



**STATE OF WISCONSIN**  
**Department of Employee Trust Funds**  
A. John Voelker  
SECRETARY

Wisconsin Department  
of Employee Trust Funds  
PO Box 7931  
Madison WI 53707-7931  
1-877-533-5020 (toll free)  
Fax 608-267-4549  
etf.wi.gov

## ***Correspondence Memorandum***

**Date:** August 26, 2024

**To:** IAS Program Management Team

**From:** Michelle Hoehne, Kurt Petrie, Yikchau Sze  
Office of Internal Audit (OIA)

**Subject:** Internal Audit Insurance Administration System (IAS) Program Review  
Monthly Report

### **Background**

This is our second monthly communication for our IAS Program Review, covering the period from July 23, 2024 – August 20, 2024. OIA's role for this consulting project is to provide feedback on IAS program management and verify that key program outcomes are achieved. OIA is using documentation review and evidence testing to verify the following:

- Management oversight is appropriate
- Status reporting is accurate
- Key risks are identified and properly treated
- Necessary testing is completed
- Other key project milestones are supported and achieved

### **OIA Activities Completed**

As part of the routine, ongoing monitoring OIA completes, we attended IAS Business Weekly Check-in meetings, the Monthly IAS Program Risk Review meeting, and reviewed the following items for reasonableness and asked follow-up questions as necessary:

- DAQ<sup>1</sup>+ Log
- Weekly Status Reports
- Monthly Portfolio Committee Reports
- Eclipse time tracking and allocation of hours
- Review of risks and issues documented in Eclipse

Additionally, new items during this review cycle included:

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<sup>1</sup> Decisions, Actions, and Questions Log (formerly the Risks, Actions, Issues, and Decisions (RAID) Log), but risks and issues are now being documented in Eclipse.

**Attachment B**

- Program Management Team Meeting – We attended the Program Management Team (PMT) meeting on August 8, 2024, which was the first PMT meeting held since the March 27, 2024, IAS Program Reset. The focus of the meeting was to discuss the top five risks/issues identified by the IAS Program Managers for PMT's awareness from a monitoring standpoint. The PMT charter was also introduced to members with a request for feedback. Since the OIA Director is considered a member of the PMT, OIA provided feedback on the charter for PMT's consideration. It is anticipated at the next PMT meeting that both this report and the August 1, 2024, OIA IAS Program Review Monthly Report will be an agenda item.
- End-to-End Testing Monitoring – We met with the End-to-End Testing Project Manager and IAS Program Managers and reviewed additional materials previously presented to members of the IAS team to assist in gaining an understanding of how End-to-End Testing for the Program is being developed and implemented. OIA may perform additional monitoring and review of the End-to-End Testing, currently scheduled for December 2024 through February 2025, as part of our independent oversight.
- Strategic Council Presentation – We presented an update on our review to ETF's Strategic Council, as requested by ETF Management, to aid in the Council's oversight of the IAS Program.

## OIA Items Noted

### Major Project Deliverables

As noted in our August 1, 2024, report, OIA was waiting for major project deliverables, such as IAS project charters and workplans to be finalized, and for information to be included in Eclipse. While we note progress is being made, with more risks being entered into Eclipse and additional updates being made to charters and workplans, the anticipated finalization of project charters was further pushed back another month to September 3, 2024. OIA will continue to monitor progress on these documents and once finalized will be better able to assess OEI and Program Management's review of these, including their assessment for any project scope gaps, constraints, and dependencies.

### Project Reporting Accuracy & Status Updates

Based on our ongoing review of the Weekly Status Reports provided to the IAS Program Sponsor and other key IAS staff, we noted some concerns over the accuracy of reporting for program and project health indicators. Despite several of the underlying projects indicating a health status of yellow (needs attention), the overall IAS Program indicated a green (on track) health status. We note that the accuracy of the reporting may be improved once more project plans are updated in Eclipse. In the meantime,

Program Management asked for our suggestion of how to improve the reporting and we provided them two potential options that they plan to discuss. Additionally, we noted that a couple of projects did not have an update to their status while the project manager was out of the office. We recommend that the Program Managers consider whether project sponsors or business analysts could provide the update if this occurs in the future to ensure the most current project status is being reported.

### Staffing Turnover

There has been some recent turnover and some future planned turnover in key roles on the IAS Program. We note that program and project management appear to be taking strides to reallocate responsibilities, when possible, before this turnover takes place. However, we note this as a significant concern and risk to the IAS Program, as new staff need to be brought up to speed and current staff have additional work effort allocated to them.

cc: Strategic Council