Grant Delivery Chronology of E2E Events

Key

	DCS GRP
	SNSW
	Both

Date	Event Number	Process step/stage	Responsible	Action	Outcome	Status	Required Attachments / Evidence
	1.0	SNSW Partnership Team receives new grant request from Treasury and business partner is determined Open and Service NSW agrees to deliver grant.	Partnerships			Open	Can we find email/evidence of grant requests sent between TSY and partnerships
	1.2	Initiative Card created Initiative Card presented to ELT for approval	Partnerships				Source Initiative Cards from grants
	1.3	A project team is established PMO Executive allocates resources by assigning key leads to deliver the project (Set up your teams PM, PC and BA established)	Project Delivery				List of all project teams that delivered the grants.
	1.4	The project team scopes the problem statement, employee and customer experience e.g. define objectives, quantify benefits and key results to measure success criteria/ what are we solving and why? Identify executive sponsorship for project	Project Delivery				Seek one pagers from Project Delivery.
		PM define Scope and Agreement with Partnerships and partnering agencies	Project Delivery				
	1.5	Project Manager sets up "Grants Project "in the PMO governance systems and the key tasks for the Project Delivery stages.	Project Delivery				Work with PMO office to see if there is any evidence of this.
	1.6	Project KICK-OFF: • Setup governance forums • Working groups • Set up Standups • Set up SteerCos • ensuring all stakeholders are	Project Delivery				Could seek evidence or screenshots of the different meetings and forums. Or list of stakeholders required.

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		• assigned to the project stand-ups.					
	1.7	Development of grant guidelines. Ensure relevant SME's feedback is included and/or partner agencies.	Project Delivery Parterships Partner agencies				Insert guidelines for relevant grants
	1.8	Development of grant Terms and conditions. Ensure relevant SME's feedback is included and/or partner agencies.	Project Delivery Parterships Partner agencies				Insert T and C's for releavnt grabts
	1.9	Project Agreement set up and input from partner agencies is required. Delegations of Authority established to make payments on behalf of the other agencies?	Partnership & Projects				Evidence of Project Agreements were applicable
	2.0	Set up project budget and financials setting up cost centers to understand the burn rate (WBS Codes Set up) - operational costs OPEX SNSW tracking operational costs					
	2.1	Identify Steering Committee representatives and set up recurring Steering Committee Meetings					
	2.2	Project Team Engages relevant Business Units required to deliver the "New Initiative" and to set up required recurring meetings EG Daily standups/fortnightly checks ins etc					
		"PMs/Project teams are to use the same MS planner tools. I.e (Trello, Jira, MS Planner) when setting up project folders in sharepoint and other required tools EG trello boards. There should be a consistent process in storing documents (folder structure, file naming convention) so all Business Units know where key documents are stored. "					
		Project risk register is set up and sent to all Business units to add any known upfront risks					

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		Risk appetite is agreed upon for the grant program within SNSW and is communicated to partner agencies and documented					
		Success Metrics set up for customer/staff experience and Provide Steerco with overview of risks, success criteria endorsed and the business rules					
		Overarching project plan, timelines, commitments, and key milestones showing clear critical path and interdependencies					
		Co-ordinate with Product Team (Digital) to design the product/application solution.					
		Project Team to ensure relevant Business Units are involved in designing the controls for the application EG Fraud Detection and Response.					
		Pilot to improve the stability of the workflow, learn of the impact to the frontline, identify unforeseen challenges, understand customer reaction, smooth out potential issues and de-risk/ bring the team on the journey					
		A solution design should be documented by Product and sent to all relevant Business Units.					
		Risk workshop to be held to outline all project, SD, SNSW4B, security and fraud etc. related risks based on the product solution.					
		Project Business Analyst to run workshop to document the customer journey/application process map which includes the front and back end controls implemented in the product.					
		Define Operational Business Units Reporting Requirements					
		Define grant monitoring reporting requirements					

| Date	Event Number	Process step/stage	Responsible	Action	Outcome	Status	Required Attachments / Evidence
		Work with Partnerships to receive disaster LGA mapping from partner agency so identified and eligible LGA's can be approved appropriately by Manual Assessment Team					
		Set Steerco Go or No Go Criteria					
		Design Post Pilot Metrics					
		Develop a Test Plan and define the required testing linked to requirements EG UAT					
		Complete Knowledge Articles and agreement for BC to develop any further work instructions					
		Design change impact assessment and change plan with the enterprise change lead					
		Complete On-line Solution design					
		Functional testing, security & UAT Testing,					
		Prepare Knowledge Articles					
		Privacy Impact Assessment completed. Recommendations from steerco endorsed					
		Complete independent security assessment					
		Ensure Knowledge transfer ServiceNSW support teams (MO, Finance, BC etc)					
		Business Readiness Assessment with 80% readiness					
		Test On-line solution					
		Engage and train support teams for "New Initiative"					
		Set the date for pilot go live. Its important that when setting the date for pilot go live that T and C's are signed off by legal and partner agencies as well as all delegations are confirmed to avoid any issues					

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		Pilot results to be consolidated in a report/back and presented to SteerCo for a decison to be made about the success and address any issues or lessons learnt					
		Go/No Go for pilot approved by steerco					
		Implement reporting requirements for Operational, Partner Agency and New Initiative monitoring					
		Complete Risk Register and Agreements with Partnerships					
		Provide Project Status reports					
		Ensure Knowledge transfer to ServiceNSW support teams (MO, Finance, BC etc)					
		Provide update/report to Stakeholders/Sponsors					
		Provide update/report to Steering Committee					
		Complete Risk Mitigation and agreement with partnerships					
		Complete "Transition to BAU" Checklist					
		Service Desk Handover					
		Licences management processes					
		Handover to BAU - Training & Partnerships					
		Financial Closure (Close WBS Codes Etc)					
		Send the completed "Transition to BAU" Checklist to Service Delivery for ongoing ownership					
		Complete Agreement and closure of Risk Register with all parties					

Date	Event Number	Process step/stage	Responsible	Action	Outcome	Status	Required Attachments / Evidence
21st April 20		Service NSW halted the processing of payments on the $10K Bushfire grant (21 April) to review current controls and implement enhancements to mitigate further risks					
		$50K Bushfire grant					
23rd April 20		Service NSW halted the processing of payments on $10K Covid-19 grant (23 April) to review current controls and implement enhancements to mitigate further risks					
5th May 20		Service NSW halted the processing of payments on the $6K VFF grant (5 May) to review current controls and implement enhancements to mitigate further risks					
6th May 20		6th May - A Grants Administration Taskforce was set up with representatives across key BU to understand and manage the fraud exposure across the following grants: • 50k Bushfire Small Business Support Grant • 10k Bushfire Small Business Support Grant • 6k Volunteer Firefighter Grant • 10k Covid Grant			Regularly recurring stand up meetings to establish roles, responsibilities, tasks and check in on progress, raise problems. Arranged by SNSW (Alex Geddes) for the following attendees: • Steve Brady • Bridget Barrett • Tina De Lorenzo • Richard King • Catherine Morgan • Chris Tandy • Diana Truong • Prem Bhullar • Matthew Lyon • Anthony Lane • Ben Clegg • Dan Denver • Christopher Nathan • Lauren Nagel • Alex Geddes		✉ Grant administration risk r
May 2020		A five-stage approach has been implemented to assess and report on suspect applications: Analysis (automated red flags), Security Assessment (remove false positives), Business Verification (manual assessment), Investigations and Police Referrals/Recovery of Funds.					

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11th May 20		Additional fraud-detection controls were identified and implemented by our Security and Product teams in May 2020. The implementation of these controls allowed Service NSW to return our grant applications into production and back online for citizens to apply.			For each grant, a framework was documented and a go/no go decisions was made. • 50k Bushfire Small Business Support Grant [Insert Date] • 10k Bushfire Small Business Support Grant [21 April] • 6k Volunteer Firefighter Grant [5 May] • 10k Covid Grant [23 April]		• VFF - Grant Payment Framework.pptx (sharepoint.com) • 10k Covid Payment Framework • 10k Bushfire Payment Framework
		Enhanced front end and back controls are now applied. Some examples of these controls are: Duplicate checks, Directors check, trusted MyAccount API, black and grey list and 3 retrospective reviews.					
		Police engagement e.g. Cessnock, Hunter Valley and Lake Macquarie Strike Force Raptor, South Coast, Southern Highlands and Campsie.					
		Establishing a reporting framework that provides real-time information on the quantum of potentially fraudulent cases, movement of cases through relevant stages and progress of backlog applications					
		Security Assessment Process matching phone number, banking details or user ID					
		Daily stand ups were set up with key business leads across the following teams					
		Data Analysis process concentrated on the High Risk Activities. Business Verification Process – Implement Risk System; identifying applications that may not meet the eligibility criteria and escalating					

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		applications where suspicious behaviour has been observed					
		The establishment of an investigations team sitting within DCS					
		GAT Team commences operations, performance and incident management for the "New-Initiative"					
		Recovery of funds Compensation Orders (SNSW)					
		Recovery of funds – Leanne Hornibrook (SNSW)					
		Event – James Ross change of held batch applications • Release of batched applications by held (SNSW) / Bulk closure • Quantum # and $ • assessment of exposure Status update changes in salesforce / reports fortnightly					
		Event – Accidental payment of 'cleared' applications (SNSW) • Quantum - # and $					
		When did notification of concerns re payments (SNSW): • Police • Financial Institutions in the Hunter Valley / Newcastle • Other agencies (State or Federal)					
		Security Risk Assessment on Grant Programs?? When , Who , How, what was approved? describe the role the security team had re risk assessment, taking initial feedback from police/financial institutions etc					Fw_ RFS_ SES Payment Form Secur
April 2020		Initial referral to GRP – specific case: ██████ ████████			████████████ ████████████ ████████████ ████████████ ████████████ ████████████ ████████████ ████████████ ████████████ ████████████		████████

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May 2020		Initial referral GRP – Melissa Clemens to Geoff Campbell (01 May 2020)			Melissa Clemens contacts Geoff Campbell to seek advice on how to engage authorities regarding reports received by SNSW on suspicious Small Business grant payments. Email suggests: • Tip off to SNSW has been made by Customer and Banking Association • Damon Rees, Bridget Barrett, Sanja Galic, Michael Cracroft, Richard King and Melissa Clemens were aware of the tip off and had discussed it • Agreed that controls needed to be improved		✉️ RE_ Fraudulent Claims.msg

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	•	• Initial notification of a problem (SNSW & GRP):
		    o Legal ?
		    o Secretary ?
		    o Minister
		    o Resilience?
		    o Treasury ?
		    o Police					

	•	• Legal Advice
		    o Crown Solicitors
		    o Lawful release of information
		    o Etc
		 •					

May 2020		Initial engagement Core Integrity – GRP/Internal Audit 08 May 2020			Initial engagement with Core Integrity overseen by Anthony Lane (GRP Internal Audit) for 6 days commencing 12 May 2020. Scope of engagement was to: • Provide dedicated fraud and forensic subject matter expertise (SME) to help DCS and ServiceNSW coordinate an effective investigative response. • Work closely with ServiceNSW to understand the current issue, how the issue was detected and the size of the current exposure. • Utilise our experience in matters of this nature to advise and establish the		TAB A - Core Integrity LOE - Depa RE_ Updated Letter RE_ Updated Letter of Engagement - wi of Engagement - wi TAB B - Approval Core Integrity Soluti

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					investigation plan and process.		
					▪ Provide advice and support to enable the effective analytical assessment of the issue and enable profiling of the current issues to guide effective investigation planning and decision making.		
					▪ Assist ServiceNSW in identifying the highest risk matters and provide investigative support into these matters.		
					▪ Provide advice and assistance in coordinating activities with the relevant law enforcement agencies, including preparing information for referral.		
					▪ Understand the outputs of the current matter to provide fraud risk advice in respect to the current control environment.		
					▪ Depending on the outcome of the initial inquiries, work with DCS and ServiceNSW to provide further investigation support as requested and approved to resolve the matter		
					As approved by Catherine Ellis		

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May 2020		**Outcome / Observations from Initial Engagement** – Core Integrity (12 May – 18 May 2020)	▪	▪	▪ Assisted the Analytics Insights team identify fraud risk indicators from the grant claim data (later used to inform NSW Treasury of exposure estimates). Data insights not able to be finalized due to difficulty obtaining a comprehensive set of data ▪ Provided insights into specific cases (samples in attached emails) related to VFF, Federal Agencies ▪ Attendance at GAT stand up meetings ▪ Attempted Engagement of the State Crime Command ▪ Resulted in a proposal to extend the engagement to help complete data insights		FW_ Core Integrity have commenced th... RE_ NSW RFS Volunteer Payment... RE_ Catch up _SEC_UNCLASSIFIED Daily Update – Core Integrity msg RE_ Highlights for your visibility_ FW_... End of day \progress update – C
May 2020		**Request for Extension** – Core Integrity – (19 May – 03 June 2020)	▪	▪	▪ Proposal to extend the services of Core Integrity by an additional 10 days and to establish an investigations function ▪ BN 01720 2020 Approved by the		Request for extension – current... TAB C BN r01730-2020 Secretar Core Integrity Proposal - Grant Pro Annexure A - Extension proposal BN-01730-2020_App... RE_

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					Sectary to a total value of $500k		
25 June 2020		Fraud risk exposure analysis across the Bushfire and Covid grant programs was done by the SNSW Analytics Team in conjunction with Core Integrity was finalized.			Following approval to extend Core Integrity's services in May 2020, they continued to assist the SNSW Analytics Insights team (Lauren Nagel and Garrick Shaw, prepare exposure estimates based on fraud risk indicators as suggested by Core Integrity. Various iterations of the findings with Damon occurred and ultimately an estimate of the exposure was presented to NSW Treasury at the end of June.		✉ Chronology & packs during initial 📊 Quantum Results on Grants.pptx
June 2020			▪	▪	▪ Meeting facilitated by Darren Murphy with the NSW Police State Crime Command in Parramatta. ▪ In attendance: Mary Snell, Anthony Lane & Darren Murphy ▪ Aim of the meeting was to seek permission to refer suspected cases of grant fraud to a central spot within the Police. ▪ Met with Detective Superintendent Linda Howlett and her leadership team. ▪ Outcomes of the meeting confirmed that only the NSW		📊 NSW Fraud Squad Presentation.pptx ✉ Pack for tomorrow.msg ✉ Meeting _DLM_Sensitive_Law

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					Police can refer matters to the State Crime Command and as civilians SNSW was unable to refer matters to them • Instead, SNSW was instructed to work with Police Area Commands in the relevant area/jurisdiction for which the frauds were committed		
June 2020		Request for Quote (CSD 1636): Investigation Services (SNSW Grant Administration)			In June 2020, Governance Risk and Performance (GRP) undertook a competitive market analysis through a Request for Quote (RFQ CSD 1636) to engage an expert supplier to perform Investigative Services related to the Service NSW Grant Administration Taskforce – Refer to RFQ Conditions Part A for schedule of services. It was anticipated that there will be a need for a dedicated investigations function to assist Service NSW's Grant Administration Taskforce until 31 December 2020. Core Integrity Pty Ltd was the successful supplier and formally appointed by the DCS Secretary on 4 September 2020. Value of contract under this engagement was limited to $657k.		RFQ-Conditions-Part-A (1).docx TAB A BN030502020 BRIEFING NOTE Brief

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July 2020		Establishment of the Strategic Investigations Unit			Core Integrity commenced the formation of the Strategic Investigations Unit (SIU) in early July 2020. The SIU reported to the Director, Audit and Investigations and Executive Director, GRP.		✉ FW_ Draft Agreement - Core In
July 2020		NSW Police Strike Force Engagement			Following on from the initial attempt to centralise communication with NSW Police (refer above), Core Integrity draw upon their connections in the Police and connections made through interactions with inbound Police enquiries to make contact with Strike Forces Raptor and Roche. Later to engage with Strike Force Fireant. Strike Forces instigated by Police units in the Hunter Valley targeting outlaw motorcycle gangs predominantly		✉ Pack for our meeting this mornin
July 2020		Network Analysis and Identity resolution software			Key to the successful identification of potential fraudulent grant applications, is the ability to identify all associated grant applications ties to a fraudulent one. That is, other applications that share common characteristics, names, addresses, email address, phone numbers, bank account details etc. Core Integrity identified early in their engagement that SNSW's ability to undertake this type of analysis was limited if not non-existent. Some attempts had been made in a rudimentary way to perform this type of		✉ Fw_ Network Charts.msg

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					analysis by Richard King in spreadsheets using data extracts from Salesforce. Core Integrity developed their own network association tool using PowerBI which they offered to provide SNSW to use to assist with case referrals. SNSW rejected the offer to use PowerBI as it was felt that it could not be supported internally and additional licenses would be required. However, multiple assurances were made that a network association tool would be built in Tableau (preferred data visualization tool of SNSW) prior to SNSW embarking on the Fraud Control Framework initiative. To this date, the Tableau version of this tool has never been built and funding was not approved.		
August – November 2020		Monthly status meetings			Core Integrity (Darren Murphy, Ian Misfeld and Dylan Bohnen) provided a monthly status update for the following people: • Catherine Ellis • Steve Brady • Damon Rees • Colleen Dreis • Clinton Gould • Anthony Lane • Rebecca Angelkovic • Alex Geddes Meetings and reports were provided August – November 2021		August - Anthony Lane shared _SIU Gr September - SNSW Grant Administratio October - SNSW Grant Administratio Exec Briefing Pack 17112020.pdf FINAL_SIU Fortnightly Executiv SIU Exec Briefing Pack 18092020.pdf SIU Grant Program Exec Update 110820

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August 2020		Engagement with AUSTRAC			AUSTRAC reach out to the SIU to establish a method to exchange intelligence to assist Police engagement and referrals.		✉ FW_ Intelligence disseminations from
		Core Integrity temporarily engaged by the SRT to assist them with triage and assessment of front line referals					
October 2020		Victim Statement Templates			Core Integrity working with DCS legal draft victim statement templates to accompany all requests for information to the police (inbound) and outbound referrals. Statements critical for court proceedings for Police Prosecution. Damon Rees ultimately approves wording in October ahead of first hearing.		✉ Confidential_ FW_ URGENT Damon's s
November 2020		Core Integrity's Engagement extended to February 2020			As funding for Core Integrity drew to the end of the allocated budget, an options paper and Briefing Note were presented to the Secretary to seek approval to extend the services of Core Integrity (expand budget by $200k) with a view of winding down their services and transitioning investigation over to an internal team (SRT) within SNSW. This was a preferred option of the multiple options considered. The additional budget meant however the size of the SIU needed to reduce to a bare minimum in order to make the end of February and expertise in data analytics and reporting need to be let go.		🗎 BN-04398-2020.msg

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February 2021		Core Integrity conclude their work with DCS/SNSW			Transition of case files commenced in January 2021 to the SNSW SRT team. Transition completed on 25 February. Key highlights of the Core Integrity engagement: - 34 of the 85 suspects being investigated by police have been arrested, and charged with a combined total 201 offences - 8 of the 34 have been convicted in court, with matters still before the court in relation to the other 26 (18 suspects are scheduled for court appearances by end-March 2021, with further guilty pleas/convictions anticipated) - The SIU have completed 100% (74/74) of the evidence packs for police, in relation to their requests for information - The SIU have provided/finalised 29 comprehensive Business Record Affidavits (BRA's), in support of the police		FW_ Final Report (Core Integrity) SIU.r FINAL_SIU Fortnightly Executive

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					prosecutions underway - $936,442 compensation has been formally requested in relation to ongoing court matters, and the courts have ordered $70,000 in compensation to date		
		Confirm Extend/ Close "New Initiative" with Partner Agency					
		Close initiative					
24/9/2020		Dine and Discover Vouchers commence			(4 x $25 vouchers) $100		
19/3/2021		Womens Return to Work Rebate commence					
01/04/2021		Small Business Fees & Charges Rebate commence					
19/4/2021		$50K flood grants commence no end date currently			Tiered grant $15,000 Up to $35,000		
23/4/2021		Northern Beaches Hardship Grant Pilot					
30/4/2021		Northern Beaches Hardship Grant Go-Live			Budget $45m		
30/4/2021		Accomodation Voucher Commence			$1500		
11/6/2021		Northern Beaches Hardship Grant Finalise and Close					
30/6/2021		Womens Return to Work Rebate conclude			Up to $5,000		
30/6/2021		Dine and Discover Vouchers commence					
30/9/2021		Accomodation Voucher Conclude					
30/6/2022		Small Business Fees & Charges Rebate conclude					
31/10/2022		Senior Energy Rebate					

Brain dump of potential events to capture

- Onboarding of Core Staff
- Investigated matters
- Case Management Advice
- Affidavits
- Case preparation
- Arrests and convictions
- Education of product team
  - Control improvement
  - Single view of customer
- GIPA input - Release of information
- Media request feedback
- Adhoc advice on referred matters (i.e. ███████, RFS, specific GIPA requests)
- Advice to help build requirements for the Fraud Control Framework technical solution (investigation case management)
- Supporting/responding to requests for information from other state and federal agencies

o Transition to the SRT and relationship handover with the Police