some group 2 members</p>	<p>Financial Impact to Members</p> <p>Members' plan will default for the missing deduction. Member would also be penalized with extra mortality and interest</p>	OCHRO	OCHRO-36		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
<p>(Bill C-45). Not all service buyback deductions are being taken.</p> <p>Raised to Pay in January 2017</p>	<p>charges.</p> <p><i>As per reply from Mike Allan below, to summarize item #59 and #57:</i></p> <p>- <i>Regarding item 57, IR03717541 was created and this is on a priority list that has been shared with the ADM with mandate given to Pay to implement a fix to resolve the issue. CR (ICMS-4379) was since created (01-Sep-2017) to address this issue.</i></p> <p><i>Thanks</i> <i>Line Turcotte</i></p>				
<p>System/Data Issue</p> <p>Phoenix is not sending Penfax certain leave without pay (LWP) amendments and/or adjustments.</p> <p>Raised to Pay in November 2016</p>	<p>Pension Data Integrity</p> <p>Penfax Leave without pay end dates will become out of synchronization with Phoenix's. Incorrect amount of pension deficiencies could be calculated.</p> <p>Penfax will understate/overstate a member's pension.</p>	OCHRO	OCHRO-43		
<p>System/Data Issue</p>	<p>Financial Impact to Members</p>	OCHRO	OCHRO-31		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
<p>Phoenix is not taking the requested deductions (service buybacks and leave without pay) from members who are receiving multiple pays.</p> <p>Raised to Pay in September 2016</p>	<p>Members' plan will default for the missing deductions. Member would also be penalized with extra mortality and interest charges. Increase volume of calls to Pension Centre from impacted members.</p> <p>Pension is required to manually intervene and correct impacted accounts.</p> <p>Risk of human error.</p>				
<p>System/Data Issue</p> <p>Phoenix is sending Pension duplicate salary (SAL) transactions.</p> <p>Raised to Pay in October 2016</p>	<p>Pension Data Integrity</p> <p>Risk of duplicate transactions overriding existing data and corrupting members account. Could also lead to posting errors. Require manual intervention to correct impacted accounts.</p>	OCHRO	OCHRO-59		
<p>System/Data Issue</p> <p>Phoenix is sending Pension salary transactions for certain entitlement codes (i.e. Supervisor Differential) with the incorrect amounts.</p>	<p>Pension Data Integrity</p> <p>Penfax will understate/overstate a member's pension.</p>	OCHRO	OCHRO-37		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
<p>Raised to Pay in April 2016</p>					
<p>System/Data Issue</p> <p>Phoenix is taking extra deductions (service buyback and leave without pay) that were not requested by Penfax.</p> <p>Raised to Pay in August 2016</p>	<p>Pension Data Integrity and Financial impacts to clients Increase volume of calls to Pension Centre from impacted members. Pension is required to manually intervene and correct impacted accounts. Risk of human error.</p> <p><i>As per reply from Mike Allan below, to summarize item #59 and #57:</i></p> <p>- For item 59, Pay implemented a fix on Aug. 30, 2017 that will come into effect on the next September 20, 2017 pay period. We will only know if the fix worked after this pay period.</p> <p><i>Thanks Line Turcotte</i></p>	OCHRO	OCHRO-7		
T4 and Relevé 1	<p>Producing the T4s and Relevé 1s will be impacted by current employee over payments, underpayments. Report on situations which will</p>	OCHRO	OCHRO-23	Yes	T4 and Relevé 1

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	impact year-end tax reporting NOTE: Process for employees who want to pay overpayments should be communicated - that this is allowed now is not known.				
TBS Reporting Interface (1099)	TAPP Portal App Interface OCHRO is receiving interface files but data is missing or incorrect NOTE: System Process Issue	OCHRO	OCHRO-32		
Term Employees moving to New Departments Not being Paid	Term Employees moving to New Departments Not being Paid Sometime double pay occurred	OCHRO	OCHRO-106		
Time Reporter Issues	Auto enroll process occasionally fails where records become active/inactive in error and employees are placed into incorrect workgroups (No EDP)	OCHRO	OCHRO-55		
Time reporting issues	Shift workers (HP and EG) Stats Holiday not identified correctly. Wrong rate of OT pay for certain groups. Firefighters' issues with time entry.	OCHRO	36	Yes	Time Reporting Issues Time and Labour
Time Reporting Issues Time and Labour	Heating Plant and EG group stat holiday not correct. Firefighters have multiple issues with time entry Max hours for time reporting codes are incorrect Unable to approve time for			Yes	Time Reporting Issues Time and Labour

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	<p>Seconded Out employees</p> <p>Global affairs International Schedule (Muslim work week - Sun to Thursday) not part of Pre-Defined Schedule.</p> <p>(NOTE: Partly integration, Phoenix configuration and System Data Entry)</p> <p><i>NOTE: System Process Issue</i></p> <p>Twelve (12) of Coast Gard codes are missing.</p> <ul style="list-style-type: none"> Phoenix is configured to pay acting pay on a “daily” basis. Firefighters at DND work two shifts in a 24 hour period. A 10 hour “day” shift and a 14 hour “night” shift. Sometimes they will act for the entire 24 hour period, or one of the two shifts. Because they have a 42 hour work week, Phoenix automatically pays 8.4 hours of acting per day. Every acting pay sent in for a firefighter must be also submitted on a PAR as an “acting exception”. 				

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	<p>New employees are not enrolled to Time and Labour of existing employees lost enrollment to Time and Labour because of job change</p> <p>Work schedule not available for shift workers which are not multiple of seven. This requires extensive effort to work around.</p> <p>PeopleSoft only allow one pay rate a day. CCG fleet can have different rate in the morning comparing to the afternoon -- this cause problem of recovery of payment.</p>				
Training	Pay center is not given proper training (1.5 hr training), both HR and Phoenix.	Ceridian			
Training	Alignment and review of our training plans to make it more strategic	Other	PWC		
Transfers	Taking too long. People unable to do their functions in the Department	Other		Yes	Transfers In/Out
Transfers In/Out	Transfers are not input on time by Pay Centre and requires a lot coordination between departments. TIN/TOU process is Inconsistent and often requires several attempts before it is	Other		Yes	Transfers In/Out

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
	successful. Several data entry process dependent on combination of Department relationship with Phoenix (Integrated, Web or Direct entry).				
Transfers In/Out	Transfers process needs review and clarification. Issues with residual work: Business process delays and HR Systems limitation to enter additional retro actions once an employee is terminated.	Other	PWC End to End	Yes	Transfers In/Out Late Transaction on Closed Records
Trusted Source Verification	Role differs by department No standard for what they are verifying Departments must absorb the cost of this role	OCHRO	OCHRO-66		
Union Deductions	Union deductions are inaccurate	Other			
Union Dues	Wrong amounts, double deductions, union not being switched	OCHRO	OCHRO-73		
Union Dues Changes Not Processed in a Timely Manner	Union Dues Changes Not Processed in a Timely Manner	OCHRO	OCHRO-108		
Union Dues Configured as a bi-weekly Rather than a Monthly Deduction	Union Dues Configured as a bi-weekly Rather than a Monthly Deduction	OCHRO	OCHRO-109		

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
Updated Training / UPK /Web Presence	Updates to training materials, UPK and Web sites as a result of issue resolution Refer to PWC-2 (Communication)				
UPK and training materials	Updates to training materials and UPK as a result of releases, updates, fixes, etc. Document non-standard processes in UPK.	OCHRO	OCHRO-30		
Use of Delete Job Row	When a Job row is deleted in the HR System it is not automatically deleted in Phoenix. Deletion in Phoenix requires manual intervention by a Compensation Advisor Refer to OCHRO-14 (Job Stack Clean-up) <i>NOTE: System Process Issue</i>			Yes	Data Not Aligning Between HR Systems and Phoenix (Job Stack)
User Support Line for EX Employees	User Support Line for EX Employees	OCHRO	OCHRO-83		
Vacation and Stat Holiday Pay	4% or 4.25% (vacation, Lieu stat holidays) not starting on hire	Other			
Work schedule not available for shift workers	Work schedule not available for shift workers which are not multiple of seven. This requires extensive effort to work around. Refer to OCHRO-53 (Time and Labour)			Yes	Schedule Synchronization

Issue Name	Description of Issue	Issue Source	Reference #	Selected for analysis	Root Cause Analysis
Workforce Scheduling	Provide workforce scheduling capability	Other			

Appendix D: Detailed Approach

D.1 Issue Prioritization

The working group prioritized the issues for root cause analysis based on their understanding of the following selection criteria:

1. What is the business impact, severity of issue, what is the associated risk and are there any mitigations?
2. Is the issue a Phoenix system related issue?

Step 1: Consider Business impact, severity, risk and mitigation

The remaining issues were assessed by the working group for business impact, severity of impact, nature of risk and mitigation strategy. The final ratings were agreed by consensus of the group.

The group assessed **business impact** by agreeing on whether the issue had an impact on the employee, on the department, on the service provider (i.e., the pay centre or PSPC payroll operations), and on ability to meet government priorities.

Severity impact was assessed based on the following:

Scores		Issue Size	Cost	Impact to employee
4	VH	Injure a customer or employee	Financial impact of \$100 million or more	No pay
		Be illegal	Financial impact of \$25 million up to \$100 million	
3	H	Render product or service unfit for use	Financial impact of \$10 million up to \$25 million	inaccurate pay - under / over (amount: 50% time: 1 + n pay periods)
2	M	Cause extreme customer dissatisfaction	Financial impact of \$1 million up to \$10 million	inaccurate pay - under / over (amount: under 50% time: 1+n pay periods)
1	L	Cause minor performance loss	Financial impact of \$25 million up to \$100 million	inaccurate pay - under / over (amount: under 50% AND time: 1 pay periods)

Scores		Issue Size	Cost	Impact to employee
		Cause a minor nuisance but can be overcome with no performance loss	Financial impact of \$10 million up to \$25 million	Inaccurate pay - promotion has not been processed yet
		Be unnoticed and have only minor effect on performance	Financial impact of \$1 million up to \$10 million	Inaccurate pay - promotion has been processed yet but waiting for increment pay -
		Be unnoticed and not affect the performance	Financial impact up to \$1 million	

The nature of the risk was assessed in a similar fashion:

Risk Area	Extreme	Major	Moderate	Minor	Incidental
Reputation	International long-term negative media coverage. Minister or Premier involved	National long-term negative media coverage; Control will require the involvement of a number of agencies	National short-term negative media coverage. control of impact can be managed internally, but risk is high that other parties may need to get involved	Local reputational damage	Local media attention quickly remedied
Financial	Financial impact of \$100 million or more	Financial impact of \$25 million up to \$100 million	Financial impact of \$10 million up to \$25 million	Financial impact of \$1 million up to \$10 million	Financial impact up to \$1 million
Legal	Significant prosecution and fines, litigation including class actions, incarceration of leadership	Report to regulating body requiring major project for corrective action	Report of breach to regulator body with immediate correction to be implemented	Reportable incident to regulator body, no follow up	Not reportable to regulator body

Risk Area	Extreme	Major	Moderate	Minor	Incidental
Labour	Multiple senior leaders leave	Some senior managers leave, high turnover of experienced staff, not perceived as employer of choice	Widespread staff morale problems and high turnover; Compromised work-life balance - Systematic Overtime	General staff morale problems and increase in turnover	Isolated staff dissatisfaction
Operational	Full disruption to one or more business functions; work has fully ceased Total loss of productivity - full stop	Extensive disruption to one or more business functions; work has partly ceased. The current tools to manage information may make records unobtainable, resulting in delayed responses to official requests. Data entry errors, accounting errors, failed mandatory reporting, negligent loss of client assets. Employees not coming to work (stress, sick, etc.). Loss of productivity of 100% or more	Partial disruption to one or more business functions; work can proceed with some hindrance. Loss of productivity of 50%	Small disruption to one or more business functions; work can proceed with limited hindrance. 25% loss of productivity	No disruption to one or more business functions (a cosmetic item); work can proceed with no hindrance

The amount of work required to address the issue in the absence of a system was captured under **mitigation strategy**, which was assessed as follows:

- Current Remediation Actions: description of current remediation actions being undertaken to address the issues.
- Current Preventative Actions: Description of any current preventative actions.
- Existence of Workarounds: Yes (An effective workaround exists) / No (An effective workaround does not exist)
- Workaround Effort: The degree of effort required to institute the workaround effectively expressed as High / Medium / Low

Step 2: Selection of System-related Issues

- If the issue was not believed to be related to how Phoenix receives information and calculates pay, it was immediately removed from the list of candidate issues for root cause analysis. Because this selection was performed with limited knowledge of Phoenix operations, it is possible that issues removed from selection are in fact, Phoenix related issues.

D.2 Issue Selection

The following table provides the summary listing of the issues selected for root cause analysis and their associated score. Please refer to [Appendix C](#) for a more detailed description of the issue:

Issue Name	Description of Issue	Weighted Score
Acting Data Entry limitations	Causing no pay, double pay. Actings entered on Tuesday, Wednesday, Thursday of non-pay weeks can create pay issues.	69
Late Acting	Two step processing failing when either recovering substantive or paying acting. Acting not being paid, paying wrong amounts, deductions double deducted, taxes and pension deducted too much. Also errors when other actions overlap the late acting period (i.e. TSOS)	77
Job Stack mapping	To analyse and recommend cleanup for Job Data records between My GCHR and Phoenix When a Job row is deleted in the HR System it is not automatically deleted in Phoenix. Deletion in Phoenix requires manual intervention by a Compensation Advisor NOTE: System Process Issue	88
Job Stack mapping	Job stack mapping is key to integration. The map contains key fields which links records between Phoenix and My GCHR/8.9. Integration issues impacts the job stack and any future transactions in Phoenix.	54
Section 33 approvals	Length of time it takes to Save an approval OCHRO-51 Some Section 33 approvals have not appeared in Phoenix OCHRO-67 Complex schedules for conducting Section 33 approvals impact ability to perform Pre-Payment Verification Payments not being verified by Section 34 before they come to Section 33, therefore we see a lot of mistakes coming though. Window for authorization does not give us enough time to do our due diligence	72
T4 and Relevé 1	Producing the T4s and Relevé 1s will be impacted by current employee over payments, underpayments. Report on situations which will impact year-end tax reporting NOTE: Process for employees who want to pay overpayments should be communicated - that this is allowed now is not known.	86
Transfers In/Out	Transfers are not input on time by Pay Centre and requires a lot coordination between departments. TIN/TOU process is Inconsistent and often requires several attempts before it is	61

Issue Name	Description of Issue	Weighted Score
	successful. Several data entry process dependent on combination of Department relationship with Phoenix (Integrated, Web or Direct entry).	
Schedule Synchronization	Schedules synchronization between My GCHR and Phoenix is highly problematic. Adding, modifying or deleting schedules doesn't flow to Phoenix impacting employee's pay and schedules.	65
Create Additional Pay	Create additional pay are continuously pro-rating calculations.	87
Pending Y	Delays in deleting Pending Y row impacting employees pay, causing new Empl Rcd to be created. Pending Y causes Jobstack misalignments where rehire are done as well as causing issues integrating a Termination row in Phoenix.	45
Pending Y	Pending Y causes jobstack misalignment (termination should just be a termination)	87
Auto salary calculation not working correctly at CRA	The Phoenix salary calculator is not able to apply certain terms & conditions, in particular cumulative service for Term employees, which would require conversion of all job data back to 2002 when that provision was introduced. This resulted in the Phoenix salary calculator continuously choosing the incorrect rates for CRA employees so the calculator was turned off in August 2016. As a result, for all changes in rate, CRA Compensation Advisors must key the new salary information directly in Phoenix.	72
Job Stack mapping	Pay rate change causes misalignment with jobstack.	87
Retroactive Payments taking Deductions which should not be Taken	When retroactive payments are made deductions which should not be taken are deducted e.g. disability, ltd. NOTE: System Process Issue	56
Schedule Synchronization	Schedules are not aligned	58
LWOP <= 5 days	LWOP <=5 days is monthly	48
Transfers In/Out	Transfers process needs review and clarification. Issues with residual work: Business process delays and HR Systems limitation to enter additional retro actions once an employee is terminated.	66
Manual Pension and Benefits Processes	Benefits not started in timely matter when employee is eligible for benefits (PSHCP, DCP, etc.)	42
Non-derived Entitlement	Isolation post allowance (IP) - timing issue, entitlements should follow the employee and not the job	69
Non-derived Entitlement	Allowances are stopped and not-restarted on Actings or job change. Allowances paid as "Additional Pays" in Phoenix, including the	57

Issue Name	Description of Issue	Weighted Score
	Bilingual Bonus, and Integrated Border Services Allowance (for CBSA only) are not paying correctly when certain other pay actions are processed on the account. The allowances are recovered when they should be paying and in other cases they start paying while employees are on leave	
Garnishment Deductions	<p>Court ordered garnishments (may be all garnishments?) are not being removed from an employees pay during periods that an employee is acting for a partial pay period.</p> <p>Garnishments are not remitted on time.</p> <p>NOTE: System Process Issue</p>	73
Section 34 Approvals	<p>Managers not approving transactions.</p> <p>Requests sent but no available on Section 34 manager list.</p>	67
LWOP affecting Pension	LWOP <=5 days used to when it should be 6 days or more. Issues with pensioners returning to work split their LWOP days instead of TSOS to avoid getting off pay.	54
Time Reporting Issues Time and Labor	<p>Heating Plant and EG group stat holiday not correct.</p> <p>Firefighters have multiple issues with time entry</p> <p>Max hours for time reporting codes are incorrect</p> <p>Unable to approve time for Seconded Out employees (Team Decided This Was Not An Issue)</p> <p>Global affairs International Schedule (Muslim work week - Sun to Thurs) not part of Pre-Defined Schedule.</p> <p>(NOTE: Partly integration, Phoenix configuration and System Data Entry)</p> <p>Note: System Process Issue</p> <p>Twelve (12) of Coast Gard codes are missing. (Clarification - No Missing Codes, just wrong rates applied to codes for CCG Working Groups)</p> <ul style="list-style-type: none"> Phoenix is configured to pay acting pay on a “daily” basis. Firefighters at DND work two shifts in a 24 hour period. A 10 hour “day” shift and a 14 hour “night” shift. Sometimes they will act for the entire 24 hour period, or one of the two shifts. Because they have a 42 hour work week, Phoenix automatically pays 8.4 hours of acting per day. Every acting pay sent in for a firefighter must be also submitted on a PAR as an “acting exception”. <p>New employees are not enrolled to Time and Labour of existing employees lost enrollment to Time and Labour because of job</p>	74

Issue Name	Description of Issue	Weighted Score
	<p>change</p> <p>Work schedule not available for shift workers which are not multiple of seven. This requires extensive effort to work around.</p> <p>PeopleSoft only allow one pay rate a day. CCG fleet can have different rate in the morning comparing to the afternoon -- this cause problem of recovery of payment.</p>	
Critical Issues	Critical issues take too long to resolve.	70
Acting Extension	Acting extensions aren't picked up by E117 process (so organizations are being told to add a new record)	54
Late Acting	E117 (automation of late acting process) process doesn't pay out at times, though it appears in the system that it has.	85
Schedule Synchronization	Ongoing synchronization of the schedules between My GCHR and Phoenix is required (to ensure the standard and personal schedules available are the same in both systems)	80
Phoenix overpayments instead of paying difference between rates	Phoenix decision to create overpayments and do complete payments for retroactive periods often results in no pay/low pay situations.	63
PRE-Phoenix	Overpayments for Terminations	73
Assignment records not recorded in Phoenix	<p>Schedules recorded for use during an assignment are not recorded in Phoenix resulting in issues.</p> <p>International assignments are not being recorded.</p> <p>Not recording income tax.</p> <p>NOTE: System Process Issue</p>	53
Decimal Point Difference between My GCHR/8.9 and Phoenix	<p>Fields used to process leave payouts, schedule, leave, etc. have been configured with different decimal places in My GCHR/8.9 and Phoenix.</p> <p>This is causing an issue when the amounts submitted to Phoenix by My GCHR are processed.</p> <p>Phoenix may generate a very high number of Phoenix error messages potentially causing performance issues.</p> <p>Insufficient decimal point in Phoenix.</p> <p>NOTE: System Process Issue</p>	35

Issue Name	Description of Issue	<i>Weighted Score</i>
Section 34 Approvals	<p>Section 34 Approvals duplicated in both systems. Required in both My GCHR and Phoenix (LWOP less than 5 days)</p> <p>Question if My GCHR has Section 34 approval</p> <p>Section 34 Mangers cannot approve transactions because of delays in transfer (months).</p> <p>Section 34 managers who are managers are not in Phoenix to approve transactions</p> <p>Pending pay transactions for Section 34 managers who have left departments but not yet transfer out.</p>	68
Non-Refundable deductions	Non-refundable deduction should be non-reversible. Automated process (R14) not working properly?	63
Remittance Reports	Remittance Reports i33 and i30 in PH are inaccurate.	67
Acting Calculations	Acting calculations: pension and taxes (EXT/IMC specifically)	69
System Input Processes	<p>Departments would like documentation to outline the order in which transactions should be entered into My GCHR and GC HRMS to align accurately with Phoenix Relates to GRID Issue 26 above.</p> <p>Phoenix has constraints that does not allow departments to enter transactions in their HR system without causing Pay issues.</p> <p>Require a resolution that allows for data-entry to take place on all work-days without limitation, and clarification and communication to departmental HR teams.</p>	85
New hires/rehires as well as student	<p>New hires are taking too long to process residual pay actions such as pay above the minimum, benefits and entitlements.</p> <p>Hire at first increment requires a PAR exception to Pay Center to pay above minimum.</p>	62
Overpayments	<p>A lot of issues with collection of overpayments. Either not happening or happening without notification</p> <p>OCHRO-92 Overpayments are recorded in one department while the recoveries received are recorded in the employee's new department. Departments have no way of finding out which department is involved to initiate an IS transaction.</p> <p>OCHRO-93 Departments have noticed that some overpayments have been over recovered.</p>	72

Issue Name	Description of Issue	<i>Weighted Score</i>
	<p>There is no way for Finance to contact the pay centre to have the discrepancy confirmed or corrected.</p> <p>OCHRO-102 Overpayments recovered from employees without notification</p> <p>Requirement to pay gross amount of overpayment vs the net amount of overpayment that was received.</p> <p>Require a resolution that is not punitive to employees and communication directly to employees from PSPC.</p>	
<p>Manual Pension and Benefits Processes</p>	<p>Manual processing of pension and benefits actions is often processed in arrears, resulting in errors, delays and/or defaults to employee's benefits coverage. This also limits the complete automation of upstream HR/Pay actions and could impact employee's access to Phoenix.</p> <p>OCHRO-72 Are new hires getting their packages and are they being setup for access to CWA so they can enrol</p> <p>May take up to six weeks.</p> <p>NOTE: System/Business Process Issue</p> <p>OCHRO-17 Provide documented end to end process for acquiring MyKey Access</p>	<p>66</p>
<p>Excessively Complicated Acting Calculation and Process</p>	<p>The complexity and volume of Acting scenarios creates excessive manual processing and increases the potential for errors and delays. The payment (including understanding of how payments are represented on paystubs) of Acting transactions is also difficult for employees and managers to understand.</p> <p>OCHRO-68 Acting Managers are unable to approve transactions for the time period when they were acting if they are submitted after the end of the acting</p> <p>OCHRO-19 There are transactions which were entered into My GCHR but did not transfer to Phoenix on conversion or were added or extended during the blackout/conversion time period.</p> <p>OCHRO-10 Automate Calculation of Retroactive Acting Payments when Acting Effective Dates are reported after the time period has passed</p> <p>OCHRO-43 When the Acting time period is in the past, overtime</p>	<p>96</p>

Issue Name	Description of Issue	<i>Weighted Score</i>
	<p>cannot be entered for the acting time period.</p> <p>EX Acting - Paid at the lowest level from the salary scale</p> <p>Data Entry of Acting Records is Complex and Time Consuming</p> <p>Processing of 2016 acting payments in 2017 resulting in a net zero pay and in other cases resulting in significant overpayment</p> <p>Cannot enter acting, when substantive record is inactive (i.e. terminated), especially for CCG fleet.</p> <ul style="list-style-type: none"> • Firefighters can act a number of times within a two week pay period – full 24 hour shifts, a 10 hour here, a 14 hour there, and they will also work overtime while acting. Many firefighters are already in excess of 50 records since Phoenix began, and all of these records are entered as closed periods in the past. As a result they have many timecards in T&L, and they never have an open and valid timecard on which to enter their overtime. • Firefighters will also act independently from their own shifts. This is considered “acting for overtime purposes only”. No regular hours are to be paid for this acting – it is only overtime, but at the acting rate. This “acting overtime” is also not pensionable, so we don’t want the pay system to register the acting rate for those days for pension purposes. We are still struggling with how to pay this overtime. 	
Excessively Complicated Termination Process	<p>Termination transactions are excessively complicated creating processing delays, overpayments and errors.</p> <p>Potential solution is to remove Pending Y and entered TER row.</p>	81

D.3 Root Cause Analysis Techniques Used

Identifying and addressing the root cause prevents the recurrence of incidents and thus resolves the problem.

Root Cause Analysis (RCA) is a technique to identify, document and address the cause of incidents associated with a particular problem (i.e., to identify the underlying problem).

Cost effective solutions are identified and implemented to eliminate the cause - not just the symptoms - and prevent instances of the problem, or like problems, from recurring.

Root cause analysis follows a six step process:

1. Define the problem: the group formulates a problem statement that best describes the core of the issue raised. The problem is also quantified- how often, for how long, and where possible a chronology of events is provided.
2. Understand the business impact: the group identifies stakeholders affected and how they are affected, degree of impact, and mitigations, using independently verifiable metrics where possible.
3. “Five whys”: this is a process of repeatedly asking and answering the question “why” until reaching the root cause. In completing this task, the group will identify factors that alone would not have caused the problem, but are important enough to also require corrective action.
4. Root Cause Analysis: Based on the business impact and five whys, identify the root cause of the problem and contributing factors.

The mandate of the group was to identify root causes only. For this reason, the group did not continue on to the next two steps that would normally be conducted in a full root cause analysis:

5. (Not in scope): Identify action plans: identify what needs to change to address each root cause and contributing factor, in order to prevent the problem from reoccurring.
6. (Not in scope): Communicate lessons learned: Document the root cause analysis including the action plan, as well as the outcome of activities undertaken. Communicate to stakeholders.

Appendix E: Summary Table of Issues, Root Causes and Recommendations

Title	Root Cause	Recommendation
<p>1.1 Acting Data Entry Complexity Entering acting transactions is complex and can be error prone, leading to overpayment or no pay situations.</p>	<p>Requiring 4 linked transactions to record the start and stop of an acting has introduced potential for failure at multiple points in the process, leading to error with significant effort required not only to correct the error but to address consequences of the error.</p>	<p>1.1.1 A review is required of the design, usage and processing of employment records with respect to actings. Refer to RCA #1.5 Late Acting Payment Calculation.</p>
<p>1.2 Data Entry Limitations Acting transactions for the current pay period entered on Tuesday, Wednesday, or Thursday of non-pay weeks can potentially create pay issues, such as no pay or double pay.</p>	<p>Timing between job row entries, the cut-off for entries of HR information (Job Lock) and the pay confirm process can create situations where employee pay is affected by the entry of actings.</p>	<p>1.2.1 Confirm and communicate data entry restrictions to organizations. Ensure there is a mechanism to clearly communicate start and end of pay confirm periods. 1.2.2 Communicate fixes to the system more clearly and with better timeliness. 1.2.3 Organizations need to have greater confidence in fixes. This can be improved by allowing organizations to participate in end-to-end testing within Phoenix or communication of testing process and results. 1.2.4 A review is required of the design, usage and processing of employee records, with respect to actings. Refer to RCA #1.5 Late Acting Payment Calculation.</p>
<p>1.3 Incorrect Tax Calculation for Acting When an employee changes their pay group in the middle of a pay period, Phoenix will under-calculate tax. When a large payment is approved from the rollback</p>	<ul style="list-style-type: none"> Phoenix calculates taxes independently for each pay cycle and each pay sheet. Employee’s annualized salary is understated, and tax withholding is under calculated. Payments from the rollback tracker also calculate taxes independently, based on the assumption the payment is for one pay period. When 	<p>1.3.1 Investigate potential to change tax calculations to be based on multiple paysheets and multiple pay cheques. (Enable Single Cheque Multi Job Function). See Aggregate taxation of multiple cheques. 1.3.2 Take steps to reduce Section 33 authorizer reliance on rollback tracker. Refer to RCA #2.6 Section 33 Approvals.</p>

Title	Root Cause	Recommendation
<p>tracker², Phoenix will over-calculate tax, possibly resulting in low or no pay for the employee.</p> <p>Taxes are being calculated correctly, but Phoenix is only using the tax location code on the active row in Job Data not the tax location of the effective dates of the acting.</p>	<p>the rolled back payment is large, employee annualized salary is overstated and tax withholding is over calculated.</p> <ul style="list-style-type: none"> For an acting transaction, on the recovery step, taxes are refunded based on the tax location code on the current job row in the substantive, not the tax location that was active for the dates of the acting. 	
<p>1.4 Interruption of Allowances While Acting</p> <p>When employees receiving a non-derived allowance (Isolated Post Allowance (IPA), retention allowances, etc.) start an acting, the allowance they may still be entitled to with their acting record is either not allotted in a timely fashion or not allotted at all. Because these allowances can represent a significant portion of the employee’s pay, this can cause severe hardship on the employee.</p> <p>For example, when the acting is entered late, the IPA paid under the substantive record will be recovered, and payment of the isolated post allowance due for the acting will not be issued until a manual process is completed. This results in severe hardship for implicated employees.</p>	<p>Non-derived allowances are started by Compensation Advisors through a manual process. There currently are no triggers for Compensation Advisors to start these payments for employees going on actings. Phoenix does not have all the information to automate it as the source of the required information is with HR, however the HR system was not configured to capture this information and integrate it to Phoenix.</p>	<p>1.4.1 Investigate the opportunity to automate some of the non-derived allowances by capturing the required information in HR and sending it over to Phoenix through integration.</p> <p>1.4.2 Investigate the opportunity to carry forward the IPA allowance to an acting record automatically. Deductions follow the person, could the IPA have the same functionality?</p> <p>1.4.3 Have a query that monitors acting sent over from integration for which the substantive record has an allowance that may need to be carried over to the acting record.</p> <p>1.4.4 Investigate opportunities to reduce the backlog of pay transactions.</p> <p>1.4.5 Ensure HR has clear procedures for processing acting with allowances.</p> <p>1.4.6 Determine if there is a Phoenix system issue related to allowances not being recovered when acting are entered into Phoenix after they have ended.</p>

² The rollback tracker is a utility that allows Section 33 Authorizers to delay actioning a payment to a subsequent pay cycle or pay period.

Title	Root Cause	Recommendation
<p>1.5 Late Acting Payment Calculation</p> <p>Phoenix implementation of late acting has significant financial and workload impact for employee and employer.</p>	<p>The use of multiple employee records, and the process of overpayment and recovery of the substantive record in Phoenix has increased the likelihood of an employee in a late acting situation having an overpayment, low pay or no pay situation.</p>	<p>1.5.1 Investigate different options to redesign Acting end-to-end, including:</p> <ul style="list-style-type: none"> ○ Pay short term actings like an allowance. ○ In Phoenix, add acting transactions on the substantive employee record 0. ○ Another option is to have designated employee records. 0 for Substantive and 1 for Acting and reuse record 1 for each new acting. Having a separate record number for Acting still has the potential impact of no pay or overpay, but it will reduce confusion associated with selecting the acting record. <p>1.5.2 Investigate use of automation to improve timeliness of the end to end acting process, starting with the manager.</p>
<p>1.6 No Pay After Late Acting Automation</p> <p>E117 (automated processing of late acting) processes late acting transactions successfully. However, subsequent processes may lead to employee low or no payment. Compensation Advisors (CAs) do not have a report of employee net pay to identify these employees.</p>	<ul style="list-style-type: none"> • Time and Labour processing related to rejected transactions may have deleted the acting pay in the employee’s cheque. • Acting and substantive records have different tax locations (different provinces) which may result in \$0 net payment. • Section 33 authorizers may have rejected the transaction because they may not understand and may not see the recovery of the overpayment on the substantive record. 	<p>1.6.1 Develop and/or grant CAs access to a query to report late acting transactions that were successfully processed by E117 but resulting in \$0 payment.</p> <p>1.6.2 Develop and/or grant Compensation Advisors access to a query to report late acting transactions that have different tax locations for acting and substantive records.</p> <p>1.6.3 End-to-end testing is required to validate that all processes work together to create proper pay.</p>

Title	Root Cause	Recommendation
	<ul style="list-style-type: none"> A system defect (raised with Oracle) related to E50 Pension Calculation. 	
<p>1.7 Incorrect Pension Calculation for Late Acting Calculation of employee's contribution to their pension plan is incorrect on late acting that spans multiple calendar years.</p> <p>This results in employee over-contribution to the pension plan, which cannot be refunded.</p>	<p>E50 process is not calculating Pension deductions correctly when the late Acting entered spans two tax years. This is due to an error in Oracle delivered functionality related to pension deduction calculations.</p>	<p>1.7.1 E50 should be revised to ensure that PSSA refunds and contributions are calculated correctly.</p> <p>1.7.2 Raise the Service Requests (SR) severity from level 2 to level 1 with Oracle.</p> <p>1.7.3 User acceptance testing (UAT) should cover all different scenarios of Late Acting.</p> <p>1.7.4 Pension deduction reports should be verified by CAs to catch incorrect pension contributions.</p>
<p>1.8 Late Extensions of Acting not Automatically Processed by Phoenix Acting extensions entered late into the system (for acting extension periods prior to current pay period but entered after current pay period) are not automatically processed by Phoenix. Compensation Advisors (CAs) have to process acting extensions manually. This results in late pay to employees.</p>	<p>The original assumption underlying Pay Modernization was that HR actions would be entered on or before the effective pay period and therefore that there would be minimal need for late entries of acting and acting extensions. E117 which processes late actings, was added to the project late and in order to meet implementation timelines, did not include processing late extensions of actings.</p>	<p>1.8.1 Develop and implement E118, which processes late extensions of actings.</p> <p>1.8.2 Proactive reporting to inform managers of upcoming acting end dates with follow up.</p> <p>1.8.3 Change management is likely required to keep the process within required timeframes.</p> <p>1.8.4 Implementing Management and HR Performance Standards (Accountability) that specifically include metrics on timeliness of HR requests.</p>
<p>1.9 Limitations on Managing Overpayment Holds for Web Services Web Services organizations end up with overpayments every time there is a late acting with extra duty pay or leave without pay ≤ 5 days that is greater than 10% of employee gross pay.</p>	<p>This is a design issue related to the I134, which does not put transactions with overpayments into the on-cycle, where custom overpayment processing could address Canada Revenue Agency requirements.</p>	<p>1.9.1 Investigate changing I134 to improve processing of recoveries for web service organizations.</p>
<p>2.1 Time Reporting Issues Time and Labour</p>	<ul style="list-style-type: none"> Phoenix applies the same statutory holiday overtime rates to all provinces. 	<p>2.1.1 Investigate potential to implement a punch time system for shift workers.</p>

Title	Root Cause	Recommendation
<p>Employees' transactions appear to be processing but are not being paid out, or are being rejected by Pay for unclear reasons.</p> <p>Statutory holidays and overtime rates are not being applied correctly across provinces, or for certain shift workers claiming overtime.</p> <p>Certain shift workers are unable to accurately record their work and their extra duty activities due to issues with reporting codes and overtime rates.</p>	<ul style="list-style-type: none"> Phoenix has adopted an elapsed time model for time entry which does not capture time of day entry. This missed business requirement creates issues for shift workers reporting their time and leads to other issues related to statutory holidays. Time and Labour will reject transactions for a number of reasons at a variety of points in processing. There is no formal process to address TL_ABEND issues in a timely fashion. Time administration will also reject transactions due to inaccurate time reporting data. (Rejected by Payroll error message). 	<p>2.1.2 Communicate to shift workers to resubmit the overtime they submitted on a statutory holiday over the last six months with the new time reporting code (263M).</p> <p>2.1.3 Communicate to Section 34 managers that the Time Administration process is not run on the Tuesday and Wednesday of confirm week and therefore will not see transactions submitted by their employees until the Friday.</p> <p>2.1.4 PSPC should provide real-time information to all organizations on the status of the Time Admin process (Hourglass project).</p> <p>2.1.5 Develop a process to address TL_ABEND issues in a proactive and timely manner.</p> <p>2.1.6 Pay Policy should consider extending or removing the 6 months data entry limitation.</p>
<p>2.2 Hours Data Type Issues in Phoenix</p> <p>Phoenix does not meet collective agreement requirements to collect and calculate time to three decimal places. This is true for hours entered into Phoenix (e.g., Overtime) and leave transactions sent from My GCHR.</p> <p>Voluntary cash-out of more than 99.99 hours from MyGCHR (compliant with requirements) can fail integration to Phoenix due to data mismatches, without notification to employees or managers.</p>	<p>Phoenix is rounding hours in favour of the employee. The requirement for a different hour field format was not identified early enough in the Phoenix build phase. As a result, the Phoenix team did not modify the delivered format of 99.99. This also causes Phoenix integration errors for My GCHR cash out transactions over 99.99 hours.</p>	<p>2.2.1 The following alternative options could be considered:</p> <ul style="list-style-type: none"> Continue with the workaround of rounding in favor of the employee; or Investigate a Phoenix system change. An impact assessment was completed by Phoenix to accept 3 decimal precision. Estimates are 994 system development days (plus business UAT effort); or Investigate renegotiating collective agreements in the future to align with delivered system capability with the objective to minimize system-related issues that can impact employee pay

Title	Root Cause	Recommendation
		<p>2.2.2 My GCHR should add an edit to ensure that a voluntary cash out transaction over 99.99 hours cannot be submitted and inform the employee to submit two split transactions instead.</p>
<p>2.3 Schedule Synchronization Schedules between My GCHR and Phoenix can become misaligned. Once schedules are misaligned, any schedule changes in My GCHR will not load to Phoenix. Incorrect schedules in Phoenix could result in pay issues.</p> <p>Some schedule alignment fixes have been implemented but the historical schedules were not updated, are still misaligned and creating issues with employee pay.</p> <p>There are few tools to support manager and employee efforts to fix schedule problems.</p> <p>Further, the Time & Labour Launchpad in Phoenix doesn't always reflect the latest assigned schedule within Phoenix.</p> <p>The schedules available do not always meet employee needs. For example there is no predefined schedule for Muslim work week and there is no schedule based on am/pm.</p>	<ul style="list-style-type: none"> As a result of job stack misalignment, issues with historical schedules (residual work related to fixes applied) and open Incident Reports (IRs), schedules are placed into staging table and not completely / properly transformed to Phoenix system schedule. The Muslim Work Week schedule requirements were captured but not implemented due to resource constraints. 	<p>2.3.1 Phoenix and My GCHR continue to work to fix residual schedule synchronization issues.</p> <p>2.3.2 Add the Muslim work week predefined schedule.</p> <p>2.3.3 Review the list of Predefined schedules in both My GCHR and Phoenix. Harmonize using the same IDs in both systems.</p> <p>2.3.4 My GCHR and Phoenix should standardize on business rules (e.g., the multiple of 7 days requirement for the schedule).</p> <p>2.3.5 Do not remove the Timekeeper role in Phoenix for My GCHR organizations until the cleanup of historical and current schedules is completed.</p> <p>2.3.6 Support and implement findings from the OCHRO "Workforce scheduling working group".</p>
<p>2.4 Late Transactions on Closed Records Once the employment record becomes inactive no further transactions on Time and Labour records are possible.</p>	<p>Time & Labour configuration is too restrictive in not allowing historical time to be input after the employment record has been terminated.</p>	<p>2.4.1 Implement pending Change Request (CR) to resolve issues with allowing employees to enter historical time after the employment record has closed.</p>

Title	Root Cause	Recommendation
<p>2.5 Section 34 Approvals Section 34 approvals are not completed in a timely manner, resulting in late payment of extra duty pay.</p> <p>Transactions do not always appear on the Section 34 manager or time keepers' worklist when expected.</p> <p>Employee transactions will appear on the worklists of timekeepers or the PSPC security contact when the employee's Section 34 manager is no longer valid.</p> <p>Section 34 managers working away from their home organization cannot approve employee time.</p>	<ul style="list-style-type: none"> • Due to operational requirements and priorities, the Time Administration process is not always run as scheduled during pay confirm week, therefore Section 34 managers can't retrieve and approve the submitted time entries. • There is no established communication process in place to notify organizations and managers when the Time Administration process does not run. • Section 34 managers will not be able to review and approve time entries if employees have not selected/validated them as their Section 34 manager in Phoenix or if they are working outside of their home organization. • Acting managers are unable to approve pending transactions once their acting has expired. 	<p>2.5.1 Expediting Transfer In/Out process can avoid some of issues for Section 34 approvals.</p> <p>2.5.2 Transactions should not be sent to the PSPC Security Administrator account. For all organizations to identify individuals as point of contact to monitor and follow up on pending transactions.</p> <p>2.5.3 Organizations should only send changes to Section 34 flat file when a change to the end date otherwise it will overwrite the previous entry.</p> <p>2.5.4 For acting Section 34 managers, the Section 34 role should be revisited to include history so past transactions can be approved after the Section 34 manager's acting is completed.</p> <p>2.5.5 Communication required to help understand processing schedule related to Time and Labor (submission and approvals).</p> <p>2.5.6 It should be mandatory for employees to select a Section 34 manager as soon as they login in Phoenix.</p> <p>2.5.7 Organizations may want to review their Section 34 delegation to allow lower level managers to review and approve their employees' transactions.</p> <p>2.5.8 Include additional information when selecting the employee's record number for both Section 34 managers and timekeepers. CR #4354.</p> <p>2.5.9 Data monitoring and strategy to clean up outstanding exceptions. This will improve the Time Admin processing time.</p> <p>2.5.10 Investigate potential to implement the ability to forward</p>

Title	Root Cause	Recommendation
		<p>transactions from one Section 34 manager to another Section 34 manager for approval.</p> <p>2.5.11 Investigate potential to display the selected Section 34 manager on the Timesheet page.</p>
<p>2.6 Section 33 Approvals The timelines for Section 33 authorizers to complete approvals is not predictable and may not provide enough time to complete due diligence, resulting in payments that should not be made.</p> <p>The pages used to perform Section 33 approvals can encounter performance issues with Searching and Saving functions.</p>	<p>Pay continues to be calculated through the Section 33 approval window in order to be ready for pay confirm. This causes instability in the Section 33 approval window, leaving Section 33 authorizers a very short window of time to complete authorizations and causing more use of rollback functionality than intended.</p>	<p>2.6.1 System performance could improve if:</p> <p>2.6.1.1 Users optimized Search by including Business Unit in their criteria</p> <p>2.6.1.2 Users utilize the entire system availability window, thereby avoiding network traffic congestion particular to their organization or location.</p> <p>2.6.1.3 System process monitors (scopes) should be utilized to determine if there are performance improvement opportunities within the application.</p> <p>2.6.2 Communication improvements required to:</p> <p>2.6.2.1 Ensure accurate contact lists are maintained.</p> <p>2.6.2.2 Optimize the approval /communication process for Section 33 Approval Window changes to reduce delays and enable communications to reach impacted user in a way that enables them to respond.</p> <p>2.6.2.3 Consider use of System Messages to communicate in real time to logged in users the status / availability of functions.</p> <p>2.6.3 Process and Tool Improvements:</p> <p>2.6.3.1 Provide ability to comment on Section 33 rejections to document why the transaction was rejected.</p> <p>2.6.3.2 Improve query tools for additional scenarios (like % of change in pay) to provide</p>

Title	Root Cause	Recommendation
		<p>refined selections for Section 33 review.</p> <p>2.6.4 Education and Documentation Improvements:</p> <p>2.6.4.1 Section 33 education in the areas of investigating transaction details and related transaction to support approval. FAQ's are available for this topic.</p> <p>2.6.4.2 Section 34 Audits and Remedial Training if necessary to ensure Section 34 Approvals are appropriate and reliable.</p> <p>2.6.4.3 Consider Section 33 User Group to share best practices and techniques.</p>
<p>3.1 Leave Without Pay ≤ 5 Days My GCHR LWOP ≤ 5 days are processed as late as 2 months after the employee took the time off. LWOP ≤ 5 days does not get deducted from pay when entered ahead of time, and gets deducted twice in late acting situations.</p> <p>In GC HRMS, the HR system cannot correctly calculate the absence 10 day rule, resulting in the employee receiving extra leave entitlements.</p> <p>For all Phoenix client types, LWOP ≤ 5 days is not being deducted from pay and is being placed on an overpayment hold if it is entered late and has a value over 10% of the employee's gross pay.</p>	<ul style="list-style-type: none"> Phoenix Self-Service (GC HRMS / Direct Entry clients): LWOP ≤5 is deducted from pay via Employee Self-Service but the LWOP leave transaction is not being input in the HR system to recalculate leave entitlements. My GCHR clients: There is a delay when LWOP ≤5 gets deducted from an employee's pay as Phoenix must wait until the month end Absence Management finalize process to be run in My GCHR. All Phoenix client types: Most LWOP ≤5 transactions are submitted late and overpayment holds are being applied (when it exceeds 10% of gross pay) instead of being deducted from first available funds. 	<p>3.1.1 Investigate the possibility of Phoenix sending LWOP ≤ 5 days transactions back to GC HRMS organizations for accurate calculation of Leave Adjustment (e.g. report, leave administrator role).</p> <p>3.1.2 In the short term, develop procedures and training to tell the CA to check for outstanding LWOP ≤ 5 days transactions within My GCHR prior to termination of an employee.</p> <p>3.1.3 Investigate methods to send LWOP ≤ 5 days transactions from MyGCHR more frequently.</p> <p>3.1.4 Investigate potential to exclude LWOP ≤ 5 days transactions from overpayment hold processing.</p>
<p>3.2 Leave Without Pay Greater Than 5 days Employees on leave without pay (LWOP) greater than 5 days serviced by the Pay Centre are not being</p>	<p>Due to overall backlog of transactions, the Pay Center is not able to process LWOP transactions for more than 5 consecutive days in a timely manner.</p>	<p>3.2.1 Investigate the opportunity of allowing HR in organizations to enter certain LWOP greater than 5 days transactions to lower Pay Center's workload.</p>

Title	Root Cause	Recommendation
<p>processed in a timely fashion. As a result they are being overpaid, do not receive their Record of Employment within legislated timelines, leading to possible impacts on employment insurance (EI) benefits and pension benefits.</p>		
<p>3.3 Transfer In/Out What was a previously lengthy process now take longer, resulting in incorrect pay to employees.</p>	<p>The coordination of the transfer in/out process is complex, requires coordination of multiple resources to complete, and is not well understood by organizations.</p>	<p>3.3.1 Compensation Advisors should process pay based on employee account and not transaction type. 3.3.2 Investigate permitting organizations to allow transfer in transactions prior to the transfer out without any impact on employee’s account. 3.3.3 Organizations need a search/view access to determine if the employee is active in Phoenix. 3.3.4 Finalize the new transfer process (roles and responsibilities) and training material to ensure the process is well understood by organizations, includes improved capture of information about the employee (e.g., if they are active at another organization, their employee status, contact at other organizations) and considers potential for organizations to process transfer in transactions prior to the transfer out. 3.3.5 Maintain contact list for transfer process.</p>
<p>3.4 Complicated Termination Process due to Pending Y Not completing the Pending Y portion of the termination process in the current pay period can lead to inaccurate pay for the employee and additional complexity and</p>	<ul style="list-style-type: none"> Late processing of terminations, which includes removing the Pending Y row, is complex and requires manual processing by Compensation Advisors, therefore contributing to processing delays. 	<p>3.4.1 Investigate the possibility of not transforming Termination to Pending Y in Phoenix. CAs could then manually finalize pay actions using extension E23 post Termination date. 3.4.2 Review work procedures for terminations and hires to</p>

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<p>workload for the Compensation Advisor and HR.</p> <p>Processing term extensions and rehires before the Pending Y has been processed can create additional employee records, leading to further data entry errors affecting employee pay when further extensions are processed or the Pending Y portion is completed.</p> <p>Incorrectly processing the Pending Y (changing Action/Reason and Effective Date), may cause misalignment in the Job Stack mapping, also leading to errors or delays in employee pay.</p>	<ul style="list-style-type: none"> The overall backlog of pay transactions causes delays in processing terminations. 	<p>ensure proper emphasis on use of correction mode.</p> <p>3.4.3 Provide training on the importance of Job Stack to CAs.</p> <p>3.4.4 Investigate the opportunity to automate more transactions in Phoenix to reduce overall pay transactions backlog.</p>
<p>4.1 Overpayments</p> <p>The number of accounts with overpayments and the total value of overpayment balances has significantly increased since Phoenix went live, affecting employee pay and management of organizational Finances.</p> <p>Overpayments are being created for situations that did not create overpayments under RPS (e.g., accounting adjustments for late actings, leave without pay ≤ 5 days, extra duty pay reversals).</p> <p>Overpayment holds are being applied and removed in an unpredictable fashion. Sometimes overpayments are being over recovered (e.g., when terminated employees return to work or when</p>	<ul style="list-style-type: none"> The number of accounts with overpayments, and the value of the overpayments has increased as compared to RPS because of timeliness of processing organizational pay-related transactions in combination with the backlog of Compensation Advisor work. Delays in processing are creating more overpayments, and capacity limitations are delaying their recovery. Phoenix treats certain accounting adjustments in the same way as overpayments. It is difficult to separate accounting adjustments from “true” overpayments. There was no requirement identified to split overpayments by the type of 	<p>4.1.1 Review the types of actions that can be entered by HR (i.e. LWOP greater than 5 days, Termination/Pending Y, etc.) this would get transactions in Phoenix more quickly and result in fewer cases of overpayments.</p> <p>4.1.2 Modify Phoenix hold logic so that overpayment holds are applied based on certain entitlement codes. For example, no hold should be applied to overtime reversals and LWOP ≤ 5 days.</p> <p>4.1.3 Determine a method to distinguish overpayments created for accounting reasons (e.g., late actings) from “true” overpayments (e.g., late termination) and remove accounting adjustments from reports to organizations.</p> <p>4.1.4 Review the processes for collecting overpayments and updating repayment amounts in</p>

Title	Root Cause	Recommendation
<p>employee pays by cheque). Therefore it is difficult to get an accurate estimate of overpayment balances and employees are put at risk due to unpredictability of pay.</p> <p>Organizations are having difficulty recovering employee overpayments when the employee has transferred to a new organization.</p>	<p>transaction and only apply the overpayment hold to certain types (i.e. exclude the high-volume types such as LWOP ≤ 5 days and overtime reversals).</p> <ul style="list-style-type: none"> • There is no mechanism to have the overpayment balance reduced in Phoenix when the recoveries have been made via Penfax. 	<p>the financial, pay and pension systems to ensure that there are no process gaps remaining.</p> <p>4.1.5 Update process for tracking transferred employees with overpayments so that Finance can more easily determine location of transferred out employees and the source organization for transferred in organizations.</p>
<p>5.1 Assignment / Secondment Records not Recorded in Phoenix</p> <p>Employees on secondments and assignment are not paying the proper deductions, not receiving the correct allowances and are encountering issues with their schedules.</p> <p>Seconded Section 34 managers are not able to approve time for staff in accordance with their delegation.</p>	<p>The decision to have Phoenix not consume assignment / secondment records and process the exception transactions manually with few on-line error or input controls has created greater workloads than anticipated.</p>	<p>5.1.1 Review available process, UPK and training documentation for consistency (e.g. terminology).</p> <p>5.1.2 Update and clarify work process and instructions for the processing of Assignments and Secondments.</p> <p>5.1.3 Confirm understanding of Policy regarding Acting on Secondment, modify communication, training and if necessary system edits to bring into compliance.</p>
<p>5.2 Data Not Aligned Between HR System and Phoenix (JobStack)</p> <p>Job stack mapping is key to integration between HR systems and Phoenix. When Job stack is misaligned it can prevent job data and schedule (MyGCHR only) changes from integrating to Phoenix. This can result in issues with Leave without Pay and cash outs.</p>	<p>There are multiple contributing data entry and system factors to jobstack mapping issues and there may not be a root cause.</p>	<p>5.2.1 Develop business requirements for edits in HR System and Phoenix to prevent incorrect data entry that could cause job alignment or integration issues.</p> <p>5.2.2 MYGCHR should recommend an efficient approach on how to prioritize and fix job stack issues. Provide better vetted reports (CR3203 MYGCHR linked to CR4656 PHOENIX)</p> <p>5.2.3 Create a nightly process to align job data and job stack in Phoenix</p> <p>5.2.4 Better HR to pay communication and teamwork (integrated training material)</p>

Title	Root Cause	Recommendation
		<p>5.2.5 Investigate integrated organizations vs web services for understanding how the integration is handled</p>
<p>6.1 Auto Salary Calculation Not Handling Salary Above Minimum or CRA Cumulative Rules</p> <p>The Auto Salary Calculator in Phoenix cannot provide the correct salary calculation when data that required is for the calculation is missing in Phoenix.</p> <p>When manual salary corrections are required, they are not made quickly resulting in inaccurate pay for employees.</p>	<p>The Phoenix Auto Salary Calculator is not always able to calculate the correct salary due to the lack of required data in Phoenix. When these situations occur, the correct rate is not accepted from HR even when it is known to the HR system, requiring manual processing by a Compensation Advisor that introduces delays.</p>	<p>6.1.1 Allow the option for salaries to be sent from the HR system for integrated organizations and agencies in the following situations where it cannot be calculated accurately by the Phoenix Auto Salary Calculator:</p> <ul style="list-style-type: none"> ○ For CRA only, on all transactions ○ For other integrated organizations (PeopleSoft 8.9, 9.1, Web Services other than CRA), on hire and rehire transactions (include these other organizations in the CR being developed for CRA #3955) <p>6.1.2 For PeopleSoft integrated organizations, change the business process for Hires and Rehires where the salary is above the minimum to ensure that the rate from the letter of offer is entered in the HR system</p>
<p>6.2 Proration of Part Time Allowances</p> <p>Part time employees' additional pay is not calculating correctly: it is being continually reduced until it is only pennies.</p>	<p>The E45 had been modified to address this issue under IR 03763187 but the issue has returned. Residual work will be required of Compensation Advisors.</p>	<p>6.2.1 Any proposed solutions should be more fully tested to ensure the issue has been resolved and will not return.</p> <p>6.2.2 A new cross functional working group should review the business requirements and proposed solution to resolve this issue. Solution implementation should also include comprehensive acceptance testing.</p>
<p>6.3 Manual Pension and Benefits Processes</p> <p>There are delays in employees being able to access the Phoenix system.</p>	<ul style="list-style-type: none"> • There are missing data validation edits in Phoenix in Pension and Benefits to support Penfax, which results delays in employee 	<p>6.3.1 Investigate automation of Benefit Enrollment to support a more efficient business process.</p> <p>6.3.2 Perform Root Cause Analysis on the data integrity problems leading to 1112 abends</p>

Title	Root Cause	Recommendation
<p>These employees cannot use their benefits (i.e., PSHCP, Dental).</p> <p>Positive Time reporters cannot submit time.</p> <p>Numerous Service Desk requests within organizations and at the Pay Center are created as a result.</p>	<p>enrolment, which in turn delay user access being granted to Phoenix.</p> <ul style="list-style-type: none"> • Transactions are sent nightly, however there is no return communication from the Pension system to validate that the transaction was consumed. 	<p>(e.g. common error trends, error handling process).</p> <p>6.3.3 Include edits within Phoenix to avoid errors once information is received in Penfax.</p> <p>6.3.4 Review the overall system access provisioning process to better integrate and reduce durations.</p>
<p>6.4 Garnishment Deductions</p> <p>Garnishments are not being deducted during periods that an employee is acting for a partial pay period.</p> <p>Percentage based garnishment deductions are calculated incorrectly: employee is over deducted and at risk of low-pay/no-pay.</p> <p>Employees with flat rate garnishments are also at risk of low/no pay In the event of partial pay or multiple cheques in a single pay period.</p>	<p>The current solution does not meet business needs due to inaccurate or incomplete business requirements.</p>	<p>6.4.1 Raise a CR to adjust the configuration to utilize existing functionality to properly calculate garnishment deductions.</p> <p>6.4.2 Review/Refresh process and training documentation related to garnishments.</p> <p>6.4.3 Investigate potential for automated suppression of multiple deductions in partial pay situations.</p> <p>6.4.4 Create a central role responsible for all garnishments across the GC. This role would have access to all Garnishment records and control the amount that needs to be taken from employee account. Consider centralization within Justice Canada responsibility, as they do the coordination role for the entire Government of Canada. This would improve timeliness of garnishment processing and reduce workload for Pay Center and CAs.</p> <p>6.4.5 Investigate potential to change garnishment calculations to be based on multiple paysheets and multiple pay cheques. (Enable Single Cheque Multi Job Function). See Aggregate taxation of multiple cheques</p>

Title	Root Cause	Recommendation
<p>6.5 Non-Refundable Deductions When a cheque was reversed, non-refundable deductions (e.g., savings bonds) were refunded to the employee in error. It is not possible to recover erroneous payment from the third party to which the deductions had been sent, leaving the crown with an unauthorized expenditure.</p>	<p>An incorrect system configuration caused non-refundable deductions to be returned to the employee on a pay reversal. This issue has been fixed (IR3781401). Residual work is required.</p>	<p>6.5.1 A comprehensive communication and issue list management process is needed to keep organizations informed as to the fact that issues have been fixed (along with changes if any to process and training documentation) and outstanding issue lists are current.</p>
<p>6.6 Cheques Being Rejected by Standard Payment System (SPS) Transactions that didn't have cheque number were rejected by SPS, generating a discrepancy between Phoenix and General Ledger (GL). Manual intervention was needed to reconcile the discrepancy between Phoenix and Finance.</p>	<p>Standard Payment System's (SPS) need for all Phoenix cheques (including net \$0.00) to have cheque numbers to permit processing is not part of the commercially delivered process in PeopleSoft. This business requirement has been fulfilled through IR03683648, implemented to force a cheque number on net \$0.00 cheques. Issue is closed for go forward processing. Remedial action is required to address historical transactions.</p>	<p>6.6.1 Implemented IR has addressed the issue for go forward but historical data needs to be fixed. There will be a need for queries for historical data to assist in reconciliation. 6.6.2 Full solution walkthrough and user acceptance testing should have caught this issue prior to go live.</p>
<p>6.7 T4 and Relevé 1 Employees believe their T4/Relevé 1 for 2016 are not accurate.</p>	<p>There are no issues with T4/ Relevé 1. The T4/ Relevé 1 are properly recording the sum of earnings in the proper categories as recorded in Phoenix. This includes outstanding errors that are awaiting correction.</p>	<p>6.7.1 Transactions that are impacting the T4/Relevé need to be prioritized during the year end to ensure accurate T4/ Relevé is created. 6.7.2 Similar Fiscal year end messages should be repeated at calendar year end regarding pay impacting transactions so as to prioritize work from the backlog. 6.7.3 Reminding to access to FAQ to increase knowledge and awareness.</p>