

Message

From: Jeannette Briggs [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=148095610F7242F48A5A9DA24B1A8A87-JEANNETTE B]
Sent: 2018-04-11 8:13:46 AM
To: Glenn McDonald [/o=ExchangeLabs/ou=Exchange Administrative Group (FYDIBOHF23SPDLT)/cn=Recipients/cn=5e249048bc914d3491ec42569d4f8a7d-Glenn McDon]
Subject: Re: Review of Enterprise Process Catalogue - Due April 19th

So simply answer is the audit universe is the source. It is risk based assessment - high risk processes (those deemed necessary for strategic success) are audited more often.

Lack of understanding of our business is an ongoing artifact. I just found out that Fair Hydro "settlement" process is being audited - no such process exists. I chatted with Julia who frankly given she is at every ELT and AC meeting should understand it better. But there I was mapping out the audit including Treasury, Finance and Legal in the review as they should be for a review of Fair Hydro. It is not good enough to be told "this is so confusing". Tiring outcome but I will continue to educate and minimize the fallout from lack of understanding.

Sent from my iPhone

On Apr 11, 2018, at 7:56 AM, Glenn McDonald <Glenn.McDonald@ieso.ca> wrote:

As part of IESOne maybe we should get the facts out instead of have these frustrations fester. I live this same thing all the time. Some perception exists that runs counter to what actually happened and it causes avoidable distortions.

But, not sure I'm seeing an answer to my question: However it came to be, is the catalogue supposed to be a defining guide for the audit universe or not?

I am partly asking because when Julia audited the "enforcement process" last year, she was using the catalogue definition (which I thought was inaccurate in some important respects). The answer to that concern in part was "that's what the catalogue says it is, so that's what we're auditing".

To be fair, I was the one who pointed out and explained the catalogue to Julia. So I can tell you that she definitely did not start her job thinking the catalogue was anything at all. I planted the demon seed!

Now, she is auditing the "ORCP program". Which is not a process. It's a program run by Ops/MACD which confusingly and only partially incorporates several processes, some in the catalogue, some not. When I pointed this out to Archana, she said "I was told to audit this, and we don't necessarily have to follow the catalogue".

Again to be fair we all have an opportunity to comment on the audit universe documents.

It seems like you more than anyone can say what the relationship between the catalogue and the universe is supposed to be. We should use this opportunity to clarify that.

On Apr 11, 2018, at 7:13 AM, Jeannette Briggs <jeannette.briggs@ieso.ca> wrote:

Another example of not letting facts get in the way of a good story. This happens so often to me. I created a new audit universe in 2009 (lists of all things to review). I worked with Bruce Locke as he was developing the initial catalogue. Together we decided on the "guiding, core, enabler/ enabling" groupings. The universe has all these processes plus more because Bruce's method said "settle market" which was many

potential audits. These additions does assume the head of IA understands our business well. The plan is risk based and temporal as almost everything should be reviewed within 7 years. I suspect the universe is now only updated in conjunction with catalogue updates. But I could be wrong. Nicholas and now Julia I suspect may not know the origins. But they have both benefited by my work☺and I guess putting an IESOne hat on that is all that matters.

Sent from my iPhone

On Apr 11, 2018, at 6:55 AM, Glenn McDonald <Glenn.McDonald@ieso.ca> wrote:

I thought IA used the catalogue to set its audit cycle?

On Apr 11, 2018, at 6:53 AM, Jeannette Briggs
<jeannette.briggs@ieso.ca> wrote:

His reasoning does not fly especially the IA need but I will review what is there. I know he is getting push back on everything because of the shifting ground. He wants to look like he is organizing the unit and getting governing documents in place.

Heard Alex is pitching for his group too - not a fit in CS.

Sent from my iPhone

On Apr 11, 2018, at 6:44 AM, Glenn McDonald
<Glenn.McDonald@ieso.ca> wrote:

FYI

I also made a pitch for the catalogue approvals to wait a bit. I'm working with BAs and some business units to clean up the descriptions and accountabilities.

they convinced me it's worse to leave it as is, but that we can make iterative changes subsequent to its sign-off. ie not have to wait another year.

Begin forwarded message:

From: Nicholas Ingman
<nicholas.ingman@ieso.ca>
Date: April 10, 2018 at 3:56:59 PM EDT
To: Jeannette Briggs
<jeannette.briggs@ieso.ca>, Terry Young
<terry.young@ieso.ca>, Kim Marshall

<Kim.Marshall@ieso.ca
>, Alex Foord
<Alex.Foord@ieso.ca>,
Glenn McDonald
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Cc: Yuhe Yuan
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Barbara Campbell
<barbara.campbell@ieso.ca>, Gordon Drake
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>, Nicholas Ingman
<nicholas.ingman@ieso.ca>

**Subject: RE: Review of
Enterprise Process
Catalogue - Due April
19th**

Jeannette, et al.

I appreciate that we have new members of the Executive Team which may result in further changes in ownership but, as you state it has been well over a year since the document was updated and the alignment of processes is already out of date and the catalogue doesn't reflect a number of new processes that have been introduced over the past year. We have already delayed the issuance of the document to allow both PEI and PAO to announce their new organization structures and I suspect it will be a number of months before Alex, Marcia and the new CFO will be ready to make substantial changes that would affect the current processes. Also there will always be some degree of change in the ownership of processes and the annual review is intended to strike a balance between updating the catalogue every time there is a change but not letting the document content become significantly outdated. With further delays it will make the document less and less current. In addition to being an important reference document for business units it provides a basis of

understanding of who owns what process, who should be consulted if there are proposed process changes (and there will likely be a significant number impacted by projects currently underway as well as Market Renewal) and the document also helps inform the Internal Audit Services Plan. Obviously if there are significant changes to process ownership later this year there is nothing to prevent us from performing a mid-year review. Also my team and I are available to walk Marcia and Alex through the current catalogue should they like.

Hopefully this addresses your concerns. If not I am happy to discuss further.

Nicholas Ingman
W: (905)855-6108
C: (416)427-2567

From: Jeannette Briggs
Sent: April 10, 2018
3:06 PM
To: Nicholas Ingman;
Terry Young; Kim
Marshall; Alex Foord;
Glenn McDonald; Julia
McNally; Michael Lyle;
Leonard Kula; David
Short; Dave Robitaille;
Lia Kasic; Nik Schruder;
Katherine Sparkes;
Susan Nicholson;
Anthony Martinello;
Barbara Ellard; Bob
Chow; Ahmed Maria;
Chuck Farmer; Darryl
Yahoda

Cc: Yuhe Yuan; Barbara Campbell; Gordon Drake
Subject: RE: Review of Enterprise Process Catalogue - Due April 19th

I understand the need to update this document as it is over a year out of date and we have undergone significant organizational change, however, in light of the recent additions of Marcia and Alex and the pending addition of a new CFO, does it make sense to wait a little longer to allow the new leadership team some time to better understand their processes to weigh-in effectively?

Regards,

Jeannette

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*Corporate Services
collaborates with you to
deliver solutions and
expertise that enable
the IESO to achieve its
goals*

From: Nicholas Ingman
Sent: April 08, 2018
7:06 AM
To: Terry Young; Kim
Marshall; Alex Foord;
Glenn McDonald; Julia
McNally; Michael Lyle;
Leonard Kula; David
Short; Dave Robitaille;
Lia Kotic; Nik Schruder;
Katherine Sparkes;
Susan Nicholson;
Anthony Martinello;
John Rattray; Barbara
Ellard; Jeannette
Briggs; Bob Chow;
Ahmed Maria; Chuck
Farmer; Darryl Yahoda
Cc: Nicholas Ingman;
Yuhe Yuan; Barbara
Campbell; Gordon
Drake
Subject: Review of
Enterprise Process
Catalogue - Due April
19th

We have completed our annual review of the Enterprise Process Catalogue to reflect process changes, additions and removals made since February 2017 as well as the recent organizational changes. As the identified Process Owner for one or more of these processes, please review the attached redlined version of the document and identify any changes that are required. As everyone is incredibly busy, I

suggest you restrict your review to any processes that are assigned to you and your teams and confirm you agree with the assignments and confirm who should be the Process Steward from your group. If you have any questions at all, please do not hesitate to contact me.

As a reminder,

1. <!--[if !supportLists]--><!--[endif]-->A **Process** is a sequence of logically related tasks you perform to achieve a defined business outcome.
2. <!--[if !supportLists]--><!--[endif]-->You are a **Process Owner** if you report to the CEO or a vice-president and have been appointed accountability for all aspects of a Process including implementation, service levels, risks and controls, and periodic review of the Process Document. As the Process Owner you may delegate day-to-day responsibility for activities related to the Process to one or more Process Stewards. You are

also the Governing
Document Owner
of the Process
Documents.

3. <!--[if
!supportLists]--
><!--[endif]-->You
are a **Process
Steward** if a
Process Owner has
delegated day-to-
day responsibility
to you for aspects
of a Process
possibly including
implementation,
service levels, risks
and controls, or
periodic review of
the Process
Document.

The review shouldn't be
overly onerous but
understanding next
week is Board week,
could you please
complete your review
and provide any
**feedback by end of day
April 19th**. I will send a
gentle reminder next
Monday.

Thank you,

Nicholas Ingman,
P.Eng. Director,
Enterprise Change

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